



Ref: No: IUD/RDC/RCM/2022-23/01

Date: 27.03.2023

### Minutes

**Minutes of the 45<sup>th</sup> Meeting of the Research Committee of ICFAI University, Dehradun held on March 22, 2023 at the Board Room, The ICFAI University, Dehradun.**

#### **Officials Present:**

1. Prof. Ram Karan Singh, Vice-Chancellor, IUD	Chairman
2. Dr. Rajaram Bal, Sr. Principal Scientist CSIR-IIP, Dehradun, Uttarakhand	Member (External)
3. Dr. Usha Pathak, Associate Professor D.A.V. (P.G) College, Dehradun, Uttarakhand	Member (External)
4. Brig. Rajiv Sethi, Registrar, IUD	Member
5. Prof. Tapan Kumar Chandola, Dean, ICFAI Law School	Member
6. Dr. Meena Bhandari, Head, ICFAI Education School	Member
7. Dr. Raghvendra K. Sharma, Dean (o.), ICFAI Business School	Member
8. Dr. Sanjeev Kumar, Dean In-charge, ICFAI Tech Dehradun	Member
9. Dr. Puneet Kumar Gupta, Research Coordinator, Research and Development Cell, IUD	Member Secretary

The Chairman welcomed all the members of the committee and the invitees and put the meeting to order. The following items were discussed in the meeting.

**45.01 Grant of leave of absence, if any: Nil.**

**45.02 Confirmation of Minutes of the 44<sup>rd</sup> Meeting of the Research Committee**

The minutes of the 44<sup>th</sup> meeting of the Research Committee of the ICFAI University, Dehradun were received and confirmed.

**45.03 Follow up action on the Minutes of the 44<sup>th</sup> Meeting of the Research Committee**

The action points taken were presented and discussed. Committee appreciated the support of the management to approve the revised incentive policy of publications to improve the research ecosystem of IUD.

**45.04 Ph.D. Degree Awardees in the Convocation 2023**

The committee approved the award of Ph.D. degrees to 04 research scholars (Gurleen Kaur Anand, ID No.: RSIBS140026, Jasvinder Kaur, ID No: RSITS170070, Vipin Patat, ID No.: RSFST160053 & Rajiv Sethi ID No: RSIBS190076).

**45.05 Approval of Transfer of a Ph.D. Scholar from other Institution**

The point was presented and discussed. The Committee agreed to admit the candidate into the third semester.

**45.06 Approval of Cancellation of Registration of Ph.D. Scholar**

The committee approved the cancellation of the registration of Debashish Mania (ID: RSITS170061) from Ph.D. program due to two consecutive unsatisfactory reports and non-payment of fees for the last three semesters.





### 45.07 Approval of IUD Ph.D. Guideline-2023

The draft guidelines was presented by Research Coordinator and highlighted the major changes in the proposed guidelines. After discussion, the IUD Ph.D. Guidelines-2023 were approved. A copy of the approved guidelines are annexed with the minutes for reference and record.

### 45.08 Ph.D. degree awarded in the Convocation 2022

The committee noted that the Ph.D. degrees was awarded to the 09 research scholars in the Convocation 2022 of IUD.

### 45.09 Final Viva-Voce Defense of Ph.D. Research Scholars

The committee noted that 04 research scholars delivered their final viva-voce defense from 27<sup>th</sup> May, 2022 from 27<sup>th</sup> May, 2022.

### 45.10 Thesis submitted by Ph.D. Research Scholars

The committee noted that 03 research scholars submitted their Ph.D. thesis from 27<sup>th</sup> May, 2022.

### 45.11 Pre-Ph.D. Seminar

The committee noted that 05 research scholars delivered pre-Ph.D. seminars from 27<sup>th</sup> May, 2022.

### 45.12 Progress Seminar

The committee noted that 25 research scholars delivered progress seminars from 27<sup>th</sup> May, 2022.

### 45.13 Thesis Proposal Seminar

The committee noted that 07 research scholars delivered thesis proposal seminars from 27<sup>th</sup> May, 2022.

### 45.14 Qualifying Exam

The committee noted that 08 research scholars appeared in the qualifying exam of the Ph.D. program from 27<sup>th</sup> May, 2022.

### 45.15 Ph.D. Program Admissions 2022-23

The committee noted that 16 candidates were admitted to the Ph.D. program for the academic year 2022-2023. The committee members give directions to prepare the admission guideline for the Ph.D. program for the AY 2023-24.

