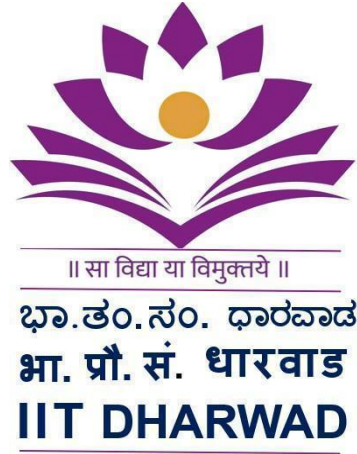


Indian Institute of Technology Dharwad



Ordinances and Regulations

PhD Program

Preface

The PhD Program at IIT Dharwad offers research opportunities under the broad disciplines of engineering, Sciences, and Humanities and Social Sciences. The program is aimed at promoting research, innovation, and critical thinking in core and interdisciplinary fields, expanding the frontiers of knowledge, and training human resources for research that caters to the needs of the nation.

The structure of the PhD Program is two-pronged involving credits accumulated through coursework followed by a research thesis. The Institute lays special emphasis on promoting research that is cutting-edge, well-defined, and impactful. It undertakes collaborations, sponsored projects, and other forms of research through engagements with organizations in the public and private sectors. IIT Dharwad also ensures the availability of motivated and research-oriented faculty to facilitate innovation.

IIT Dharwad continues to establish and upgrade the infrastructure and mechanisms for research at a rapid pace. The Institute provides exposure to a rich knowledge base for research scholars by facilitating interactions with industry experts, thinkers, scientists, and academics from India and abroad. Lectures, conferences, workshops, seminars, industry visits, and other similar avenues of thinking/learning are available to all students.

The scholars are offered opportunities to pursue research under various scholarships. The Institute caters to scholars undertaking projects and other defined academic schemes while mentoring them through experts from within the Institute and outside. Hostel facility is available to scholars during the residential period requirements of their research.

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1. Ordinances

The Ordinances of the Institute shall take precedence over the Rules in the matter of any dispute.

O.D. 1: The Doctor of Philosophy (PhD) program of the Indian Institute of Technology Dharwad (IIT Dharwad), hereafter mentioned as the Institute, is a program of Research with the governing rules and regulations formulated by the Senate of the Institute. The Senate can modify or change the structure, governing rules, and regulations from time to time.

O.D. 2: IIT Dharwad considers meritorious candidates, with appropriate research aptitude and qualifications as decided by the Senate, for admission to the PhD program.

O.D. 3: Confirmation of registration of a student in the PhD program will be considered by the senate only after the successful completion of the prescribed requirements.

O.D. 4: A student who has registered for the PhD program is awarded the PhD degree after satisfying all of the following conditions:

1. Successful completion of the minimum stipulated period of research.
2. Recommendation of the research thesis submitted by the student, for the award of the PhD degree by the referees.
3. Successful defence of the thesis by the student before the Board of Examiners constituted for the viva-voce examination.
4. Approval of the award of the PhD degree by the Senate, based on points 1-3 above.

O.D.5: The degree of Doctor of Philosophy shall not be conferred as an ad eundem degree.

2. Introduction

The Institute offers PhD programs in various areas of science, technology, and humanities. The details of the programs along with their eligibility criteria are available on the institute's website(<https://www.iitdh.ac.in/programs>) as well as in the admission brochure. (<https://www.iitdh.ac.in/phd>).

3. Academic Administration

- 3.1 The academic programs of the Institute are governed by rules and regulations approved by the Senate. The rulings of the Senate are final in all academic-related matters.
- 3.2 The Senate continuously assesses the academic programs and makes appropriate revisions /modifications/improvements through the Post-Graduate Academic Performance Evaluation Committee (PGAPEC).
- 3.3 The PGAPEC monitors the performance of individual students with inputs from the Department Post-Graduate Committee (DPGC).
- 3.4 The recommendations of the PGAPEC are then forwarded to the Senate through the Dean, Academic Programs.

