

Ph.D. PROGRAMME
ORDINANCES AND REGULATIONS
2021-22



Indian Institute of Information Technology Surat
SVNIT Campus, Ichchanath, Surat - 395007

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NOMENCLATURE USED

CFTI	Centrally Funded Technical Institute (as declared by MoE)
HoD	Head of the Department
DC	Doctoral Committee for PhD scholars
CGPA	Cumulative Grade Point Average
R&D	Research and Development
MoU	Memorandum of Understanding
DST	Department of Science and Technology in India
UGC	University Grants Commission
CSIR	Council of Scientific and Industrial Research
AICTE	All India Council of Technical Education
JRF	Junior Research Fellowship
QIP	Quality Improvement Program
UG	Undergraduate degree

DEGREES

PhD	Doctor of Philosophy
Regular PhD	For those joining after a Master's degree in Engineering/Science
ME	Master of Engineering (2 year program)
MTech	Master of Technology (2 year program)
MSc	Master of Science (2 year program in Sciences)
BE	Bachelor of Engineering (4 year program)
BTech	Bachelor of Technology (4 year program)

ABBREVIATION OF EXAMINATIONS

GATE	Graduate Aptitude Test in Engineering administered by IISc/ IITs
CSIR-NET	National Eligibility Test administered by CSIR for award of JRF in Physical, Chemical, Mathematical, Earth Atmospheric Ocean & Planetary and Life Sciences
UGC-NET	National Eligibility Test administered by UGC for JRF award in Humanities, Social Sciences, Environmental Sciences, Forensic Science, Computer Science & Applications, Electronic Science
NBHM	National Board of Higher Mathematics
GRE	Graduate Record Examination Conducted by ETS
TOEFL	Test of English as a Foreign Language
IELTS	International English Language Testing System

ORDINANCES AND REGULATIONS

The doctoral programme leading to the award of degree of Doctor of Philosophy (Ph.D.) provides the students an opportunity for a career in Academia, Research & Development Establishments and Industries. A strong foundation and original contribution to the knowledge in a chosen area of specialization is expected from a student pursuing Ph.D. in IIIT-Surat. Depending on student's educational background and satisfying the eligibility criteria of the programme, a student can pursue Ph.D. in Engineering and Science streams. The rules for Ph.D. programme are presented as approved by Senate.

ORDINANCES

1. A candidate who has qualified for the award of Master's degree of this Institute or any recognized Institute or University in the discipline as prescribed in the regulations of the Senate is eligible to apply for the Ph.D. programme of this Institute.
2. The award of the Ph.D. degree should be in accordance with the regulations set by the Senate of this Institute.

REGULATIONS

1. Categories of Admission

Candidates will be admitted to the Doctor of Philosophy (PhD) program of IIIT-Surat under one of the following categories with following requirements:

Category	Remarks
Regular Full time	(i) With or without Institute fellowship or with project support (ii) With funding from outside agencies such as UGC, CSIR and industries (iii) Candidates sponsored under the Quality Improvement Programme (QIP) of AICTE
External	Should be employed and sponsored by an Industry/ Organization/ Institution having R&D facilities and recognized by DST and/or IIIT-Surat with at least 2 years of experience.
Part time	Should be employed in a reputed Institution/University/Organization within commutable distance, with at least 2 years of experience.

- a) For admission under regular category with or without fellowship and project category, the Departments will adopt common short listing criteria and have a common merit list.
- b) A research scholar under the external category will normally carry out part or all of his/ her research work in the industry/ organization/ national laboratory employing the scholar under the supervision of a co-guide employed in the same organization and a guide at IIIT-Surat.
- c) In general, external and part-time scholars have a minimum residential requirement of one semester. Part-time scholars will be permitted to do course work without residential requirement, with the permission of their employer.

2. Minimum Educational Qualifications or Eligibility

The minimum qualifications for each of these modes should be in relevant areas/ disciplines prescribed by the Departments as mentioned in the admission notification released by the Institute. Short-listed

candidates will be called for a **test and interview** by a Selection Committee in the respective Departments. Candidates applying for Ph.D. in one of the following areas need to have **any one** of the minimum qualifications given in the table below.