### 45.16 Result of Semester-I for Research Scholars of Batch -2022

The committee noted the result of semester-I for research scholars of Batch -2022.

### 45.17 Withdrawal from the Ph.D. program

The committee noted that 02 research scholars have taken a withdrawal from the Ph.D. program due to personal reasons from 27<sup>th</sup> May, 2022.

### 45.18. Publications of IUD Research Scholars, Students and Faculty Members

The committee noted the publication of 27 research articles, 05 book chapters, 02 conference proceedings, 01 book, and 03 patent publications of IUD from 27 May 2022. The committee praised about the improvement of publication in terms of good indexing of research papers by IUD research scholars and faculty members.





### 45.20 Status of Ph.D. Thesis Upload on Shodhganga

The committee noted and appreciated that 04 Ph.D. thesis have been successfully uploaded after the final award on Shodhganga.

### 45.21 Status of Ph.D. Synopsis Upload on Shodhgangotri

The committee noted and appreciated that 05 Ph.D. synopsis have been successfully uploaded on Shodhgangotri.

### 45.22 Any other matter with the permission of the Chair

The Committee praised the progress of the research activities at IUD. Vice-Chancellor suggested the following points:

- The Vice-Chancellor gives directions to upload the approved Ph.D.Regulations-2023 on IUD website.
- Efforts should be made to enhance the admissions to the Ph.D. program for the academic year 2023-24. Continuous advertisement and updated information should be made available through the IUD website.

### 45.23 Next Meeting

It was decided that the next meeting will be fixed in consultation with the chairman.



Prof. (Dr.) Ram Karan Singh,  
Chairman,  
Research Committee, IUD



## Regulations

### Governing the Award of the Degree of Doctor of Philosophy (Ph.D.)

(Approved in the 45th Research Committee Meeting of  
the University dated 22 March, 2023)



Recognised under Section 2(f) of UGC Act

The ICFAI University,  
Dehradun

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# The ICFAI University, Dehradun

## The ICFAI University, Dehradun (Minimum Standards and Procedure for Award of Ph.D. Degrees), Regulations 2023

In supersession of the ICFAI University, Dehradun (Minimum Standards and Procedure for Award of Ph.D. Degrees), Regulations 2022 and in accordance with University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022 dated 7th November, 2022, The ICFAI University Dehradun (hereafter referred to as IUD) hereby makes the following Regulations: -

### 1 Short Title, Application, and Commencement

- 1.1 These regulations may be called The ICFAI University, Dehradun (Minimum Standards and Procedure for Award of Ph.D. Degree), Regulations 2023.
- 1.2 They shall be applicable to each school established under IUD namely ICFAI Business School, ICFAI Tech School, ICFAI Education School and ICFAI Law School.
- 1.3 They shall come into force from the date the Research Committee (hereafter referred to as RC) of IUD approves them.

### 2 Management, Coordination and Organization

- 2.1 Subject to the general guidance of the Academic Council (hereafter referred to as AC), RC shall coordinate and exercise general supervision over the academic policies for the program leading to award of Ph.D., subject to the provisions of the Act, Statues and UGC regulations. However, Faculty Research Committee (hereafter referred to as FRC), Scholar Research Committee (hereafter referred to as SRC) and any other committee(s) constituted in this behalf by the competent authority shall organize and manage the program.
- 2.2 The overall execution of the program shall be done by the Research and Development Cell, IUD (hereafter referred to as RDC)

### 3 Categories

There are two types of candidates who are admitted to the doctoral program:

#### 3.1 Full-Time Research Scholars

Candidates interested in a career in teaching and/or research may be admitted as full-time (hereafter referred to as FT) research scholars. The FT research scholars would have to work on a full-time basis on campus.

#### 3.2 Part-Time Research Scholars

Professionals working in various fields including teaching, consultancy, business and industry interested in pursuing academics or enhancing their ability and qualification may be admitted as part-time (hereafter referred to as PT) research scholars. They may work from their respective workplace, but would have to attend contact sessions conducted by the University. Faculty members in the different disciplines/schools of the ICFAI System who do not have Ph.D. degree are encouraged to pursue part-time Ph.D. as a part of the faculty development program. For admission into the part-time Ph.D. Program, the candidate has to submit the No Objection Certificate from the appropriate authority in the organization where the candidate is employed, clearly stating that:

- The candidate is permitted to pursue studies on a part-time basis.
- His/her official duties permit him/her to devote sufficient time for research.
- If required, he/she will be relieved from the duty to complete the course work.

