



**INDIAN INSTITUTE OF INFORMATION TECHNOLOGY GUWAHATI  
PhD PROGRAMME ORDINANCES**

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**Indian Institute of Information Technology Guwahati  
Ph.D Programme Ordinances**

**CATEGORIES OF STUDENTS**

**i) Regular**

A student in this category works full-time for his/her PhD degree. The student may or may not receive assistantship / fellowship from the Institute.

**ii) Sponsored (full-time or part-time)**

A student in this category is sponsored by a recognized R&D organization, academic institution, government organization or industry for doing research in the Institute on a full-time or part-time basis. He / She must be a regular employee of the sponsoring organization with at least **one year** of professional experience in the respective field. The Institute does not provide any assistantship/fellowship to such a student. A sponsorship letter (**Form I**) must be attached with the application.

A full time student will take leave from his / her institute and spend his full time at the Institute.

A part-time student will pursue the PhD Programme while continuing the duties of his/her service.

**ELIGIBILITY**

Eligibility criteria for admission will be laid down by the Senate from time to time. These criteria may be discipline specific.

The minimum requirement is a B.E/ B.Tech. for Engineering disciplines and a Master's degree for other disciplines.

**RESERVATIONS (SC, ST, OBC (Non-creamy layer) and PD categories):**

Reservations of seats will be based on Govt. of India orders issued from time to time.

**ADMISSION**

Students can be admitted throughout the year.

Admission to all categories of students is granted on the basis of interview/admission test.

**ASSISTANTSHIP**

Institute assistantships will be available to eligible students as per prevailing norms.

Assistantships from external funding organizations will be available as per terms and conditions of the concerned funding organizations.

Students receiving assistantships from the Institute or fellowships from any other funding agencies are required to perform academic duties as per prevailing norms.

The continuation of the assistantship/fellowship is subject to satisfactory performance of the assigned duties and satisfactory progress of the student in the PhD Programme.

## **LEAVE RULES**

Leave Rules are applicable for full-time students (regular and sponsored). They will be followed strictly for those who are availing any form of assistantship, either from the Institute or from outside the Institute. Other students may be allowed more leave than what these Rules provide, on a case-to-case basis. In case of sponsored students, additional restrictions if any, imposed by the sponsor, will apply.

### **Ordinary Leave**

A full-time PhD student will be eligible for 30 days leave for every completed year (calculated in terms of two consecutive semesters, from the time of his/her joining the programme) Saturdays, Sundays or holidays during the leave period are counted towards leave, except for prefixed or suffixed holidays.

Of the 30 days leave, a maximum of 15 days of leave will be permitted in a semester. However, a maximum of 5 days of such leave will be allowed at a stretch if student has any teaching assignments as a teaching assistant.

The maximum number of carried-over leave, from one completed year to another, will be 15 days.

### **Maternity/Paternity Leave**

A student will be eligible for 4 months maternity leave or 15 days of paternity leave as applicable only once during the PhD Programme.

### **Academic leave**

Academic leave will be permitted on the following grounds.

- To attend conferences/seminars/workshops/trainings/short-term courses. A maximum of 15 days of leave will be permissible in a calendar year.
- A maximum of 30 days of leave in a calendar year will be permissible for field trips such as data collection, survey work, etc. Academic leave exceeding 30 days but up to a maximum of 60 days in a calendar year can be approved in special cases.
- Academic leave of more than 60 days but up to a maximum of 12 months will also be permissible to carry out part of the research in another institute/R&D Lab/industry in India or abroad. For sanction of such a leave, a letter of consent from the host institute is required. This leave will be permissible only after the student has passed the comprehensive examination and has done part of the research work at the Institute.

A student granted academic leave for one or more semesters, has to pay prescribed fees in every semester.

If a registration date falls during the period of academic leave, a student will have to complete the registration procedures at the expiry of his/her academic leave.