4. Admission

Students may be admitted as full-time or part-time research scholars. Full-time research scholars are normally expected to carry out their research at the Institute. The part-time students need to be available full-time till they complete their coursework. They can carry out the research at their parent organization.

4.1 Full-time research scholars

A full-time research scholar can belong to one of the following types:

- 4.1.1 **Teaching Assistantship (TA):** The students admitted in this type are funded by the Ministry of Education (MoE).
- 4.1.2 **Project Staff-Teaching/Research Assistantship through Project (TAP/PA):** The students admitted in this type are funded from the specific sponsored projects.
- 4.1.3 **Govt./Semi Govt. Fellowship Awardee (FA):** (CSIR, UGC, DAE, DST Inspire, DBT, NBHM, PMRF etc.): Candidates who have been awarded any government/semi-government fellowship, specifically, for doing PhD are considered for admission under the FA category. Students admitted under this type receive their funding from the agency that has awarded the fellowship.
- 4.1.4 **Sponsored Candidates (SF):** The sponsored candidates receive their funding

from their parent organizations.

- 4.1.5 **Foreign (International) Students (FS):** International students having a valid sponsorship/ fellowship. INTERNATIONAL STUDENTS are required to register and apply through the Study In India portal (<https://studyinindia.gov.in/>).

4.2 Part-time research scholars

The part-time research scholars can belong to any of the following types:

- 4.2.1 **External Category (EX):** Candidates with at least two years of work experience in the relevant area and suitable approvals from their parent organization can apply under this category. The admission committees from the respective departments of the institute will assess whether the parent organization of the candidate has the adequate infrastructure for conducting research.
- 4.2.2 **College Teacher (CT):** Teachers of AICTE/UGC approved Institutions/ University PREFERABLY within a commutable distance (overnight train/bus journey) from IIT Dharwad with a minimum of 2 years of work experience can apply under this category with suitable approvals from their parent organization.
- 4.2.3 **Institute Staff (IS):** A permanent employee of IIT Dharwad with 2.5 years of continuous service is eligible to apply for a PhD position under this category subject to the institute norms.
- 4.2.4 **Quality improvement Program (QIP):** The admission to this category will be as per the norms of the All India Council for Technical Education (AICTE).

4.3 Rules and Regulations for Admission

- 4.3.1 The eligibility criteria for admission to the PhD program vary from one department to the other. The details of the eligibility criteria and other requirements are provided in [Annexure A](#).
- 4.3.2 In a particular round of admissions, students will be inducted only in the advertised categories. These categories are updated in every round of admissions and the information is made available in the admission brochure.
- 4.3.3 All students should submit their final year mark sheet/provisional certificates of the qualifying degree within a month of joining the Institute. The original degree certificate must be produced for verification within one year from the joining date.
- 4.3.4 Full-time candidates who are working with any organization MUST submit the relieving letter from that organization at the time of joining the Institute if they are admitted in the TA, TAP/PA, or FA category. For students admitted in other categories, No Objection Certificate (NOC) /Sponsorship certificate is mandatory. More details are available in [Annexure A](#).

- 4.3.5 Any student who is found to have concurrently registered for any postgraduate degree at another institute/university shall be automatically deregistered from the Institute.
- 4.3.6 The admission of a student may be canceled if it is found that any false information is provided or any of the facts are misrepresented by the candidate. If such a candidate has already been awarded the degree, the same may be withdrawn.
- 4.3.7 The medium of instruction, communication, and all documentation shall be English.
- 4.3.8 A full-time student should not take up any other external assignment or job before submitting the thesis.
- 4.3.9 All full-time research scholars belonging to all categories are expected to assist in academic work for the smooth functioning of the Institute.

5. Financial Assistance

- 5.1. The students admitted under the Teaching Assistantship (TA) category are eligible to receive stipend from the Institute as per Ministry of Education (MoE) guidelines.
- 5.2. The financial support for students admitted under other categories will be as per the norms of the funding agency.
- 5.3. The continuation of financial support and registration for all categories will be subject to satisfactory performance of the duties assigned by the Academic Unit/Department as well as satisfactory academic performance and fulfillment of other academic and non-academic requirements, as per Institute rules.
- 5.4. Teaching Assistants are eligible to receive Assistantship for a maximum period of five years or till the date of defence, whichever is earlier. Within this period, if the student leaves the institute after the thesis submission, and before the defence date, the student will be eligible to receive the financial support only upto the date of leaving the institute.

6. Duration of the Program

- 6.1 The minimum duration of the program is three years, including two years of research work from the date of registration. For the 'EX' category, the minimum duration is four years including three years of research work from the date of registration. ([Ref. Section 9](#))
- 6.2 The validity of the registration is six years from the date of admission.

7. Semester Registration

- 7.1 On joining the Institute, every student is required to plan their academic program in consultation with a Faculty Advisor/PhD Supervisor assigned by the department.
- 7.2 The institute follows a semester system. All students have to clear the Institute and Hostel dues and enroll in each semester until the submission of the thesis. Every student must register for each semester until they complete their thesis defence.
- 7.3 If a student does not register in a particular semester without prior permission of the Institute, they cease to be a student, and the admission is liable to be cancelled. Further, if a student does not register for TWO consecutive regular semesters, the admission will be cancelled automatically.

8. Credit requirements

- 8.1 All the students admitted to the PhD program must complete their prescribed minimum credits within two semesters of their joining.
- 8.2 One seminar course is mandatory for all students.
- 8.3 The students are encouraged to register for extra credit courses.
- 8.4 In addition to the credit requirement, the student should also fulfill the department-specific credit/ course requirements. [\[Annexure B\]](#).
- 8.5 The details about course evaluation, grade assignment, and calculation of Semester Performance Index (SPI) and Cumulative Performance Index (CPI) are given in [Annexure C](#).
- 8.6 **Applicable to students with M. Tech./M. Phil. or equivalent degree**
 - 8.6.1 The students with an M. Tech./M. Phil. or equivalent qualification must complete a minimum of 16 credits.
 - 8.6.2 Only one seminar course will be counted towards the mandatory credit requirement.
- 8.7 **Applicable to students with M.Sc./M.A. or equivalent degree**
 - 8.7.1 The students with an M.Sc./M.A. or equivalent qualification must complete a minimum of 32 credits.
 - 8.7.2 The students may earn up to a maximum of 8 mandatory credits through Seminars, which should be evenly spread (4+4) over two semesters.
- 8.8 **Applicable to students with B.Tech. or equivalent degree**
 - 8.8.1 The students having a B.Tech. or equivalent degree must complete a minimum of 46 credits, excluding the seminar course.
- 8.9 **Communication Skills (PP/NP zero credit course)**

- 8.9.1 This course is compulsory for all PhD students.
- 8.9.2 PhD students are required to clear the Communication Skills course before registration.
- 8.9.3 This course is in addition to the minimum course credit requirement prescribed.
- 8.9.4 Students having a qualifying degree from IIT who have cleared the 'Communication Skills' course during their M. Tech./M. Sc. Program are exempted from this requirement, subject to producing an appropriate transcript.
- 8.9.5 This is a Pass/No Pass (PP/NP) course. In the case of NP grade in Communication Skills, students can be given an extra chance without discontinuation from the program. Future milestones of PhD, however, may be delayed for such students due to the mandatory requirement of PP grade in the course.

8.10 Crediting Courses from other institutions

Students may be allowed to take courses from other institutes subject to the approval of the competent authority, based on the requirement and agreement with those institutes. The credits for the courses done in other institutes would be transferred to IIT Dharwad only after establishing equivalence.

8.11 Minimum CPI Requirement

The students must maintain a CPI of **6.0** for continuation in the program. Students with a marginally lower grade than the minimum required may be offered Academic Probation with the approval from the competent authority.

8.12 Qualifiers

Departments may require PhD students to clear the PhD qualifier examination in addition to the credit requirement. Respective DPGC policies with prior approval by the Dean (Academic) would be applicable for qualifiers. The details of the qualifiers are available in [Annexure D](#).

9. Confirmation of PhD Registration

- 9.1 Registration dates of all students shall be decided by the competent authority. The final approval for the confirmation of registration shall be granted by the Senate.
- 9.2 Every student must apply for confirmation of registration at the beginning of their third semester and should ensure that they have satisfied the credit requirements outlined in sections [8.1 - 8.9](#). The timeline for application is as follows.
- For students joining in the Autumn semester: 1st July to 31st August of the

year.

- For students joining in the Spring semester: 1st December to 31st January of the year.

9.3 The registration of each student for the PhD program is provisional until they complete the prescribed requirements put forward by the concerned department/program (E.g. Qualifiers, if it exists).

9.4 If a student fails to fulfill any of the requirements of registration, then the case will be referred to the PGAPEC through DPGC for further course of action.

10. Research Performance Requirements

10.1 Selection of Research topics, Areas of Research

10.1.1 The details of research topics/areas proposed by various faculty members will be made available to the students. The students are encouraged to discuss those topics/areas with the respective faculty members.

10.2 Assignment of Research Supervisor

10.2.1 Selected students shall be assigned tentative research supervisor(s) at the time of admission by the respective departments/academic units.

10.2.2 The allocation of supervisor(s) to the Research Scholars should be finalized before the first APS. This will be ratified during the confirmation of Registration of the student in the Senate.

10.2.3 Any changes to the co-supervisor/ co-guide listing must be made at least one year before the thesis submission and should be formally processed through DPGC and the Academic Office.

10.2.4 Each external student shall have one Supervisor in the sponsoring organization where they are employed along with the supervisor(s) from the Institute.

10.3 Change of supervisor

10.3.1 Once the choice of supervisor is made (viz. rule 10.2.2), the change of the Supervisor(s) shall be permitted on the recommendation of the DPGC & PGAPEC after obtaining the consent of (i) the student (ii) the present Supervisor(s) and (iii) the proposed Supervisor(s).

10.3.2 If the research program and/ or area of the work requires modification due to this change, the student's entire course program requirement shall be examined by the DPGC & PGAPEC. If there is a change in the research program and/or area of the work, the registration date may be revised, if found necessary.

10.4 Research Progress Committee (RPC)

10.4.1 The research supervisor will propose a Research Progress Committee (RPC) for the candidate to the respective Department Post-Graduate Committee (DPGC) which is designated as the approving authority for the RPC.

10.4.2 The RPC will normally consist of the Supervisor(s) and at least two other faculty members conversant with the field of research. The members of the RPC may be from within or outside the Institute. However, one RPC member, apart from the supervisor, must be from the Institute.

10.4.3 The names of the RPC members and any subsequent changes in its composition shall be communicated to the competent authority for record by the Research Supervisor, after it is approved by DPGC which is designated as the approving authority for the proposed RPC.

10.4.4 The RPC is expected to monitor the progress of the candidate until the completion of the PhD.

10.5 Annual Progress Seminar

All the research scholars shall submit a report of their work in the previous academic year and present their Annual Progress Seminar (APS) to the RPC with the frequency stated in section [10.5.1](#) till the successful completion of pre-synopsis.

10.5.1 Frequency of APS:

10.5.1.1 All PhD students are required to present a seminar (APS – Annual Progress Seminar), every year from the date of joining to the research progress committee (RPC) in consultation with the supervisor and co-supervisor (if applicable) till successful completion of pre-synopsis and submit a report of their work to the RPC.

10.5.1.2 The typical timeline for the APS is as follows.

For students joining in the Autumn semester: 1st July to 31st August of the year.

For students joining in the Spring semester: 1st December to 31st January of the year.

10.5.1.3 A PhD student will have to appear for their progress seminar once in every six months to appraise the RPC of the progress in the 5th and subsequent years of the program.

10.5.1.4 In case the previous APS was completed in the second or later attempt, the first APS attempt would be considered as the reference. The stipend of the student will be withheld if the APS is not completed on time.

10.5.2 Insufficient or unsatisfactory APS

If the work presented by a student is found insufficient or unsatisfactory by the RPC, the student has to submit a report and present APS again, after working on the comments/recommendations of the RPC, not later than three months from the previous APS

10.6 Continuance of registration and financial assistance

10.6.1 Continuance of registration - The continuance of registration of all students is subject to favorable recommendation by the RPC based on their APS.

10.6.2 Continuance of financial assistance - Continuance of financial assistance is subject to completion of the regular research responsibilities and Teaching Assistance (if applicable) or assistance in other form on a regular basis.

10.6.3 Regarding stipend increment – Any increment in the stipend (TA) would be subject to the guidelines of MoE, endorsed by the RPC and would be applicable from the subsequent month from the date of recommendation (by RPC) for increase in stipend. In case of any other funding agency, a similar process, subject to the norms of the funding agency, will be followed.

The timeline of various milestones during the PhD program is detailed in [Annexure E](#).

11. Place of Work

For the full-time scholars, it is expected that, normally, the research work is carried out within the Institute. However, if necessary, on the recommendation of the Supervisor(s), the Institute may allow the research work for the PhD degree to be partially or wholly carried out at another organization approved by the Institute.

12. Synopsis, Thesis submission and Evaluation

12.1 Pre-synopsis Seminar and thesis submission

12.1.1 Before the submission of the synopsis and thesis, a comprehensive internal assessment of the research work should be made by the RPC.

12.1.2 The RPC will assess the work through a pre-synopsis seminar and report. The student can submit the synopsis only if the panel is satisfied with the quality and quantity of the work for submission as a PhD thesis.

12.1.3 Students should submit their synopsis and thesis within four months of the successful Pre-synopsis seminar date. Failing to submit the thesis within the

stipulated time requires the process to be repeated.

12.1.4 All students must ensure that the similarity index of their thesis is within 15% [excluding references] through the plagiarism detection tools provided by the institute.

The guidelines for thesis submission are available in [Annexure F](#).

12.2 Panel of Referees (External Examiners) for Evaluation of PhD Thesis

12.2.1 The PhD supervisor(s) of the student, in consultation with the other members of RPC, will recommend a panel of External Examiners who must be at the level of Associate Professor or higher. The list should have at least 8 names, out of which, at least **two foreign examiners and four Indian examiners**. The name of the Chairperson (2 names of faculty from department other than the host department of the student) and Internal Examiner for the PhD Viva-Voce should be proposed to the Chairperson, Senate or their nominee, through DPGC.

12.2.2 The academic office will request the external examiners to be reviewers for the thesis, and after receiving acceptance, the thesis will be sent to examiners by the academic office.

12.2.3 The thesis will be sent to 2 examiners duly selected by the Chairperson, Senate or their nominee.

13. Referees' Evaluation Reports on PhD Thesis

13.1 If both the referees recommend acceptance of the thesis as it is, or with clarifications of minor points at the time of the viva voce, the defence can be held directly.

13.2 If one or both the referees recommend minor modifications in the thesis, the defence can be held only after the internal examiner (RPC member from the institute) certifies that the changes have been carried out.

13.3 If one or both the referees recommend major revisions in the thesis, the revised thesis should be re-submitted within 6 months, after incorporating the revisions to the satisfaction of the supervisors and internal examiner (RPC member from the institute). This will then be sent for further review.

13.4 If one referee recommends rejection, an opinion of a third examiner will be sought.

13.5 If both the referees recommend rejection of the thesis, the thesis in the current form is rejected. In such a case, a new thesis along with synopsis may be submitted following the procedure mentioned in Section 12.1, only once, for

review, after 1 year and no later than 2 years from the date of intimation by the Academic Office. Before the resubmission of the thesis, the candidate is required to present a pre-synopsis seminar to the RPC.

14. Board of Examiners for Defence

The Board of Examiners will be appointed by the Chairperson, Senate, or nominee and it shall consist of:

1. A Professor as Chairperson.
2. The research supervisor(s).
3. One RPC member from the Institute conversant with the subject to act as the internal examiner; and
4. One or both of the referees, who has reviewed the thesis (failing which a referee from the approved panel).

The Board of Examiners will submit its report in the prescribed form to the Senate. On satisfactory completion of the viva-voce examination, the degree may be conferred upon the student after approval by the Senate. The guidelines for viva-voce examination are available in [Annexure G](#).

15. Final Thesis Submission after viva-voce

- 15.1 After successful completion of the Ph.D. Viva-voce examination, the student will submit the form of final submission of dissertation/thesis report and a hardcopy and softcopy of the thesis to the Academic Office, within 2 months, from the date of defence.
- 15.2 The final transcripts/provisional degree certificate/final degree certificate will be issued only after receipt of the final copies of the Thesis and clearance of dues, if any. The details of the documents to be submitted along with the thesis are available in [Annexure F](#).

16. Leave Rules

- 16.1 All full-time Research Scholars are entitled for leave for a maximum of thirty days per year in addition to Public Holidays. Also an additional 10 days leave on medical reasons is permitted. The thirty days leave balance can be carried over to the next year and accumulated up to 90 days.
- 16.2 Women Scholars are entitled for maternity leave at the full rate for a period not exceeding 180 days, once during the tenure of their studentship. This should be supported by a medical certificate.

- 16.3 Male Scholars are entitled for paternity leave of 15 days once during the tenure of their PhD. This should be supported by a medical certificate.
- 16.4 No vacation in Summer/Winter is admissible.
- 16.5 Special Leave to attend Seminars/Conferences in India/abroad to present research papers is admissible, subject to the approval of the competent authority.
- 16.6 Research Scholars under CSIR/UGC and other categories are governed by the rules of the bodies which provide fin

17. Temporary Discontinuation

- 17.1 Temporary discontinuation (up to one semester) from the program may be allowed by the PGAPEC, with recommendations from the DPGC.
- 17.2 During the period of discontinuation, the student must continue to register for the semester and pay the regular semester fees.
- 17.3 The student will not be paid the TA fellowship during this period.

18. Financial Assistance for attending conferences in India and abroad

- 18.1 All full-time research scholars and 'IS' category students will be eligible to receive financial assistance from the institute for presenting a paper in national and international conferences.
- 18.2 The quantum of assistance will be as per the norms of the institute and is set to change from time to time.
- 18.3 A No Objection Certificate must be obtained from the Academic Programs Office for any visits abroad even if the candidate is not receiving any financial assistance from the institute.

The detailed guide of the same can be found in [Annexure H](#).

19. Discipline

- 19.1 Any act of indiscipline of a scholar will be referred to by the Disciplinary Action Committee (DAC) nominated by the Senate.
- 19.2 The recommendation of the DAC will be considered by the PGAPEC, which will authorize the Dean (AP) to take appropriate action
- 19.3 Appeal: The scholar may appeal to the Chairperson, Senate, whose decision will be final.

20. Change of admission category

- 20.1 The procedure for the change of admission category, from TA to PA and vice-versa, is outlined in [Annexure I](#).
- 20.2 The request for change, in any other admission category, at any stage, will be considered by the competent authority on a case-to-case basis

21. Discontinuation options

- 21.1 It is expected that a research scholar whose registration for PhD has been confirmed will normally complete the PhD program in the stipulated period.
- 21.2 In exceptional circumstances, the PGAPEC can recommend a permanent withdrawal from the program with an exit degree of M.Phil. Degree (to the students from Science/Humanities and Social Sciences Stream) / an M.S. by Research (to the students from the Engineering Stream) for the research scholars who have completed two years in the PhD Program.
- 21.3 The student must apply for the exit degree within one month from the date of intimation by the Academic Office.
- 21.4 For exercising this option, the research scholars need to submit a thesis on the work done and present a seminar in front of a committee duly appointed for this purpose.
- 21.5 The procedure of the evaluation of the thesis and the viva-voce will be the same as for the M.Tech by Research program.
- 21.6 On successful defence, this committee may recommend the award of the following degrees
 - a. M.A by Research Degree [to the students from Humanities (HEART) Stream]
 - b. M.Tech. by Research [to the students from the Engineering Stream]
 - c. M.S. by Research [to the students from the Science Stream]