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At any stage of his/her research work, a scholar can change his/her category either from full-time to part-time or part-time to full-time. The request to change of category must be considered by the SRC and the change recommended to the Research Coordinator through the respective Chairman of FRC. Research Coordinator after due approval from Vice-Chancellor (hereafter referred to as VC) will issue a letter regarding the change of category to the scholar with information to all the concerns.

#### 4 Eligibility criteria for admission to the Ph.D. Programme

The following are eligible to seek admission to the Ph.D. programme for all the schools of IUD (Management, Science and Technology, Law and Education):

4.1 Candidates for admission to the Ph.D. programme shall have successfully completed:

A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.

OR

A M.Phil. degree from any recognized university with at least 55% marks in aggregate or an equivalent grade in a point scale (wherever grading system is followed).

OR

A 4-year/8-semester bachelor's degree programme with at least 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

4.2 Candidates in the final year of their master's programme who expect to complete all their qualifying degree requirements before a specified date indicated by the IUD can apply for admissions. For short-listing purposes, their performance till the preceding semester/year would be considered but their admission would be provisional, subject to their meeting the minimum eligibility criteria after their final qualifying examination results are announced.

For any other national or international degree, the scale will be interpolated accordingly. An equivalence committee will be constituted by the VC to consider applications other than covered under above Clause (4.1, & 4.2). The minimum eligibility criteria indicated above is only an enabling clause. Ph.D. Admission Committee (hereafter referred to as PAC) constituted by the VC may fix higher criteria at the time of shortlisting keeping in view the number of candidates, minimum background to cope with the program.

#### 5 Duration of the Programme

- 5.1 Ph.D. programme shall be for a minimum duration of three (3) years including course work, and a maximum of six (6) years from the date of admission to the Ph.D. programme.
- 5.2 Extension beyond the above limits will have to be approved by the Vice-Chancellor based on the recommendations of the Supervisor, concerned Dean/HoD and Research Coordinator provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme. One time extension can be of maximum six (6) months only.
- 5.3 Female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- 5.4 Upon approval of the extension from the concerned authority, candidate has to pay the semester fee for which the extension period is granted.
- 5.5 For the candidates with exceptional performance, the minimum duration of Ph.D. program may be reduced after the approval of the Vice-Chancellor but not beyond more than six months.

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## 6 Leave

Keeping the maximum duration of Ph.D. program counted, leave of absence may be granted on the following basis:

- 6.1 Maximum leave for FT scholars will be 24 days in an academic year (not more than 2 in a month). The record of attendance will be maintained in the departments to which the scholar is attached. In case of serious illness, the necessary information will be immediately communicated by the scholar in writing through the supervisor(s) and Dean/HoD for approval of the Research Coordinator as per rules.
- 6.2 One semester break may be provided (with prior request and approval, for a valid reason) once in the entire duration of Ph.D. keeping the maximum duration of Ph.D. program counted.
- 6.3 Women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days once in the entire duration of Ph.D.
- 6.4 For student exchanges, provided that they contribute significantly to the completion of the thesis, a leave of absence may be granted from the second year onwards on the recommendation of supervisor and Dean/HoD followed by approval of RDC and VC.

## 7 Procedure for Admission

- 7.1 Applications for admission to Ph.D. program shall be invited through an open advertisement. The admission shall be based on the criteria (including Qualifying marks, entrance exam pattern, syllabus, test centers, mode of exam, no. of seats etc.) notified at least once in each academic calendar by IUD with due approval from PAC.
- 7.2 RDC shall execute and oversee the entire admission process.
- 7.3 M.Phil. degree holders with 55% or JRF/NET/GATE/CEED and similar national level tests qualified candidates are exempted from the entrance test.
- 7.4 The University reserves the right to limit the number of scholars to be admitted into the Ph.D. program at any time. The resources and other facilities/fiscal constraints would guide this decision.
- 7.5 Non-Resident Indian (NRI), Persons of Indian Origin (PIO) and Foreign Nationals may be admitted to the program in accordance with the policy guidelines laid down by the Government of India.
- 7.6 Based on the performance of the candidates in the Academics, Entrance Test and Interview (or only interview in case of exempted from entrance test), PAC will shortlist the candidates and recommends them to the VC for admission into the Ph.D. program. After the approval from the VC, a final list of selected candidates should be notified on the IUD website.

