A Guide Book of Regulations for Ph.D. Programme

IIIT Kottayam is established in 2015 with a major objective to set up an education model which can produce best-in-class human resources in IT and which can harness the multidimensional facets of IT in various domains. The IIIT Kottayam is expected to contribute significantly to the global competitiveness through the key sectors of Indian economy and Industry, focusing on applied research and education in selected domain areas.

Contents

Ordinances

1. The Indian Institute of Information Technology Kottayam (IIIT Kottayam) awards the degree of Doctor of Philosophy (Ph.D.) in Engineering/Sciences/Humanities to a candidate who has successfullycompleted the stipulated programme of Research.
2. The Programme of Research with the governing rules and regulations are formulated by the Senate of the Institute. The Senate can modify or change the structure, the governing rules and regulations from time to time.
3. A candidate to be awarded the Ph.D. degree has to submit a thesis embodying the findings of his/her research carried out under this programme. The thesis should make an original contribution of high quality to the advancement of knowledge as judged by the experts in the relevant area.
4. A candidate becomes eligible for the award of the Ph.D. degree after fulfilling all the academic requirements prescribed by the Senate of the Institute.
5. The award shall be made upon the recommendation of the Senate of the Institute after ratification by the Board of Governors of the Institute.
6. The Ph.D. degree shall be awarded in the discipline of the Department/Centre which registers the student for the Ph.D. programme.

Regulations

R1. Admission

The Institute admits Ph.D. students with status full time regular and external registrants under the following categories.

1. Scholarship Holders

A student in this category works full-time for his/her Ph.D. degree. He/she receives assistantship/fellowship from INSPIRE/ CSIR/UGC/NBHM or any other recognized funding agency.

2. Sponsored

A candidate in this category is sponsored by a recognized R&D organization, academic institution, government organization or industry or QIP candidates for doing research in the Institute on a full-time basis. The candidate 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.

An intending sponsored candidate must submit his/her application in prescribed form along with No objection cum sponsorship certificate for admission through his/her employer, who will forward the same to the Institute with suitable endorsement.

A sponsored candidate selected for admission shall be required, at the time of joining the Institute, to produce certificate in the prescribed form from the employers to the effect: (i) that he/she has been officially released from his duties for purpose of joining the programme and has been granted leave for the required period; (ii) that his services shall be retained with the employer.

3. Self-financing

A candidate in this category works full-time towards the Ph.D. programme. The Institute will not provide any assistantship/fellowship to such a student. Other academic regulations are the same as Scholarship Holders.

4. External Registrants

A candidate of this category working in Industries/Institutes/Research Organisations can register as External Registrant and do research work either in their own organisation or in the host institute. Other academic regulations are the same as Scholarship Holders.

5. Ph.D through Sponsored Project

A candidate in this category working in a sponsored project of the Institute (IIIT Kottayam) can register to the Ph.D. programme under project category. The minimum remaining period of the project should be at least 2 years from the date of joining the Ph.D. programme. Other academic regulations are the same as Scholarship Holders.

R2. Eligibility

For admission to the Ph.D. Programme, a candidate must satisfy one of the following criteria:

i. Master's degree in Computer Science and Engineering/Information Technology/Mathematics/Statistics/Computer Science/Computer Applications/Electronics and Communication Engineering / Electrical and Electronics Engineering or equivalent area with a minimum Cumulative Grade Point Average (CGPA) of either 6.5 in a 10-point scale or 60% of marks.

ii. **MS-PhD: F**our-year Bachelor's degree in Computer Science and Engineering/Information Technology/Electronics and Communication Engineering/Electronics and Electrical Engineering/Mathematics or equivalent in a relevant area from an institute of national importance with a minimum CGPA of either 8.0 in a 10-point scale or 75% of marks. Such students will be awarded both MS and Ph.D. degrees on completion of PhD programme without any exit option during the programme.

iii. **Direct Ph.D. (IIIT Kottayam)** –
   - **B.Tech.-MS and Ph.D**.: A student of IIIT Kottayam who is continuing his/her B.Tech.-MS studies and having a minimum CGPA of 8.0 at the end of sixth semester may be enrolled inthe Ph.D. programme of the institute in the beginning of his/her seventh semester of study. Such students can receive B.Tech.-MS and Ph.D. Degrees. The degrees will be awarded aftercompletion of Ph.D. programme.
   - **M.Tech.-Ph.D. (For working professionals only):** The applicants from M.Tech. for working professionals (offered by IIIT Kottayam) who have minimum CGPA of 8.0 up to 5th semester at first attempt and without failures, can be admitted to direct M.Tech- Ph.D. programme. This is applicable for the applicants within two years from the completion of M.Tech. degree.

R3. Admission Procedure

Twice every year, students are admitted to the Ph.D. programme, at the beginning of the Odd (August) and Even (January) semesters of the Institute. Applications will be invited through press advertisement and announcement at the Institute website: www.iiitkottayam.ac.in shortlisted candidates will be called for a written test and /or an interview at IIIT Kottayam.

The names of the selected candidates will be announced via the institute website.

R4. Enrolment

The selected candidate has to register for the Ph.D. programme by producing original certificates, certificate of sponsorship if any and fee payment receipt on the day of registration.

