

DOCTOR OF PHILOSOPHY ORDINANCE



IIITUPHDORD01

INDIAN INSTITUTE OF INFORMATION TECHNOLOGY UNA

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Doctor of Philosophy (PhD) Ordinances

1. A candidate with a Post Graduate degree from recognized institute or university in the discipline as prescribed in the regulations of the Senate of Indian Institute of Information Technology (IIIT), Una is eligible to apply for the Doctor of Philosophy (PhD) program of this institute.
2. The award of the PhD degree shall be in accordance with the regulations of the Senate of IIIT, Una.

PhD Regulations

2.1 PhD Program

PhD degree is awarded in the following faculties:

1. Faculty of Engineering and Technology
 - School of Computing
 - School of Electronics
2. Faculty of Science and Humanities
 - School of Basic Sciences

2.2 Categories of Admission

The admission to PhD program shall be in any one of the following categories.

2.2.1 Full Time

A candidate supported by any one of the following shall register under Full Time category:

1. Ministry of Human Resource Development (MHRD) assistantship.
2. Govt. or Semi Govt. agencies, such as Quality Improvement Program (QIP), Council of Scientific and Industrial Research (CSIR), University Grants Commission (UGC), Department of Atomic Energy (DAE), Department of Science and Technology (DST), Department of Bio-Technology (DBT), National Board for Higher Mathematics (NBHM), Joint Entrance Screening Test (JEST), Indian Council for Cultural Relations (ICCR), etc.

3. Self or sponsored by the employer.
4. Working in a project.*

2.2.2 FT-ERP

Candidate sponsored by and employed in Organisation/ Institution (both public and private), national laboratories, reputed universities/colleges having Research and development (R&D) facilities and recognized by DST, UGC or IIT, Una is eligible under this category.

Note: A research scholar under the external registration program will normally carry out part or all of the research work in the industry/organization/national laboratories/universities employing the scholar under the supervision of a co-guide also employed in the same organization and a guide at IIT, Una.

2.2.3 Part Time

A candidate employed in a reputed University/Institution/Organisation is eligible under this category.

A research scholar under this category will carry out major part or all of the research work at IIT, Una under the supervision of supervisor(s) at IIT, Una. The feasibility of doing this with sufficient intensity will be an important consideration in admitting the scholar in this category.

2.2.4 Part Time Internal

The Institute's staff members (working in permanent/contractual, including teaching, technical, and non-technical) may be permitted to join the PhD program under this category.

Note: Regulations of all these categories of PhD program are common, unless stated otherwise.

*A research scholar working in a research project will be eligible under full time, provided the research for PhD is related to the project as certified by the supervisor who is associated with the project and approved by the Senate. A research scholar working in an implementation project will be eligible under part time for PhD but may be given full time status after the project tenure is completed.

2.3 Eligibility

The minimum educational qualifications for admission to the PhD program of the Institute are as follows:

2.3.1 Full Time

1. PhD in Engineering/Technology under Faculty of Engineering and Technology

Candidates with a Master's degree in Engineering/Technology with a good academic record or a Master's degree by Research in Engineering/ Technology in relevant discipline, with a valid/qualified Graduate Aptitude Test in Engineering (GATE) score in addition to good and consistent academic record.

or

B. Tech. / B.E. degree of any recognized University/Institute in India with a minimum CGPA of 8.0 on a 10.0 point scale or equivalent with valid GATE score in addition to exceptional academic record and within top three ranks of the University/Institute. GATE may be exempted for a candidate with bachelor's degree from Centrally Funded Technical Institute (CFTI)/ Government Funded Technical Institute (GFTI) with minimum CGPA of 8.0 and exceptional academic record.

2. PhD in Sciences under Faculty of Science and Humanities

Master's degree in Sciences/Master's degree in a relevant discipline with a good and consistent academic record. National level tests such as GATE or NET is mandatory for admission in this category.

2.3.2 FT-ERP

In addition to the eligibility criteria given in Section [2.3.1](#), the following is also applicable in this category:

1. National level examinations such as GATE etc. is not mandatory for admission. However, the institute may conduct its own entrance test.