## 8 Registration and Monitoring

After submitting the admission fee, Research Coordinator shall approve the registration of the candidate. The list of registered candidates will be conveyed to the Dean/HoD of the respective schools.

- 8.1 The date of regular registration of the candidate into the Ph.D. program shall be the date of first time payment of the applicable fee(s) (Including admission fee, caution money and others, if any).
- 8.2 Students will be required to renew their registration every semester (See Form: Ph.D/13) by the specified date till the submission of their thesis. The renewal of registration by paying fee, shall be subject to completion of specified number of credits/course work and/or satisfactory progress in his/her research work as recommended by the SRC.
- 8.3 If a student does not show any progress for a year (i.e. two semester) and does not register also, then he/she will be considered as a non-performing student and his/her registration from Ph.D program may be canceled with due approval from VC.
- 8.4 If a student does not register for a semester without seeking exemption, his/her name may be removed from the rolls of Ph.D. program. A student may seek exemption from Research Coordinator, giving reasons for not registering in a particular semester. During such a semester student is also expected to have regular interaction with SRC which is responsible for monitoring the student.



At the end of each semester, candidate has to do the following: submit a progress report containing the work done during the semester, give a seminar and also submit the evaluation form duly signed by the Convener of his/her SRC to the RDC.

## 9 Ph.D. Program Structure

After a student has been admitted into the Ph.D. Program, he/she will work for the Ph.D. degree in three phases, viz., Course Work, Preparation and Defense of Thesis Proposal, and Thesis Work, Pre-Ph.D. Seminar and Thesis Submission.

### 9.1 Phase I: Coursework

The objective of the coursework is to equip the student with the latest developments in the relevant disciplines, including the tools of research and latest softwares. In the first semester, student will take the following four (4) courses:

Course Title	Credit
Research Methodology (Core)	04
Research and Publication Ethics (Core)	02
Literature Review and Seminar (Core)	03
Subject Specific (Elective)	03
Total Credit	12

A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis. Attendance, examination, grade sheet etc. for all the courses shall be as per the existing regulation of the university on examinations. With the due approval from the VC, the IUD can devise a mechanism for part-time Ph.D. candidates to schedule the course work classes in the flexible mode as per the requirements. The University can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.

### 9.2 Ph.D. Supervisor(s)/Co-Supervisor(s)

- 9.2.1 The Supervisor(s) shall be a regular/full-time faculty member of the IUD with an earned Ph.D. degree. External supervisors are not allowed. In case of research topics which are inter-disciplinary in nature, apart from the supervisor, a co-supervisor may also be appointed from outside the Department/ Faculty/ College/Institution/Industry, on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges/Industry.
- 9.2.2 An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
- 9.2.3 Supervisor will be allotted to each student within first semester and the supervisor will be the convener of the Scholar Research Committee (SRC). For allocation of the supervisor, student will interact with faculty of his/her department/school and will submit his/her preference to the RDC. RDC after consulting from concerned Dean/HoD, will recommend the allocation of supervisor/co-supervisor to the VC. VC shall approve the appointment of Supervisor(s)/Co-Supervisor(s) on the basis of recommendations of the RDC.
- 9.2.4 In case the Supervisor proceeds on leave for twelve months or more, resigns or expires, an arrangement shall be made by the RDC will appoint a new Supervisor with the approval of the VC.
- 9.2.5 RDC with approval of the Vice Chancellor may appoint more than one Supervisor/Co-Supervisor but not exceeding a total of three to guide a candidate.
- 9.2.6 Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

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### 9.3 Phase II: Preparation and Defense of Thesis Proposal