## **SUPERVISOR(S)**

Every student admitted to the PhD Programme has to undertake research under the guidance of a faculty member of the Programme in which he / she is admitted. The faculty member is called his/her Supervisor. There may be a co-supervisor from the sponsoring organization in the case of a sponsored student.

A student may have a second Supervisor from the same or another Department/ Centre. One of the supervisors will act as the Coordinating Supervisor.

The Coordinating Supervisor has to be from the Department/Centre where the student is registered.

### **APPOINTMENT OF SUPERVISOR(S)**

The Institute will appoint Supervisor(s) to a student after obtaining mutual consent of both the student and the Supervisor(s).

The Supervisor(s) will be identified and appointed at the earliest and within six months from the date of admission.

### **CHANGE/ADDITION OF SUPERVISOR(S)**

The Chairman, Senate may permit a student to change his/her Supervisor(s) for valid reasons. Mutual consent of the student and supervisor(s) will be needed for the same.

In case a faculty member leaves the Institute, the status of PhD students under the supervision of the faculty member will be regulated by the following:

1. If a student has completed the State-of-Art Seminar and most of his / her research work, and is likely to submit the thesis within twelve months of the departure of the faculty member (to be certified by the Doctoral Committee of the student), Convener, DPPC of the respective Department will be the administrative supervisor till the student completes his / her programme (if there is a co-supervisor then this will not be required). The faculty member will remain as the supervisor of the student. No new co-supervisor can be appointed at this stage.
2. If a student has completed his / her State-of-Art seminar successfully, and 1) above does not hold (to be certified by the Doctoral Committee of the student), then a co-supervisor has to be appointed for the student from existing faculty members of the Institute, if there isn't already one. The departing faculty member will remain as a co-supervisor of the student, provided the area of research of the student continues to be under the area of interest of the departing faculty. In case of a dispute, the Chairman, Senate will take the final decision.
3. If a student has not completed her State-of-Art Seminar successfully by the time of the departure of the faculty member, the student will be allotted a new supervisor(s), and the departing faculty member will no longer be a supervisor of the student.
4. Notwithstanding any of the above conditions, if a student wishes to drop the departing faculty member as a supervisor or co-supervisor, then this will be granted.
5. The continuation of the departing faculty member as a supervisor will be subject to the approval of a competent authority of the Institution the departing faculty member is joining. This has to be obtained within three months of the faculty member leaving the Institute.
6. The departing faculty member will have to continue to attend meetings of the Doctoral Committee (could be virtually) and take part in decisions as long as he / she remains a supervisor or co-supervisor.

### **DOCTORAL COMMITTEE (DC)**

To monitor the progress of research of a student, there will be a Doctoral Committee with the following composition:

(i)	A faculty member other than the Supervisor(s)	Chairman
(ii)	Supervisor(s)	Member(s)
(iii)	Two other faculty members of which one should preferably be from another department	Members

The DC will be constituted in consultation with the Supervisor(s) within one month from the date of appointment of the Supervisor(s). Until the DC is constituted, the Head of the department concerned performs the duties of the DC.

### **RESIDENCY REQUIREMENTS**

Full time students will be resident in the Institute during the entire course of their programme.

For part-time students there are no residency requirements. However, they must visit the Institute as often as they can, but at least twice a year to enroll in the programme at the beginning of each semester), and must be at the Institute at least 14 days a year.

### **CHANGE OF CATEGORIES**

#### **A. Full-time to Part-time:**

Ph.D. Scholars who have got a job offer can change their PhD category from full-time to part-time, while keeping their registration alive on payment of the requisite fees every semester, on the following conditions:

- i. They must have cleared their Comprehensive Examination and they must have given their State-of-The-Art-Seminar.
- ii. The change must be approved by the Doctoral Committee, who will approve after it ascertains that sufficient work has already been done so that changing the status will not hamper the completion of the PhD thesis.
- iii. Any Assistantship being availed, whether from the Institute or from external sources, will be withdrawn. In case of an external Assistantship, permission from the funding agency must be obtained for changing the status.
- iv. The maximum duration for completion of the PhD programme will remain the same as that for a full-time student.