R5. Duration of the Programme

The minimum and maximum duration of the Ph.D. programme are 6 semesters and 10 semesters respectively for all categories.

Under extraordinary circumstances, based on the recommendations of the doctoral committee (DC).The extension period maximum one year duration may be considered. Nevertheless, at the end of 6 years from the date of provisional registration, no further extension will be given and the registration to the Ph.D. programme stands cancelled.

R6. Registration

- All research scholars are required to register in each semester during the stipulated period or date notified by the institute till submission of the thesis.
- The registration of courses is subject to approval of the DC (as per R.10) based on the progress of his/her previous semester.
- Registration involves payment of the prescribed fees for the semester and courses, if any.
- A fine of Rs.250/- per day will be levied for late registration done from the registration date.
- Late registration after the first week of the semester can only be done with the permission of the Dean (Academics) or the Director of the institute.
- After 10 semesters, continuation of the course registration must have approval of the senate.
- A student may be exempted from the fee payment for the last semester if he/she submits thesis within 30 days from beginning of the semester.

R7. Fellowship/Assistantship

Assistantships from external funding organizations will be available as per terms and conditions of the concerned funding organizations. Institute may provide teaching assistantships to eligible students as per prevailing norms. 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 Ph.D. programme. It is mandatory that every Ph.D. student takes part in Teaching Assistant duties as assigned by the respective department. Such duties include help in teaching laboratories, tutorial sessions in courses, grading assignments, library duties, supervision of computational labs and duties associated with the conduct examinations. Such assignments are made by the Head of the concerned Department.

R8. Leave Rules

Application for leave of absence should be submitted in the format available from the academic office along with necessary supporting documents e.g. medical certificate, if applicable. Leave should not usually be availed without prior permission of the Dean (Academics).

A full-time Ph.D. student is 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 is permitted in a semester. However, a maximum of 5 days of such leave is allowed to avail at a stretch if student having any teaching assignment.

However, a student can accumulate leave, and avail a maximum of 30 days' leave at a time in a year. The maximum number of carried-over leave, from one completed year to another, is 15 days.

A student is eligible for maternity/paternity leave as per rule as applicable only once during the PhD Programme.

In addition to above, a student may be permitted to take academic leave on the following grounds based on the recommendation of Supervisor/Doctoral Committee and Head of the Departmentand approved by Dean (Academics).

- To attend conferences/seminars/workshops/trainings/short-term courses. A maximum of 15 days of leave is permissible in a calendar year.
- A maximum of 30 days of leave in a calendar year is permissible for field trips such as data collection, survey work, etc.

Academic leave of more than 30 days but up to a maximum of 12 months is also 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 is permissible only after the student has passed the comprehensive examination and has done part of the research work at IIIT Kottayam. On recommendations of the Supervisor, the doctoral committee (DC) and Dean (Academics), the Chairman, Senate approves such an academic leave. Such cases are also to be reported to the Senate. If a student is granted academic leave for one or more semesters must pay prescribed fees in every semester. If a registration date falls during the period of academic leave, a student completes the registration procedures at the expiry of the student's academic leave.

A student can avail semester break up to a maximum of two semesters during the entire duration of the programme, on bonafide grounds such as medical grounds etc.. The period of semester leave will not be counted in the prescribed time limit for completion of the programme. Students will loose financial assistantship during the period of such extended leave. The leave request is to be forwarded by the research guide, DC and Head of the Department to the Dean (Academics) and is to be approved by the Director. Applications must be submitted well in advance of the date of commencement of the leave requested.

R9. Research Guide/Supervisor

Every student admitted to the Ph.D. programme undertakes research under the guidance of a faculty member of the Department/Centre in which the student is admitted. The faculty memberis called Research Guide/Supervisor of the student. The Institute will assign a research guide(s)to the student depending on mutual research interests. The guide(s)/Supervisor(s) is identified and appointed at the earliest and within one month from the date of admission. The guide/supervisor is primarily responsible for the work and well-being of the student. A student may have a Co-Guide/Co-Supervisor from the same or another Department/ Centre. One of the supervisors will act as the Coordinating Supervisor. The Coordinating Guide/Supervisor has to be from the Department/Centre where the student is registered. The Head of the Department/Head of the Centre approves the Co-Guide/Co-Supervisor.

The following categories of persons can act as Co-Supervisor but not as a Supervisor.

   i.   A faculty nearing superannuation with less than 3 years of service left at the Institute.
   ii. A faculty on contract (including a Visiting Faculty) with less than 3 years of service left at the time of appointment as a Supervisor.
   iii. Professionals from industry. On recommendation of the Head of the Department and the Dean (Academics), the Chairman Senate approves appointment of such a Co-Supervisor.

If a student is allotted a research guide/supervisor, the student has to complete the programme under the supervision of such a guide. However, due to unavoidable situations with valid reasons as mentioned below, the Chairman, Senate may permit a student to change his/her Supervisor(s). Mutual consent of the student and supervisor(s) and recommendations of the Head of the Department and Dean (Academics) are required. Such cases are reported to the Senate.

R9.1 Change of Supervisor(s) and Allotment of Caretaker Supervisor for Ph.D.students:

A.In case of leave less than 12 months

Under unforeseen circumstances if the supervisor is on leave for a period upto 12 months then the co-supervisor/Ph.D. coordinator will do all the administrative work of the student, while the student will continue his research with supervisor through email, online mode, etc.

