



# IIMU

भारतीय प्रबंध संस्थान उदयपुर  
Indian Institute of Management Udaipur

## Doctor Of Philosophy Program Guidelines 2024



IIMU

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Indian Institute of Management Udaipur



IIM  
Udaipur

# DOCTOR OF PHILOSOPHY

INDIAN INSTITUTE OF MANAGEMENT UDAIPUR PHD MANUAL

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## About the PhD Manual

The PhD Manual (henceforth referred to as “Manual”) lays out the policies, procedures, rules, and regulations governing the Doctor of Philosophy (PhD) program at the Indian Institute of Management Udaipur (IIMU).

The Manual is maintained and distributed by the PhD Office. Areas may individually distribute Area-specific regulations to their students, provided such regulations strictly adhere to the rules and regulations stated in the Manual. Areas cannot have independent manuals of their own.

All PhD students across all Areas at IIMU must abide by the Manual. Failure to do so will lead to deregistration from the PhD program at IIMU whenever this failure is brought to or comes to the notice of the Doctoral Program Committee.

Amendments, as may be deemed fit, will be made to the Manual from time to time. Always refer to the latest version of the Manual.

The decision of the Doctoral Program Committee regarding any matter related to the PhD program at IIM Udaipur will be final.

## Doctoral Program Committee

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# POLICIES, PROCEDURES, RULES, AND REGULATIONS

## 1. PhD Design

### 1.1. PhD Objective

The Doctor of Philosophy (PhD) is the Indian Institute of Management Udaipur's (IIMU) doctoral-level program designed for students with strong academic credentials who aspire to undertake demanding original research. Graduates of the PhD program will be well-equipped for a career in academia. PhD students at IIMU are expected to spend typically five years in the program. The PhD students receive a full stipend that covers the cost of tuition, accommodations, other program expenses, and a stipend for a living allowance for five years, provided they are in good standing.

As of the Academic Year 2022-2023, the PhD at IIMU is offered by the following Areas:

- Finance & Accounting
- Marketing
- Operations Management
- Organisational Behavior and Human Resources Management
- Decision Sciences

In the remainder of this document, the term “Area” will be used to refer to the four Areas as mentioned above.

### 1.2. Phases of the PhD Program

The PhD program consists of two phases: Coursework and Thesis. At the beginning of each academic year, each Area will prescribe the list of courses to be taken by their PhD students who are in their first or second year of PhD. Each student must complete all their mandatory coursework (as specified by individual Areas) during the first two years of their PhD program. They also work on a research project during each of these years. Following successful completion of the coursework and research projects, each student appears for the Comprehensive Examinations (administered by the individual Areas). After successfully clearing the Comprehensive Examinations, each student moves on to the thesis phase, which begins with the student identifying an appropriate research topic and nominating the Thesis Advisor and the Thesis Advisory Committee (TAC). The Thesis Advisor serves as the Chairperson of the TAC by default. During the thesis phase, the student will primarily work on their thesis under the guidance of the TAC. Each student may have to undertake one or more presentations of their research work (such as Proposal Defense) as may be required by the TAC or the PhD program rules. Once the thesis is completed to the satisfaction of the TAC, the student may present the work and submit it for examination. The student graduates only after the examination results in a favorable evaluation and all other requisite conditions (as may be required by the Area and/or the PhD program rules at IIMU) are satisfied by the

student. During the entire duration of the PhD, the students might be required to undertake additional academic activities such as research or teaching assistantship, attending, or conducting workshops, etc. Details regarding the events are stated later in this document.

## 2. Year 1

During Year 1 of PhD, students take a variety of courses as specified by their respective Areas, and simultaneously work on the First Year Research Project.

### 2.1. Coursework – Year 1

Students take a range of courses in Year 1, many of which are cross-functional in nature. Some of the courses may also cover specialized areas within the student's discipline. The coursework is specifically tailored for PhD students. In addition, the Areas might require the students to take a small number of MBA courses in their discipline, to help them to connect between specialized research domains and the more general and practical applications of the domain concepts. See Appendix 2 for a list of courses typically taken by PhD students in each Area. The actual courses to be taken by the students will be specified by the Areas.

### 2.2. First Year Research Project (FYRP)

During Year 1, each student is required to do a First Year Research Project and submit it for evaluation at the end of Year 1. The FYRP should be an original research project undertaken by the student under the guidance of a faculty member.

#### ■ Objective and Guidelines

The objective of the FYRP is to provide the student with hands-on research experience. Through this project, the student should gain research skills and learn how to write a paper based on a research idea. Although it is not expected that the FYRP will be published verbatim in a high-quality journal, it should demonstrate that the student can develop a strong foundation for conducting high-quality research.

The Doctoral Program Committee (herein after referred to as "DPC") does not specify details regarding what the FYRP would entail. Such details will be specified by the FYRP Guide. Overall, the FYRP should be a work-in-progress toward a (hopefully) high-quality journal publication. The written component of the FYRP may be written in the form of a paper, having typical sections such as introduction, literature review, research objectives, model/methodology, analyses and managerial insights, conclusion, references, proofs etc.

3.

#### ■ FYRP Guide

The FYRP must be done under the guidance of a full-time IIMU faculty member in the student's Area on some topic of mutual interest. Ideally, the student should choose the FYRP Guide with

consent from the identified faculty member. In case a student is unable to identify a faculty member even after sincerely trying to do so, the Area may help the student to find an appropriate FYRP Guide.

■ **Deliverables**

The project should have a written report submission, followed by a presentation to be given to the Evaluation Committee.

■ **Evaluation Committee**

A First Year Research Project Evaluation Committee (FYRP EC) will be formed by the FYRP Guide. The EC must have three (preferably) or four members (maximum), of which two must be full-time IIMU faculty members from within the student's Area. The remainder of the EC members must be faculty members from within or outside IIMU and can be from any area/specialization that may of relevance to the student's FYRP. The FYRP Guide may or may not choose to be a part of the EC. The EC will decide on the evaluation methodology.

■ **Evaluation Outcomes**

The EC must rate the student's performance in the FYRP as "Pass" or "Fail", as per the evaluation methodology decided by the EC.

■ **FYRP Timeline**

Students may begin working on their FYRP any time during Year 1. They will receive a maximum of two attempts to secure "Pass" in their FYRP evaluation. If the FYRP EC grades an FYRP as "Fail" in the first attempt, then the student may revise FYRP under the guidance of the FYRP Guide in a way that should help the student secure a "Pass" in the second attempt. If the student secures "Fail" in the second attempt as well, then the final FYRP grade will be recorded as "Fail". The final FYRP grades of the students must be forwarded to the PhD Office by all Areas, ideally by June 30th of the same academic year, to avoid possible adverse ramifications on the student's stipend and other issues as may be applicable on a case-to-case basis. At the latest, the final FYRP grades of students must be forwarded to the PhD Office by all Areas on or before August 31st of the following academic year. The timeline is fixed across all the Areas. In case of any special circumstances leading to unforeseen delay beyond the specified deadlines, the Area needs to seek approval of the DPC. The decision of the DPC will be final and binding.

■ **Conditional Promotion to Year 2**

Students who satisfy either of the two following criteria will receive conditional promotion to Year 2:

1. securing a CGPA of at least 3.0 at the end of Year 1 AND a 'Fail' in the FYRP (after at most two attempts).
2. securing a CGPA of at least 2.75, but less than 3.0, at the end of Year 1 AND a 'Pass' in the FYRP (after at most two attempts).

If the student has a CGPA shortfall, then the CGPA shortfall clause will be applicable; otherwise, the FYRP clause will be applicable. The two clauses are described below.

■ **CGPA clause**

The student must do the following:

1. They will discuss with the Area and come up with a plan for making up the shortfall in the CGPA during the second year. The plan must include repeating as many the courses as possible in the second year in which the student secured GPA of less than 3.0 during Year 1.
2. For any course that is planned to be repeated and has the same instructor during the student's Year 1 and the next, the student may seek permission from both the instructor and the Area to undertake only the course evaluations instead of repeating the entire course. If either the instructor or the Area does not permit the student to do so, then the student must repeat the entire course.
3. All courses in which the student secured an 'F' grade in Year 1 must be repeated entirely in the next year. For such courses, the student is not allowed to seek permission from either the instructors or the Area to undertake only the course evaluations. For such courses, this rule overrides rule #2 of the CGPA clause. If such a course is not offered in the next year, then the DPC must be immediately informed by the student/Area; the DPC will then recommend further course of action.
4. In case a course (in which the student secured non- 'F' grade) that is planned to be repeated is not offered in the year following Year 1, the Area can include other PhD courses (that the student did not take in Year 1) in the student's plan for making up for the CGPA shortfall.

■ **FYRP clause**

The student will have to work on a new FYRP. The new FYRP can be done under the guidance of the original FYRP Guide or some other FYRP Guide. All conditions (including two attempts) pertaining to the FYRP as described earlier will remain, with the exception of the evaluation deadline. The final grades of the new FYRP must be forwarded to the PhD Office by all Areas on or before December 31st of the academic year following the student's Year 1. If the student is unable to secure "Pass" in the new FYRP by December 31st, then (s)he will automatically receive a "Fail" grade in the FYRP.

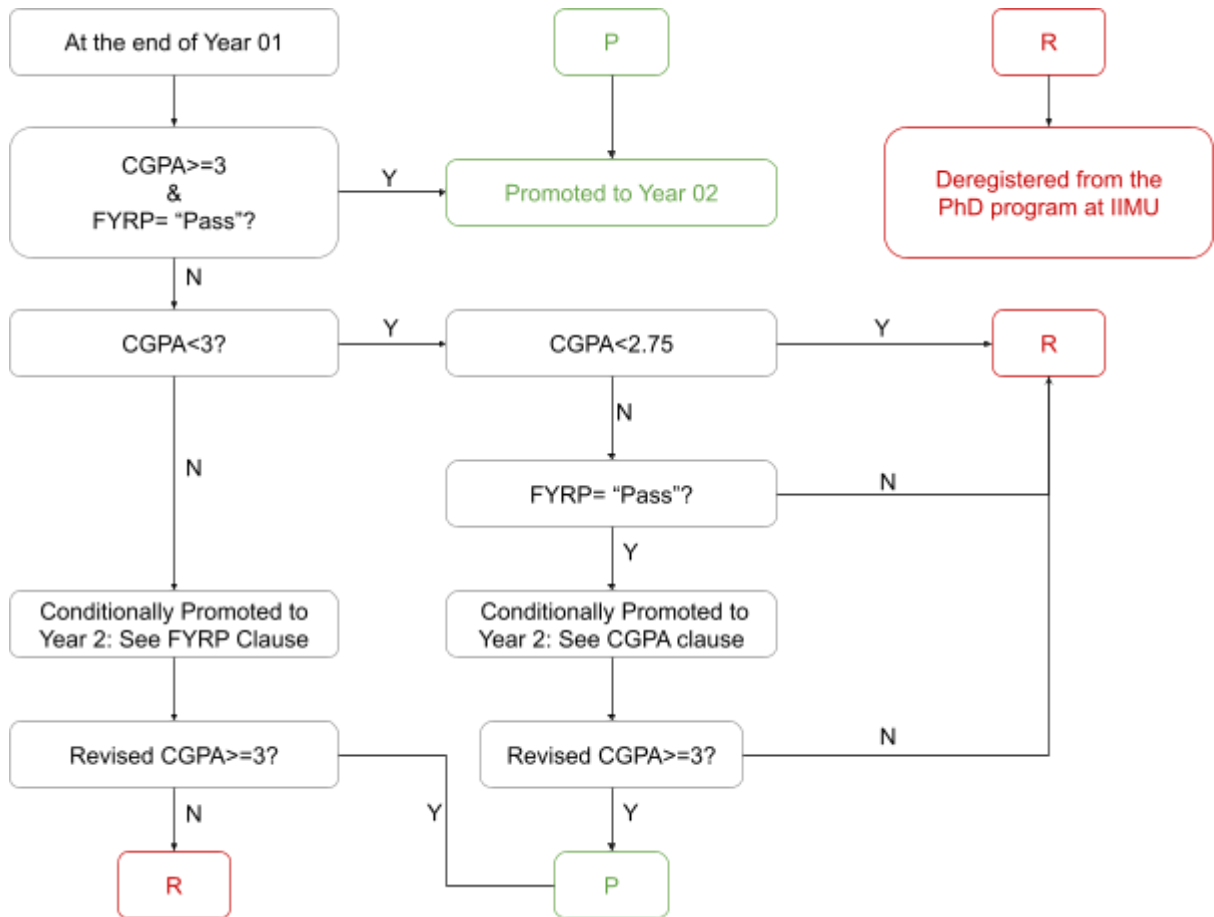
Students who are unable to meet the criteria for promotion to Year 2 following Conditional Promotion will be deregistered from the PhD program at IIMU.