2. The candidate should have completed full time employment of 2 years of service as on the last date for application (of the year of admission into the program) for session of admission.
3. Organisation/Institution must have at least 5 years of its existence for sponsoring candidates to this category. Only persons engaged in R&D work in Technical / Scientific Institutions/ Industries or R&D Establishments are eligible. The organization should have adequate facilities for carrying out research. All CFTI and GFTI may be considered irrespective of their years of existence.
4. Unconditional sponsorship or “No Objection Certificate (NOC)” by the employer is essential and a must at the time of joining.
5. The Institute will not have any financial liability for such candidates throughout the tenure of PhD (in terms of sponsoring for conferences, etc.).

2.3.3 Part Time

In addition to the eligibility criteria given in Section [2.3.1](#), the following is applicable in this category:

1. National level examinations such as GATE etc. is not mandatory for admission. However, the Institute may conduct it's own entrance test.
2. The candidate should have a minimum experience of two years after B.Tech./M.Tech/M.Sc./M.A. or equivalent as on the last date for application for the session of admission.
3. The candidate is required to submit a NOC from the employer clearly stating the following:
 - (a) The candidate is permitted to pursue studies on a part-time basis.
 - (b) The candidate's official duties permit to devote sufficient time for research.
 - (c) Facilities for research in the candidate's field of research in the area in which admission is sought are available at the candidate's place of work.
 - (d) The candidate will be fully relieved from duty and permitted to reside at the Institute for the minimum residential requirement of the program.

4. If the candidate after joining PhD program changes the organization, the candidate should get NOC from the new employer as well.

2.3.4 Part Time Internal

In addition to the eligibility criteria given in Section 2.3.1, the following is also applicable in this category:

1. National level examination such as GATE etc. is not mandatory for admission. However, the Institute may conduct it's own entrance test.
2. A staff member should forward the application for PhD program through proper channel only.
3. A staff member should have a minimum of one year work experience with IIIT, Una at the time of application for PhD program under this category.

2.4 Selection Procedure

Eligible candidates possessing the minimum educational qualifications and satisfying additional criteria set by the school from time to time, will be called for a test and/or an interview by the Selection Committees of the respective schools.

Based on the academic record and the performance of the candidates in the test and/or interview, the Selection Committee of the school will recommend to the Director the names of candidates found suitable for admission to the PhD program.

2.5 Admission

1. A candidate whose selection is approved by the Director will be admitted to the PhD program.
2. A candidate is not eligible for re-registration for PhD after cancellation of earlier registration for any reason.

2.6 Reservation for Admission

Reservation will be applicable as per Government of India (GOI) rules.

2.7 Choice of Guide

1. Institute publishes the list of eligible guides.
2. Allotment of a guide to research scholars will be made by the Director of the Institute taking into consideration the preferences given by research scholars and the eligible guides.
3. A co-guide may be allocated to a research scholar, based on the recommendation of DC.
4. Guide from outside the Institute can be allowed with the approval of the Senate on a case to case basis only.

2.8 Eligibility for a Guide

The following faculty members are eligible to be a guide for a PhD scholar:

1. All faculty members with PhD degree and approved by the Senate of the Institute.
2. Faculty members with PhD degree of other recognized institutes/universities approved by the Senate of the Institute.
3. Employees with PhD degree, in service of recognized organization approved by the Senate of the Institute.
4. A guide can express willingness to guide up to 3 years prior to retirement.
5. A retired faculty member shall continue to be the guide provided, the faculty member has guided the research scholar for at least 3 years, prior to retirement and after retirement, the co-guide, if any, shall be designated as coordinator of the Doctoral Committee (DC), otherwise, one faculty member shall be designated as coordinator of the DC. The coordinator of the DC is responsible for conduct of meetings till the research scholar completes the Phd program.

2.9 Change of Guide

2.9.1 Request for Change of Guide by Research Scholar

The request for change of guide by the research scholar may not be accepted for trivial reasons but may be admitted under the genuine reasons and shall be approved by the Senate on the recommendation of DC.

2.9.2 Guide Proceeding on Long Leave

The guide has to ensure that the work of research scholar is not hampered during the leave period and it is the responsibility of the guide to arrange for co-guide/coordinator of DC, as applicable, to the research scholar before proceeding on any kind of long leave.

