

## **THE ICFAI UNIVERSITY, MIZORAM**

### **Ph.D. Program Regulations, 2025**



**The ICFAI University, Mizoram  
Durtlang North, Aizawl. Pin- 796025**

# Contents

<b>Sl.</b>	<b>Title</b>	<b>Page, No</b>
1.	Short Title, Application, and Commencement	3
2.	Right to Interpretation and Amendment	3
3.	Definitions	3
4.	Management, Coordination and Organizations	4
5	Categories 4	4
5.1	Full Time Research Scholars	4
5.2	Part Time Research Scholars	4
6.	Eligibility criteria for admission to the Ph.D. Program	5
7.	Duration of the Program	5
8.	Leave	6
9	Procedure for Admission	6
10.	Registration and Monitoring	7
11.	Ph.D. Supervisor (s) /Co-Supervisor	7
12.	Financial Assistance	8
13.	Ph.D. Program Structure	8-9
13.1	Phase I: Course Work	
13.2	Phase II: Preparation and Defense of Thesis Proposal	9
13.3	Phase III: Thesis Preparation, Pre-Ph.D. Seminar and Thesis Submission	10-11
14.	Ph.D. Thesis Evaluation	11
14.1	Appointment of the Examiners	11
14.2	Examiner's Report on the Thesis	12
14.3	Ph.D. Viva-Voce Defense and Final Submission of Thesis	12
14.4	Final Grade and Award of Ph.D. Degree	13
15.	Confidentiality and Copyright of Thesis	13
16.	Depository with INFLIBNET/Institutional Electronic Archive	13
17.	Cancellation of Registration	13-14
18	Transfer of Ph.D. Student	14
19	Residency Period	14
20.	Composition of RAC and its Functions	14-15
21	Composition of FRC and Its Functions	15
22.	Composition of URC and Its Functions	15
23.	Residual Conditions	16

## The ICFAI University, Mizoram

### **The ICFAI University, Mizoram Ph.D. Program Regulations,2025**

#### **1 Short Title, Application, and Commencement**

**1.1** These guidelines may be called The ICFAI UNIVERSITY, Mizoram Ph.D. Program Regulations 2025.

**1.2** They shall apply to the Ph.D. Program offered by the departments of ICFAI University Mizoram.

**1.3** They shall come into force from the date of approval by the Governing Body.

**1.4** The guidelines under this regulation are prepared based on the UGC (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022.

#### **2 Right to Interpretation and Amendment:**

**2.1** The Academic Council of ICFAI University Mizoram with due approval of the board of management shall have the right to interpret and amend these regulations. The regulation is in align with the UGC Minimum Standard and Procedures for award of Ph.D. Degree Regulations, 2022.

#### **3 Definitions:**

- **IUM** means the ICFAI University, Mizoram established under Section 4(2) of the Institute of Chartered Financial Analysts of India University, Mizoram Act 2006 passed by the Legislative Assembly of Mizoram. It is sponsored by The ICFAI Society, a not-for-profit educational society established in 1984. The University has been notified under Notification No. B.12012/2/2006-EDC, Dated 19-10-2006. IUM is empowered by the University Grants Commission (UGC) to award degrees under Section 22 of the UGC Act 1956.
- **Doctor of Philosophy (Ph.D.):** "Doctor of Philosophy (Ph.D.)" denotes that the degree holder has successfully completed the required course curriculum and conducted a significant amount of original research, which has been carried out and reported by the holder under proper academic supervision and in a research environment for a predetermined amount of time.
- **Research:** The term "research" refers to a methodical study or inquiry that aims to provide new information in the form of facts or patterns, fresh interpretations of concepts, or the development of novel technologies.
- **Research Head:** Research Head shall be appointed by the Vice Chancellor to administer faculty and scholars engaged in research. He/She shall also act as a point of contact for research related matters and shall also be the Member Secretary of the URC by post/designation.
- **Supervisor:** "Supervisor" means a regular faculty member of ICFAI University Mizoram who meets the UGC basic qualifications to supervise the research work carried out by the student/candidate for Ph.D.
- **Co-supervisor:** "Co-supervisor" refers to a person authorized by IUM to oversee a student's research project alongside a designated IUM Supervisor. He/ She may or may not be a member of the IUM faculty.
- **Scholar or Candidate:** 'Scholar' or 'Candidate' means a post-graduate student who is admitted and enrolled into the Ph.D. program of IUM through the standard procedures adopted by the University. The candidate admitted by the University may be either under Full Time mode or Part Time mode for pursuing Doctoral Program for the award of Ph.D. degree.