■ **Promotion to Year 2**

Students who secure a CGPA of at least 3.0 AND a "Pass" in the FYRP at the end of Year 1 will be promoted to Year 2. Students who secure

neither a Conditional Promotion nor a Promotion to Year 2 will be deregistered from the PhD program at IIMU.  
 For details regarding various conditions and outcomes, please refer to the Flowchart 1 below.

**Flowchart 1: Possible outcomes at the end of Year 1**





### 3. Year 2

During the Year 2 of the PhD, students continue to take a variety of courses as specified by their respective Areas, and simultaneously work on the Second Year Research Project.

#### 3.1. Course Work – Year 2

Students continue to take a range of courses in Year 2, most of which are advanced courses covering specialized areas within the student's discipline. The Year 2 coursework is designed to help the students explore the depths of various sub-disciplines within their respective domains. See Appendix 2 for potential course structures.

#### 3.2. Second Year Research Project (SYRP)

During Year 2, all students are required to do a Second Year Research Project and submit it, at the end of Year 2, for the Comprehensive Examination Part B (provided the students meet the qualification requirements for the CE as detailed below).

- **Guidelines**

Although the DPC does not provide specifics regarding what should constitute the SYRP, the SYRP Guide and Evaluation Committee must ensure that it is not a simple literature review. The quality of the SYRP is expected to be higher than that of the FYRP. The SYRP may be a continuation of the FYRP, or it could be a completely new project independent of the FYRP.

- **SYRP Guide**

The SYRP must be done under the guidance of a full-time IIMU faculty member in the student's Area on some topic of mutual interest. For the SYRP, the student must choose the SYRP Guide with consent from the identified faculty member. If the SYRP is planned to be a continuation of the FYRP, then the SYRP Guide should be the same faculty member who served as the FYRP Guide in Year 1. Deviations will require explicit written agreement from the FYRP Guide. If the SYRP is not planned to be a continuation of the FYRP, then the student is free to nominate a faculty member to serve as the SYRP Guide who did not serve as the FYRP Guide.

- **SYRP Evaluation and Timeline**

Students may begin working on their SYRP any time during Year 2. The SYRP is evaluated during Part B of the Comprehensive Examination. Hence the evaluation and timeline of the SYRP are described under the details of the Comprehensive Examination later in this document.

## 4. Comprehensive Examination (CE)

The CE is conducted after the completion of course work to test whether the student has obtained a satisfactory level of knowledge in their field of specialization and is ready to progress to the thesis stage. The CE is a test of readiness for candidacy for someone who has successfully completed their coursework. It is an opportunity to test the student's ability to integrate knowledge across courses. The CE consists of two parts – Part A & Part B and is typically scheduled at the end of Year 2 coursework.

The CE is independently administered by each Area for their students. The CE for each Area will have both Part A and Part B.

### 4.1. Criteria for qualifying for the CE

The following conditions are required to be met by each student at the end of Year 2, to qualify for CE:

- Minimum CGPA of 3.0 across all coursework taken over Year 1 and Year 2.
  - If a student secures a CGPA of less than 2.75 instead, then they will be deregistered from the PhD program at IIMU. Hence Section 4.2 will not be applicable for this student by default.
- No uncorrected (through repeating a Year 1 course) 'F' grade in any of the courses taken by the student.

### 4.2. Failure to qualify for the CE

If a student does not qualify for the CE but has secured a CGPA of at least 2.75 across all coursework taken over Year 1 and Year 2, then they may be provided some time in the third year to satisfy the qualifying criteria. If the student is provided the extra time, then they should do the following:

- They will discuss with the Area and come up with a plan for making up for the CGPA shortfall. The plan must include repeating as many courses as possible in the third year in which the student secured GPA of less than 3.0 at the end of Year 2.
- For any course that is planned to be repeated and has the same instructor during the student's Year 1 or Year 2 and the third, the student may seek permission from both the instructor and the Area to undertake only the course evaluations instead of repeating the entire course. If either the instructor or the Area does not permit the student to do so, then the student must repeat the entire course.
- All courses in which the student secured an 'F' grade by the end of Year 2 must be repeated entirely in the next year. For such courses, the student is not allowed to seek permission from either the instructors or the Area to undertake only the course evaluations. For such courses, this rule overrides rule #2 above. If such a course is not offered in the next year, then the DPC must be immediately informed by the student/Area; the DPC will then recommend a further course of action.
- In case a course (in which the student secured a non- 'F' grade) that is planned to be repeated is not offered in the year following Year 2, the Area can include other PhD courses (that the student did not

take in Year 2) in the student's plan for making up for the CGPA shortfall.

For any student who does not qualify for the CE in any academic year, the respective Area may schedule the CE for the student at an appropriate time as deemed by the Area, subject to the student's meeting the requirements to qualify for the CE. The decision of the Area in this regard will be final and binding.

**4.3. CE Part A (Written Exam)**

Part A will comprise a written examination, through which students will be assessed on a subset of the courses that they have taken in the first two years. This subset will comprise courses that will be identified by the Area as relevant for the written examination. Areas are free to choose the format for the written examination, subject to maintaining the rigor and quality of testing. All students in an Area will be assessed on the same set of courses.

**4.4. CE Part B (Evaluation of SYRP)**

Part B will comprise the submission, presentation, and evaluation of the SYRP.

■ **Deliverables**

The project should be a written report submission, followed by a presentation to be given to the Evaluation Committee.

■ **Evaluation Committee**

A Second Year Research Project Evaluation Committee (SYRP EC) will be formed by the SYRP Guide. The SYRP EC must have three (preferably) or four members (maximum), out of which two must be full-time IIMU faculty members from within the student's Area. The remainder of the SYRP EC members must be faculty members from within or outside IIMU and can be from any area/specialization that may of relevance to the student's SYRP. The SYRP Guide may or may not choose to be a part of the EC. The EC will decide on the evaluation methodology.

■ **Evaluation Outcomes**

The SYRP EC must rate the student's performance in the SYRP as "Pass" or "Fail", as per the evaluation methodology decided by the SYRP EC.

**4.5. CE Timeline**

The CE can be held earliest on May 2nd in any calendar year. The final results of the CE should be forwarded to the PhD Office by each Area by June 30th of the same calendar year, to avoid possible adverse ramifications on stipend, TA duties, and other issues as may be applicable on a case-to-case basis. At the latest, final results of the CE must be forwarded to the PhD Office by each Area on or before October 31st of the same calendar year. The timeline is fixed across all the Areas. In case of any special circumstances leading to delay beyond the specified deadlines, the Area needs to seek approval of the DPC. The decision of the DPC will be final and binding. The CE process cannot be delayed beyond August 31st of the calendar year following the one in which the student was originally

supposed to appear for the CE. If the process is still incomplete by then, then the student will be deregistered from the program.

#### 4.6. Sequence

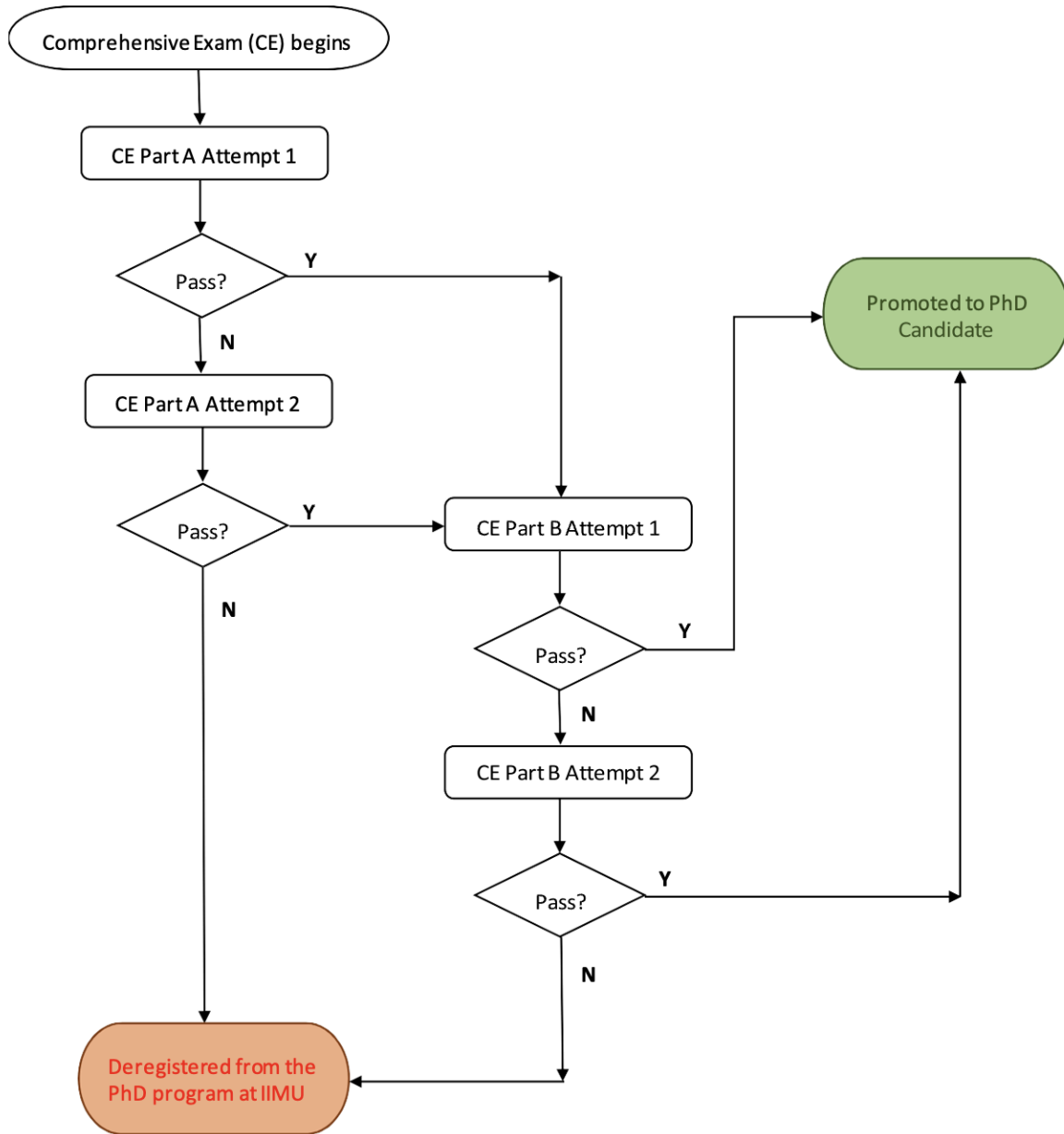
This section describes the sequence of events pertaining to the CE. Please see Flowchart 2 for the flow diagram of the sequence described below.