B.In case of the leave of more than 12 months

   a) If the there is a co-supervisor of a Ph.D. student and the supervisor of a research scholar proceeds on long leave for more than 12 months, the co-supervisor will continue to be the Supervisor. If the co-supervisor of a Ph.D. student is on leave for more than 12 months then his/her service as a co-supervisor will automatically withdraw and the student is to continue to do his research with the Supervisor.
   b) If there is no co-supervisor exists for a research scholar, another supervisor may be appointed.
   c) If the scholar in his/her advanced stage of research (going to submit his thesis within 1 year or the thesis has been submitted) and the supervisor proceeds on leave, only a caretaker supervisor will be appointed.

C.A Supervisor resigning/ Death of Supervisor

   a) A new supervisor will be appointed, if necessary, depending upon the circumstances as in 'A' or 'B' above.

D.Supervisor declining to supervise

In case a Supervisor declines to supervise a Ph.D. student, another faculty member, qualified tobe Supervisor and actively engaged in the same area of research, who consents to supervise theresearch student, may be appointed as the new Supervisor. After that, Doctoral Committee (DC) may be reconstituted by replacing the earlier Supervisor with the new Supervisor and retaining the other internal and external experts as in R10.

E. Change/ drop of Supervisor(s) by the research candidate

If a Ph.D. student wants to drop one of the supervisors, or wants to change the Supervisor(s), under valid reasons a new Supervisor(s) will be appointed by the Director on the recommendation of Doctoral Committee (DC) and Dean (Academics). In case the Ph.D. student wishes to change the area of research with new supervisor(s), the entire DC shall be constituted afresh.

R10. Doctoral Committee

Each student will have a Doctoral Committee (DC) appointed by the Institute. The Doctoral Committee will consist of Head of the Department or his nominee as Chairperson, guide and two faculty members of which one should be from another Department or an external expert who are working in the research areas related to the proposed work of the student. The major role of the Committee is to monitor the progress of the work, both course work and research, of the student up to the point of the award of the Degree.

The Doctoral Committee meets at least once every semester. At the first meeting of the first semester of the student's programme, the Committee identifies the courses to be credited/audited by the student (see below for details of course work). At every subsequent meeting, the student presents the progress of his/her work. The semester-wise report of the Committee on the student's progress is mandatory at the time of the registration of the student in each semester. The DC is constituted by the Department in consultation with the Supervisor(s) within one month from the date of appointment of the Supervisor(s). The list is sent to the Dean (Academics) for approval. Until supervisor is allotted, Head of the Department will act as a mentor.

R11. Course Work

For (ii) Direct MS-Ph.D. candidate: The number of credits required for earning MS-Ph.D. degree is tentatively 44. Typically, the course work is expected to be completed in the first year. (course work subjects including two short term projects will be decided by DC). During 2nd year the student shall commence preliminary research work as a short-term project. There shall be evaluations by the DC at the end of 3rd and 4th semesters similar to M-Tech degree. The details of the course work is given in Appendix I.

For (iii) Direct Ph.D. (IIIT Kottayam)- (B.Tech.-MS and Ph.D).: During {direct (iii)} the 11th semester beginning, the student has to join with regular PhD of first semester. The course requirement is given in Appendix II

For (iii) Direct Ph.D. (IIIT Kottayam)- (M.Tech.-Ph.D. (For working professionals only)): The number of credits required for earning the degree is minimum six. Details given in Appendix III.

For admission based on eligibility criteria-I, under normal circumstances, a student is required to complete all course work within two semesters, and registering for at least two courses in the first semester.

For all the admission category, in each semester, the Semester Grade Point Average (SGPA) should not be less than 6.0 and has to obtain CGPA (Cumulative Grade Point Average) of 6.5 at

the completion of course work. The SGPA is calculated as follows:

$$SGPA = \sum_i \frac{C_i \, GP_i}{\Sigma_i \, C_i}$$

where C_i = Credit for the course, GP_i = the grade point obtained for the course and
$\sum_i C_i$ = the sum of credits in overall courses taken in that semester.

For the cumulative grade point average (CGPA) a similar formula is used where the sum $\sum_i C_i$ is the sum of credits of overall courses taken in all the semesters completed.

Relative grading will be adopted for assigning grades in courses. The letter grades and the corresponding grade points are as follows:

Letter Grade	Grade Points	Remarks
A	10	Excellent
A⁻	9	Very good
B	8	Good
B⁻	7	Fair
C	6	Average
C⁻	5	Poor
D	4	Pass
F	0	Fail
I		Incomplete (Subsequently to be changed into valid grade)
L		Insufficient attendance
W		Withdrawal due to special circumstances
U		Course Audit