- 9.3.1 After the successful completion of the Course work, the student would work for preparation of the research proposal.
- 9.3.2 The student would prepare thesis proposal under the guidance of his/her SRC. The student is required to submit the first draft of the thesis proposal for review within two semesters after completion of course work. If student fails to submit the first draft within stipulated period of time without any valid reasons of delay, his/her registration may be canceled.
- 9.3.3 To ensure that all the relevant aspects of a Ph.D. Thesis Proposal are covered, students are expected to prepare the draft proposal based on the following aspects: Introduction and Motivation (importance) for the proposed research, Literature survey (critical review of research papers related to the thesis topic) and identification of research gaps, Proposed Research Objectives, Model and Proposed research hypothesis), Research Methodology and the sources of data, Expected contribution to the literature/Society, List of references, Timeline (plan) of Research.
- 9.3.4 After satisfying itself, SRC will forward the draft proposal in the prescribed perform (see Form: Ph.D/04) to the RDC along with the recommended name and resume of the 03 external examiners.
- 9.3.5 RDC after screening the draft proposal will schedule a Thesis Proposal Seminar (TPS) which will be delivered by the candidate to the Thesis Proposal Screening Committee (Comprising of one external experts and 3-4 faculty members of respective school of the concerned area. The screening committee would check the quality of the Ph.D. thesis proposal of the student. Specifically, it will focus on the clarity of the objectives, thoroughness of the review of literature, proposed methodology and data analysis, and whether the thesis work would make a significant contribution to the existing body of knowledge. The screening committee, after deliberations, may decide on the approval of thesis proposal or may suggest to revise the proposal as per the comments.

### 9.4 Phase III: Ph.D. Thesis Preparation, Pre-Ph.D. Seminar and Thesis Submission

After the successful defense of the thesis proposal, the student is expected to start writing his/her Ph.D. thesis work and may submit the thesis for evaluation after completion of three years from the date of registration.

- 9.4.1 Any change in the approved title of the thesis (see Form: Ph.D./08) can be made only with the prior approval of the VC.
- 9.4.2 Ph.D. Supervisor has to verify, confirm and certify that the thesis data collected by his/her student is genuine.
- 9.4.3 Prior to the submission of the thesis, the student shall make a pre Ph.D. presentation in the department that shall be open to all the faculty members and research students for getting feedback and comments, which can be suitably incorporated into the draft thesis under the advice of the Supervisor(s)/SRC.
- 9.4.4 Format of the final thesis should be as follows:
- Thesis Title page (outer cover) as per format given in Form: Ph.D./11.
  - Certificate from the Candidate as per format given in Form: Ph.D./12.
  - Certificate from the Supervisor as per format given in Form: Ph.D./10.
  - Acknowledgements
  - Table of contents
  - List of tables/figures, if any
  - Abstract
  - Chapters 1, 2, 3, 4, etc.
  - Appendices
  - References
  - Abbreviations

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- 9.4.5 Six hard copies of the thesis, thesis proposal and abstract written in English unless otherwise approved by the RC (each bearing original signature of the candidate and the Supervisor(s)), incorporating the same title as approved by the RDC along with duly completed Ph.D. thesis submission form (see Form: Ph.D./09) should be submitted to the office of RDC. No part of the thesis shall have been submitted for the award of any other degree or diploma. Formats of the Certificate and thesis title page should be in line with the approved formats.
- 9.4.6 Plagiarism percentage should be in accordance to the plagiarism policy of the IUD. The supervisor (and co-supervisor, if there is any) shall receive an originality report on the whole text of the thesis and shall take this report into account in the evaluation on the submission. An originality report is not to be considered as sufficient proof that the submitted thesis does not contain plagiarized text. Avoiding plagiarism and other forms of academic misconduct in the authorship of the thesis remains the sole responsibility of the researcher. If Research Supervisor (or Co-Supervisor) suspects plagiarism, he or she may ask for an investigation.
- 9.4.7 While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution. RDC will detect plagiarism and other forms of academic dishonesty of submitted thesis. The thesis may be canceled in case of proved plagiarism and that he/she would be liable for disciplinary action as per the norms of the IUD.
- 9.4.8 Each Ph.D. student shall publish at least two research papers in ABDC/SCOPUS/UGC-CARE or equivalent high-quality Journals in his/her chosen area before submission of the thesis for adjudication, and produce evidence for the same in the form of an acceptance letter or the reprint. To maintain the quality of publications, RDC may blacklist any journal which marginalizes quality at a point of time. Publications in such journals will not fulfill the prerequisite of publication. Also, students shall present at least two research papers based on the thesis work in a conference/seminar, and produce evidence of the same. Upon recommendation of SRC, RDC with due approval from VC may grant relaxation in the requirement of publications and conference presentations.