- **Course Work:** ‘Course Work’ means courses of study prescribed by the University to be completed by a Scholar/Candidate that will qualify him or her to proceed to writing of a thesis.
- **External Examiner:** ‘External Examiner’ refers to the subject expert appointed by the University who shall be involved to evaluate and examine the Ph.D. research proposal or thesis of the candidate
- **Date of Registration:** The date of admission may be accepted as the ‘date of registration’ in the Ph.D. program of the university on the recommendation of the University Research Committee (URC). Chairman of Academic Council can accord the approval for such registration, while the same should be ratified by the Academic Council.
- **Academic Council (AC):** Shall mean the academic council constituted under the provision of The ICFAI University Mizoram Act, 2006

## **4 Management, Coordination and Organization**

**4.1** The University Research Committee (URC) shall coordinate and exercise general supervision over the execution of the Ph.D. Programs offered by the University.

## **5 Categories**

Two types of candidates are admitted to the Doctoral Program:

**5.1 Full Time Research Scholars:** Candidates interested in a career in teaching and/ or research may be admitted as full-time (FT) research scholars. The full-time Students would have to work on full time basis in the Campus.

**5.2 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 (PT) research scholars. They may work from their respective workplace but would have to attend contact sessions conducted by the University. Faculty Members working in Higher Educational Institutions who do not have Ph.D. Degree are encouraged to pursue part time Ph.D. For admission to part time program the candidates have to submit “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 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.

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 Research Advisory Committee (RAC) and the change recommended to the University Research Committee (URC) through the respective Chairman of the Faculty Research Committee (FRC). The University Research Committee (URC) after due approval from the Vice-Chancellor will issue a letter regarding the change of category to the scholar with information to all the concerns.

## **6 Eligibility criteria for admission to the Ph.D. Program**

The following are eligible to seek admission to the Ph. D. Program of all the Faculties of IUM.

**6.1.** A 1-year/2-semester master’s degree program in a relevant discipline after a 4-year/8-semester bachelor’s degree program, **or**  
 a 2-year/4-semester master’s degree program in relevant discipline after a 4-year bachelor’s degree program, **or**

a 2-year/4-semester master's degree program in relevant discipline after a 3-year bachelor's degree program or qualifications declared equivalent to the master's degree in a relevant discipline 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 4-year/8-semester bachelor's degree program in relevant discipline with a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

**OR**

An MPhil. 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).

**6.2** Candidates in the final year of their Master's Program who expect to complete all their qualifying Degree requirements before a specified date indicated by the IUM can apply for admissions. For shortlisting purposes, their performance till the preceding semesters/years would be considered but their admission would be provisional, subject to their meeting the minimum eligibility criteria after their final qualifying results are announced.

For any other national or international Degree, the scale will be interpolated accordingly. An Equivalence Committee will be constituted by the Vice-Chancellor to consider applications other than covered under above Clause (**6.1 and 6.2**). The University Research Committee (URC), constituted by the Vice-Chancellor may fix higher criteria at the time of the shortlisting keeping in view the number of candidates, and minimum background to cope with the program.

## **7 Duration of the Program**

**7.1** Ph.D. Program 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. program.

**7.2** 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 Head but not beyond two (2) years. One-time extension can be of maximum six (6) months only.

**7.3** Women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years (i.e. four semesters) for the Ph.D. Program, however, the total period for completion of the Program in such cases should not exceed ten (10) years from the date of admission in the Ph.D. program.

**7.4** Upon approval of the extension from the concerned authority, a candidate has to pay the semester fee for which the extension period is granted.