The student has to undergo courses as prescribed by the Doctoral Committee/Department, for a minimum of 12 Credits including one mandatory course with zero credit. Out of 12 credits required only one self-study course (800 level) with a maximum of 4 credits is permitted with the recommendation by the Doctoral committee and approved by Dean Academics. Increase in the course requirement if needed will be decided by theDoctoral Committee/Department. BTech-MS students of IIIT/M.Tech. Students of IITs/IIITs will do a minimum of 6 credits. For a student inducted to the Ph.D. programme while pursuing B.Tech.-MS of IIIT Kottayam, may be exempted

from course work if DC recommend it after due assessment. If at the end of any semester, a student maintains a SGPA of 6.0, but fails in a course,the student is allowed to repeat/substitute it by registering in the following semester(s).A studentis not allowed to register for B.Tech. courses of 300 or less level. However, the student may be allowed to audit these courses. Apart from the requirements the student can audit both UG and PGcourses based on the recommendation of DC. Two of the registered courses, at least at 600 or above level, may be taken as seminar courses. In a seminar course, a student delivers 2-4 seminars.A brief report is submitted at least one week before the due date of every seminar. The DC members act as examiners for such seminars. One of the DC members coordinates the seminar course and DC may award a suitable grade. Before registration, the DC recommend the number (one or two) and the type of the course taken as a seminar course(s). The course work must be completed within first two semesters. A minimum of one semester (preferably first semester) residential requirement is to be completed by all the external registrants during the completion ofcourse credit requirements. However, the duration and number of visits to the Institute after the course completion shall be decided by the research guide.

R.11.1   I Grade:

The incomplete Grade I is a translational grade which will be given to students who miss the end semester examination under exceptional circumstances like serious medical reasons etc. Make up examinations will be given to the students provided they meet 80% attendance and other academic requirements of the institute. Actual grade after the make-up examination will be taken and will reflect in the transcript replacing the I grade. No make-up examination will be scheduled for the mid semester examination and Quizzes.

R.11.2   U Grade:

This grade is awarded in a course that the student opts to register for audit. It is not mandatory for the student to go through the entire regular process of evaluation in an audit course. However,the student has to go through some process of minimal level of evaluation and also the minimum attendance requirement, as stipulated by the Course Instructor and approved by the Head of the Department, for getting the "U" grade awarded in a course, failing which that course will not be listed in the Grade Card.
A student can register for auditing a course, or a course can even be converted from Credit to Audit or from Audit to Credit, with the consent of the Faculty Advisor and Course Instructor until 2 weeks after the commencement of the classes in the semester as indicated in the Academic Calendar. However, Core Courses shall not be made available for audit.

R12. Comprehensive Examination

To test the overall competence and academic preparation of a student in the Ph.D. programme, a Comprehensive Examination is held within 18 months for students with master's degrees and within 30 months for the students only with Bachelor degrees from the date of admission. Comprehensive Examination is held only after successful completion of course work. The date of the Comprehensive Examination is informed to the student at least one month prior to the date of examination. 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 firstattempt. If the student fails in the second attempt, he/she is not allowed to continue in the Ph.D.programme leads to cancellation of the registration of the student and removal from the rolls

Pattern of the Comprehensive examination is the following:
a)   Presentation of a critique on a recent work of the proposed research area, given two weeks

in advance.

b) Followed by presentation on proposed research.

c) Followed by questions by the Doctoral Committee on the topics of the presentations and the basics of the subject matter of the course work done.

       (a) & (b) will have 40% weightage and (c) will have 60% weightage.

R13. Research Progress

1. The Doctoral Committee will make semester-wise assessment of the progress of the research work of the student and report to the Dean (Academics).

2. The DC may advise the student in case of unsatisfactory performance in course work or research.

3. In case of continued lack of progress or initiative on the part of the student, the DC may recommend the cancellation of Fellowship or termination of the Registration.

   The DC is also empowered to recommend to the Dean (Academics) any disciplinary action in case of misconduct or unethical practices.

4. In case of any dispute between the student and the guide, the DC may consider it and recommend suitable remedy.

Ph.D. student receiving fellowship, as per funding agency rule, on completion of two years as JRF and successful completion of comprehensive examination, the fellowship will be upgraded to SRF on the basis of assessment of Scholar's research progress/achievements through a presentation before a Committee consisting of the Supervisor, Head of the Department or his nominee and DC Members. JRF to SRF evaluation should not be clubbed with comprehensive examination.

R14. Research Seminars

The student has to give at least two research seminars to the department:
The first one, to be given before the end of the Third semester, will essentially concern with the formulation of the research problem and survey of existing literature. This is the seminar during the comprehensive examination. The second seminar, called the synopsis seminar, will discuss the major findings of the student that will go into the thesis. The synopsis seminar will be given just prior to the submission of the Thesis Synopsis to the Dean (Academics) and with the approval of the Doctoral Committee. Both the seminars will be assessed by the Doctoral Committee and will be judged as satisfactory or unsatisfactory. In the latter case, a suitable course of action will be suggested by the DC.

Subsequent to the first seminar (comprehensive examination), the student has to give research progress seminars to the DC every six months till the Synopsis Seminar.