## 10 Ph.D. Thesis Evaluation

The appointment of competent examiners to evaluate the thesis, the conduct of the viva-voce examination-cum-defense of the thesis by the candidate and the final declaration of the evaluation outcome have to be done in the highest traditions of academic standards set worldwide. The guidelines given below are with this intent:

### 10.1 Appointment of Examiners

The Supervisor will submit a list of proposed examiners to the Research Coordinator. Names and addresses along with the curricula vitae of at least four eminent persons in the concerned field of research, should be proposed in the list. VC will select at least two examiners (at least one from outside the State) from the proposed list and form a panel of examiners consisting of the supervisor(s) and the two external examiners for evaluating the thesis. The examiners may be from India or abroad. VC may ask the supervisor or the Research Coordinator to submit more names in the panel of proposed examiners if he so desire.

### 10.2 Examiner's Report on the Thesis

- 10.2.1 Each examiner shall be requested to send a detailed evaluation report and his/her recommendations on the prescribed performa within six weeks of the date of receiving the thesis.
- 10.2.2 If the thesis report is not received from an examiner in six weeks, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be appointed from the approved panel.
- 10.2.3 In case one of the reports recommends revision of the thesis, candidate will have an option to revise the thesis within six months. The revised version of the thesis would be sent to the concerned examiners for their recommendations.

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- 10.2.4 If one of the reports recommends rejection, the comments and queries in the report, shall be communicated to the candidate, and the candidate shall be given an opportunity to give replies to the comments made in the report. Such reply of the candidate along with the thesis shall be sent to the next examiner on the panel for evaluation. If the report of the next examiner also recommends rejection, the thesis shall be rejected. If the next examiner accepts thesis, the Ph.D. viva-voce defense will be conducted.
- 10.2.5 If two reports recommend rejection, the thesis shall be rejected. The candidate may, however, be allowed to re-submit the thesis normally after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis.
- 10.2.6 The examiner's reports shall be forwarded to the Supervisor(s) who will inform the candidate eligible for viva-voce defense only those comments and queries in the reports which require explanation and answers without disclosing the identities of the examiners.

### 10.3 Ph.D. Viva-Voce Defense

- 10.3.1 If the thesis is recommended for award of degree, the candidate shall be required to defend his work/thesis orally (viva-voce defense) before a duly constituted committee by VC. The composition of viva-voce defense committee should include at least one external examiner. The date and time of the viva-voce shall be duly notified by RDC to enable the interested faculty members, staff members and students to attend it.
- 10.3.2 In the viva-voce defense, the candidate shall be required to give his response to comments and questions arising out of the examiners reports.apart from the queries and questions raised by members of viva-voce defense committee and, with permission of chairperson, questions asked by others who are present.

### 10.4 Final Grade and Award of Ph.D. Degree

- 10.4.1 The recommendations of the viva-voce defense committee shall be submitted to VC by the Research Coordinator for final decision, which shall be reported to RC and the Academic Council.
- 10.4.2 Upon successful completion of viva-voce defense, RDC shall issue a Course Completion Certificate (CCC) after due permission from VC, certifying that the candidate has successfully completed all the requirement for the award of the degree.
- 10.4.3 After approval of degree from RC and the academic council of the University, RDC will notify the award of the degree. However, Ph.D. degree should be awarded to the candidate in the forthcoming convocation of IUD after approval of VC.
- 10.4.4 Award of degrees to candidates registered for the Ph.D. program on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be.

## 11 Depository with INFLIBNET/Institutional Electronic Archive

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), RDC shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET/Institutional Electronic Archive, for hosting the same so as to make it accessible to all Institutions.

## 12 Cancellation of Registration

Registration of a candidate shall be cancelled on recommendation of SRC/FRC/RDC and due approval of VC, in any one of the following cases:

- 12.1 If the academic progress of a scholar is found unsatisfactory in two consecutive monitoring reports from SRC.
- 12.2 If he/she absents himself/herself for a continuous period of six weeks without sanction of leave.
- 12.3 If he/she withdraws from the Ph.D. program and his request is duly forwarded by the office of the RDC.

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12.4 If he/she fails to submit his/her thesis/revised thesis within the time prescribed for such submission

12.5 Any proven indiscipline.

### 13 Transfer of Ph.D. Student

In case of relocation of Ph.D. scholar, request from the candidate will be considered by RDC and after due approval from VC, transfer may be allowed. In such case, the research data will be transferred to the University/College to which the scholar intends to relocate, provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent Institution/ Supervisor from any funding agency. The scholar will, however, give due credit to the parent guide and the institution for the part of research already done.

