

IUHP PHD GUIDELINES

ICFAI UNIVERSITY, HIMACHAL PRADESH, BADDI
GUIDELINES FOR ADMISSION IN PH. D. PROGRAMME

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ICFAI UNIVERSITY, HIMACHAL PRADESH, BADDI GUIDELINES FOR ADMISSION IN PH. D. PROGRAMME

1) Introduction

The ICFAI University, Himachal Pradesh was established under the provision of the Institute of Chartered Financial Analysts of India University (Establishment and Regulation) Act-2011 (Act no. 43 of 2011) as assented by the Governor on 17 Oct 2011. The University believes in creating and disseminating knowledge and skills in core and frontier areas through innovative educational programs, research, consulting and publishing, and developing a new cadre of citizens with a high level of competence and deep sense of ethics and commitment to the code of professional conduct. ICFAI University, Himachal Pradesh offers research programs leading to the award of the Ph.D. degree. The award of this degree is in recognition of high academic achievements, independent research and application of knowledge to the solution of technical and scientific problems in various disciplines such as Management, Physics, Computer Science Engineering (Artificial Intelligence) and Mathematics.

All Research work shall basically aim at promoting creativity and productivity. The University shall endeavor to encourage excellent opportunity for research in interdisciplinary areas through a system of joint supervision and shall also undertake sponsored research and development projects from the industry. The research work shall be an original work characterized by the discovery of the facts or by a fresh approach towards the interpretation of the facts or development of any equipment making a marked advancement in technology. The research work shall distinctly evince the candidate's capacity for creative examination and sound judgment and shall make original contribution to the existing treasure of knowledge. The Ph.D. degree shall be conferred and awarded to a candidate who fulfills all the requirements specified in these Ordinances and Regulations in the discipline of the department in which he is registered.

2) Notification for PhD

The University has obtained approval to conduct research in the field of Management, Physics, Computer Science Engineering (Artificial Intelligence) and Mathematics.

3) Criteria for admission to PhD Program

Following shall be the criteria for admission to the Ph.D. program in the University:

- The minimum qualifications for admissions to Ph.D. programme shall be a Master's Degree with 55% marks or equivalent grade/CGPA or any other equivalent Qualification recognised by the University. A relaxation of 5 percent may be allowed for those belonging to SC/ST/OBC (non creamy layer)/differently abled candidates.
- The University shall admit applicants to Ph.D. degree programme through Entrance Test conducted by it.
- Applicants who have qualified UGC/CSIR/(JRF)/SLET/GATE candidate in the relevant discipline shall be exempted from the Entrance Test. Applicants who have completed their M.Phil in regular mode are also exempted from the entrance test.
- Eligibility Check: A Screening Committee will be constituted to check the eligibility of the applicants. The following shall be the members of the committee:
 - HOD FST/FMS.
 - Admission officer.
 - Nominee of Registrar.

4) Admission Procedure (for National Students)

Following shall be the procedure for admission:

- The applicant should fill application form for admission to Ph. D. programme online and submit all the desired scanned documents together with fees in the prescribed manner.
- The Ph.D. Entrance test shall be conducted twice in a year in the months of July and January or any other date notified by the University if the seat is vacant in July.

- The date of fee deposition shall be informed to all qualified applicants of Ph.D. entrance test. The information shall also be available on the University website or email.
- Applicants shall be admitted to Ph.D. programme after deposition of fees and verification of original documents and recommendation by the admission department with due approval of research department.

5) Admission of International Students

- No particular date can be fixed for International students. All applications received between 1st July to 31st December will be considered for commencement of even semester and applications received between 1st January to 30th June will be considered to commencement of odd semester.
- A foreign student can submit his/her application with a research proposal.
- The proposal will be evaluated by a committee of two persons i.e. Dean/ HOD Research and subject expert (nominated by Hon'ble VC). If the committee finds the research proposal suitable, a Skype interview shall be scheduled, which will be recorded and kept in archive of Dean Research.
- The committee will evaluate the case on the basis of the following:
 - The research proposal.
 - Performance of the Interview over Skype.
 - If the candidate is found suitable, then the Research Department will issue an admission offer letter and allow him/ her to deposit the fee. A guide/supervisor will thereafter be allotted to the student.
 - After appointment of guide, the guide will decide either to start the course work or may suggest the student to join any module/ foundation course/ other program before allowing him/her to join the course work.