R 15. Change of Category- Full-Time to Part-Time Ph.D. and Vice-Versa

1. A Student admitted to a full-time category may be allowed to change to part-time category with the fulfilment of the following conditions:
    (i) He/she has:
        (a) completed the course work,
        (b) passed the comprehensive examination,
        (c) a paper publication based on the research work in a well reputed SCI indexed Journal and
        (d) Completed sufficient quantity of research work that is adjudged as satisfactoryby DC based on the presentation given and detailed report submitted by the scholar.
    (ii) DC recommended her/his application. DC shall instruct the scholar to give an open presentation in the department, on the work completed.
    iii) Produce a no objection certificate from the Head of the Institution/Organization, which he/she proposes to join (if so) along with a letter from the competent authority of the organization in which she/he is going to join/the employer, granting permission to continue the research. Normally a full-time scholar will be permitted to convert to part-time for taking up job elsewhere. However, DC may recommend the conversion from full-time to part-time on unavoidable valid reasons

This conversion provision from full-time to part-time status can be availed normally once by the student during his/her programme and no further conversion is allowed.

2. Similarly a student admitted to part-time/external registration programme may be allowed change his/her registration to full-time studies at the beginning of a semester on the recommendation of Doctoral Committee and with the approval of Dean Academics. A part-time scholar can convert his registration to Full-time within 15 months from the date of joining without any additional financial support from the Institute on recommendation of thecommittee constituted by Dean (Academic) for the purpose.

R16. Cancellation of Registration & Removal from the Rolls

The Ph.D. studentship is liable to be cancelled and the student is removed from the rolls of the institute 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.   Failure in coursework requirement.
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.   Students, remaining absent for more than 6 (six) weeks in a semester, without sanctioned leave.

R17. Requirement for Submission of Thesis

The minimum requirement for submitting thesis is two publications in well reputed SCI indexed Journals and two Scopus Indexed Journals/Conferences. A granted utility patent from the research area of comparable quality which is considered as equivalent to a SCI- Journal Publication on recommendation by DC members and approved by senate chairman.

R18. Thesis Synopsis

Prior to the submission of the thesis, a student submits the synopsis of thesis to the DC at least one week before the synopsis seminar date. The synopsis contains outline of the research contained in the thesis. The format of the thesis is available in the academic office. The student makes a presentation of the thesis work before the DC in an open seminar. The student must satisfy the publication requirement, (if any by the institute), before submission of the synopsis. If the DC approves the synopsis, the student is allowed to submit the synopsis of the thesis. The Supervisor sends report of the Synopsis Seminar in prescribed format to the Dean (Academics) through the Head of the Department for further processing. If a student failsto submit the thesis within 3 months from the date of the Synopsis Seminar, the student shall present another Synopsis seminar. The synopsis has to be approved by the DC and sent to the Dean (Academics) for further process.

R19. Thesis Submission

Within three months of the acceptance of the synopsis by the DC, the student submits four copies of the thesis (both soft and hard copy), five copies if more than one supervisor, in the prescribed format to the academic section. The thesis is to be forwarded to the Dean (Academics) by the thesis Guide(s) and the Head of the Department with due certifications.

R20. Thesis Examination

The following steps are followed by the Dean (Academics) in processing the accepted synopsis.

1. The panel of examiners for thesis evaluation should be experts, with at least one expert outside the country, working in the relevant filed of research and should be at the level of Associate Professor or Professor or at equivalent level. Any relaxation if necessary on any specific reasons, be permitted by Chairman Senate on case to case basis after reviewing the merit.
2. After the approval of synopsis, the DC has to suggest a list of 5 Indian examiners and 5 foreign (from reputed institutions abroad) examiners working in relevant field of research with contact details and the list should be communicated to Dean (Academics) by the HOD.
3. A panel of two external examiners is confidentially selected by the Dean (Academics) one from the list of Indian examiners and one from the list of foreign examiners suggested by the DC.
4. The synopsis is sent to the selected examiners by email and their willingness to examine the thesis is ascertained. If any examiner is unwilling to accept the examinership, or no response is received within a fortnight, another from the list is contacted.
5. The research guide(s) will serve as the third examiner.

If Dean (Academic Affairs) is the research supervisor, the Director or his nominee will act on behalf of Dean (Academic Affairs).

R21. Thesis Reports

The thesis is sent to two external examiners for evaluation and for their comments on the originality and scientific merit of the findings of the author and to judge whether the work deserves the award of the PhD Degree of IIIT Kottayam. Specifically they will be asked to give one of the following verdicts (Clauses):

1. The thesis is acceptable as such without any revision. I recommend the award of the Ph.D. degree of IIIT Kottayam to the candidate.
2. The thesis is acceptable as such without any revision. I recommend the award of the Ph.D. degree to the candidate subject to his/her satisfying the Viva Voce board about the questions/clarifications I have raised in my report.
3. The thesis needs revisions along the lines, I have suggested in my report. The Ph.D. degree can be awarded to the candidate after the revisions are made to the satisfaction of the Doctoral Committee. The revised thesis need not be sent to me.
4. The thesis needs revisions along the lines, I have suggested in my report. I wish to see the revised thesis.
5. The thesis is not acceptable for reasons I have given in detail in my report. I do not recommend the award of the Ph.D. degree of IIIT Kottayam to the candidate.

The following steps are taken by the Dean (Academics)'s office after sending the thesis to the examiners.