#### **B. Part-time to Full-time:**

Ph.D. Scholars who are registered as part-time PhD students can change their status to full-time under the following conditions:

- i. The student must resign from any job he or she is employed in. Proof that the student is no longer employed in the job he /she was while a part-time student, must be provided.
- ii. The Doctoral Committee must recommend the change of status.

- iii. The student will not be eligible for any assistantship from the Institute until he /she applies for assistantship in response to an advt. for admission to the PhD programme, and he / she is then selected by the Institute.
- iv. Engagement in a sponsored project / consultancy of the Institute will be as per the rules being followed in such engagement.
- v. The student will be allowed to apply for external assistantships as a regular student.
- vi. The maximum duration for completion of the PhD programme will be the same as that for a full-time student.

### **COURSE WORK**

Course Requirements, if any, will be prescribed by individual Departments. But students will be encouraged to take courses. The Doctoral Committee of a student will evaluate the preparedness of a student and prescribe one or more courses that will have to be taken.

Grading for PhD level courses will be done as per the provisions for grading of courses in the M.Tech Ordinances.

### **CREDITS FOR THE STUDENTS TO ASSESS THEIR PERFORMANCE FOR EACH SEMESTER**

There will be a “Research Work” for the students with a fixed course number but with variable number of credits each semester. This course will have credits in multiples of four and a satisfactory (S) or unsatisfactory (X) grade will be given for each multiple of four credits by the supervisor. This scheme will serve as a check on the steady progress of the student and will also serve as a warning. A full time student will register for 16 credits in a semester, while a part-time student will register for 8 credits in a semester. The grades obtained will form part of the grade card of the student and will be part of his / her degree. Thus if a student registers for the course CS700 with 16 credits, his / her grade will be SSSS or a combination of S and Xes (SSSX, SSXX, SXXX, XXXX). A student obtaining all X grades in two consecutive semesters will have his / her programme terminated.

Grades S or X awarded for Research Work will not be placed in the semester grade cards of students.

### **COMPREHENSIVE EXAMINATION**

To test the overall competence and academic preparation of a student in the PhD Programme, a Comprehensive Examination will be held within 6-12 months of admission of a student.

The mode of Comprehensive Examination (oral or written or both) as well as the syllabus and other details will be decided by the respective department and intimated to the students.

A student failing in the Comprehensive Examination in the first attempt is given a second attempt not before one month and within six months from the date of the first attempt. If the student fails in the second attempt, he/she is not allowed to continue in the PhD programme.

### **STATE-OF-THE-ART SEMINAR**

Within 12 months of the successful completion of the Comprehensive Examination, a student

has to present a State-of-the-Art Seminar (SOAS). The presentation will be open to all. In this, he/she will present a literature survey of the proposed broad area of research.

A student will submit a write-up to the DC members at least one week before the date of the SOAS. Within a month, a student will deliver another SOAS if the first SOAS is not satisfactory.

### **PROGRESS REVIEW**

After the State-of-the-Art Seminar, a student will submit at-least one progress report every semester for evaluation to the DC. The DC will schedule a meeting where the student will present his/her progress report. However, the DC may schedule more such meetings depending on the progress of the student.

### **ENROLMENT**

Students of all categories will have to enroll in person every semester on the stipulated date till the submission of their theses.

They will be required to pay the prescribed fees till the submission of their theses, within stipulated dates.

Semester drop: Up to two semesters may be dropped in the entire duration of the PhD Programme, on bonafide grounds. Except on medical grounds, semester drop will not be permissible before successful completion of the Comprehensive Examination by a student.

On recommendation of the Supervisor, the Chairman, Senate will approve a semester drop. Cases of semester drop are to be reported to the Senate.

No assistantship will be provided during the period of a semester drop. The period of semester drop will not be counted in the prescribed time limit for completion of the PhD Programme.