- Each student will first appear for Part A (first attempt).
- If the student passes, then they will appear for Part B (first attempt).
- If the student fails, then they will appear for Part A again (final attempt).
  - If the student passes in the final attempt, then they will appear for Part B (first attempt).
  - If the student fails in the final attempt, then they will be deemed to have failed Part A. Since all students are required to pass both Parts A and B to pass the CE, failure in Part A will automatically lead to failure in the CE.
- Each student who has cleared Part A will now appear for Part B (first attempt), which an Evaluation Committee will evaluate.
- The Evaluation Committee will grade the student's Part B (first attempt) performance as either "Pass" or "Fail."
  - If the student secures a "Pass" grade, then they will be deemed to have passed the CE.
  - If the student secures a "Fail" grade, then they will appear for Part B again (final attempt).
    - If the student secures a "Pass" grade in the final attempt, then they will be deemed to have passed the CE.
    - If the student secures a "Fail" grade in the final attempt, then they will be deemed to have failed Part B. Since all students must pass both Parts A and B to pass the CE, failure in Part B will automatically lead to failure in the CE.
- Students who pass the CE will graduate to candidacy immediately after the results are declared.
- Students who fail the CE will be deregistered from the Ph.D. program at IIMU and therefore cease to hold their IIMU affiliation.

#### 4.7. Promotion to Year 3 (Candidacy)

- 4.8. Students who pass the CE administered by their respective Areas will be promoted to Year 3. Such students will be referred to as "PhD Candidates" and will focus on research for the remainder of their candidature. Students who fail the CE will be deregistered from the PhD program at IIMU. There is no provision for conditional promotion under any circumstance. For details regarding various conditions and outcomes, please refer to Flowchart 2.

**Flowchart 2: Sequence of events pertaining to the Comprehensive Exam**



## 5. The Thesis Advisory Committee (TAC)

### 5.1. Formation of the TAC

- The date of passing the Comprehensive Examination will be deemed to be the date on which a formal communication regarding this is conveyed by the respective Area to the PhD Office.
- After passing the Comprehensive Examination, the student should choose a direction for research and find an appropriate full-time IIMU faculty member to serve as the Thesis Advisor within his/her Area.
- Once the student identifies such a faculty and obtains consent from the member to serve as the Thesis Advisor, the student will formally nominate the faculty member as the Chairperson of their Thesis Advisory Committee (TAC) by writing to the PhD Office.
- Following the nomination of the TAC Chair, the student will discuss with their TAC chair and identify members of the TAC.
- **Composition of the TAC:** The TAC will be chaired by the Thesis Advisor, who must be a full-time IIMU faculty member from within the student's Area (or sub-Area) and two or three more Committee Members. At least one of the Committee Members (other than the TAC Chair) must also be a full-time IIMU faculty member from within the student's Area. If the TAC comprises three members (including the TAC Chair), then the third member must be a faculty member from within or outside IIMU and can be from any area/specialization that may of relevance to the student's thesis. An industry expert might be included in the TAC only as a fourth member, subject to the other three members being chosen as detailed above. In case a student's TAC comprises four faculty members, then the fourth member may be chosen from within or outside IIMU and can be from any area/specialization that may of relevance to the student's thesis.
- Between the time a student passes the Comprehensive Examination and obtains consent from a relevant faculty member to serve as the TAC Chair, the student's Area may guide them in choosing an appropriate Advisor/TAC Chair. The onus lies on the student to identify and obtain consent from an IIMU faculty member from within the Area to serve as their TAC Chair.
- **Deadline for nominating TAC Chair:** The TAC Chair must be nominated within the first month after passing the Comprehensive Exam. If the student is unable to meet this deadline, a one-month extension will be given and if the student is still unable to meet the deadline then the case will be referred to the DPC, which will recommend a further course of action. In case of a prolonged delay in the finalization of the TAC Chair, the student may be liable for deregistration from the PhD program at IIMU.
- **Deadline for formation of TAC:** The remaining TAC members need to be finalized within the first three months after passing the Comprehensive Exam. The information about the committee and

Chair needs to be provided in writing by the student to the PhD office. If the student is unable to meet this deadline, then the case will be referred to the DPC, which will recommend a further course of action. In case of a prolonged delay in the finalization of the non-Chair TAC Members, the student may be liable for deregistration from the PhD program at IIMU.

- **Co-Advisors (if any):** A student may have at most two co-Advisors and may mention that in their CV as long as both co-Advisors agree to that. However, the TAC must have only one designated Chairperson. Everyone else in the TAC (co-Advisor or otherwise) will be referred to as “TAC members”.
- While the TAC provides guidance to the students, it is ultimately the student’s responsibility to take the lead in their research progress.

## **5.2. Progress Monitoring by the TAC**

- Every PhD Candidate must present their work to their TAC members (individually or together) at least once every year to apprise them of the student’s progress in the PhD program.
- Candidates must submit an annual progress report, validated by all their TAC members, to the PhD Office. The format of the report will be provided by the PhD Office.
- Based on the TAC’s appraisal of the candidate’s progress, further action could be taken by the TAC and/or the DPC to ensure desirable progress for the candidate. The TAC’s appraisal may also include suggestions regarding stipend payout. For example, if the TAC is not satisfied with a candidate’s progress, then it might recommend the PhD Office to temporarily withhold the candidate’s stipend in part or full. Further action will be taken accordingly.

## **5.3. Changes in the TAC**

- Candidates must write to the PhD Office for a change of TAC Chair or other TAC members, with detailed explanation for the proposed change. The Office will then take a further course of action on this request.
- The TAC Chair or members may resign from their position by providing a written explanation, with a valid reason, to the DPC. The DPC will work with the Area to arrive at a resolution that would work for the candidate as well as for all the concerned faculty members.
- If the TAC chairperson leaves IIMU during the tenure of a PhD Candidate’s thesis work, another full-time IIMU faculty member from within the candidate’s Area must become the TAC Chairperson. The former TAC Chairperson may continue to remain as an external member of the candidate’s TAC, if the new TAC Chairperson decides to retain the outgoing TAC Chairperson in the Candidate’s TAC. The new TAC Chairperson should discuss this with the Candidate before taking a decision.
- If a TAC member (other than the TAC Chairperson) who is a faculty member at IIMU leaves IIMU during the tenure of a PhD Candidate’s thesis work, then the TAC Chairperson will have the option to reconstitute the TAC by removing or replacing the TAC member. The

TAC Chairperson will discuss with the PhD Candidate to determine the best course of action. In case the TAC Chairperson decides to retain the outgoing faculty member in the Candidate's TAC, then the outgoing faculty member will become an external member of the TAC by default. Otherwise, the TAC Chairperson may simply remove the outgoing faculty member or replace them with someone else. In either case, the composition of the Candidate's TAC will change. Therefore, the TAC Chairperson must ensure that point #5 in this section is strictly followed.

- Under all circumstances, the composition of the TAC as explained in point #5 of Section. must be preserved.

## 6. Thesis Proposal, Submission, and Evaluation

Each PhD Candidate must develop a thesis proposal under the guidance of their PhD Advisor (TAC Chairperson) and the TAC. The thesis proposal is meant to serve as the guiding direction toward the completion of the candidate's PhD thesis.

### 6.1. Proposal Defense

The PhD Candidate will prepare a written report and present their PhD Thesis Proposal in the form of a seminar to their TAC, to secure the committee's approval on the proposal. The written report will be drafted in accordance with the requirements and specifications put forth by the TAC. The seminar will be termed as a "Proposal Defense". Following the Defense, the TAC will submit a single collective report to the PhD Office, rating the candidate's proposal.

as "Accept (with or without Minor Revision)", "Accept (with Major Revision)", or "Reject (new Proposal required)". Following the Defense, the TAC will decide an appropriate timeline for the candidate's next task. For example, in case the verdict on the candidate's Proposal Defense is "Reject", then the TAC will decide on a suitable timeline for the candidate to develop a new Thesis Proposal and present it to the TAC. The Proposal Defense can be scheduled, earliest, right after the TAC is formed, typically at the end of the candidate's third year in the PhD program, and, latest, at any time before the initial submission of the thesis (see Section 6.2). The candidate should forward a request for undertaking the Proposal Defense to the PhD Office, with the following information: proposed title of the thesis, abstract, written report, and proposed date for the Defense. All documents must be submitted online. The PhD Office will then take appropriate action for scheduling the Defense.

### 6.2. Initial Submission of Thesis

Each PhD Candidate must prepare their thesis under the guidance of the TAC and following the guidelines specified by the PhD Office at the time of thesis submission. The candidate must first internally secure permission from their TAC before submitting their thesis. Once the TAC is confident that the Candidate is ready to submit the thesis, the TAC Chair will first initiate the formation of the Thesis Evaluation Committee (TEC) (see Section 6.3). Once the Candidate receives intimation from the PhD Office that the TEC has been formed, they will send the initial draft of the thesis



to the PhD Office. The PhD Office will then forward the submitted copy of the thesis to the TEC members.

### **6.3. Formation of the Thesis Evaluation Committee (TEC)**

The TEC will comprise three members as follows:

- The TAC Chair,
- One other TAC member, to be chosen by the DPC Chairperson,
- One external examiner from outside of IIMU. This member will also be chosen by the DPC Chairperson. The external examiner must satisfy the following conditions:
  - May or may not be a faculty member but must hold a PhD (or equivalent degree).
  - Must not be a member of the Candidate's TAC.
  - Must not be the Candidate's co-author in any working paper or paper published in any academic journal.

Once the TAC is confident about the Candidate's thesis progress, the TAC Chair will submit the names of up to four prospective external examiners to the DPC Chairperson. The DPC Chairperson will be free to choose one of the suggested examiners for the external member of the TEC or may choose an external examiner outside of the suggestions. In case the external examiner does not respond within the timeline specified by the Institute or declines to be an examiner, then the DPC Chairperson will forward the invitation to another potential external examiner.

In case the TAC Chair is also the DPC Chairperson, then the selection of the two TEC members will be done by the Dean (Programs) following suggestions of prospective external examiners provided by the DPC Chairperson.

### **6.4. Thesis Evaluation by the TEC**

The PhD Candidate must not communicate, directly or indirectly, regarding the thesis, with any of the TEC members at any time during the thesis evaluation. Any violations of this rule by the Candidate will be dealt with strictly, and the Candidate may be expelled from the Institute.

Following the initial submission of the Candidate's thesis, the TEC members will be given 45 days to evaluate the thesis and send their comments. In case the external examiner rejects the thesis outright, then the DPC Chairperson may send the thesis to another external examiner of their choice. The new external examiner will be given 45 days to evaluate the thesis and send their comments. The PhD Office will forward all the TEC members' evaluations to the Candidate, and simultaneously to all the members of the Candidate's TAC.

Following the receipt of the comments provided by the TEC members regarding the thesis, the Candidate will revise the thesis and prepare response notes for each TEC member. The response notes must respond to each comment by every TEC member and clearly state the actions taken by the Candidate to address the issues raised.