## **8 Leave**

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

**8.1** Maximum leave for full time scholars will be 30 days in an academic year. 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 Research Head as per rules.

- 8.2 One semester break may be provided (with prior request and approval, for valid reason) once in the entire duration of Ph.D. keeping the maximum duration of Ph.D. program counted.
- 8.3 Women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days once in the entire duration of Ph.D.
- 8.4 For student exchanges, provided that they contribute significantly to the completion of the thesis, leave of absence may be granted from the second year onwards on the recommendation of supervisor (s) and Dean/HoD followed by the approval of Research Head and the Vice- Chancellor of IUM.

## **9 Procedure for Admission**

- 9.1 Applications for admission to the Ph.D. program shall be invited through an open advertisement. The admissions shall be based on the criteria (including qualifying marks, entrance exam pattern, syllabus, mode of exam, no. of seats, etc.) notified at least once in each academic calendar by IUM with the due approval from URC.
- 9.2 The University Research Committee (URC) shall execute and oversee the entire admission process.
- 9.3 M.Phil. Degree holders with 55% marks or JRF/NET/GATE/ State Eligibility Test (SET) qualified candidates may be exempted from the entrance test,
  - or

Candidates may be admitted through Entrance Test, the syllabus shall consist of 50% of research methodology, and 50% shall be subject specific.

Candidates who have scored 50% marks in the entrance test are eligible to be called for the interview.
- 9.4 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.
- 9.5 Provided that for the selection of candidates based on the entrance test conducted by the IUM, a weightage of 70% for the entrance test and 30% for the performance in the interview shall be given.
- 9.6 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.
- 9.7 Based on the performance of the candidates in the Academics, Entrance Test and Interview (or only interview in case of exempted from entrance test), URC will shortlist the candidates and recommend them to the Vice-Chancellor for the admissions into the Ph.D. program. After the approval from the Vice-Chancellor, final list of selected candidates should be notified on IUM website.

## **10 Registration and Monitoring**

After paying the admission fee and others, if any, the Research Head shall approve the registration of the candidate. The list of the registered candidates will be conveyed to the Dean/HoD of the respective Faculty/Department.

**10.1** 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 deposit, semester fee, and others, if any).

**10.2** A scholar will be required to pay semester fees and others, if any, by the specified date till the submission of his/her thesis.

**10.3** If a registered scholar does not show any progress for a year, then he/she will be considered as a non-performing research scholar and his /her registration from Ph.D. program may be cancelled with due approval of the URC on the recommendation of the RAC and FRC.

**10.4** Towards the end of each semester, the Ph.D. candidate has to give a progress report in person before the RAC, and also submit the progress report in a prescribed form duly signed by the Supervisor to the URC.

## **11. Ph.D. Supervisor(s) /Co-Supervisor(s)**

**11.1** The Supervisors shall be regular/permanent faculty members working as Professors/Associate Professors with an earned Ph.D. degree, and at least five (5) research publications in peer reviewed or refereed journals; and regular/permanent faculty members working as Assistant Professors with an earned Ph.D. degree, and at least three (3) research publications in peer reviewed or refereed journals. Provided, the university may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

**11.2** External Supervisors are not allowed. However, in case of research topics which are interdisciplinary 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.

**11.3** At any given time, a Professor shall not have more than 08, an Associate Professor not more than 06 and an Assistant Professor not more than 04 Ph.D. candidates registered under him/her.

**11.4** The allocation of Supervisor for a selected research scholar shall be in consultation with 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.

**11.5** Supervisor will be allotted to each student by the concerned departments within the first semester and the supervisor will be the convener of the Research Advisory Committee (RAC).

**11.6** Co-Supervisors from within the same department or other departments of IUM or other institutions may be permitted with the approval of URC.