6) Duration of the Program

- Ph.D. program shall be for a minimum duration of three years, including course work and a maximum of six years.
- The women candidates and persons with disability (More than 40%) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women

candidate may be provided maternity leave/child care leave once in the entire duration of Ph.D. for up to 240 days.

- Extension beyond six years could be allowed only after approval of the Vice Chancellor, the extension could be for maximum one year and a fee 50% of the semester or year will be paid by the research student to avail the extension.

7) Ph.D. Entrance Test

There shall be one paper of three hours duration. Following will be the methodology

- The Entrance test shall require qualifying marks as 50%.
- The syllabus of the entrance test shall consist of 50% of research methodology and 50% shall be of subject specific.
- The Entrance Test shall be conducted at the Centre(s) notified in advance.
- Candidates qualifying as per the above guidelines will require undergoing an interview/viva-voce & check of documentation at a place notified by the University.
- Applicants shall be short listed on the basis of merit in the written test and viva and documentation check for the predetermined seats available in each department/Faculty for Ph.D. program of the University.

8) Research Scholar Category: Full Time Research Scholar

The following category of candidates shall be considered as Full Time Research Scholars:

- Self-Financed: This category of candidates will not get any financial support from the university.
- Study Leave: This category refers to candidates employed in any organization/institute and granted Study leave for a minimum period of three years for doing research work at the university.
- Sponsored Candidates: These candidates are sponsored by any organization for doing research work in the university. Candidates are expected to be released for full time research work at the university for a minimum period of three years.

- Fellowship Award: These candidates are financially supported under various government schemes (CSIR, UGC, DAE, DST, DBT, NBHM etc.) or by any other organization.
- Foreign Nationals: These students are admitted through Embassy of the respective government after getting approval from the Ministry of Human Resources Development, Department of Education, Govt. of India.

9) Part-Time Research Scholars

The following category of candidates shall be considered as Part-Time Research Scholars.

- This category includes the candidates employed in any organization/ /university/institute and desirous of pursuing Ph.D. program while in employment as external candidates. This category also includes College Teachers. These candidates shall be in contact to the Supervisor (internal) for interaction during weekends, holidays and vacations.

10) Course Work

- Each candidate including a part-time candidate after having being admitted, shall be required to undertake course work for a minimum period of first six months. The course work shall be treated as Pre-Ph.D. The credit assigned to the PhD course work shall be a minimum of 8 credits and maximum of 16 credits.
- In general, the answer books of course work shall be assessed by the Concerned Paper Setter. However, in case the Paper Setter is not available other competent faculty may be appointed by the Vice Chancellor on the recommendations of Research Department.
- The candidates shall be awarded grades in each course and their results will be provided in terms of SGPA as per University norms.
- Ph.D. Student will need to secure a minimum of 50% marks in each subject of Course Work.
- The aggregate percentage for passing the Course Work will be 55%, in uniformity with UGC Guidelines

- A candidate who fails to secure the minimum prescribed grade "C" in any of above courses and SGPA 5.5 on ten-point scales at the above examination shall be permitted to reappear at the next ensuing examination(s). He/she can apply for scrutiny as per the University norms and guidelines.
- Part-time research scholar will have to undertake the course work in the University, and appear for the examination.

11) Leave & Attendance

- In addition to the holidays declared by the University, a Ph.D. candidate may avail leave up to thirty days during an academic year.
- A Ph.D. candidate shall not be entitled to any inter-semester or winter breaks or summer vacations.
- Maternity/Paternity leave shall be admissible as per the University rules, only once during the entire tenure of a candidate for Ph.D.
- Attendance shall be recorded by concerned Supervisor and submitted to the office of the Research Department after each semester.