### 14 Residency Period

14.1 A full-time Ph.D. candidate is expected to devote his time in the university during his entire period of study. However, this period in exceptional circumstances, can be reduced by the VC on the recommendations of SRC and RDC.

14.2 The minimum residency period for part-time Ph.D. candidates after successful completion of the course work shall ordinarily be at least two weeks in each semester. However, during the course work, part-time candidate has to maintain the minimum attendance percentage as prescribed by IUD.

### 15 Composition of SRC and its Functions

The Scholar Research Committee (SRC) shall comprise Supervisor(s) and two other faculty members in the related field (nominated by the supervisor). A faculty member from a different school of IUD may also be a member. Supervisor will be the chairman of SRC. Each member of SRC must possess an earned Ph.D. degree. The SRC will look after the progress and issues related to the scholar and will recommend its suggestions to FRC/RDC.

### 16 Composition of FRC and its Functions

The Faculty Research Committee (FRC) shall comprise supervisor(s), concerned Dean/HoD and two other faculty members in the related field (nominated by the Dean/HoD of the concerned school). A faculty member from a different school of IUD may also be a member. Dean/HoD of the concerned school will be the chairman of FRC. Each member of FRC must possess an earned Ph.D. degree.

FRC shall perform the following functions:

- ascertain the availability of existing facilities required for the proposed research.
- make decision on the recommendation of SRC and forward the same to RDC
- periodically monitor the performance of the work of the candidate and provide advice to candidate, wherever necessary.

### 17 Composition of RC and its Functions

The Research Committee (RC) shall comprise Vice-Chancellor, Dean/HoD of all schools, Controller of Examination, two external members (outside campus) from industry/academics and Research Coordinator. Vice-Chancellor will be the chairman of RC and Research Coordinator will be member secretary of RC.

Subject to the general guidance of the Academic Council (AC), Research Committee (RC) shall coordinate and exercise general supervision over the academic policies for the program leading to award of Ph.D., subject to the provisions of the Act, Statues and UGC regulations. However, Faculty Research Committee (FRC), Scholar Research committee (SRC) and any other committee(s) constituted in this behalf by the competent authority shall organize and manage the program.




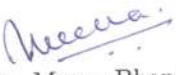
## 18 Residual Conditions


- 18.1 Any person who himself or any of his relatives, as defined below, is a candidate under consideration shall not participate at any level of the decision-making process: Spouse, son, daughter, brother, sister, spouses brother/sister, brothers son/daughter, sisters son/ daughter, first cousin, grandson, grand daughter.
- 18.2 The Vice Chancellor may grant exemption in exceptional cases, from the operation of any of the regulations, where necessary in special cases with valid reasons and without diluting academic standards
- 18.3 Notwithstanding anything stated in these regulations, for any unforeseen issues arising, and not covered by these regulations or in the event of differences of interpretation, the Vice- Chancellor may take a decision, after obtaining, if necessary, the opinion/advice of a committee consisting of any or all the Research Coordinator/Dean/other officers of the University. The decision of the Vice-Chancellor shall be final.


## 19 Definitions

- "IUD" means The ICFAI University, Dehradun.
- "Ph.D." shall mean the degree of Doctor of Philosophy.
- "SRC" means Scholar Research Committee.
- "FRC" means Faculty Research Committee.
- "RC" means Research Committee of the University.
- "AC" means Academic Council.
- "VC" means The Vice-Chancellor of The ICFAI University, Dehradun.
- "RDC" means Research and Development Cell of The ICFAI University, Dehradun.


  
(Dr. Sanjeev Kumar)  
Member, RC

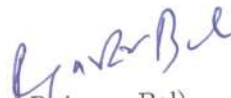
  
(Dr. Meena Bhandari)  
Member, RC


  
(Dr. Raghendra K. Sharma)  
Member, RC


  
(Prof. Tapan K. Chandola)  
Member, RC

  
(Brig. Rajiv Sethi (Retd.))  
Member, RC

  
(Dr. Usha Pathak)  
Ext. Member, RC

  
(Dr. Rajaram Bal)  
Ext. Member, RC

  
(Dr. Puneet K. Gupta)  
Member Sec., RC

  
(Prof. Ram Karan Singh)  
Chairman,  
Research Committee, IUD