- The examiners are reminded of the report every fortnight, after an initial period of 3 weeks.
- Examiners are expected to send reports on the thesis within two months from the date of receipt of the thesis.
- If no report is received within 3 months of sending thesis after repeated reminders, a new external examiner may be appointed by the Dean (Academics).
- If both the thesis examiners recommend the thesis for award of the Ph.D. degree (Clause 1 and 2 above), the Dean (Academics) approves the conduct of a Viva Voce. In the case of Clause 3, Corrections in the thesis, responses to comments of examiners are ratified by the DC and approves the conduct of Viva Voce by Dean (Academics).
- In the case of Clause 4, the revised thesis should be sent to the examiner for his verdict.
- If one external examiner recommends the thesis, and the other rejects (Clause 5), the report of the first examiner is sent to the second examiner and vice-versa. The examiners are requested to review their recommendations. If after this, there is one acceptance and one rejection, a third examiner may be appointed.
- If two external examiners do not recommend the thesis for the award (Clause 5), Dean (Academics) may constitute a committee of experts from the institute to recommend further action or send the report to DC for their comments. If the expert committee or 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. Such a request has to be recommended by the Dean (Academics).
- If the expert Committee/DC is not satisfied with work, the student may be advised to augment the research and submit the synopsis and thesis once again. This will be sent to examiners for evaluation. If both the examiners do not recommend the thesis for the award for second time, the student is not awarded the degree and the registration is cancelled.
- Viva Voce examination can be held only when two final reports are positive.

R22. Viva Voce Examination

In a Viva Voce examination, a student makes an oral presentation on his/her thesis. The presentation is open to all. Once two external positive reports are received, the Dean (Academics) approves the holding of the Viva Voce Examination and appoints the Viva Board. The composition of the Board is as follows:

One External examiner of the thesis within the country, or a specialist in the subject nominated by the Dean (Academics) if both examiners are from abroad.	Chairman
Chairperson DC	Member
One faculty member of the department with the knowledge of the subject of the thesis and with research interest in the relevant area	Member
Research Supervisor(s)	Member and Coordinator

The other members of DC of the student will be invitees to the oral examination. The Viva Board conducts the defense of the thesis by the candidate ensuring that the student answers all the queries of the thesis examiners satisfactorily. The Chairman reports the result of the Viva Voce examination in the specific format (available in academic office) to the Dean (Academics). If the Viva Board 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 Viva Board finds the performance of the student unsatisfactory on the second occasion also, then the matter will be referred to the Senate for a decision.

R23. Award of Ph.D. Degree

If the Viva Board declares the candidate has performed satisfactorily during the Viva Voce Examination and recommends that Ph.D. Degree be awarded to the candidate, the Dean (Academics) forwards the recommendation to the Senate of the Institute. The Senate may then recommend the award of the Degree to the Board of Governors. The student must submit final version of the thesis (both soft and hard copy) after incorporating the suggestions of the examiners/ Viva Board, if any, to the academic office to keep in the library.

R.24.Conduct and Discipline

24.1. Code of Conduct

Disciplinary policies of Indian Institute of Information Technology Kottayam (IIIT Kottayam) are put in place to ensure a secure academically enriching environment for all members of the community and to promote civility on campus. Students of IIIT Kottayam are expected to show personal integrity, respect for Institute resources, and respect for others rights, for the values of scholarship and teaching. Students are expected to adhere to the institute rules and regulations.

Any violation will be handled according to the rules set forth by the Senate and Board of Governors of IIIT Kottayam. The administrators of the institute will notify parents/guardians if a student violates the Code of Conduct. Any of the following shall constitute violation of the Code of Conduct for students and makes the student liable to disciplinary action by the Institute.

- Lack of courtesy and disorderly conduct or disruptive acts (within or outside Institute premises).
- Any act that compromises the safety/security of individuals or Institutional facilities.
- Wilful damage or unauthorized removal of Institute property.
- Unauthorized access to institutional facilities/records.
- Tampering of data/records (reading, copying or destroying).
- Any act of fraud/misrepresentation/dishonesty.
- Misappropriation of any belongings of fellow students/staff/faculty.
- Adoption of unfair means during examinations or misconduct in research.

- Infringement of personal privacy.
- Ragging in any form.
- Caste/religion/ethnicity/gender/physical disability based discriminatorybehavior/remarks.
- Sexual harassment/assault.
- Possession of banned substances or dangerous items (illegal drugs, weapons, firearms etc.) that endangers safety of student himself/herself or others.
- Any act that affects the reputation/orderly conduct of the institute.

R24.2.The Disciplinary Procedure

1. The Discipline and Welfare Committee (DWC) of the Institute is constituted under the chairmanship of a faculty member by the Director. Depending on the issues of allegations involved, the Chairman of the DWC may invite additional members, for example the Coordinator of a Programme, students faculty adviser/research supervisor, Deputy Registrar (Academics & Administration) in case of academic related issues, to facilitate with the investigation.
2. DWC will investigate the allegations of misdemeanors or violation of the Code of Conduct, without bias. The DWC will subsequently submit a fact-finding report and recommend disciplinary action(s), if any, to the Dean, Student Affairs. Complaints related to caste/religion/ethnicity/gender-specific discrimination and sexual harassment will be investigated by an appropriate committee of the Institute and will report directly to the Director.
3. While hearing the disposition of the accused student(s) and witnesses, the Chairman, DWC may invite two senior student observers (with one woman and/or SC-ST observer if the accused student(s) belong to the same community), from the B.Tech-MS (5th Yr) and PhD programme respectively, to be present with the DWC.
4. The student observers are to be invited by the Chairman, DWC in consultation with the Dean, Student Affairs, from a list of nominees forwarded by the Schools. The list of nominees is valid for a year.
5. The student observers shall withdraw at the conclusion of the above and may submit their remarks (if any) in writing to the Chairman, DWC for consideration.
6. The Chairman, DWC, shall keep records of the entire proceedings of the meetings.
7. All disciplinary actions shall be notified in writing to the concerned students and their parents/guardians by the Office of the Registrar.
8. A student who feels aggrieved with the disciplinary action may appeal to the Director. The appeal has to be filed within a period of one month from the date of intimation of disciplinary action stating clearly the case and explaining his/her position and reason(s) for reconsideration of the decision.