Area of Research	Minimum Qualification	
	Educational Qualification	Additional Qualifying Exam
Ph.D in Engineering	ME/ M.Tech/MS by Research/5 year integrated Masters/Dual Degree in relevant Engineering/2 year M.Sc from IITs (entry through JAM) with CGPA 8.0 and above. BS+MS (5 year integrated) from CFTI	Nil
Ph.D. in Science	ME/ MTech/MS by Research/5 year integrated Masters/2 year M.Sc from IITs (entry through JAM) with CGPA 8.0 and above. BS+MS (5 year integrated) from CFTI	Nil
	M.Sc from any recognized Indian University /Institute in relevant subject	Valid GATE score/ UGC-NET fellowship/ CSIR-NET fellowship/ NBHM PhD scholarship or equivalent qualification tenable for the year of admission

- (a) The Selection Committee may set more stringent criteria than the minimum qualifications listed above.
- (b) For QIP/ External/ part-time registration categories, the requirement of valid GATE score or CSIR/ UGC - JRF or Lectureship/ NBHM or equivalent qualification may be waived.
- (c) **International Students**

Foreign nationals are those with foreign passports, including those who are PIO/ OCI card holders. Foreign nationals can only register as regular full-time scholars. Foreign nationals with degree from Indian Universities will be treated on par with Indian nationals for admission purposes. Foreign nationals with foreign degrees must meet the minimum educational qualification given above equivalent to Indian Master's degree in the relevant disciplines. In addition, they should have a valid GRE/GATE/UGC or CSIR-NET/JRF or an equivalent examination. International students should have cleared TOEFL/IELTS and have a working knowledge of English.

3. Selection Procedure

- (a) Eligible candidates possessing the minimum educational qualifications and satisfying additional criteria set by the departments from time-to-time will be called for an Interview and Test by the Selection Committee of the respective departments.
- (b) Candidates who have obtained PG degree 10 years earlier as on the last date for receipt of the completed application, has to appear for departmental test.
- (c) The applications of suitably qualified foreign nationals may be considered with an online interview.
- (d) Based on the academic record and the performance of the candidates in the interview and test, the Departmental Selection Committee will recommend to the Chairman, Senate the names of candidates found suitable for admission to the Ph.D. Programme.

4. Admission

- (a) Candidates whose selection is approved by the Chairman, Senate, will be admitted to the Ph.D. programme after payment of prescribed fees.
- (b) Institute reserves the right to re-register a candidate whose registration has been cancelled.

5. Doctoral Committee

A doctoral committee (DC) should be constituted to assess the progress of the research scholars in a department. The Composition of the doctoral committee is as given below:

S.No.	Description	Designation
1	Head of the Department /nominee (If the HoD is a guide, the senior faculty nominated by Chair, Senate will be the chairperson of DC)	Chairperson
2	Dean (Academic)	Member
3	Guide and Co-Guides	Members
4	A minimum of two faculty of the department nominated by the Chair, Senate from the suggested panel of names by the HoD	Members
5	A minimum of one faculty member of allied Departments or allied Institutions nominated by the Chair, Senate from the suggested panel of names by HoD. In case any member goes on leave exceeding one year duration, or resigns or retires from the Institute, the Chair, Senate will nominate another member on the suggestion of the Chairman, Doctoral Committee.	Member

- (a) All the DC members should be invited for all the meetings related to a scholar.
- (b) Minutes of all the decisions and recommendations made by the DC should be forwarded to Senate.

6. Guide and Co-Guides

For each scholar, a faculty member of the IIIT-Surat should be nominated as a guide by the Dean (Academic) to supervise the progress.

- (a) For External category scholar, a co-guide from the respective organization with suitable qualification is to be nominated.
- (b) A co-guide from outside the Institute may be allowed with the approval of Chairman, Senate on a case-to-case basis.
- (c) If the guide proceeds on leave for more than a year, another faculty member may be appointed as a co-guide.
- (d) A faculty member, who has guided a candidate for at least 3 years, will continue to be a guide post-retirement. However, another faculty member with at least 5 years of remaining service will be nominated as a co-guide at the time of the guide's retirement. On retirement, the faculty member will continue to be a guide.
- (e) Faculty from other CFTIs/ Universities or experts from Industries with a PhD in relevant area OR a Master's degree in Engineering with adequate professional experience in the relevant field may be nominated as a co-guide, based on the recommendation of the DC after duly considering the co-guide's credentials. If the co-guide's organization does not have an MoU with IIIT Surat he/she should sign an Intellectual Property Rights (IPR)/ Non-Disclosure Agreement (NDA). The Institute has no financial obligation to the co- guide.
- (f) The Doctoral Committee may recommend change of guide/co-guides or appointment of a co-guide for valid reasons.