The Candidate must submit the revised thesis and the response notes to the PhD Office, which will, in turn, forward them to the TAC members for their approval. The submission by the Candidate to the PhD Office must

occur within a maximum of 90 days after the Candidate receives all the TEC members' comments. Depending on the nature of the comments, the TAC may specify a shorter deadline within which this submission must be made by the Candidate. If the Candidate fails to make this submission within the specified deadline, then they will be deemed to have failed in their Thesis Defense and hence will be deregistered from the PhD program at IIMU.

Once the TAC is satisfied that the Candidate has adequately addressed all comments by the TEC members, the Candidate may schedule their Thesis Defense by informing the PhD Office.

#### **6.5. Thesis Defense**

For a checklist of the requirements to be met for a Candidate to receive the PhD Degree from IIMU, please see Section 9. The Thesis Defense can only be scheduled after all the requirements (except points 6, 7, and 8 of Section 9) for the awarding of the PhD Degree at IIMU are met by the Candidate.

The Thesis Defense will be in the form of a public seminar. The Evaluation Committee for the Thesis Defense will comprise the following groups of members:

- All members of the TEC,
- All members of the TAC who are not part of the TEC.

Following the Defense, the Evaluation Committee for the Thesis Defense will submit a single collective report to the PhD Office, evaluating the Candidate's Thesis as one of the following outcomes:

- "Accept,"
- "Revise and Defend Again,"
- "Reject."

In case of outcome a., the Candidate will revise the thesis if required, and submit the thesis to the TAC Chair through the PhD Office for approval.

In case of outcome b., the Candidate will be required to undertake major revisions in the thesis and submit it to the TAC through the PhD Office for approval. If the TAC approves, then the Candidate will present the revised thesis, in the form of a closed-door seminar to the Evaluation Committee, at a time approved by the TAC. The Evaluation Committee will again submit a single collective report rating the Candidate's revised Thesis Defense, but this time rating it as either "Accept" or "Reject".

If the Evaluation Committee for the Thesis Defense evaluates the Candidate's thesis (either during the first or the second instance of the Thesis Defense) as "Reject", the Candidate is deregistered from the PhD program at IIMU.

#### **6.6. Date of Graduation**

The date on which the Evaluation Committee for the Thesis Defense evaluates the Candidate's thesis as "Accept" is the date on which the Candidate will be deemed to have earned their PhD from IIMU.

#### **6.7. Final Thesis Submission**

Once the Evaluation Committee for the Thesis Defense rates the Candidate's Defense as "Accept", the Candidate will revise the thesis if required, and then submit it to the PhD Office for approval from the TAC

Chair. On securing the TAC Chair's approval, the Candidate will submit hardbound and soft copies of the thesis to the PhD Office in accordance with the Institute's rules as specified by the PhD Office.

## 7. Teaching Assistance (TA) & Research Assistance (RA) Duties:

The stipend paid to students across five years is inclusive of any Teaching/Research Assistantship duties that may be required to be performed by the students.

- 7.1. Students are required to perform TA duties for three academic years; they may begin their duties immediately after passing their Comprehensive Examinations (CE).
- 7.2. All TA duties are assigned by the Areas to their students and must be informed by the Areas, in advance, to the PhD Office.
- 7.3. Each student is required to perform TA duties worth 12 credits i.e., 90 contact hours over the third, fourth and fifth years and with a cap of 8 credits in any specific academic year.
- 7.4. The Doctoral Program students should discuss their TA ship course/s proposal/s with the Area Coordinators, or the TAC depending upon the stage of the program and then share the finalized details with the office for implementation and records purposes.
- 7.5. If a student does not pass the CE by October 31st of the calendar year in which they appear for the CE, then they will not be eligible for the relaxation in TA duties as stated in point #3 above.
- 7.6. The Areas should inform the PhD Office in case any student performs poorly in their TA duties. Such poor performance in the necessary TA duties may affect the financial support received by the student.
- 7.7. Only the TAC Chairperson can assign RA duties to a student, in addition to the mandatory TA duties assigned by the Areas. Such RA work, if any, will be capped at 10 hours per week, for at most four weeks per academic year.
- 7.8. The TAC Chairperson will inform the PhD Office about the number of hours planned, as well as the actual number of hours spent by the students performing RA duties (if any).

## 8. Beyond Year 5

- 8.1. If a student does not graduate by the end of Year 5, they may be allowed to continue their candidacy up to a maximum of two more years (i.e., up to Year 7), on the recommendation of their TAC Chair.
- 8.2. If the student does not graduate by the end of Year 7, they will be deregistered from the PhD program at IIMU.
- 8.3. A student deregistered in accordance with point #2 above may have their deregistration reversed and resume candidacy if they apply for reinstatement within two years following the date of deregistration. However, reinstatement is not automatic, and will require the approval of both the DPC and the Area in which the student was a PhD Candidate.

## 9. Checklist for Awarding PhD Degree

A PhD Candidate will be awarded the PhD Degree if and only if they have fulfilled all the conditions listed below:

- 9.1. The Candidate has completed the minimum course credits required for graduation (different Areas may have different minimum credit requirements, subject to a minimum of 52 credits). See Section 10 for details regarding course credits.
- 9.2. The Candidate does not have an “F” grade in any of the courses they have taken for credit at any stage of their PhD journey (this includes courses that the Candidate may have voluntarily taken for credit after passing the Comprehensive Examination).
- 9.3. The Candidate has secured a “Pass” grade in all courses that are graded on a “Pass/Fail” basis.
- 9.4. The Candidate has met all the requirements for completing any course or workshop that is not graded but specifies conditions for completion.
- 9.5. The Candidate has no pending TA duties or has secured waiver from the Institute on any remaining hours of TA work.
- 9.6. The Candidate has undertaken their Thesis Defense, and the Evaluation Committee for the Thesis Defense has evaluated the Candidate’s Defense as “Accept”.
- 9.7. The Candidate has submitted the final version of the thesis to the PhD Office after securing approval from the TAC Chair.
- 9.8. The Candidate has received clearance from the Administration with respect to all financial dues to be paid to the Institute as well as with respect to administrative issues such as hostel accommodation etc.

## 10. Course Credits

- 10.1. Every student is required to complete a minimum of 52 course credits during the PhD program. Individual Areas might specify higher minimum required credits for their students. Such an Area-specific requirement, if any, will be communicated to the students before the beginning of the Term 1 classes.
- 10.2. At most eight credits may be obtained through MBA courses for meeting the minimum credit requirements (52 or as specified by the Area, whichever is higher). Such MBA courses may be offered by any of the MBA programs at IIMU.
- 10.3. Students may supplement (but cannot substitute) the minimum required credits with courses either from IIMU or other institutions.
- 10.4. Students may credit more courses than what is required, to accumulate the minimum credits by their Areas, subject to approval from the relevant course instructors.
- 10.5. Students may audit courses offered by IIMU with the permission of the PhD Office and the course instructors (this option is not available for mandatory courses).
- 10.6. Students may earn credits by attending courses from other institutions or other programs. This will be approved, on case-to-case basis, by the DPC.

## 11. Typical Journey of a PhD Student at IIMU

Although each PhD student's journey is unique, the following summarizes the typical journey of a PhD student at IIMU. This is to demonstrate only a representative journey and in no way reflects all possible scenarios of any specific student's PhD journey at IIMU.

Year	Term I	Term II	Term III	Summer
1	<ul style="list-style-type: none"> <li>Year 1 coursework</li> <li>FYRP</li> </ul>			Evaluation of FYRP
2	<ul style="list-style-type: none"> <li>Year 2 coursework</li> <li>SYRP</li> </ul>			Comprehensive Exam (CE): <ul style="list-style-type: none"> <li>Part A (written)</li> <li>Part B (Evaluation of SYRP)</li> <li>Proposal Defense</li> <li>Annual Review by TAC</li> </ul>
3	<ul style="list-style-type: none"> <li>Candidate nominates TAC Chair and forms TAC</li> <li>Candidate starts TA work after passing CE</li> </ul>			
4	<ul style="list-style-type: none"> <li>Ongoing Thesis Work</li> <li>Annual Review by TAC</li> </ul>			
5	<ul style="list-style-type: none"> <li>Thesis Submission and Thesis Defense</li> <li>Signoff on Thesis by TAC</li> <li>Final Thesis Submission</li> </ul>			

## 12. Academic Discipline

The Institute attaches utmost importance to strict integrity and honesty in all segments of academic work. Any form of dishonesty, including attempts to copy or help others copy in any manner, is strictly prohibited. Unless specified otherwise by the instructor, students must not collaborate in any manner in completion of home assignments and projects. All sources of information and ideas used for completion of the assignments and projects must be explicitly acknowledged. In other words, the non-referenced part of the answer as presented to the instructor should be the independent work of each student. Canvassing for grades is strictly prohibited. Cases of indiscipline or misconduct such as mass abstention from classes, irresponsible behavior inside or outside the classes, use of any unethical practice, or violation of the rules and regulations of the program, will be dealt with severely. Marking proxy attendance for others or having attendance marked by others will attract severe punishments.

## 13. Plagiarism

### 13.1. What constitutes plagiarism

The Institute expects that students, faculty, research staff, all uphold academic integrity and practice exemplary scholarship. While submitting term papers, assignments, presentations, proposals, thesis, papers, etc., it is expected that the student who is submitting will ensure that it is their own work; they will acknowledge the work of other sources from which they have borrowed and make explicit whom they have consulted in completing their work. Failure to acknowledge consultation, help, or sources are all treated as plagiarism.

Plagiarism includes copying, colluding (working with someone inside or outside the Institute while the requirement is that the student works alone) and submitting someone else's work as yours.

Plagiarism might be in the form of:

- Copying text, ideas, figures, tables, computer code, or mathematical derivations, and presenting it as yours – this includes making slight changes and not citing the source from which you took the original idea
- Paraphrasing by substituting words, by changing the order of words or phrases, and presenting it as your own
- Paraphrasing by joining two or three short phrases from one or more sources
- Not putting quotation marks for phrases, sentences, paragraphs cited verbatim from other sources
- Making a collage by cutting and pasting from the internet and openly available sources without acknowledging the sources
- Copying from term papers, assignments from previous years' students
- Copying from unpublished sources available to a limited audience
- Presenting an idea that you may have thought of but that is also found in another place as your own, and not acknowledging who else has had the similar idea and where it has been presented
- Getting someone else (paid or non-paid) to do your work and presenting it as your own
- Copying from your own work, published or unpublished, in the past without citing or mentioning it explicitly.

If you have any doubts, please ask a faculty member or the PhD Office for further clarification. You could also refer to <http://plagiarism.org/>. Learning to cite and refer appropriately is the writer's/author's individual responsibility. Ignorance about style or rules is not a sufficient excuse to indulge in intentional or unintentional plagiarism.

Plagiarism is viewed as a serious offence, and it will attract penalties, including possible expulsion from the Institute.

### **13.2. Action to be taken by the instructor**

The Institute's approach to academic indiscipline is intended to initially be educative and corrective, rather than merely punitive. With this objective in view, the action/s to be taken by the instructor are:

- The instructor(s) shall investigate the incident of academic indiscipline, including discussion with the concerned student(s). In case the instructor feels, after looking at relevant facts and circumstances, that the likelihood of the student's having committed the act is sufficiently high, they shall recommend the penalty to PhD Office as they deem fit.
- In addition, the instructor shall counsel the student, and may further impose one or more penalties, which may include (but are not limited to) the following.
  - A suitable deduction in the student's score (or grade) in the relevant evaluation component.
  - Re-submission of assignments.
  - Additional assignments.
- Penalties that the instructor can impose are limited to the relevant course. In addition, the instructor may recommend additional penalties to the DPC.
- The instructor is required to report the incident to the PhD Office, providing relevant details of the incident (including student identities, nature of the act), action taken by the instructor (including penalty imposed, if any), and recommendations for further action (if any). The report from the instructor to the PhD Office should be sent within one week from the incident's being noted, and before grades for the course are due.
- In cases where a student has helped another student in an act of academic indiscipline, the student who provides such help shall be treated on par with the student who receives such help.