R.24.3. Disciplinary Actions

- Violation of the Code of Conduct shall invite disciplinary action, which may include penalties such as, reprimand, fine, suspension/expulsion from the hostel, debarring from examinations, withdrawing/withholding of scholarship/fellowship/benefits or access to institute facilities, withholding of grades and/or degrees, revoking of awarded degrees, suspension for a certain period or even permanent expulsion from the Institute.
- The Senate may withhold recommendation of a student, who is found guilty of a major offence, to the Board of Governors for the award of a degree, even if the student has satisfactorily completed all the academic requirements.
- Lack of knowledge of the rules and regulations is not admissible an excuse or defense for misconduct/dishonesty, and shall not be a basis for leniency.

R.24.4. Disciplinary Action for Malpractices in Research

- Students involved in conducting research at IIIT Kottayam are expected to maintain highest standards of integrity. Any form of unscrupulous conduct will be investigated by competent authorities and could warrant a variety of disciplinary actions, in severe cases cancellation of PhD registration or even cancellation of an awarded Degree at any time.
- Research misconduct can take place in many forms, including deliberate interference with the integrity of the work of others, plagiarism, falsification of data, and fabrication of data. In particular, students are expected to observe the practice of acknowledging source(s) of information reproduced in his/her thesis, reports, publications, or seminars.
- Plagiarism includes, without citation, the appropriation of another individual(s) text, results, or ideas.
- Falsification includes actions such as not accurately representing research records or results, manipulating reagents or equipment settings, to produce a preconceived outcome.
- Fabrication includes making up data and recording them.

R.24.5. Honour Pledge

1. The student must sign and submit to the Institute the following Honour Pledge at the time of registration in the semester. The pledge must be counter-signed by the parent/guardian.

IIIT Kottayam Student Honour Pledge

- I promise, on my honour, that I will conduct myself in the Institute and outside, with decorum and decency befitting the high moral and ethical standards expected of the members of the National Institute, IIIT
  KOTTAYAM and follow its Code of Conduct, Rules and Regulations.
- I will not engage in ragging. I understand that ragging is unlawful and liable to prosecution by law enforcement authorities of the State besides any disciplinary action the Institute may take which may include dismissal from the Institute.
- I will not engage in overt/covert sexual harassment.
- I will not resort to any dishonest practice in examinations/assignments.
- I will not engage in plagiarism in my writings and will acknowledge the work of other authors according to international practices.
- I will follow the Library and Hostel regulations of the Institute.
- I understand that violation of this pledge makes me liable to disciplinary action by the Institute.

Sd/-	Sd/-
Student	Parent/Guardian

2.   The student and his/her parent/guardian should also sign, at the time of admission, the prescribed anti-ragging forms (visit https://www.iiitkottayam.ac.in/#!/antiragging) as per the stipulation of the MHRD, Govt. of India.

R.25. Library and Hostel Regulations

R.25.1. Library Regulations

1. Library Hours:
    a. Monday to Friday: 9.00 AM to 7.30 PM Saturday: 9.00 AM to 5.00 PM
       Sunday and Holidays: Closed
    b. During Exam Week: 9.00 AM to 10.00 PM.
    c. Circulation Timing:
       Monday to Friday: 9.15 AM to 5.15 PM Saturday: 9.00 AM to 12.00 Noon
2. Membership: All registered students are eligible for membership in the institute library.
3. Students can borrow maximum 4 books at a time for 2 weeks, provided they do not have any overdue book. (Note: Some books may have a shorter loan period depending on the demand)
4. Users must leave their bags and other belongings outside the Library. Only notebooks and papers are allowed inside the library. Borrowed books are allowed to be taken to the library for return/renewal only. All items taken out of the library (including personal items, if any) are to be produced for verification by the check point staff engaged in front of the library.
5. Students must carry their identity cards inside the library and it must be produced whenever asked for. Identity card is mandatory for borrowing books from the Library.
6. Strict silence has to be maintained by all users in the library.
7. Use of mobile phones, laptops, consumption of food and drinks are strictly prohibited inside the library.
8. Use of the user PC kept inside the library is allowed only for accessing library catalogue, e- journals, e-books and academic databases.
9. Return of book is mandatory before the due date. A fine of Rs. 1/- per day per book for the first week of delayed return and Rs. 10/- per day per book there after will be levied. Renewal of a book is possible only if there is no pending reservation against it. A book may be recalled any time before the due date, if it is urgently required by another member. A late fee of Rs. 10/- per day per book will be imposed for the noncompliance with the requirement.
10. Any book, including reference books can be borrowed for overnight reference, at the closing time of the library and to be returned at 9 AM on the next working day. Only one book can be borrowed for overnight reference. A late fee of Rs. 50/- per day per book for the delayed return of such book will be charged.
11. Mutilation of books in any form (e.g. underlining, writing on pages, tearing off pages, damaging the binding etc.) will lead to a heavy fine or even replacement of the book. Before borrowing a book, users should ensure the condition of the book and bring to the notice of the library staff, if any mutilation is found.
12. Members who lose/mutilate library books are liable to replace it with its latest edition along with a penalty of 20% of the total cost of the book. All such replaced books must be of the latest edition. If the book is part of a set or series they may be called upon to replace the whole set or series. In case of the lost books is untraceable in market or out of print Library Committee reserves the right to decide appropriate penalty.
13. Students must return all the books they borrowed before they go for vacation.