### **CONDUCT AND DISCIPLINE**

Regulations for Conduct and Discipline are common for all students of IIIT Guwahati, framed from time to time. In addition, unauthorized absence for more than one month will lead to disciplinary action, in the form of reduction of assistantship or even termination of studentship.

### **CANCELLATION OF STUDENTSHIP**

The PhD studentship is liable to be cancelled for any of the following reasons:

- i. Giving false information at the time of application/admission.
- ii. Not conforming to the regulations of the programme.
- iii. Not paying fees on time.
- iv. Failure in Comprehensive Examination.
- v. Consistent lack of progress in research.
- vi. Violation of discipline and conduct rules of the Institute.
- vii. Not submitting a thesis within the stipulated period.

- viii. Not enrolling for a semester within stipulated dates.
- ix. Regular students, remaining absent for more than 6 (six) weeks in a semester, without sanctioned leave.

### **DURATION OF THE PHD PROGRAMME**

The duration of the PhD programme is as follows:

- i. The minimum duration of the PhD Programme (excluding dropped semester(s)/maternity leave) is four semesters.
- ii. The maximum duration of the PhD programme is 6 years from the date of admission for a full-time student and 8 years for a part-time student.

### **SYNOPSIS OF THESIS**

Prior to the submission of the thesis, a student will submit the synopsis of the thesis to the DC. The synopsis will contain an outline of the research contained in the thesis.

The student will make a presentation of his/her thesis work before the DC in an open seminar (named as Synopsis Seminar). The synopsis will be submitted one week before the Synopsis Seminar date. If the DC approves the synopsis, the student will be allowed to submit the synopsis of the thesis.

If a student fails to submit the thesis within 3 months from the date of the Synopsis Seminar, he /she shall present another Synopsis seminar. His/her synopsis has to be approved by the DC.

### **PANEL OF EXAMINERS**

Two external experts, one from India and the other from abroad, will examine a thesis.

At least fifteen days prior to the submission of the thesis, the DC will submit a panel of eight examiners, four each from India and abroad. The Chairman Senate will choose the examiners from this panel. The Chairman may ask for a fresh panel if he/she is not satisfied.

The list of examiners will remain confidential till the reports are accepted.

### **SUBMISSION OF THESIS**

Within three months of the acceptance of the synopsis by the DC, the student will submit copies of his/her thesis in a prescribed format to the Institute.

### **THESIS REPORTS**

Examiners are expected to send reports on the thesis within two months from the date of receipt of the thesis. If an examiner does not send his/her report within two months, reminders will be sent. If a report is not received in spite of reminders, the examiner may be replaced by the Chairman Senate. If both the thesis examiners recommend the thesis for award of the PhD degree, the Chairman, Senate will approve the conduct of a Viva Voce. Corrections in the thesis, responses to comments of examiners have to be ratified by the DC.

If an examiner suggests re-submission of the thesis, the student will be allowed to resubmit the



thesis after due revision within the time stipulated by the DC.

If one examiner recommends the thesis, and the other rejects, the report of the first examiner will be sent to the second examiner and vice-versa. The examiners will be requested to review their recommendations. If after this, there is one acceptance and one rejection, the matter will be placed before the Senate for possible replacement of the examiner who has rejected the thesis.

If both the examiners do not recommend the thesis for the award, the reports will be sent to the DC which can decide on one of the following based on their assessment.

If the DC is satisfied with the work already done and the contents of the thesis already submitted, it may request the Chairman, Senate that the thesis may be sent to another set of examiners.

The DC may advise the student to augment the research and submit the synopsis again. If both the examiners do not recommend the thesis for the award for a second time, the student will not be awarded the degree and the registration will be cancelled.