2.9.3 Voluntary Retirement or Change of Job

The clause 2.8 (e) applicable for retired faculty shall be applicable.

2.9.4 Expiry of Guide

The DC will take the necessary steps to ensure the smooth progress of research scholar's work.

2.10 Doctoral Committee

The following will be the composition of the DC:

- A Professor of the Institute recommended by the Guide: **Chairperson**
- The Guide: **Member**
- Two faculty members recommended by the Guide out of which at least one should be from the same school where the research scholar is registered. **Member**
- One faculty member of allied Institutions nominated by the Guide. **Member**

2.11 Date of Registration

The date on which the research scholar reports for the admission and shall be applicable for all activities based on time.

2.12 Course Work

1. The DC prescribes courses, a minimum of 12 credits and 36 credits for the research scholar having Master Degree and Bachelor degree respectively. The prescribed courses shall be of postgraduate level courses of the Institute. A research scholar with Master's degree should complete the course work within one year from the date of registration. However, a research scholar with Bachelor's degree should complete the course work not later than one and half years from the date of registration.
2. The DC may allow transfer of credit for courses already undergone by a research scholar in the Institute or other institutions, provided they are the same or equivalent to those prescribed, and the performance level of the scholar in them meets the minimum requirements. The DC may prescribe additional courses for research scholars if found necessary.
3. The research scholar shall maintain a minimum overall CGPA of 8.0 in 10 point scale subject to obtain 7.0 credit point in one subject. In case the overall CGPA is less than 8.0, additional courses may be credited to maintain the overall CGPA of 8.0.
4. In general, the course work has to be completed by registering along with Post Graduate students, when the course is offered. However, a certain number of courses shall be "self-study" type under the direct supervision of the guide or any other guide. The number of such self-study courses shall be decided by the DC.

2.13 Progress Report

The progress made by a research scholar shall be reviewed by the DC once a year for the first 3 years and every six months thereafter. Continuance of registration and of degree award/enhancement of scholarship/Research Assistantship will be based on the recommendation of the DC. Inadequacy of efforts/progress can be a reason for cancellation

of registration by the DC.

2.14 Comprehensive Examination

1. The objective of the Comprehensive Examination is to test the general capability of the research scholar and the breadth and depth of the knowledge in the discipline and areas related to the field of research. The Comprehensive Examination will usually consist of a written test and oral examination. The Comprehensive Examination Committee shall intimate to the research scholar sufficiently in advance the scope of the Comprehensive Examination, so as to enable the scholar to prepare adequately for it.
2. The Comprehensive Examination shall be conducted by a Comprehensive Examination Committee of the school, consisting of the DC members of the scholar and at least two other faculty members of the Institute nominated by the Chairperson of DC.
3. A research scholar shall perform satisfactorily in a Comprehensive Examination.
4. A research scholar with Master's degree is normally expected to complete successfully the Comprehensive Examination within one and half year from the date of registration and in any case not later than two years. However, a research scholar with Bachelor's degree should complete the comprehensive examination within two and half years from the date of registration.
5. If the performance of a research scholar in the Comprehensive Examination is not satisfactory, the scholar can be given a maximum of two more opportunities.
6. The DC may recommend the cancellation of registration of a research scholar to the Senate who fails to meet the Comprehensive Examination criteria after allowing the maximum number of the attempts.

2.15 Enrolment

A research scholar is required to enroll in person, each semester on the stipulated date till the submission of thesis with payment of the requisite fees. The enrolment will be permitted by the guide based on the progress.

2.16 Minimum Period for Thesis Submission

1. The minimum period for submission of thesis by a research scholar working under full time PhD program shall be 3 years from the date of registration.
2. The minimum period for submission of thesis by a research scholar working under part time PhD program shall be 5 years from the date of registration.

2.17 Maximum Duration of Program

1. A full time research scholar should submit the thesis within 5 years from the date of registration within which it is expected that a research scholar should have submitted the thesis. However, the DC may extend the period of thesis submission further by 2 years without institute stipend or scholarship, without Institute stipend/scholarship.
2. A part time research scholar should submit the thesis within 7 years from the date of registration within which it is expected that a research scholar should have submitted the thesis. However, the DC may extend the period of thesis submission further by 1 year.