14. Users should obey the Library Rules and Regulations. Violation of rules and any act of misbehavior will be brought to the notice of the Library Committee Chair, and will lead to strong disciplinary action.

R.25.2. Hostel Regulations

1. Students should be either in the hostel or in the Institute. Prior permission from the concerned warden and matron have to be obtained in case the student plans to go anywhere else for a few hours. This has to be recorded in the register kept with the matron/security in the Hostel.
2. Leaving the hostel for a day or longer need prior permission from the supervisor of the student and the Head of the Department with mandatory intimation to concerned matron and warden. Students are required to fill up the leave application form available from the Academic Office and get it signed by the appropriate authority. The form should be submitted to the Academic Office with a copy to the concerned matron/ warden/security of the hostel.
3. Permanent address including the phone numbers of the parent(s)/guardian has to be given to the Warden/IIIT office. Also the address has to be updated whenever there is a change due to shifting/ change of phone number of the parents etc.
4. Any kind of loud noise in the rooms, corridors and premises of the hostel, especially during night, is prohibited.
5. Students are required to take care of their personal belongings, keep the respective rooms clean and the hostel premises tidy.
6. Students are required to take utmost care for the hostel furniture, TV, washing machines, building structure, electrical fittings etc.
7. Students should strictly avoid getting into arguments with fellow hostelites, localities and security officers/matrons of the hostel.
8. Cooking inside the rooms is strictly prohibited.
9. Guests are not allowed in hostel rooms.
10. In case of any emergency (illness, accidents etc), contact the concerned warden.
11. Please switch off all electrical equipment after usage, if found otherwise, a fine will be levied, including recovery of cost of electrical equipment/fitting/ appliances etc.
12. Please take care of your personal belongings.
13. Anti-ragging regulations of the institute have to be strictly followed in the hostels too.
14. Use of drugs/alcoholic beverages/tobacco products in the hostels is strictly prohibited. Smoking in public is a punishable offence.

Violation of any of the above rules shall make the student liable to disciplinary action by the Institute.

R.26. Power to Modify

R.26.1. In exceptional case, the Director as a Senate Chairman may at his discretion override any of the above provisions.

R.26.2. Notwithstanding all that has been stated above, the Academic Advisory Committee/Senate has the right to modify any of the above regulations from time to time.

R.27. Legal and Other Matters

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

Appendix I

For MS-Ph.D. (ii) candidates:

- First year-Two Research courses 8 credits (2 courses of max 4 credits each) Plus 12 credits of regular Ph.D. courses (including one self study course-optional) + one mandatory course(0 credit) Total=20 credits. Finish the course work preferably in the First year

- Second year: Two short term projects of 12 credits each for two semesters. Total credits=24

- Grand total of credits for two years = 44

There will be a pre-comprehensive examination to review the research work done during at the end of 2nd year and assess the student's potential for continuing the Ph.D. programme. At this point, the student shall have an option to exit the programme with an MS degree with relevant specialization offered in the respective department.

After completing the second year (4 semesters) successfully the students will begin 5th semester by merging with 3rd semester of regular Ph.D. students and then appear for comprehensive examination having,

Course work CGPA>=8.0 Not less than B

3rd and 4th semester DC will assess the quality of project

workShort term/Mini project >=C Grade.

Appendix II

For Direct Ph.D. (IIIT Kottayam)- (B.Tech.-MS and Ph.D):

- Course work in 11 and 12 semesters: 2 courses of 8 credits (max.4 credits each) and one mandatory course of 0 credit. This is decided by the DC which will be formed during their 10th semester.

- The course work has to be preferably completed in the 6th year itself

- In their third semester the student has to appear for comprehensive examination having, Course work CGPA>=8.0 Not less than B

Appendix III

For Direct Ph.D. (IIIT Kottayam)- **M.Tech.-Ph.D. (For working professionals only):**

- Course work:.The minimum credit requirement is six including one mandatory course of zero credit. The DC can have the liberty to recommend more additional courses as contact or self-study courses relevant to the topic of research.

- Course work and preliminary research work can be finished in first year and merged with Ph.D. regular candidates in their 3rd semester ie., appearing for, comprehensive examination, research work leading to publications etc,

    Course work CGPA>=8.0 Not less than B