12) Registration

Following are the guidelines for registration in Ph.D. Program:

- The Research Advisory committee (RAC) after finalization of the topic will put the case to concerned DRC for presentation and approval of Synopsis within one year of enrolment.
- For the registration the candidate shall be required to present and defend a synopsis of his/her proposed research work before the DRC who may either approve or may ask the candidate to resubmit the synopsis based on the suggestions/modifications made by it. The DRC may allow not more than three attempts to a candidate for defending the synopsis of the proposed research work after that it may recommend for cancellation of admission of the candidate for Ph.D. program.
- Upon approval of the synopsis by the DRC, the application for registration will be submitted to Vice Chancellor for necessary approval after which the candidate will be

permitted to get himself/ herself registered as a candidate for Ph.D. Program by fulfilling conditions, if any, prescribed by the university for registration and to undertake research work and produce a draft thesis within the stipulated time limit.

- At the time of registration the candidate will submit photocopies of his following documents to the office of Dean Research:
 - Mark-sheet/ Certificate of X/XII
 - Mark-sheet/ Certificate of PG/ M.Phil.
 - TC from the last Institute attended
 - Migration Certificate from the concerned University.
- Every candidate registered for Ph.D. Program shall be duly enrolled, unless he has already been enrolled once in the University, as a research candidate of the University on payment of prescribed fee and required documents in original.
- She/he is required to register himself/herself (in person) on the scheduled date of registration. There shall not be any provision of deputing any representative by him/her for registration purposes. Further, she/he shall be required to register in all subsequent semesters till the submission of Ph.D. thesis.
- She/he shall deposit the requisite fee in the accounts section at the time of registration in every semester with six monthly progress reports.
- The act of non-depositing of fees and/or not-completing the registration process as mentioned above on the scheduled dates shall be treated as the 'Voluntary Discontinuation' of studies by the research scholar. In such case, she/he will cease to be a bonafide student with immediate effect. The above instructions for registration shall be applicable to all Research Scholars admitted in the institute.
- Candidate needs to produce Medical Fitness Certificate from a Government Hospital at the time of admission.

13) Cancellation of Registration

The Research Department may, on the recommendation of the Concern DRC, cancel the registration of a Ph.D. candidate on any one or more grounds of the following; namely, if:

- Two consecutive progress reports of the candidate are not satisfactory;

- A student abstains from the Program for a continuous period of four weeks without prior information in writing to his supervisor;
- The candidate fails to submit the thesis within the maximum period permitted;
- The candidate resigns from the Ph.D. Program and his supervisor(s) recommend(s) cancellation of registration;
- The candidate is found involved in an act of misconduct and/or indiscipline and the competent authority recommends his termination from the Program.

14) Re-registration

- A candidate whose registration has been cancelled on any ground other than misconduct/indiscipline case may apply for re-registration for the Ph.D. programme and the University may register him afresh as a candidate without requiring him to appear at the entrance test and without undergoing the course work.
- A candidate whose thesis has been rejected by the external examiners may be permitted to re-register himself/herself for Ph.D. degree on different topic to be approved and recommended by the concerned DRC through RAC.

15) Appointment of Supervisors

- The allocation of the supervisor for a selected applicant shall be decided by the concerned DRC only in a formal manner depending on the number of seats per supervisor, the available specialization among the supervisors, and the research interest of the applicant. The following persons shall be eligible to act as Research Supervisors:-
 - Any regular Professor of the University with at least five research publications in refereed journals.
 - Any regular Associate/Assistant Professor of the university with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

Note: Provided that in areas/disciplines where there is no or only a limited number of refereed journals. The Vice Chancellor may relax the above condition for the recognition of a person as a Research Supervisor with the reason recorded in writing.