2.18 Minimum Residential Requirement

1. A full time research scholar has to attend the Institute during the entire period of PhD program.
2. A part time research scholar is required to spend a minimum of one semester at the Institute. The minimum residency period may be completed in parts during the entire tenure of PhD program. However, the minimum period of residency for each visit should not be less than 2 weeks.

2.19 Conversion From Full Time to Part Time PhD Program to Take up Job

A research scholar who got a job offer can get converted from Full Time PhD program to Part Time PhD program based on the recommendations of DC, and subsequent approval of

the Senate, while keeping their registration alive on payment of the requisite fees every semester, on the following conditions:

1. If the research scholar has completed the following:
 - (a) Minimum residential requirement
 - (b) Course work
 - (c) The comprehensive examination
2. The research scholar must submit the offer letter from the employer.
3. The research scholar has to submit a “No Objection Certificate” from the employer.
4. If the research scholar has completed the following:
 - (d) Minimum residential requirement
 - (e) Course work
 - (f) The comprehensive examination
5. The research scholar must submit the offer letter from the employer.
6. The research scholar has to submit a “No Objection Certificate” from the employer.

Note: After conversion from full time to part time, the research scholar shall abide by rules and regulations of part-time research program.

2.20 Temporary Withdrawal from Program

A research scholar may be permitted by the Senate to withdraw from the program for a semester or longer not exceeding a period of two semesters for reasons of ill health or other genuine reasons duly recommended by the DC. A research scholar must pay a minimum fee during the period of temporary withdrawal as prescribed by the Institute from time to time.

2.21 Cancellation of Registration

1. The registration of a research scholar whose progress is not found to be satisfactory

by the DC or who has not enrolled is liable for cancellation.

2. The registration of a research scholar who has not submitted the thesis before the end of the maximum duration of the program as in 2.17 may be cancelled.

2.22 Leave Rules

1. A research scholar is bound by the leave rules of the Institute.
2. A research scholar can have 10 days of vacation leave at the end of every semester including adjoining week ends.
3. Absence without sanctioned leave will entail loss of financial assistantship for the period of absence, and may result in the cancellation of the scholar's registration on the recommendation of the DC and Senate.
4. A research scholar may avail the leaves such as Maternity, Paternity, etc. as per Gol norms.

2.23 Synopsis

The following are the criteria for submission of thesis.

1. Successful completion of the prescribed courses.
2. Satisfactory completion of Comprehensive Examination and the research work.
3. Publication of two research papers in refereed journals. This condition may be relaxed under the exceptional circumstances by the Senate on the recommendation of DC.
4. Completion of at least two seminar talks on the research topic. The talks may be scheduled on paper acceptance for publication in journal.

A research scholar shall present the synopsis to the DC. On the successful completion of the synopsis presentation, the DC may permit the research scholar to submit the thesis. The DC should also recommend a panel of at least ten examiners, five from the country but outside the Institute and five from institutions outside the country, which will not include any of the current research collaborators of the guide(s) or the research scholar.

Note: The Institute adheres zero tolerance to the plagiarism. The registration of the research scholar will be cancelled irrespective of the stage of the thesis, if found to have indulged in plagiarism. In case, the plagiarism is detected after the award of a degree, even then the degree should be cancelled. The guide of the research scholar will also be prohibited to take new research scholars for the period specified by the Senate.

2.24 Submission of Thesis

A research scholar shall, within one month of acceptance of the Synopsis, submit requisite copies of the thesis and abstract of the thesis as stipulated. The DC may grant additional time beyond one month on request from the scholar for valid reasons.

2.25 Panel of Examiners

The thesis shall be referred to two examiners, one from within the country and one from outside, chosen by the Chairperson, Senate from among the panel of examiners recommended by the DC at its synopsis meeting.

2.26 Thesis Evaluation

1. The examiner is expected to send the report on the thesis within two months from the date of receipt of the thesis.
2. In case of undue delay in receiving the thesis report, the Chairperson, Senate shall appoint another examiner for evaluating the thesis.
3. The following may be the outcomes of the thesis evaluation:
 - **Outcome:1**
The thesis is accepted as such in its present form.
 - **Outcome:2**
The thesis is accepted subject to minor corrections in the thesis which is to be approved by the DC.
 - **Outcome:3**
The thesis is to be revised and the revised thesis may be sent to the examiner

for final acceptance.