### **13.3. Action to be taken by the PhD Office and the Doctoral Program Committee**

The PhD Office shall record all instances of academic indiscipline and issue a letter of reprimand/warning to the student. Further, the PhD Office shall inform the DPC of all such instances at its next meeting.

The DPC may review the course-specific penalties levied by the instructor in case it finds them to be overly harsh or lenient. However, such reviews are expected to be rare. The DPC would also decide on any recommendations the instructor may have regarding additional penalties.

Further, the DPC will consider other relevant factors including (but not limited to) whether the incident involves a repeat offence by the student, whether the student has also shown indiscipline in non-academic matters, severity of the offence, its effect on the Institute community, as also any mitigating circumstances or actions of the student. Based on these, the DPC may decide to impose additional penalties on the student, which may include (but are not limited to) the following.

- Notice to the student that further academic indiscipline will result in more stringent penalties.
- Debarring from participation in Institute activities and events (including convocation).

- Suspension from the Institute for a period of up to two years.
- Deregistration from the PhD program at IIMU.

An appeal framework exists, and the Director of the IIMU is the final authority in all such cases.

#### **13.4. Use of Turnitin**

All assignments and reports (including FYRP, SYRP, thesis proposal, initial thesis, final thesis etc.) must be submitted through Turnitin. The same holds for paper/articles submitted outside to a conference or journal.

The Institute places the utmost emphasis on the importance of academic and research integrity. All Ph.D. students are required to complete a course on avoiding plagiarism. This course is mandatory, with no exceptions, and listed as a pass/fail course, all students who are currently in the program can move forward to the next academic year only after passing the course.

“Avoiding Plagiarism”, offered by Oxford University Press (Epigeum) is designed to ensure that students follow best practice in referencing, paraphrasing, and using citations. By taking this course, students will gain a better understanding of what constitutes plagiarism and will receive clear guidance on appropriate referencing, citation, and paraphrasing of other people’s work. Students will also be encouraged to develop a variety of strategies to help avoid both intentional and unintentional plagiarism.

The Institute reserves the right to impose fines for acts of indiscipline. As an extreme measure, a student may be expelled from the Institute for misconduct. Students may seek, through the PhD Office, an appointment with the Director, to discuss associated problems that are not resolved to their satisfaction at the level of the DPC.

If a student is expelled from the Institute for misconduct, they have the right to appeal in writing to the Director, through the PhD Office. The Director’s decision will be final.

## **14. Registration: First Year/Second Year**

All students in their first and second years of PhD are required to register on the first day of each term, unless permitted by the PhD Office to register later. Registration is required for students during start of the term. Students are required to complete a course registration form, which includes details of the courses being taken/plan of action forth term provided by the student. This can be in online format and needs to be signed off by the Area Coordinator or a person designated by the Area Coordinator.

## **15. Course Workload**

A one-credit course has five sessions, each of 90 minutes duration. As a rule, a four- credit course requires about 100 hours of work from a student, including time spent in the classroom. A four-credit course typically consists of approximately 20 class sessions of 90 minutes duration. However, instructors are free to extend the duration of sessions as may be necessary. Courses may be of



one, two, three or four-credits. Non-credit courses, with workload implications, may also be offered and/or required.

The course schedule for any academic year is subject to change and will be intimated before start of the term.

## 16. Grading System

Grades are based on a five-point scale as follows:

Grade	A	B	C	D	F
Description	Excellent	Good	Satisfactory	Low Pass	Fail
Grade Point	3.50-4.00	2.50-3.49	1.50-2.49	0.50-1.49	0.00-0.49

Doctoral Program students are not subjected to relative grading.

### 16.1. Revision of Grades Awarded

The grades given by an instructor on any segment of evaluation are final. The instructor will not be called upon to justify the grades. A student who desires clarification on the grade(s) awarded may discuss the matter with the instructor within three days after receiving the grades. If any grievance regarding grading is not resolved through discussion with the instructor, or if the instructor is not available, the concerned student may refer the matter to the PhD Office in writing within two days thereafter, who will then discuss the matter with the course faculty, if required.

Grades submitted to the PhD Office are treated as final. Any change is permitted only with the mutual consent of the instructor and the PhD Office, provided the change is communicated within seven days of the submission of grades to the PhD Office. The PhD Office will refer the matter to the DPC for final decision.

Re-evaluation of examination papers or term papers is normally not undertaken. In exceptional circumstances, however, if a student considers that the grading has been unfair, they may, within four days of receiving the grade, submit a written request to the DPC for re-evaluation. Requests for re-evaluation of Comprehensive Examinations will not be entertained under any circumstances.

At the end of first and second years the PhD Office will issue to each student a copy of official transcript of their performance for each year. The grade of a student will not be communicated to any other person or organization without explicit and written consent of the student.

## 17. Academic Standards

### 17.1. **Grade Point Average (GPA)**

The GPA for a term is the weighted average of the grade points obtained in the courses registered for by a student in that term, with the weights being the respective course credits.

### 17.2. **Cumulative Grade Point Average (CGPA)**

The CGPA, as at the end of first/second year, is the weighted average of the grade points obtained in all the courses registered for by a student up to the first/second year, the weights being the respective course credits.

### 17.3. **Expulsion from the Institute**

The Institute may ask any student to withdraw from the program at any time if the academic progress of the student is extremely poor or their conduct is detrimental to the educational process of the Institute or unbecoming of a PhD student at the Institute.

## 18. Attendance

Students must maintain regular and punctual attendance in courses. The instructor is free to adopt appropriate measure to regulate attendance, penalize absence, and ensure smooth and undisturbed process of learning in their class.

### **Minimum Attendance**

A minimum attendance of 90 per cent of scheduled sessions is required in every course. However, the instructor can specify a minimum level of attendance as an academic requirement for completion of a course. If a student fails to meet this requirement, the instructor may award an "I" (Incomplete) grade to the student or one full grade point lower than that secured by the student in that course.

In case of medical leave, due to hospitalization, exceeding the 10 per cent limit, the DPC in consultation with the instructor(s) will decide the way the course requirements are to be completed. Students are expected to prepare for the classes, as per the schedule provided by the instructors. Habitual lack of preparation will be viewed seriously.

Students may obtain leave of absence under the following rules and procedures:

- 18.1. In cases of sickness, leave application must be submitted to the PhD Programme Office as soon as possible (within the day, if possible). Information sent through email or application sent with another student is acceptable. Leave applications on the ground of sickness must be accompanied by a medical certificate or note from the doctor.
- 18.2. For grounds other than sickness, leave will not be generally granted for a period exceeding two working days.
- 18.3. The PhD Programme Office or the instructor will not be responsible for the student losing any segment or evaluation on account of his/her availing of the leave without permission.
- 18.4. In special cases the student may apply for longer leave to the PhD Programme Chairperson. This application must be accompanied by permission from the instructors involved and the academic advisor.

18.5. If a student plans to be absent for more than two days, he/she, whether staying on or off the campus, must seek prior permission in writing from the following:

- Instructors of courses that the student is crediting at that point
- Academic advisor / TAC Chairperson of the student at that point and submit the same to the PhD Office. Failure to do so is treated as an act of indiscipline. Unauthorized absence may lead to non-payment of stipend for the period of absence.

Absence without authorized leave will be considered a serious breach of discipline and the Institute will be free to take appropriate action in such cases. Penalty for the breach of academic discipline may be expulsion from the Institute.

- During non-classroom hours and in the 3rd, 4th and 5th years, students are expected to be in campus and working as per normal staff working hours
- 10 Casual Leaves + Medical Leaves are available for each student every year. Such a leave must be approved by the PhD Office in advance. In case the requested leave period coincides with PhD classes, then the respective faculty members teaching those classes must individually approve leave of absence for the coinciding dates.
- Work from home requires approval from Area Advisor/ Area Coordinator/ TAC Chairperson as per the student's stage of the program. Work from home for 90 days is allowed at a stretch and approval is required.
- Female students are eligible for maternity leave as per applicable government rules.
- Male students are eligible for paternity leave as per applicable government rules.
- For long leaves, the leaves must be approved from the subject faculty and Area.
- Failure on any student's part to conform to proper procedure for getting leaves approved will amount to gross indiscipline, and the student might be subject to disciplinary action by the Institute.
- A candidate in the 3rd to 5th year can take up paid ad-hoc assignments that do not require more than 10 hours of time per week as long as such work is in teaching, training, or research and consulting that would add intellectual value. The student can seek guidance of the Advisor if there are doubts in this regard.
- For an invalid/ un-notified absenteeism in exam, the student will be treated as having failed in the exam for the purposes on when he or she can attempt the exam again. In this case, the student will be allowed to retake the exam the next time it is offered as per regular schedule (typically, the next year). Absenteeism with a valid reason and approved leave will entitle the student for a re-test.

**Leave of Absence:** Under extraordinary circumstances, a student may obtain leave of absence, provided prior permission is obtained from the PhD Office.

**Leave is generally not granted for more than two teaching days, except for sickness requiring hospitalization. Before applying to the PhD Office**

for leave, the student is strongly advised to contact the instructors to ensure that he/she does not miss any quizzes or examinations during the leave period. Instructors have the discretion to administer substitute quizzes or examinations to students who miss them while on leave with permission.

- 18.6. Absence without leave will be considered a serious breach of discipline and the Institute will be free to take appropriate action in such cases. Any unauthorized absence can lead to expulsion of the student from the program.

**Long leave:** The long duration leave application of PhD students will be dealt with on a case- to-case basis. The leave application must be routed through the concerned area. The concerned area's views on the leave application will be sought, specifically including comments on examination, course work dependencies, and the point of re-entry into the program. The DPC would then take a decision based on the same. The student would not be eligible for stipend during the leave period.

Where a student applies for long-duration leave during the coursework period, the committee decided that if a student is permitted such leave, he/she has the option of joining back either next year at the same stage or may join back at the beginning of the next upcoming term and take up the course work of the lost terms in the next year along with the junior batch. Such student will be provided the stipend amount withheld during the leave in lumpsum after completing all the formalities for candidacy. If a student avails long-duration leave during thesis work (after clearing candidacy requirements), the program duration will extend to an equal duration of his/her leave. A PhD candidate's stipend is protected for a period of 60 months.

## 19. Residency and Financial Aid

PhD Program is a full-time residential program. The requirements for the residency are that the student should:

- 19.1. lives on campus (except when collecting data or under exceptional circumstances, and
- 19.2. not take up any permanent job.
- 19.3. All PhD students will be provided with single accommodation (or equivalent) at no charge.

In exceptional circumstances, on the request of the student, the PhD Program Chairperson in consultation with the academic advisor or TAC Chairperson may give permission to the student to stay off campus. Students permitted to stay outside the campus must provide their addresses and other contact information to the PhD Office.