- Co-Supervisor can be allowed in inter-disciplinary areas from outside the Department/ Faculty/ School/ University with the written approval of the Research Advisory Committee. Co supervisor can be allowed in interdisciplinary areas from the Department/ School / Faculty also, with the written approval of Research Advisory Committee.
- The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.
- A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars. Load may be counted as half in case of Co-Supervisor.
- In case of relocation of Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University 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.
- No Supervisor shall guide any of his close relatives as specified by the university.
- A new supervisor may be appointed by the Research Board on the recommendation of DRC in the event of death, or prolonged illness of the supervisor or if inability to guide is expressed by the supervisor on or after his superannuation or resignation from the services of the University.

Note: Any request for change of Supervisor(s) is highly discouraged and may only be considered under exceptional circumstances only within 18th Month of first registration. The request for change the Supervisor(s) may be submitted to Dean/HOD Research through concern DRC Convener with his/her recommendations on the basis of statements of concerned Supervisor(s) as well as Research Scholar.

16) Progress Report

- Till the submission of the thesis each candidate registered for the Ph.D. program shall submit periodically six monthly progress report in the prescribed format to the Supervisor(s)/RAC. The candidate shall be registered in the next semester only if the progress report for the previous semester has been received.
- The RAC shall evaluate the progress report of the Ph. D. candidate and submit the report to the Vice Chancellor through Research Department with a copy to the concerned candidate.
- If the candidate does not submit his/her progress report in particular semester then his/her minimum period for the award of degree shall be extended by six month.

17) Change of Research Topic

A candidate ordinarily shall not be permitted to change his research topic during the course of the research work once it has been approved by the RAC. However, if an occasion arises due to technical difficulties, the Vice Chancellor may, on the recommendation of the DRC, may permit any modification of the topic within a period of one year (and not thereafter) from the date of registration. The University may permit the candidate to submit his thesis after two years of such modification or change of topic.

18) Submission of Thesis

Candidates shall not be allowed to submit to the University the thesis produced by him for its evaluation unless he has:

- Published at least two research papers in refereed journals & two paper presents in seminar/conference mentioning the name of ICFAI University before the submission of the thesis and produces evidence for the same in the form of acceptance letter or the reprint.

Publication Norms and Specifications	PhD Students Admitted after 1st Aug. 2018 and Onwards
No of Research Papers (Minimum Requirement)	02
Specifications for Publications	<ul style="list-style-type: none"> • Minimum 01 Research Paper shall be published in a journal which is indexed in (a) Scopus or (b) Web of Science. (Paper published in conference procedia of Web of Science/Scopus shall not be accepted.) • The other paper (s) shall be published in a journal which is indexed in: <ul style="list-style-type: none"> ○ Scopus or ○ Web of Science or ○ UGC approved list of Journals.
No of Papers presentations in conferences/seminars (Minimum Requirement)	02
Interpretation and Web links	(a) Scopus- https://www.scopus.com/ (b) Web of Science Core Collection Arts & Humanities Citation Index® http://ip-science.thomsonreuters.com/mjl/publist_ah.pdf Science Citation Index Expanded™ http://ip-science.thomsonreuters.com/mjl/publist_sciex.pdf Social Sciences Citation Index® http://ip-science.thomsonreuters.com/mjl/publist_ssci.pdf (c) UGC approved list of Journals http://www.ugc.ac.in/journallist/

- A pre-Ph.D. presentation made before the DRC of his research work which would be attended by the teachers and research candidates.
- A certificate duly signed by the supervisor stating the suggestions (if any) given by the DRC have been incorporated in the draft thesis.

- The candidate shall be required to submit to the Controller of examination four printed copies of his thesis along with two soft copies of the same.

19) Policy for Plagiarism

- The PhD candidate need to submit one soft copy of the thesis to the office of Research for plagiarism check.
- The plagiarism limit of the thesis will be allowed up to 10%, as per the UGC notification (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018 (Dated: 23 July, 2018)
- The Thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting 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 of the same institute where work was carried out, or to any other institution.