### **VIVA VOCE**

In a Viva Voce, a student will make an oral presentation on his/her thesis. The presentation will be open to all. The following will be the composition of the Viva Voce Board (VVB).

i	Chairman of the DC	Chairman
ii	Supervisor(s)	Member(s)
	One examiner of the thesis within the country, or a specialist in the subject, nominated by the Chairman Senate, from the approved panel of examiners.	Member
iii	A faculty member of another department.	Member
iv	One faculty member of the Department with knowledge of the subject of the thesis.	Member
v	The other members of the DC	invitees

The VVB will conduct the defense of the thesis by the candidate ensuring that he/she answers all the queries of the thesis examiners satisfactorily. If the VVB finds the performance of the student unsatisfactory, the student will be asked to reappear for another oral examination at a later date (not earlier than a month and not later than six months from the date of the first oral examination).

If the VVB finds the performance of the student unsatisfactory on the second occasion also, then the matter will be referred to the Senate for a decision.

The VVB may also recommend revisions to be made in the final version of the thesis after taking into consideration the suggestions of the examiners who evaluated the thesis and the discussion at the Viva Voce.

### **AWARD OF PhD DEGREE**

If the Viva Voce Board recommends award of the degree, a student will be awarded the PhD degree on the recommendation of the Senate with the approval of the Board of Governors of the Institute.

**LEGAL AND OTHER MATTERS**

All other cases, not covered by the above, shall be referred to the Senate.

Any legal matter relating to Rules and Regulation shall be subjected to jurisdictions of Court(s) in Guwahati.

**FORMATION OF DEPARTMENTAL POSTGRADUATE PROGRAMME COMMITTEE (DPPC)**

In order to manage and monitor the different academic programmes of the Institute, a Postgraduate Programme Committee is to be formed in every Department where such programmes exist.

The composition of DPPC and its functions will be as follows:

(i)	Head of the Department (HOD) (ex-officio)	Chairperson
(ii)	Three faculty members to be nominated by the HOD (Note : If faculty strength of a department is less than or equal to four, then all the faculty members will be members of the DPPC)	Members
(iii)	Faculty Member to be nominated by the HOD	Member Secretary
(iii)	One faculty member from another department. The department will be chosen by the committee. The faculty member from the chosen department will be nominated by the HOD of that department.	Member
(iv)	One student, not subjected to any disciplinary action by the Institute, to be selected by the M.Tech students of the 2nd year, and two students, not subjected to any disciplinary action by the Institute, in the PhD programme, to be selected by all the full-time PhD scholars of the Department.	Members
	<b>Tenure :</b>	
	Two (2) years for faculty members and one year for student members. Tenure of the Secretary shall also be two years.	
	<b>Functions of the committee:</b>	
(i)	To oversee the conduct of all postgraduate courses of the department, and to ensure that the Ordinances relating to the programmes are being followed.	
(ii)	To ensure proper academic standards are being maintained in the courses offered by the department.	
(iii)	To consider malpractices by students in academic matters referred to DPPC by a course instructor, and to recommend actions to be taken	
(iv)	To consider cases of students not performing as per requirements and to recommend follow up action to be taken on a case-by-case basis	
(v)	To discuss and recommend changes in the syllabi of all postgraduate courses offered by the department from time to time before sending the same to the Senate	
(vi)	To review student feedback (summary data only) of courses and to recommend corrective measures, if any.	
(vii)	To monitor the progress of PhD scholars in their programme	

(viii)	To recommend Doctoral Committee (DC) members which will be approved by the HOD.
<b>Functions of the Secretary, DPPC</b>	
(i)	To hold meetings of the DPPC, at least twice in a semester, and as often as required
(ii)	To prepare agenda for meetings and to prepare Minutes of meetings
(iii)	To keep track of academic performance of students in the PG programmes, and to put up cases to the DPPC as per need.
(iv)	To manage the progress of PhD scholars and to manage and monitor the following: Comprehensive Examinations, State-of-Art Seminars, Progress Seminars, Synopsis Seminars, thesis submission, and viva-voce. To place before the DPPC a summary of the progress of all PhD students.
(v)	To co-ordinate assignment of M.Tech students to faculty for projects
(vi)	To co-ordinate the feedback from students of the courses offered by the Department

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