The course fee is completely waived for PhD students. However, the Institute will not provide expenses towards mess charges. Students will be eligible for a stipend of INR 37,000 per month in the first year and second year. On completion of

comprehensive exams stipend will be Rs.40000/- per month. On completion of proposal defense or 12 months after clearing comprehensive exams (whichever is later), stipend will be increased to Rs.44000/- per month. Stipend will be paid up to a maximum of five years. Until the time a student has pending academic requirements, his/ her yearly increment to stipend will be held back and the same will be released as arrears on successful completion of all the pending academic requirements. Students repeating the first and/or second years are not provided stipend and contingency allowance during the repeat years.

If a student fails to complete his/her thesis defense successfully at the end of the fifth year, he/she may continue to work as a fellow without any financial aid. In such case, the student may work part time outside the institute or be associated as a teaching/research assistant to support herself/himself financially.

If a student finishes his/her defense within 5 years, the stipend will be stopped at the end of the month in which defense was held, or on the last day when the student completes all formalities and leaves the institute, or on the day before the student takes up a job, whichever is the earliest.

The institute will provide a one-time allowance of up to INR 50,000 to purchase a laptop/PC. Students will be eligible for a contingency grant to purchase books, research materials, hardware, software, stationary, etc. of INR 50,000 in the first year of the program and INR 25,000 from the second year onwards until the end of the fifth year. All payments would be subject to actuals. Doctoral students will be permitted to use a maximum of Rs. 25,000 from the First Year's stationary allowance to be used as an additional amount for purchasing the laptop. The overall stationary allowance for First Year will remain the same as Rs. 50,000.

## 20. External Funding

- 20.1. A student with full support from any external funding which is over and above the Institute's financial support will not receive stipend from the Institute.
- 20.2. A student interested in obtaining funding from an external agency may apply to the PhD Office, with complete details such as reasons for seeking funding, name of agency, period, and terms of funding, etc.
- 20.3. In case a student receives external funding, the DPC Chairperson may modify the financial support provided by the institute.
- 20.4. All academic requirements of the program will remain unchanged for externally-funded students.
- 20.5. The right of publication of any papers or articles from the thesis, in any form, rests with the co-authors of the papers or articles etc. The role and support of the Indian Institute of Management Udaipur must be acknowledged appropriately.

## 21. Paid work during the PhD Program

No paid work is allowed before the student passes the comprehensive exam. After the student has passed her/his Comprehensive Exam, the student can take up

paid work, relevant to the field of her/his research/teaching, of not more than 20 hours per week with approval from the TAC Chair (if formed) and the PhD Program Chairperson. If a student takes up paid work after his/her thesis defense and before the submission of the final copy of the thesis the monthly stipend will be stopped, and the student would be charged market rent for accommodation on campus. Taking up paid work cannot constitute a reason for extending the time limit of the time taken to complete the program. The maximum duration allowed for a student to take up paid work/assignment is six months. Further extension must be approved by the DPC.

## 22. Placement

Students are encouraged to start preparing for placement at least six months prior to the targeted date for completing all the requirements of the program. Normally, students are expected to finish all the program requirements before taking up placements. However, if the nature of student work towards the end of the program is such that it is appropriate to allow them to take up a placement before they complete all the requirements the same maybe allowed upon approval by the TAC Chairperson and DPC Chairperson. Student is then not allowed to draw stipend from the Institute once the placement is taken up and the student would be charged market rent for accommodation on campus.

The student is not allowed to take up any permanent placement, including re-joining the organization from which he/she may be on leave until all requirements of the program are completed or during the five years in which the student receives the stipend, and the years during which he/she repeats without stipend.

## 23. Presentation of Papers at Conferences

PhD students are encouraged to present papers, which have been submitted to and accepted at professional conferences. A student should obtain prior permission from the Area Coordinator/Advisor/Mentor/TAC Chairperson for travel and submit soft copies of the paper or poster presented at the conference within 2 weeks of returning from the conference before seeking full reimbursement.

IIMU encourages PhD students to attend national and international conferences/seminars to present their research papers. For this purpose, students will be eligible for a grant of INR 20,000 per year to attend national conferences/seminars, and a total of INR 2,00,000 over a period of four years to attend international conferences/seminars (outside India) subject to the acceptance of their research papers.

The current policy provides contingency grant of INR 50,000 in the first year of the program and INR 25,000 from the second year onwards. The policy also provides a grant of INR 20,000 per year for attending National Conferences. The committee has agreed that where students want to utilize the unutilized portion of the contingency grant of any given year to supplement their budget for attending national conferences, they will be permitted to do so.

## 24. Research Work

- 24.1. Research funds of up to Rs.1.5 lakhs would be available for the student to conduct his/her research. The student needs to make an application along the lines of the seed grant application and apply to the Advisor. The Advisor can approve the same.
- 24.2. The student is encouraged to seek visits in research-oriented schools abroad to conduct research while in the program. The student can use the international conference budget for such visit instead of presenting at conference.
- 24.3. Students should be guided in such a manner that they present at least one paper in an international conference before their dissertation
- 24.4. The Institute will endeavor to provide exchange programs and exposure in India and abroad. The Committee has deliberated on DUO Fellowship Program and has decided that in general, PhD students can take advantage of such exchange programs only during the fourth and the fifth year, with permission from Area
- 24.5. The student can outsource parts of the research work, such as data collection, transcription, writing of code, after getting concurrence from his/ her PhD Advisor. The PhD Advisor may provide approval for such requests that do not outsource any core intellectual component of the research.

## 25. International Exposure

IIM Udaipur's doctoral program is designed for students who aspire to become globally acclaimed scholars in their field. At IIMU, we believe that giving students ample opportunities to network with global peers through international exposure would play a key role in transforming Indian students into global scholars.

### **International Academic Conferences**

IIMU encourages PhD students to attend international conferences/seminars to present their research papers. For this purpose, students will be eligible for a grant of INR 2,00,000 over a period of four years to attend international conferences/seminars (outside India) subject to the acceptance of their research papers. Students are also encouraged to seek visits in research-oriented schools abroad to conduct research while in the program. The student can use the international conference budget for such visit instead of presenting at conference. Students are typically guided in such a manner that they present at least one paper in an international conference before their dissertation. Attending leading international conferences from their field allows PhD students to gain a global perspective on cutting edge research theories and methods and also provides them networking opportunities with academic peers and experts.

Students are also eligible to receive an additional funding of INR 2,00,000 to attend another international conference if they co-author a paper with an IIMU faculty member which gets accepted at a FT50/ IIMU A\* journal list during the tenure of their PhD program.

### **Semester Abroad (Merit-based)**

The institute will fund an international immersion for up to two students (merit-based) in a year—enabling them to spend four months at an esteemed university abroad. The student will get assigned to an esteemed faculty from the host institute who will be their study-abroad “guide”. During their stay, the student can ideally assist on research projects, attend seminars and engage with the labs/ research centres of the host institute. The program will cover travel costs, living expenses, medical insurance (actual) and contingencies for the period. This is a unique offering in IIMU that is not currently available at any other IIM.

## **26. General Conduct**

- 26.1. The Institute attaches utmost importance to strict integrity, honesty, and general conduct of the students. Any violation of the above may lead to expulsion from the Institute.
- 26.2. Smoking, drinking, and eating in the classroom & hostel blocks are prohibited.
- 26.3. Mobile phones, communication devices, cameras, and audio-video gadgets (either switched on or off) are not allowed in the classrooms and during other academic activities such as examination, quizzes, guest lecture, etc. The Institute will confiscate any such gadgets found.
- 26.4. Students are not permitted to deal with the Institute employees including contract workers directly. Any complaints regarding workings/behavior of such employees should be reported to the concerned administrative heads.

## **27. Hostels and Student Activities**

The PhD is a residential program. All PhD students are required to stay in the Institute’s hostels unless exempted from this condition in special cases also by the Director. The Council of Student Affairs (CSA) manages extracurricular activities of the students.

**The Institute reserves the right to change these rules any time without notice.**



# Appendix 1

## PhD Academic Calendar 2024-25

### First Year

Registration & Orientation	Friday June 28, 2024
First Term Classes Begin	Monday, July 01 2024
First Term Ends	Saturday, September 21, 2024 (13 Weeks)
Second Term Registration	Monday, September 30, 2024
Second Term Classes Begin	Monday, September 30, 2024
Second Term Ends	Saturday, December 21, 2024 (13 Weeks)
Third Term Registration	Monday, December 30, 2024
Third Term Classes Begin	Monday, December 30, 2024
Third Term Ends	Saturday, March 29, 2025 (13 Weeks)
Term-Break	<ol style="list-style-type: none"><li>1. Sunday, September 22, 2024, to Sunday, September 29, 2024 (8 days)</li><li>2. Sunday, December 22, 2024, to Sunday, December 29, 2024 (8 days)</li></ol>

## Appendix 2

### Typical Courses Taken by PhD Students

Year	Term	Core Courses				DS	Cross-functional courses #
		MKT	FINAC	OM	OBHRM		
I	1				Organizational Theory	Fundamentals of Information Systems Research	Probability and Statistics
	1						Microeconomics
	2	Contemporary Marketing Research	Stochastic Processes	Stochastic Processes	Organizational Behavior	Operations Research I	Behavioral Psychology
	2		Operations Research	Operations Research		Statistical Learning	Research Philosophy
	3	Consumer Behavior	Financial Derivatives	Principles of Inventory Control	Human Resource Management		Econometric Methods- I Multivariate Statistics
II	4	Marketing Strategy	Empirical Asset Pricing - I	Supply Chain Management		Operations Research II	Econometric Methods-II
	4	Mkt Models - 1	Seminar in Empirical Market Microstructure				Seminar in Sustainability and Operations Management
	5		Corporate Finance Doctoral	Empirical Research in Operations Management		Statistical Computing	Qualitative Research Methods
	5					Empirical Applications in Information Systems	
	6	Mkt Models - II	Time Series Analysis				Experimental Methods in Consumer Research
	6	Consumer Culture Theory	Research in Accounting	Analytical Modeling in Operations Management	Research Methods in OBHRM		Management Theory

# The respective Area will decide on the course mix including the number of cross- functional courses to be taken by the students of the respective area.

In addition to the PhD courses, some areas might make it mandatory for the students to credit a few MBA courses as well

## Appendix 3

### **Examination Rules and Regulations**

1. Occupy the seat allotted to you in the seating chart.
2. You must reach the exam hall at least five minutes before the scheduled start of the examination. Students arriving late for a quiz will not be allowed to take the quiz and will get zero marks for that quiz, and no re-quiz will be allowed, nor will extrapolation be allowed based on marks they scored in other components. In the case of mid-term exams and end-terms, students arriving late for the exam (by more than 15 minutes after the scheduled start of the exam) will strictly not be permitted to write the exam. Such students will get zero marks for that exam, and no re-examination will be allowed, nor will extrapolation be allowed based on marks they scored in other components.
3. Students would ordinarily not be permitted to go out of the examination hall. Under exceptional circumstances, permission to go out may be granted two hours after the examination has started. However, only one student at a time will be allowed to go out and the period of their absence from the examination will be recorded in the movement chart.
4. Do not refer to any book, paper, or other notes, unless it is an open book examination.
5. In an open book examination, refer only to books and notes that you have brought to the examination hall. Do not borrow books brought in by others.
6. Verbal Consultation with other students is prohibited.
7. Passing, receiving, or seeing others' papers during the examinations is strictly prohibited. Anyone who willfully provide assistance will be considered as guilty as he/she who receives it.
8. At the close of the examination, the supervisor on duty would collect the answer books from the desk and therefore students should stay back until their answer books are collected. However, those who finish the examination at least fifteen minutes prior to the closing time could leave the hall earlier after handing in the answer books to the supervisor.
9. Under no circumstances are the answer books and continuation sheets to be taken out of the classrooms. Handing in the answer books is the responsibility of the student.
10. Penalty for the breach of examination rules and regulation may result in expulsion from the Institute

## Appendix 4: Hostel Rules

### A. Allotment of Rooms

- Allotment of rooms will be done by Qness and CSA (Council of Student Affairs).
- Students who have been allotted accommodation in the hostel are required to occupy the rooms allotted to them by the Institute. Interchanging of rooms among residents is not permissible.
- Students can occupy their rooms until the day after their last final examination. They are not allowed to lock up their luggage in their rooms during summer vacation. Storage facilities, if required may be provided by the PhD Office.