**11.7** *In case of relocation of a female Ph.D. 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 sanctioned to the IUM/ Supervisor by any funding agency. The Scholar shall however give due credit to the parent Supervisor and the institution for the part of research already undertaken.*

**11.8** In case the Supervisor proceeds on leave for twelve months or more, resigns or expires, the URC shall appoint a new Supervisor. The URC may allow the Supervisor to act as a Co- Supervisor in case of resignation, given that the resigned Supervisor admits, in writing, to guide the scholar with commitment and give the parent institution credit where it is due.

**11.9** In case of dispute/controversy, URC shall have the power to change Supervisor of any scholar or arrange for joint supervision, if it deems fit.

**11.10** On the basis of sufficient and valid grounds, a doctoral student may apply to the Chairperson of URC for changing his/her Supervisor, Co-supervisor, or both. On the basis of the application URC may consider the change.

**11.11** URC with the approval of the Vice-Chancellor may appoint more than one Supervisor/Co-Supervisor but not exceeding a total of three to guide a candidate.

**11.12** *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.*

**11.13** Competent faculty members outside ICFAI University Mizoram, eligible as per the UGC and AICTE Regulations, who will be co supervisors for Ph.D scholars may submit their willingness addressed to the ICFAI University Mizoram Doctoral Research Committee.

## **12 Financial Assistance:**

The URC may devise financial assistance plan for full time scholars based on the following:

**12.1 Teaching Assistantship:** Ph.D. scholars may be assigned 4-6 hours per week of teaching assistantship and shall assist the faculties of various courses for the smooth running of the course.

**12.2 Research Assistantship:** Ph.D. scholars may assist the faculty members in various research projects and they may also be assigned limited academic duties.

**12.3** A scholar shall have to apply through the chairperson of RAC expressing his/her willingness to assist the University in the academic and research activities.

**12.4** The assistantship may be terminated or reduced if the candidate's performance in his/her assigned duties is not satisfactory.

**12.5** The RAC, in presence of the Head of department would be responsible to send the list of scholars eligible to take part in teaching/research assistantship to the URC for their approval.

## **13 Ph.D. Program Structure**

After a candidate 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 (Synopsis), and Thesis Work including Pre- Ph.D. Seminar and Thesis Submission.

### **13.1 Phase I: Course Work**

The objective of the coursework is to equip the scholars with the latest developments in the relevant disciplines including the tools of research and latest software. In the first year, a scholar takes two courses of 04 credits each and two courses of 02 credits, spread across one semester as mentioned in Table 1.

**Table 1: Course Work Structure**

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

Attendance, examinations, evaluation scheme, grade sheet for the Course Work shall be done according to the procedure adopted by IUM in line with the latest UGC regulations. A Ph.D. Scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale to be eligible to continue the Ph.D. Program. The minimum attendance requirement for completing course work shall be of 75%, however, the IUM, with due recommendation from the URC may devise a mechanism for part-time Ph.D. candidates to schedule the course work classes in the flexible mode as per the requirements.

### **13.2 Phase II: Preparation and Defense of Research Proposal**

**13.2.1** After the successful completion of the Course work, the scholar would work for preparation of the research proposal.

**13.2.2** The scholar would prepare the Research Proposal under the guidance of his/her RAC. The scholar is required to submit the first draft of the proposal for review within two semesters after completion of course work. If a scholar fails to submit the first draft within stipulated period of time without any valid reasons of delay, his/her registration may be cancelled.

**13.2.3** To ensure that all the relevant aspects of a Ph.D. Research Proposal are covered, scholars 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.

**13.2.4** After satisfying itself, RAC will schedule a Research Proposal seminar which will be delivered by the Ph.D. candidate to the RAC.

**13.2.5** If the Research Proposal is approved by the RAC, the synopsis (3 copies) must be submitted in the prescribed proforma which includes recommendations from the RAC, FRC, and URC.

**13.2.6 Modification of Thesis Title:** If a scholar wishes to modify the title of his/her thesis, an application must be duly sent to the RAC, at least **4 (four) months** before the date of submission of thesis for approval. If the RAC approves, an application must be further submitted in the prescribed form.

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

In the third year onwards, the scholar is expected to complete his/her Ph.D. thesis work and submit the thesis for evaluation after completion of three years from the date of admission.