- **Outcome:4**

Not recommended by one examiner.

- **Outcome:5**

Not recommended by both examiners.

The action to be taken in each of the above outcomes is as follows:

- **Outcome:1**

(a) The DC recommends for conduct of viva voce examination and submits a panel of viva voce examiners.

(b) The viva voce examination may be scheduled within four weeks time from the date of receipt of the thesis evaluation report.

- **Outcome:2**

(a) The corrections as indicated by one or both examiners are carried out by the scholar.

(b) The DC approves the corrections and accepts the revised thesis.

(c) The DC recommends for conduct of viva-voce examination and submits a panel of viva examiners.

(d) The viva voce examination may be scheduled within four weeks time from the date of receipt of the thesis evaluation report.

- **Outcome:3**

(a) The corrections as indicated by one or both examiners are carried out by the scholar.

(b) The DC approves the corrections and accepts the revised thesis.

(c) The revised thesis is sent to the examiner.

(d) The DC takes appropriate action based on the report.

- **Outcome:4**

(a) The revised thesis is sent to third examiner for evaluation.

(b) The DC takes appropriate action based on the report.

- **Outcome:5**

- (a) The registration of the research scholar is cancelled.
- (b) The guide is not permitted to take new scholars for a minimum period of 5 years.

2.27 Viva Voce Examination

1. The viva voce board examines the research scholar on the thesis work. The viva voce board ensures that the scholar defends the thesis in an open defense in presence of interested audience and the board. The research scholar has to answer satisfactorily the queries raised by the examiner(s) and the audience. On satisfactory performance, the viva voce board shall recommend the thesis for the award of PhD degree to the research scholar.
2. The following is the composition of the viva voce board:
 - (a) Chairperson of DC: **Chairperson**
 - (b) All the members of DC: **Member**
 - (c) The Indian examiner of the thesis: **Member**
 - (d) A viva voce examiner who is a subject expert recommended by DC and approved by Senate to represent the foreign examiner. **Member**
3. If the performance of the research scholar is not satisfactory, then the research scholar may be given one more chance to reappear for viva voce at a later date (not earlier than a month and not later than six months from the date of the first viva voce examination).
4. If the performance of the research scholar is not satisfactory during the second viva voce examination, then the registration of the research scholar will be cancelled and an appeal against this decision may be considered by the Senate.
5. On the successful completion of the viva voce examination, the research scholar shall submit one digitally authenticated soft copy of the thesis and a hardbound copy in A5 size.

2.28 Award of PhD Degree

If the performance of the research scholar in the viva voce examination is satisfactory, the scholar will be awarded PhD degree on the recommendation of the Senate and with the approval of the Board of Governors of the Institute.

In general, PhD degree will be awarded in the ensuing convocation of the Institute. However, provisional degree may be issued on request.

2.29 Ethics and Integrity

Every research scholar is required to maintain ethics and integrity in conduct and carry out the academic work without blemishes of plagiarism or unfair means. The research scholar is required to observe disciplined and decorous behaviour both inside and outside the campus and should not indulge in any activity, which bring down the prestige of the Institute. Any unethical behaviour or lack of integrity or indiscipline on the part of a scholar reported to the Dean of Academic Research/ Director will be referred to an Ethics and Discipline Committee nominated by the Senate from time to time. The committee will investigate the charges and will recommend suitable punishment if it finds the charges substantiated. The recommendation of the committee will be considered by the Dean of Academic Research/ Director to take appropriate action. The Dean will report the action taken at the next meeting of the Senate.

Appeal: The research scholar may go in for appeal to the Chairperson of the Senate whose decision will be final.

2.30 Jurisdiction

Any legal matter relating to all that has been stated above shall be subjected to jurisdiction of court(s) in Una, Himachal Pradesh.

2.31 Power to Modify

Notwithstanding all that has been stated above, the Senate has the right to modify any of the above regulations from time to time.