### B. Check in and Check Out Rules

- Hostel rooms should be vacated during the vacation period by duly handing over charge of the Institute's articles in the rooms by duly handing over the rooms along with furniture and fixtures. Students failing to vacate the rooms are liable to be penalized.
- Duplicate keys will be issued only at a payment of Rs. 500/-. Time of issuing duplicate keys is between 9 AM to 6 PM on all working days.
- Room inventory form to be filled and signed during check in and check out by the students in the hostel.

### C. Maintenance of Rooms

- Students are expected to keep their rooms clean. Sweepers appointed for the hostel are meant to keep hostel premises clean and hygienic. Students can get their rooms cleaned in their presence.
- Students should allow the Institute's authorized contractor's access to their rooms at all reasonable hours to inspect the buildings, water supply, sanitary or electrical installations, fixed assets, and furniture, etc. to carry out repairs.
- They cannot employ Institute staff for personal work.
- They are expected to be always courteous to the Institute employees.
- Administration of IIMU reserves the right to break open rooms in case of any violation of hostel rules, suspected unlawful activities or on a perceived security risk.

### D. Common Facilities

- Students should safeguard common facilities provided in the hostel. In case of any damage, the cost will be recovered from the students causing damage and if the students are not identified, the students of that block will be charged the cost of the damage.
- Students are advised to use the resources such as water and electricity very judiciously as there is a scarcity of water and power.

**E. Assets in common areas:** theft\damages to hostel assets like electronic, electric item in common areas shall be recovered from the all the students of the cluster involved. Every student is responsible for the care of the hostel property. Students shall be charged individually or collectively for damages to the hostel properties including furniture, cupboards, etc. provided in the room.

- Students should cooperate in maintenance work carried out by maintenance team.

## **F. Management of Rooms**

- Students should take sufficient care of their belongings. All items, including clothing, must be kept in the cupboard and the cupboard locked before going out. The Institute will not be responsible for any loss of belongings due to carelessness of residents. However, theft cases, if any, should be brought to the notice of the Hostel in-charge for further investigation.
- Whenever students go out of their rooms, they are required to switch off the lights, fans and lock the rooms.
- Student shall NOT use other lock and key for locking their rooms.
- Fixtures: Students shall NOT bring any extra furniture or other fixtures in the room. All furniture and fixtures in the rooms allotted to students shall be cared for properly. Students shall be required to pay double the original cost of institute's item found missing. Students also will be required to pay twice the charges of repair to items that are found to have been willfully damaged or damaged on account of misuse or unfair wear and tear.
- Interchange of furniture\fixture: Students shall not interchange any furniture\fixture, equipment from one point\location in the hostel to another.

## **Facilities available on campus**

- **Medical Facilities**

The medical facilities on the campus are being managed by GBH-American Hospital. The Primary Health Center is open round-the-clock. A resident Nurse will be available in the health Centre. The Doctor will be available for free consultation from 3 PM to 7PM (Timing may change as per discretion of management). The expenses for medical tests, specialist charges, hospital charges, medicines and such other charges must be borne by the students.

All students are required to avail medical insurance under Mediclaim Scheme and accidental insurance provided by institute. Since it is a group medical insurance scheme, students cannot opt out of the scheme. Students are advised to keep the identity card issued by the Insurance Company with them, as this will facilitate obtaining hospital facilities without cash payment.
- **Canteen (Night Canteen)**

We have made an agreement with M/s Aradhana Hospitality Pvt. Ltd. to operate night canteen in our campus catering to your needs.
- **Day Canteen**

The institute has a general store where you can buy Snacks & Stationery items. If you have any specific requirement, you must inform the vendor at least a day in advance. The store is open from 10:00 am to 5:00 pm.
- **Pantry**
  - i. It includes the following which will be placed in each cluster in the common area:
  - ii. Induction Cooker
  - iii. Refrigerator
  - iv. Microwave
  - v. Students are not allowed to take any of the above pantry items inside their rooms
  - vi. The cost of any pantry items missing will be charged from the Caution Deposit of all the students residing in that cluster.

- **ATM** - Bank ATM facility is available in the academic building
- **GYM** – Institute has made facility of a full-fledged gym with all the required equipment's near the hostel area. Usage as per gym policy as been updated time to time by CSA Members
- **Salon** – Institute has facilitated salon facility in coordination with salon vendors on chargeable basis.
- **Music Room** – Various music instruments are available to suit the requirements of the music club.
- **Indoor Sports Room** - Indoor games such as badminton, chess, snooker, table tennis etc. are available in the indoor sports room.
- **Other Sports Facility** - A sports ground is available for playing games like cricket, football, and volleyball.
- **Laundry Facility**  
The clusters have laundry facilities (washing machine). Additionally, laundry services will be started by a third party and will be charged separately. The contact details will be shared in due course.

#### **Other Facilities**

- i. Inside Rooms
- i. Study table
- ii. Chair
- iii. Bed
- iv. Mattress
- v. LAN cable
- vi. Air conditioning
- vii. Curtains
- viii. Wardrobe
- ix. Room key
- x. Wardrobe key

#### **Common area**

- i. RO water
- ii. Water dispenser for hot and cold water
- iii. Clothes dryer stand
- iv. Solar water heater
- v. Electric Geysers as alternative
- vi. Washing machine
- vii. Printer
- viii. Microwave
- ix. Refrigerator
- x. Induction cooker
- xi. Newspaper

## **Mess Facilities**

Students of the hostel are required to use the mess facilities.

### **Mess Timings:**

On Working Days :

Breakfast	-	7.30-10.00 am
Lunch	-	01.00-3.00 pm
Afternoon Tea	-	5.30-6.30 pm
Dinner	-	8.00-10.30 pm

On Sundays & Holidays:

Breakfast	-	8.00-10.30 am
Lunch	-	01.00-3.00 pm
Afternoon Tea	-	5.30-6.30 pm
Dinner	-	8.00-10.30 pm

### **Sick Diet**

Sick diet is served in the room only if the student is unable to move out. Sick diet is provided for a maximum of three days if a written request is made.

The written communication from PhD Office is necessary.

An advance notice of at least two hours is necessary to enable the mess to provide sick diet.

Usual sick diet is as follows:

Breakfast	:	Toast/Bread, Butter, Cornflakes, Coffee/Tea/Milk
Lunch/Dinner	:	Bread, Butter, Boiled Vegetables, Soup, Coffee/Tea/Milk

### **Complaint Management**

1. M/s Quess Corp. Ltd looks after the Facility Management Services. The services comprise the following:
2. Housekeeping Services (Academic Block and Hostels)
3. Catering Services
4. Technical Services (Mainly Electrical, Plumbing, Carpentry, and Masonry)
5. All complaints related to facility management services should be registered with the helpdesk of M/s Quess Corp. Ltd, Cell Number: 9773330709. E-mail: helpdesk@iimu.ac.in
6. You will have to register your complaint along with your mobile number so that the concerned technician can reach you to know your availability in the room.
7. Complaints relating to housekeeping will be received between 9:00 a.m. and 6:00 p.m. on all working days.
8. In case the complaints are not attended to within a reasonable period, you may report the matter to Mr. Sandeep Singh Chauhan, General Manager, M/s Quess Corp. Ltd. His cell number is 9773330714 and email id is sandeep.chauhan@quesscorp.com between 9 AM to 6 PM on working days.
9. Any issues related to loss of keys and for issuing new keys shall be addressed by M/s Quess Corp. Ltd, @ 9773330709 or email at @ helpdesk@iimu.ac.in from 9 AM to 6 PM on all working days.

## **Security**

1. Students are advised to view this measure not as an intrusion but as a security precaution.
2. Students should carry their ID cards while entering the campus.
3. Students should show their driving license before entering with their two wheelers.
4. Vehicles will be allowed only till the parking area.
5. When a guest comes to meet a student, he/she should confirm the same at the Institute Main Gate. This may, at times, require the students to escort his/her guest from the Main Gate. Students/their guests are advised to enter the name of the guests, vehicle details, etc. in the Register clearly.
6. Students are required to cooperate with the Institute's security.

## **Strict Prohibitions**

1. Consumption or storage of alcoholic drinks, smoking, taking drugs and other intoxicants in the hostel premises is strictly prohibited. Violation will attract a stiff penalty, such as expulsion from the Institute.
2. Driving in an inebriated state is strictly prohibited and students doing so will be handed over to the law. It is compulsory to wear a helmet when driving and also have a valid driving license.
3. Entry into the premises of the hostel in an inebriated state is also forbidden and attracts strict disciplinary action as mentioned above.
4. Bringing four wheelers in campus is prohibited.
5. Storage of petrol, kerosene oil or any other inflammable material in the hostel is not permitted.
6. Students are not permitted to allow guests to stay in the rooms.
7. Students are not permitted to do any cooking in their hostel rooms. They are also not permitted to use any electrical appliances like water heating rods, electric heaters, or electric presses in their rooms.  
Students should ensure that other residents are not disturbed by his/her activities in any manner. Students are expected to treat the campus and hostels with a sense of ownership.
8. Littering the hostel corridors is prohibited.
9. Students are prohibited to go to the terrace of the hostel
10. Playing loud music in rooms and in common areas is prohibited.
11. Using the dining hall for any activities other than dining like playing games, late night study is prohibited.
12. The usage of audio system which may cause inconvenience to other occupants is not allowed. The use of personal TV, VCR and DVD\VCD is prohibited.
13. Keeping any firearms, licensed or unlicensed, any ammunition, explosives, any sharp-edged weapon, retention of which is illegal and unlawful, in the hostel is not permitted.
14. Partying without management's approval will not be allowed. Violation of this policy incur strict disciplinary actions.
15. Shouting in the hostel corridors is not permitted.
16. Students are strictly not allowed to keep any pets or encourage the domestication or feeding of stray animals.
17. Students are not permitted to write/spray or paste any material on the walls and doors anywhere on the campus.



If found, the charges for removing such material will be recovered from the students. Students are strongly advised not to have any financial dealings of a personal nature, like lending money, with any employee of the Institute.

**No gambling of any kind shall be allowed in the premises of hostel.**

Students are not allowed to stay outside the hostel. When such stay becomes inevitable, they must obtain prior permission of the PhD Office.

In case of emergency, including sickness, hospitalization, accidents, etc. the PhD Office official or other authorized institute personnel may be contacted.

**Night out:** Students must be on hostel premises by 11 p.m. sharp without fail. Moreover, night out shall not be allowed without PhD Office written approval. If the student comes after 11 PM then she\he will be allowed to enter only on permission of Senior Administrative Officer - Programs. They will also have to sign the late-night register. Student who has taken night out will be allowed to enter only after 6 AM in the morning.

**The Institute has a strict zero-tolerance policy towards Ragging and Sexual Harassment. Any formal complaint can be lodged with the PhD Office through email or signed letter. Violation of any of the rules contained in the Manual will lead to strict action including expulsion from the Institute.**

In case of emergency after office hours, the following persons can be contacted:

Contact person	Designation	Mobile
Mr. Siva Kumar Mathada	Chief of Administration	9742068904
Ms. Shanu Lodha	PhD Programs Officer	9116654520
Mr. Yashwardhan Singh Ranawat	Administrative Officer - Student Affairs	9828091569
Ms. Garima Tank	Programs Assistant - PhD Office	9799288821
Mr. Manoj Saini	Security & Housekeeping	9414322565
Mr. Shyam Murari	IT	9309491051

## Appendix 5

### Computing Facilities at IIM Udaipur

#### **Infrastructure**

Computing facilities at IIMU consist of several servers hosting a variety of operating systems (Linux and Windows Server 2012/2016/2019) offering services to more than 1000 PC nodes located all over the campus along with the student's computer systems. Almost every workplace in the campus including all hostel rooms, faculty offices, classrooms, Bloomberg lab and administrative offices, have dual network connectivity (Wi-Fi and Gigabit LAN). Through this campus network, students also have access to a server of IIMU library offering databases subscribed to by the Institute, Domain controller, Internet, Intranet, and other campus software. The campus network is a switch-based network with FTP CAT-6A cabling, offering high bandwidth and a smooth operating environment. The campus users have access to the Windows-based/ Mac-based Office suites consisting of the spreadsheet, database management, word-processing, and presentation software systems. Various software's are also offered including several language processors, statistical, math programming, simulation, project management, CASE, ERP and client-server database software packages.

**Networking:** IIMU has the network spread in the academic block as well as student's hostels. The entire network is virtually segregated as Data Network, Voice network, and management network. All the locations are covered with Wi-fi as well as Gigabit Ethernet LAN on CAT 6A infrastructure. The campus Wi-Fi is a seamless mobility solution for complete mobility. All the hostels are connected through High-speed fiber optic network. Every Hostel room has got the I/O port for connecting laptops via LAN cable though they can use the Wi-Fi as well.

**Internet:** The campus is connected with 2 X 1Gbps Internet link on Optical fiber from BSNL and NKN. There is a backup link from private ISP for 500 Mbps to fall back in case of outages and emergencies. The same connectivity is provided in the hostels through optical fiber ring. The entire network inside IIMU is protected with a UTM box. IIMU also provides VPN connectivity to the students traveling on request to access the internal resources as well as the e-journals subscribed and having access through IIMU campus. All the activities and traffic going through the box is logged for legal compliances.

**Printers:** Few shared network printers are provided in hostels for the students. Students are charged a nominal amount based on the number of prints. All the printers are duplex for automatic two side printing.

**Domain:** The entire campus IT infrastructure is managed through a central Domain controller that is responsible for authentication and authorization. The Group policy is used to deploy printers on the systems dynamically as they connect to the Domain. The prints are to be provided through shared printers and are accounted by the server. It is mandatory for students to get their laptops connected to the IIMU domain without which no internet will be provided to them

**Mail:** The mailing solution is deployed on Google apps and all the facilities default to Google Apps is accessible to the students. This includes Mails, Google Drive, Google calendar and so on. The mail can be accessed from within the campus or outside the campus on Gsuite

servers. Reasonable and responsible use of mails is the responsibility of the students, and the institute reserves the right to block the mail of any student any time in case of any behavior considered as inappropriate by IIMU. Please read the E-mail policy of the Institute for effective uses of the email services of IIM Udaipur.

**Video conferencing:** IIMU has Video conferencing facility in conference rooms as well as classes to communicate with faculty as well as others from the outside world. The devices are connectable from Microsoft Skype/Teams, Google Meet, zoom etc. so as to provide the facility to people who are on the move.

**Microsoft Campus Agreement:** The Entire campus is covered under the campus agreement from Microsoft. All the students get the Latest Operating system (Professional version) from Microsoft along with the MS Office 365 package. Besides this Microsoft also provides CAL's to connect to the server infrastructure. Almost all the packages used in IIMU are compatible with MS Windows OS.

**IIMU web:** The IIMU web can be accessed at <http://www.iimu.ac.in>. The contents on the web are updated regularly.

**Networking** at IIMU is based on a variety of technologies including Novell Netware, TCP/IP, Unix, Linux and Windows NT. Linux and Novell servers provide file, print and many other value-added services like email and electronic notice boards. Every user in the campus is provided an account on a server and has access to email facility.

**Centralized control and monitoring:** A Network operation center has been established in the institute to handle all the network and computing devices on the campus. This also will cater to the user profiling, authentication, and security services.

**VoIP:** Keeping pace with the growing technology the IIMU campus has switched entirely to the VoIP setup. The PRI lines are terminated in integrated service router and the communication flows via IP network. The communication channel encompasses the IP phones, mobile SIP clients, and Desktop clients. Jabber integration will make the communication experience a seamless one.

**Surveillance:** Only the critical points are being monitored with surveillance cameras e.g., entrance and exit gates, lobbies etc.

**Advanced audio-visual setup:** The classrooms, as well as the conference rooms, are equipped with state of art devices including Matrix scalars, Audio processors and controlled speaker systems. Some classrooms are converted into hybrid classrooms to conduct the classes in online-offline mode. Classrooms are also equipped with high-end PCs and computer projection systems.

**Bloomberg LAB:** A separate LAB has been established in the campus with Bloomberg terminals. The same is connected to the Bloomberg network to provide live market information including stocks and financials.

### **Code of Conduct for using IIMU Computing Facilities (For Students of IIMU)**

This document undertakes to illustrate through discussion and examples what IIMU considers to be reasonable, ethical, and responsible behavior by all users of Computing Facilities (CF). It is also intended to reflect the actual practice of the users of CF and of the

application of the Code of Conduct and therefore will be subject to periodic updates, revisions, and refinements.

This Code has been developed with a view to protecting:

1. IIMU Computing Facilities
2. The interests of the community of users as a whole
3. The rights and interests of individual users.

This Code also specifically applies to access to CF via computer network/telephone lines or other remote access mechanisms and to the use of IIMU facilities in conjunction with external networks or computer facilities.

IIMU Computing Facilities are intended to support the academic mission and the administrative functions of the Institute. This Code of Conduct states the principles regarding the use of CF. They complement and supplement rather than replace other policies concerning the appropriate conduct of students.

The phrase “support the academic mission and the administrative functions” does not preclude other uses. Where other uses are appropriate, they should take a lower priority than those intended to support the academic mission and the administrative functions of the Institute. Thus, a computer in the lab may be used for personal e-mail only if the system is not currently required for academic work.

The policies and mores controlling acceptable actions at IIMU are implicitly extended to cover the use of the CF. The impersonal aspect of computers should not be taken as an excuse or reason for people’s interactions with others to be anything but well-mannered, ethical, and legal.

Just as it is unacceptable to display a sexually explicit poster in a public room, it is similarly unacceptable to display such an image on a publicly visible computer screen. Unsolicited, wide distribution of mail or messages should be carried out only if there is a reasonable expectation of interest by the recipients. Even in those cases, care must be taken to ensure that the messages do not overwhelm systems.

**Students shall:**

- A. Be responsible for using CF in an effective, ethical, and lawful manner and as per the institute guidelines.  
Individual users are responsible for their own actions. For example, if a user transmits illicit materials or stores illegal software, that individual user is responsible for such actions and may be held accountable for all consequences and repercussions arising from such actions.  
Be aware that wasteful or inefficient use of resources may result in significant expenses for IIMU or result in a reduction in the level of service to other users.
- B. Use only those facilities for which they have authorization, whether these facilities are at IIMU or at any other location accessible through a network.  
Authorization based on false or misleading information is not valid.
- C. Take all reasonable steps to protect the integrity and privacy of the CF including software and data. In particular, users shall not share with others the access codes, account numbers, passwords, or other authorization, which have been assigned to them.

- D. Users are encouraged to report any violations of this policy and any information relating to flaws in the computing facility security, to the concerned authorities. Such deficiencies in security must not be “tested” without proper authorization. Turning a “blind-eye” to potential violations or system flaws may allow YOUR privacy or access to be jeopardized.
- E. In this and following sections, “access code” represents the username, account, sign-on id, password, or whatever system-dependent mechanisms are used to gain access to particular facilities.
- F. By allowing your access code to be used by others, you risk compromising the security and integrity of the CF. As described in several later sections, many networks to which IIMU connects require that all communications be identified and traceable. For these reasons, if you allow your access code to be used by others, you are responsible for all usage and activities carried out with the code.
- G. Allowing unauthorized access to CF indirectly is similarly prohibited.
- H. A computer or terminal logged on and unattended in an accessible location is particularly vulnerable.
- I. Not use CF for inappropriate purposes. Examples of inappropriate purposes include, but are not limited to, widespread unsolicited mailings and access to illegal or sexually explicit sites.
- J. Respect the privacy of other users. This includes, but is not limited to, respecting the confidentiality of E-mail, files, data, and transmissions.
- K. The ability to access information does not imply permission to access it. Specifically, having read access to a file does not mean that you may read it. You should not browse, view, print, copy or execute someone else’s directories or files (either manually or program-assisted) without explicit permission. This also applies to floppy disks and tapes and similar other storage media.
- L. Not use CF for unauthorized commercial activities. As with other Institute resources, the use of the CF for private, commercially oriented applications is forbidden.
- M. Refrain from using CF for any unauthorized or illegal purposes. Unauthorized or illegal purposes might include destruction or alteration of data owned by others, interference with legitimate access to computing facilities, harassment of users of such facilities at IIMU or elsewhere, unauthorized disruption of CF, attempts to discover or alter passwords or to subvert security systems in CF or in any other computing or network facility.
- N. The law prohibits unauthorized use of computers; unauthorized access to information or program; destruction or alteration of data or interference with lawful access to data and the use of a computer system with the intent to commit any of the above.
- O. Intentional introduction of any computer virus, trojan horse, worm or similar software is an explicit violation of this principle. Any unauthorized action that intentionally denies or obstructs access for another legitimate user to CF is forbidden.
- P. Properly identify themselves in any electronic correspondence and provide valid, traceable identification if required by applications or servers within the CF or in establishing connections from the CF. All transmissions must be identifiable by IIMU staff. That is, they must include your access code. Similar rules are imposed by many external networks. You are encouraged to ensure that your name (in addition to access code) is also attached to all applicable messages. It is specifically forbidden to attempt to mask your real identity or intentionally originate a message masquerading as someone else. By convention, most systems offering “anonymous FTP” services request that you enter your network address as a password. Users must comply with this convention.
- Q. Refrain from electronic downloading of material. The material copied through the computer network from websites or other sources must be duly acknowledged by appropriately citing the references. Unauthorized downloading of material is a violation of intellectual property rights and therefore will be treated as a breach of academic

discipline. Sharing of material through electronic media, for the purposes of assignments, project work, etc., if essential, must be done only with the consent of the course instructor. Individual students or student groups must protect the information created on the network so as to eliminate the chances of unauthorized copying of their material by others.

**Any violation of this Code may be prosecuted in conformity with the relevant Institute policy (Code of Student Conduct, policies as per Ph.D. Guidelines, etc.) and the principle of fundamental justice.**

**Appeal framework for expelled students:**

A student who is expelled from the Institute on any ground may file an appeal to the Director for a reconsideration of his/her case. The decision of the Director on such an appeal will be final and binding.













[www.iimu.ac.in](http://www.iimu.ac.in)

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