**13.3.1** Any change in the approved title of the thesis can be made only with the prior approval of the URC.

**13.3.2** Ph.D. Supervisor has to verify, confirm and certify that the thesis data collected by his/her student is genuine.

**13.3.3** The RAC will forward the proforma for Pre-Ph.D. Submission Seminar to the URC along with the recommended name and resume of the 03 external examiners (from aligned discipline/department, to be appointed within the University).

**13.3.4** URC after screening the panel of examiners will schedule the Ph.D. Scholar's pre-submission presentation before the Research Advisory Committee (RAC) 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) /RAC.

**13.3.5** The screening committee (specifically the URC) would check the quality of the Ph.D. thesis of the scholar. 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 the thesis for the examiner's evaluation or may suggest to revise the thesis as per the comments received during the pre-Ph.D. presentation, and by members of the URC.

**13.3.6** The format of the thesis should be as follows:

- \* Thesis Title page (outer cover)
- \* Thesis Title page (inner cover)
- \* Certificate from the Supervisor
- \* Declaration from the Candidate
- \* Acknowledgements
- \* Table of contents
- \* List of tables/figures, if any \* Abbreviations, if any \* Chapters 1, 2, 3, 4, etc.
- \* References/Bibliography
- \* Appendices
- \* Bio-data/Particulars of the Candidate
- \* Proof of Publication & Seminar Paper Presentation
- \* Certificate of PLAGIARISM CHECK

**13.3.7** Four **spiral bound** copies of the thesis, and abstract written in English unless otherwise approved by the URC (each bearing original signature of the candidate and the Supervisor/Co-Supervisor), incorporating the same title as approved by the URC along with duly completed Ph.D. thesis submission form should be submitted to the office of the Controller of Examinations. 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.

**13.3.8** Plagiarism percentage should be in accordance to the plagiarism policy of the UGC and IUM. 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 the Supervisor (or Co-Supervisor) suspects plagiarism, he or she may ask for an investigation.

**13.3.9** While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the 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. URC will inspect plagiarism and other forms of academic dishonesty of submitted thesis. The thesis may be cancelled in case of proved plagiarism and that he/she would be liable for disciplinary action as per the norms of the IUM.

**13.3.10** Each Ph.D. scholar is recommended to publish at least two research papers in ABDC/SCOPUS/peer reviewed/refereed Journals in his/her chosen area before submission of the thesis for adjudication, and produce evidence for the same in the form of acceptance letter or the reprint. To maintain the quality of publications, URC may blacklist any journal which marginalizes quality at a point of time. Publications in such journals will not fulfill the prerequisite for publication. Additionally, student shall present at least two research papers based on the thesis work at a conference/seminar, and produce evidence of the same.

## **14 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 the academic standards set worldwide. The guidelines given below are with this intent:

### **14.1 Appointment of the Examiners**

The Supervisor will submit a list of proposed examiners to the URC through the FRC to be approved and submitted to the Controller of Examinations. Names and addresses along with the curriculum vitae of at least six eminent persons in the concerned field of research, should be proposed in the list. The Vice-Chancellor 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 panel of examiners shall be eminent Scholars (Professors or equivalent, Associate Professor in special circumstances only but not more than two Associate Professors or equivalent among six proposed examiners) and specialists in the area of the thesis, normally not more than one from the same Department of a particular University/Institute. The examiners may be from India or abroad. Vice-Chancellor may ask the Supervisor or the Research Head to submit more names in the panel of proposed examiners if he so desires.

The Examination department may send all communication to the examiners viz. request for consent, sending of Ph.D. thesis for evaluation and receive report/s electronically through e-mail/online portal.

## **14.2 Examiner's Report on the Thesis:**

**14.2.1** Each examiner shall be requested to send a detailed evaluation report and his/her recommendations on the prescribed proforma within six months of the date of receiving the thesis.

**14.2.2** 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.

**14.2.3** 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.

**14.2.4** If one of the experts 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 defence will be conducted.

**14.2.5** If two reports recommend rejection, the thesis shall be rejected.

**14.2.6** 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.

**14.2.7** The examiner's reports shall be forwarded to the Supervisor(s) who will inform the candidate eligible for viva-voce defence only those comments and queries in the reports which require explanation and answers without disclosing the identities of the examiner.

## **14.3 Ph.D. Viva-Voce Defence and Final Submission of Thesis**

**14.3.1** If the thesis is recommended for the award of Degree, the candidate shall be required to defend his work/thesis orally (viva-voce defence) before a duly constituted committee by Vice-Chancellor. The composition of viva-voce defence committee should include the Supervisor and at least one external examiner. The date and time of the viva-voce shall be duly notified by URC to enable the interested faculty members, staff members and the students to attend it.

**14.3.2** In the viva-voce defence, 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 defence committee and, with permission of chairperson, questions asked by others who are present.

**14.3.3** Two (2) **hard bound** copies of the PhD thesis must be submitted, along with a soft copy on **CD/ pendrive**, to the office of the Controller of Examinations within one month after the successful completion of the Viva Voce.

**14.3.4** The thesis should be complete in all form. (see 13.3.6)

**14.3.5** Copies of Fees Clearance and Library Clearance should also be submitted to the examination department during the final submission of the thesis.

#### **14.4 Final Grade and Award of Ph.D. Degree**

**14.4.1** The recommendations of the viva-voce defence committee shall be submitted to URC through the FRC by the RAC for final decision, which shall be reported to the examination department and the Academic Council.

**14.4.2** Upon successful completion of viva-voce defence, URC shall issue a Course Completion Certificate (CCC), duly signed by the Chairman (Vice-Chancellor) and the Controller of Examinations, certifying that the candidate has successfully completed all the requirement for the award of the Degree.

**14.4.3** After approval of Degree from URC and the academic council of the University, the office of the Controller of Examinations will notify the award of the Degree. However, Ph.D. Degree should be awarded to the candidate in the forthcoming convocation of IUM after the approval of Vice-Chancellor.

**14.4.4** Award of Degrees to candidates registered for the Ph.D. Program shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations 2022, and the subsequent amendments thereafter.

**14.4.5** In the case of research scholars who have copied or plagiarised as confirmed by a committee, his/her Ph.D. thesis shall be rejected and his/her research registration shall be terminated and also, he/she shall be debarred from registering for any other program in the ICFAI University, Mizoram. Research scholar will submit a declaration vouching that there is no plagiarism as stipulated in the plagiarism rules as specified by the UGC and that the work has not been submitted for the award of any other degree/diploma of any University.

**14.4.6** Prior to the actual award of the degree in convocation, the University may issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2022.

#### **15 Confidentiality and Copyright of Thesis**

Upon submission, the candidate must transfer all the copyright to the ICFAI University, Mizoram. The thesis must be accompanied by the prescribed Copyright Transfer Certificate. For valid reasons the candidate and the Supervisor may wish to impose restrictions on the use of confidential material of research findings. In that case applications should be made by the candidate to the CoE through his/her Supervisor to place the thesis on restricted access in the print and digital library. If the author of the thesis (the Ph.D. candidate) and the Supervisor(s) wish to publish the matter in the form of a book, the author and the Supervisor shall have to obtain formal clearance from the University.

#### **16 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), The examination department 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.

#### **17 Cancellation of Registration**

Registration of a candidate shall be cancelled on the recommendation of RAC/FRC/URC and due approval of the Vice-Chancellor, in any one of the following cases:

**17.1** If the academic progress of a scholar is found unsatisfactory in two consecutive monitoring reports from RAC.

**17.2** If he/she absents himself/herself for a continuous period of six weeks without sanction of leave, in the case of full time scholars.

**17.3** If he/she withdraws from the Ph.D. program and his request is duly forwarded by the office of the RAC.

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

**17.5** Any proven indiscipline.

## **18 Transfer of Ph.D. Student**

In case of relocation of Ph.D. scholar, request from the candidate will be considered by URC and after due approval from Vice-Chancellor, transfer may be allowed. In such a 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.

## **19 Residency Period**

**19.1** A full-time Ph.D. candidate is expected to devote his/her time in the University during the entire period of study. However, this period in exceptional circumstances, can be reduced by the URC on the recommendations of RAC.

**19.2** The minimum residency period for part-time Ph.D. candidates after successful completion of the course work shall be of 30 working days in a year, and participation in academic seminars/workshops/conferences as may be decided by the URC.

**19.3** Part time Ph.D. scholars must also produce a written report from the Supervisor stating that there has been continual correspondence and that the scholar is adequately informed about the latest theories and methods in his/her area of research. The report may be submitted to the RAC as stipulated by the URC from time to time.

## **20 Composition of RAC and Its Functions**

The Research Advisory Committee (RAC) shall comprise of Supervisor(s) and two other faculty members in the related field (nominated by the supervisor). A faculty member from a different department of IUM may also be a member. Supervisor will be the chairman of RAC. Each member of RAC must possess an earned Ph.D. Degree.

The RAC shall have the following responsibilities: (vide UGC Reg. Ph.D. Degree, 2022; clause 10)

**20.1** *To review the research proposal and finalize the topic of research.*

**20.2** *To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.*

**20.3** *To periodically review and assist in the progress of the research work of the Ph. D. scholar.*

**20.4** *A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports shall be submitted by the Research Advisory Committee to the University Research Committee (URC) with a copy to the research scholar.*

**20.5** *In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research*

*scholar fails to implement these corrective measures, the Research Advisory Committee may recommend the cancellation of registration from the program and submit its recommendation to the URC for discussion and approval.*

## **21 Composition of FRC and Its Functions**

**21.1** The Faculty Research Committee (FRC) shall comprise the supervisor(s), the concerned Dean/HoD, and two other faculty members in the related field (nominated by the Dean/HoD of the concerned department).

**21.2** A faculty member from a different department of IUM may also be a member.

**21.3** The Dean/HoD of the concerned department will be the chairman of FRC. Each member of FRC must possess an earned Ph.D. Degree.

**21.4** FRC shall perform the following functions:

- Ascertain the availability of existing facilities required for the proposed research.
- Make decision on the recommendation of RAC and forward the same to URC.
- Periodically monitor the performance of the work of the candidate and provide advice to candidate, wherever necessary.

## **22 Composition of URC and Its Functions**

**22.1** The University Research Committee (URC) shall comprise of the following members:

- i) the Vice-Chancellor or his/her nominee as the Chairperson ii) Dean of Schools iii) Head of all Departments iv) Registrar iv) two external members (outside campus) from industry/academics v) Academic Coordinator vi) Research Head as Member Secretary
- (ii) Subject to the general guidance of the Academic Council (AC), University Research Committee (URC) 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.
- (iii) The URC shall discuss and formulate Rules and Regulations for Doctoral Degree and suggest amendments for the Ph.D. rules and regulations over time and consider the recommendation from RAC regarding doctoral policies iii) It shall examine the research proposal of the candidates duly recommended by the RAC. Depending on the merit and suitability of the research plan, URC may approve or reject or ask the candidate to modify/rephrase the research objectives, title of research etc.
- iv) The URC shall examine the qualifications and experience of the proposed supervisor(s) and make recommendation regarding his/her/their suitability to guide the research work.
- v) The progress report of the research scholars duly forwarded by RAC shall be examined and approved by the URC from time to time.
- vi) The URC of IUM will meet at least twice in each academic session at regular intervals. 50% attendance of the members of URC shall form the quorum for the meeting vii) The minutes of the URC shall be placed in the meeting of the Academic Council for ratification and approval.

## **23 Residual Conditions**

- 23.1** 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, spouse's brother/sister, brother's son/daughter, sister's son/daughter, first cousin, grandson, granddaughter.
- 23.2** 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.
- 23.3** 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 the opinion of the Research Head and Deans/HoDs. The decision of the Vice-Chancellor shall be final.

(Prof. GINLIANLAL BUHRIL)  
Vice-Chancellor  
(Chairman, University Research Committee, IUM)