- (g) Nomination of co-guide, based on the recommendation of the DC, should be made within two years from the date of joining. Beyond this limit, Dean (Academic) will consider such requests on case-to-case basis, based on the recommendation of the DC.

7. Registration

The Doctoral Committee will meet normally within a month of being constituted, where the research scholar will make a presentation. The Doctoral Committee will fix/approve the date of registration for the Ph.D. programme, consider the proposed research topic and prescribe /approve the courses of study in this meeting.

8. Course Work

The Ph.D. program comprises of course and research work; the number of courses one has to undergo depends on the student's educational background, category of admission and the research he/she will be engaged in. The research work to be undertaken for the Ph.D. must include original contribution to the knowledge reserve culminating in a thesis. The Doctoral Committee will prescribe the courses in addition to the compulsory course. All prescribed courses should be of post-graduate level.

Discipline	Qualifying Degree	Minimum Course work to be prescribed by DC	Min. credits
Engineering	ME/ MS/ MS by research/ Integrated Masters/ M.Tech/M.Sc(IIT)	2 Core courses and at least 2 out of 4 electives along with Compulsory Courses*	32
Science	ME/ MS/ MS by research/ Integrated Masters/ M.Tech/M.Sc(IIT)	2 Core courses and at least 2 out of 4 electives along with Compulsory Courses*	32
	M.Sc. in relevant subject	3 Core courses and at least 2 out of 4 electives along with Compulsory Courses*	36

*Compulsory courses with 6 credits each are given below:

- (a) Critical Review of relevant Literature
 - (b) Simulation/Preliminary Experimental methods/Instrumentation or any appropriate course relevant to the discipline
 - (c) Communication Skill in English
- (i) All core courses prescribed by the DC should be completed as given in the Table. If more than the minimum required electives have been completed, only the electives with the best performance will be considered for computing the CGPA.
 - (ii) Research scholars should obtain a minimum CGPA of 7.50 in the courses taken by them subject to a minimum of "BC" grade in each of the prescribed courses.
 - (iii) Once a course is successfully completed, it cannot be repeated. Under graduate courses suggested by DC may be allowed as additional courses.
 - (iv) Credit to courses already undergone by a Research Scholar in IIIT-Surat or in other Institutions may not be considered if they were credited for award of any previous degree.
 - (v) Waiver of one or more courses out of those prescribed by the Ph.D Regulations in exceptional cases by the Doctoral Committee is not advisable.
 - (vi) As a general principle that the Ph.D scholar not to be encouraged to take contact courses. For courses of special nature, permission may be given by Dean (Academic) on case-to-case basis.

- (vii) Final classification of courses taken by the scholar for the categories of Core, Elective and Optional (if any) should be approved by DC

9. Enrollment

- A scholar is required to enroll each semester after paying the requisite fees, until the submission of the thesis.
- Enrollment has to be completed on the stipulated date and should be approved by HoD.
- The enrollment will be cancelled if the progress is not satisfactory.
- Scholars of category External / Part time / Temporary withdrawal / Maternity leave/ and those who are on academic duty with prior permission from the Institute are eligible to enroll in absentia during the stipulated period after payment of requisite fee.

10. Sequence of completion of PhD

Time frames are shown for Regular PhD scholars

Requirements	Expected time frame
Course work	Within two semesters
Comprehensive examination	Within three semesters
Research Proposal Seminar (Seminar 1)	Within one year after passing comprehensive examination
Research Colloquium (Seminar 2)	At least 6 months after Seminar 1 and before Submission of Synopsis
Synopsis	Within 5 years for Regular PhD
Thesis submission	Within one month after acceptance of Synopsis
PhD viva voce examination	After receiving the examiner reports on thesis.