20) Thesis Language Requirements

- The thesis shall be in English or as per the recommendation by the Research Advisory Committee and duly approved by the Concern DRC.
- The candidates shall also submit the following documents together with thesis:
 - A 'No Dues' certificate duly signed by the Head of the Department, Library, Finance Department, Hostel Warden, and Sports Officer, shall be submitted along with the thesis.
 - The thesis submission fees receipt.

21) Appointment of Examiners

- The supervisor shall prepare and suggest to the Vice Chancellor, before three months of the likely date of submission of the thesis by the student together with summary of thesis and, a panel of eight evaluators from outside the University not below the rank of Associate Professor or equivalent position in State/Central University/National Laboratories/ Research Centre established by ICAR/ICMR/CSIR etc. The panel of eight examiners may include minimum two evaluators from top National level

institutions like IIT/IIM/NIT etc. The panel shall also include not less than three names of experts from outside the state. If necessary, the Vice Chancellor may call for additional name(s) for the panel from the supervisor. The panel submitted should include relevant information of the evaluator like designation, field of expertise full postal and e-mail addresses, basic and cell phone number. The supervisor shall give a certificate to the effect that the names suggested in the panel are not close relatives either of the supervisor himself or of the candidate and they are experts in the area of thesis.

- The Vice-Chancellor shall appoint two external examiners, from the panel of eight examiners submitted by the supervisor, out of which one shall be from outside the state or even the country from out of the panel submitted as above.
- The University shall obtain the consent of the examiners so appointed by the Vice-Chancellor by sending the offer letters together with summary of the thesis.

22) Evaluation of Thesis

- The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the Institution/College, of whom one examiner may be from outside the country. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.
- The public viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. One of the evaluation reports of the external examiner in case of Ph.D. thesis is unsatisfactory and does not recommend viva-voce, the Institution shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also

unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

23) Viva Voce

- The Vice Chancellor shall, on receipt of satisfactory evaluation reports from the examiners will appoint an external examiner from out of the two external examiners who evaluated the thesis for conducting the viva-voce examination. However, if both the examiners are not available, the Vice Chancellor may, for reasons to be recorded in writing, appoint a new examiner from out of the existing panel; and a viva-voce committee consisting of the supervisor and external examiner.
- The Vice Chancellor/Registrar shall fix a suitable date for the viva-voce examination with the external examiner. The Dean Research shall, on the request of the Supervisor, notify the day, time, and place at least ten days in advance to all concerned.
- The Dean Research shall be responsible for the proper conduct of the viva-voce examination.
- At such viva-voce examination the candidate shall be required to openly defend his research work in presence of both the examiners, teachers, research candidates of the University who may be invited to witness and make queries, if any, strictly relating and relevant to the topic of research. The research department shall obtain signature of all the officers present at the time of viva-voce examination.
- The viva-voce examiners shall, at the very outset of the examination, will be informed about the comments and recommendations made by the examiners.
- The Viva-Voce committee shall submit a comprehensive report on the performance of the candidate on the viva-voce examination and recommend that:
 - The degree of Ph.D. be awarded; or
 - The candidate be re-examined at a second viva-voce to be conducted not before three months but not later than six months; or
 - The degree is not awarded as the thesis is rejected.

24) Award of Ph.D. Degrees

- The reports of the examiners (including those of the Viva-Voce committee) shall be placed before the Vice Chancellor for acceptance or rejection, as the case may be, of the thesis on behalf of the Board. The Vice Chancellor shall report the same to the Board through Academic Council for confirmation.
- The IUHP guidelines for Ph.D. program are in compliance with UGC guidelines of July 2016.
- These guidelines are subject to change depending on the amendment issued by the UGC for time to time.

25) Depository with INFLIBNET/Institutional Electronic Archive

- Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil./Ph.D. degree(s), the Institution concerned shall submit an electronic copy of the M.Phil. dissertation/Ph.D. thesis to the INFLIBNET/Institutional Electronic Archive, for hosting the same so as to make it accessible to all Institutions/Colleges.
- Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations.