

INDIAN INSTITUTE OF SCIENCE
EDUCATION AND RESEARCH
THIRUVANANTHAPURAM

*An autonomous institution under the
Ministry of Human Resource Development, Government of India*



GUIDE BOOK OF REGULATIONS FOR
THE Ph. D. PROGRAMME

2020-21

www.iisertvm.ac.in

The Indian Institute of Science Education and Research (IISER) is an Institution conceived and established by the Ministry of Human Resources Development (MHRD) of the Government of India. The mission of the Institute is to offer postgraduate level teaching of the highest international standards to school leaving (+2) students and also to conduct frontline research leading to Ph.D. Degree, in basic sciences like Biology, Chemistry, Physics, Mathematics and other Interdisciplinary Science subjects.

The seven IISERs established by MHRD are at Berhampur, Bhopal, Kolkata, Mohali, Pune, Thiruvananthapuram and Tirupati.

IISER THIRUVANANTHAPURAM CAMPUS

IISER TVM started functioning in August 2008. Indian Institute of Science Education and Research, Thiruvananthapuram is a residential campus. The permanent campus of 200 acres is at Vithura, at the foothills of the Ponmudi Hills, about 40 km from Thiruvananthapuram. The campus is fully functional since 2017. The site for the campus is blessed with rich greenery, three streams, a river running through it and a spectacular mountain backdrop.

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Regulations

About the Programme

Eligibility

1. A Master's degree in Science, Bachelor's degree in Engineering or Medicine with a First Class or equivalent.
2. The candidate must have a valid score in at least one of the following National Level Examinations: CSIR-UGC-JRF, DBT-JRF, DST-INSPIRE for Ph.D., ICAR-JRF ICMR JRF, GATE, JGEEBILS, JEST, NBHM etc.¹

Selection Procedure

Twice every year, students are admitted to the Ph.D. Program, at the beginning of the Varsha (August) and Vasanth (January) semesters of the Institute. Applications will be invited through Press advertisement and announcement at the Institute website : www.iisertvm.ac.in. Shortlisted candidates will be called for an interview at IISER Thiruvananthapuram. The names of the selected candidates will be announced at our website.

Enrollment

The successful candidate has to register for the Ph.D. Programme by producing originals of the required certificates and payment of the registration fees on the day prescribed for Registration.

Duration of the Programme

The minimum and maximum duration of the Ph.D. Programme are 5 semesters and 10 semesters respectively. At the end of 10 semesters, the

¹ as specified in the press advertisement inviting PhD applications

registration would be cancelled and any re-registration must have the approval of the Senate.

Registration

- Every student must register for the courses of a semester on the first day (registration day) of the semester.
- Registration involves payment of the prescribed fees for the semester.
- Late semester registration fee of Rs. 250/- per day to a maximum of Rs. 1750/- for a week will be levied from the first day of the commencement of the class.
- 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.

Fellowship

The following National Research Fellowships are tenable at IISER-TVM: CSIR-JRF/UGC-JRF/DBT-JRF/UGC/NBHM/INSPIRE.

In addition, if the fellowship is not available in the eligible national level examinations, institute fellowship will be provided.

Continuation of the Fellowship in a subsequent semester is dependent on the satisfactory progress of the student's work as reported by the Doctoral Committee (refer page no. 5) at the end of every semester. Fellowship stands automatically terminated at the end of 10 semesters for which the student registered.

It is mandatory that every Fellowship holder takes part in Teaching Assistant duties as assigned by the respective School. 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 of Institute interviews and examinations. Such assignments are made by the Chairman of the concerned School.

Leave

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)/PhD Coordinator.

Semester Leave

A student can avail semester leave up to a maximum of two semesters during the entire duration of the programme, on bona fide grounds. The period of semester leave will not be counted in the prescribed time limit for completion of the Programme. Students will lose financial assistantship during the period of such extended leave. The leave request is to be forwarded by the research guide and Chairperson of the school (or DC) 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.

Research work

Research Guide

After Registration, the Institute will assign a research guide(s)* to the student depending on mutual research interests. The guide is primarily responsible for the work and well being of the student.

Doctoral Committee

Each student will have a Doctoral Committee (DC)* appointed by the Institute. The Doctoral Committee consists of Head of the School or his nominee (Chairperson), guide and two members of which one may be from another school 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. 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.

***Note:**

1. For the School of Mathematics the Research Guide and Doctoral Committee will be allotted after the successful completion of the comprehensive examination.
2. For the School of Physics, the Research Guide and Doctoral Committee will be allotted at the end of the first semester.

Course work

The student should complete, within the first two years of enrolling, course work as follows:

1. Courses as prescribed by the Doctoral Committee/School, for a minimum of 12 Credits. Increase in the course requirement if needed will be decided by the Doctoral Committee/School.
2. BS-MS students of IISERs will do a minimum of 6 credits.
3. The CGPA of the completed courses must not be below 7.
4. The Committee may, at any time, prescribe additional courses.
5. Courses of the MS Programme, if prescribed, must be of the 300 level or higher (see BS-MS Guide Book for details of courses).
6. All the PhD students should take at least two 600 level three credit course out of four required courses as part of their course work and all the schools must offer the same.
7. In addition to the course requirement of PhD programme, all the students must take a non-credit course on Research Methodology before two years of completion of their PhD programme. They will be awarded satisfactory/non-satisfactory grade based on evaluation

Note: Additional minimum credit/grade point requirements may be placed by individual Schools.

Comprehensive examination

1. On successful completion of the course work, the student must take a comprehensive examination (as specified by individual Schools) in the relevant area of study.
2. In case of failure, a repeat Comprehensive Examination may be given within 6 months.
3. A second failure in the comprehensive examination will result in the cancellation of the registration of the student and removal from the rolls.
4. The Comprehensive examination must be cleared by the student in a maximum of 5 semesters from joining the Institute, failing which the registration will be cancelled.
5. 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 Oral Exam Committee on the topics of the presentations and the basics of the subject matter of the course work done.
- d. For School of Mathematics:
 - (a) & (b) refereed above to be replaced by a seminar.
 - (c) As mentioned above
- e. Weightage:
 - (a) & (b) will have 20% weightage and (c) will have 80% weightage for all schools.

Monitoring 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.
4. The DC is also empowered to recommend to the Dean (Academics) any disciplinary action in case of misconduct or unethical practices.
5. In case of any dispute between the student and the guide, the DC may consider it and recommend suitable remedy.
6. 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 School or his nominee, DC Members and external examiner, if any, as per the rule of the funding agencies. *JRF* to *SRF* evaluation should not be clubbed with comprehensive examination.

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 fourth semester, will essentially concern with the formulation of the research problem and survey of existing literature.

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) (see below) and with the approval of the Doctoral Committee.

Both the seminars will be assessed by the Doctoral Committee and will be graded as *satisfactory* or *unsatisfactory* with remarks, if any. In the latter case, a suitable course of action will be suggested by the DC.

Thesis submission

Publication requirement for the Ph.D. thesis submission

1. The student should have atleast one published/accepted paper, with student as a major contributor or the lead author, in a recognized research journal before he/she can submit the thesis synopsis. The paper(s) should cover atleast 1/3rd of the work reported in the thesis.
2. “Recognized Journal” means it should be one of the journals in the list of journals prepared and dynamically edited by the concerned School, for this purpose taking due care to avoid all predatory journals.
3. A certificate from the Chairman, Doctoral Committee, stating that the points 1 and 2 above have been complied and should accompany with the submitted synopsis.

Thesis Synopsis

The thesis synopsis is a Chapter-wise summary of the thesis. This is prepared after the go ahead from the DC. Each school will specify the publication requirements the student must satisfy before submission of the synopsis. The Synopsis is presented by the student to the Committee consisting of the Dean (Academics) and the DC members. The synopsis is evaluated by this committee. The committee may propose revisions to the synopsis, in which case, it must be revised and resubmitted.

The accepted synopsis is further processed by the office of the Dean (Academics).

Thesis Examination

SELECTION OF EXAMINERS

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

1. A panel of two external examiners will be confidentially selected by the Director from a list of a minimum of eight possible examiners (four Indian and four Foreign examiners) suggested by the DC, at the synopsis evaluation meeting. The list should contain their contact details.
2. A brief profile of the panel members on their professional expertise should accompany the list of suggested examiners submitted by the thesis supervisor to office of the Dean (Academic Affairs).
3. The panel of examiners for thesis evaluation should be experts, with at least one expert within the country, working in the relevant field 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.
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).

THESIS SUBMISSION

Electronic copy of the thesis produced in the prescribed format are to be submitted to the Dean (Academic)'s office within two months of the submission of the synopsis. The thesis is to be forwarded to the Dean (Academics) by the thesis Guide(s) and the Chairperson of the School with due certifications.

RESEARCH PROPOSAL

In addition to the thesis, the student is to prepare a detailed research proposal not directly connected with the thesis (not more than 4000 words) and submit it to the Doctoral committee within four weeks of the submission of the Ph.D. thesis. The research proposal must provide details of the idea and supporting documentation which justifies its feasibility. The

idea of the research proposal is to provide a starting point of the students' independent research career.

THESIS EXAMINERS' REPORT

The thesis is sent to all the 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 IISER-TVM. Specifically they will be asked to give *one* of the following verdicts:

1. The thesis is acceptable as such without any revision. I recommend the award of the Ph.D. degree of IISER-TVM 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 IISER-TVM to the candidate.

OBTAINING THESIS REPORTS

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.
- Monthly status report of the progress of reviewing is sent to the Head of the School/Department.
- If no report is received within 3 months of sending the thesis, a new examiner may be appointed by the Director.

FURTHER PROCESSING OF THESIS REPORTS

On receipt of both the reports, the Dean (Academics) convenes the DC to discuss the reports and to take further action. The following guide lines may be observed by the DC in arriving at their decision:

- If the verdicts from the two external examiners are either (1) or (2) , the DC may recommend holding the open Viva Voce Examination.
- If the verdicts from the external examiners are both (5), the Dean (Academics) may constitute a committee of experts from the institute to recommend further action.
- If one of the verdicts alone is (5), a third examiner may be appointed. If the third report in this case is also (5), the Dean (Academics) may constitute a committee of experts from the institute to recommend further action with the approval of the competent authority.
- Viva Voce examination can be held only when two final reports are positive.

Viva Voce Examination

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: Chairman of the Board is one of the external thesis examiners.

Members consist of : (a) Guide(s) and (b) two members of the IISER faculty with research interest in related areas.

The examiners may seek answers to the questions raised in the thesis reports.

The Chairman reports the result of the Viva Voce examination to the Dean (Academics). If the Board declares the candidate to have performed satisfactorily and recommends that PhD 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.

Copies of the thesis are to be deposited in the Central library and School or Departmental Libraries along with an abstract.

Conduct and Discipline

Code of Conduct

Disciplinary policies of Indian Institute of Science Education and Research Thiruvananthapuram (IISER-TVM) 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 IISER-TVM are expected to show personal integrity, respect for Institute resources, 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 IISER-TVM. The administrators of the institute may notify parents/guardians if a student behaves recklessly or his/her academic career is in serious jeopardy.

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 discriminatory behaviour/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.

The Disciplinary Procedure

1. The Students Disciplinary Committee (SDC) 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 SDC may invite additional members, for example the Coordinator of BS-MS/PhD Programme, student's faculty advisor/research supervisor, Deputy Registrar (Academics), to facilitate with the investigation.
2. SDC will investigate the allegations of misdemeanours or violation of the Code of Conduct, without bias. The SDC 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, SDC may invite two senior student observers, from the BS-MS (5th Yr) and PhD/IPhD programmes respectively, to be present with the SDC.
4. The student observers are to be invited by the Chairman, SDC 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, SDC for consideration.
6. The Chairman, SDC, 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 Deputy Registrar (Academics).
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.

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 and 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 an admissible excuse or defence for misconduct/dishonesty, and shall not be a basis for leniency.

DISCIPLINARY ACTION FOR MALPRACTICES IN RESEARCH

Students involved in conducting research at IISER-TVM 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 Ph.D. 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 other'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.

Honour Pledge

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

IISER TVM STUDENT HONOUR PLEDGE

- a. 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, IISER TVM and follow its rules and regulations
- b. 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.
- c. I will not engage in overt/covert sexual harassment.
- d. I will not resort to any dishonest practice in examinations/assignments.
- e. I will not engage in plagiarism in my writings and will acknowledge the work of other authors according to international practices.
- f. I will follow the Library and Hostel regulations of the Institute.
- g. I understand that violation of this pledge makes me liable to disciplinary action by the Institute.

Sd/-
Student

Sd/-
Parent/Guardian

2. The student and his/her parent/guardian should also sign, at the time of admission, the prescribed anti-ragging forms (visit <http://iisertvm.ac.in/anti-ragging-initiatives>) as per the stipulation of the MHRD, Govt. of India.

Library Regulations

1. Library hours:
 - a. Monday to Friday: 9 AM to 10.00 PM (Break 7.30 PM - 8 PM)
Weekends and Holidays: 9 AM to 5.30 PM (Break 1 PM - 1.30 PM)
 - b. Library remains open on all holidays except during January 26, August 15 & October 2.
2. All registered Ph.D. students are eligible for membership in the institute library.
3. Ph.D. students can borrow a maximum of 4 books at a time for 2 weeks, provided they do not have any overdue book. Ph.D. students, who have successfully completed their course work can borrow 10 books for 60 days. (Some books may have a shorter loan period depending on its demand). Users can borrow/return the books using the self-service kiosk installed in the library.
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.
5. Students must carry their identity cards, and it must be produced whenever asked for. Institute identity card, which serves as the library card, is mandatory for borrowing books from the library either through the self-service-kiosk or otherwise.
6. Strict silence to be maintained in the library.
7. Use of mobile phones, consumption of food and drinks are strictly prohibited inside the library.
8. Users are encouraged to use the computers kept inside the library for accessing the library catalogue, e-journals, e-books, and academic databases. Laptop can only be used in the designated place in the library.
9. Return of the borrowed 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 thereafter will be levied. Books can be renewed once, before the due date, 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 user. A late fee of Rs.10/- per day per book will be imposed for the noncompliance with the requirement.

10. Reference textbook and borrowable books can be borrowed for overnight reference, half an hour before 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 item will be charged. All library payment will be accepted online only, at periodic intervals.
11. Mutilation of books in any form (e.g., underlining, writing on pages, tearing off pages, damaging the binding, etc.) will lead to a hefty 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. Users who lose/mutilate library books are liable to replace it with its latest edition along with a penalty of 20
13. Users must return all the books they borrowed before they go on vacation.
14. Users should create a user ID and password in the library portal (<https://librarycatalog.iisertvm.ac.in/>), to reserve, renew, and to check details of books borrowed by them. Up to three books can be reserved (hold) at a time, and once the reserved book is available in the library, users will be notified by an autogenerated email. Users must follow the unspam instructions available at <http://librarycatalog.iisertvm.ac.in/unspam/alert.htm> to ensure that auto-generated emails are promptly delivered in their mailbox.
15. Users should obey copyright regulations while accessing online resources (e-books, e-journals, databases, etc.). Details of the e-resources subscribed by the institute are available at http://www.iisertvm.ac.in/pages/iiser_tvmlibrary, which can be accessed from any computer, laptop, smartphone, etc., connected to the IISER TVM network.
16. Users must obtain the no dues clearance certificate from the library before they submit their thesis or leave the institute due to the course completion, discontinuation, resignation, migration, etc. Users should submit their no dues clearance form well in advance to avoid unexpected delay in obtaining the clearance.
17. Users should obey the library rules and regulations. Violation of rules and any act of misbehavior will be brought to the notice of the institute authority and will lead to intense disciplinary action.

Deans, Heads and Coordinators

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