- Registered scholars should submit progress report twice in a year (1st June and 1st Dec.) to the Doctoral Committee (DC). After guide's assessment of the progress and approval of the Chairman, DC is required for enrollment in the subsequent semester. Continuance of enrollment will depend on the recommendation of the DC.
- In case, the six-monthly progress report is considered 'unsatisfactory' by the guide and/or Chairman DC, a special DC is to be convened to review the research progress.
- Comprehensive exam and the two seminars are to be considered as DC meetings.
- Beyond 5 years for a Regular PhD scholar, the DC will assess the progress and decide the continuation with the recommendation of the guide(s).
- In addition to the above, the HOD / Dean(Academic) may decide to convene special DC meeting(s) based on the request from scholar / guide, to address any issue(s) with respect to the research progress of the scholar

11. Grades and CGPA

For every course taken by the student, he/she is assigned a grade based on his/her combined performance in all the assessments. These grades are described by the following letters and corresponding grade points:

Grade	AA	AB	BB	BC	CC	CD	DD	FF
GP	10	9	8	7	6	5	4	0

- A student is considered to have completed a subject successfully and earned the credits if he

secures a grade other than DD. Once a subject successfully completed, it cannot be repeated.

- (b) The CGPA will be calculated according to the formula

$$CGPA = \frac{\sum_{n=1,2,\dots} C_n \times GP}{\sum_{n=1,2,\dots} C_n}$$

where C_n = credit for the nth course, GP = the grade point obtained for the registered course, the sum is over all the courses taken and successfully completed courses in that semester.

- (c) The minimum passing grade for courses is DD. However, students should acquire a minimum CGPA of 7.5 at the end of each semester
- (d) "FF" grade will be awarded for Academic malpractices.

12. Comprehensive Examination

- (a) Every Ph.D. scholar should take and perform satisfactorily in a Comprehensive Examination in his/her Department.
- (b) The Comprehensive Examination should be conducted by a Comprehensive Examination Committee of the Department, consisting of the Doctoral Committee members and at least two other faculty members of the Institute nominated by the Chairman of Doctoral Committee.
- (c) If the performance of a research scholar in the Comprehensive Examination in the first attempt is not satisfactory, he/she will be given one more opportunity to appear for the comprehensive examination within six months of the first attempt.
- (d) The registration of a research scholar who fails to complete the Comprehensive Examination in both attempts his/her registration will be cancelled.
- (e) The objective of the Comprehensive Examination is to test the general capability and his/her knowledge in the discipline and areas related to his/her field of research.
- (f) The Comprehensive Examination will usually consist of a written test and oral examination. The Comprehensive Examination Committee should intimate to the research scholar sufficiently in advance the scope of the Comprehensive Examination, so as to enable the scholar to prepare adequately for it.
- (g) The Ph.D. research scholars are normally expected to complete successfully the Comprehensive Examination within a year after his/her registration in the Ph.D. programme and in any case not later than three semesters after registration in the Ph.D. programme.
- (h) After successful completion of comprehensive examination, Research Proposal meeting should be conducted within a year. In case seminar is not conducted within 2½ years, there must be a separate research proposal meeting of the DC. Both written and oral components for comprehensive examination should be considered. However, the department can decide the modalities.
- (i) Comprehensive Examination to be completed by the Scholars within a year but not later than 3 semesters.

13. Minimum Residential Requirement

- (a) The minimum residential period for regular full time research scholars required at the Institute from the date of registration for the Ph.D. should be 24 months.
- (b) The minimum residential requirement for the Ph.D. Scholar under external registration and research scholars working on a part-time basis not employed in the Institute is one semester.
- (c) Withdrawal from the programme is permitted for a semester or longer for reasons of ill health or other valid grounds as duly recommended by Doctoral Committee.

14. Relief from Ph.D. programme to take up job

Ph.D. Scholars who got a job offer can get relief from the programme, while keeping their registration alive on payment of the requisite fees every semester, subject to the condition satisfying the following conditions:

- (a) Minimum residential requirement
- (b) Course work
- (c) Comprehensive examination.

The renewal of their registration for every year/semester will be considered only if the Doctoral Committee finds his/her progress to be satisfactory and recommends continuance of registration.

15. Maximum Duration of Programme

The minimum and maximum period of Ph.D. programme for full time/External/Part time research scholars required from the date of registration to the date of submission of thesis are as follows:

Mode	Discipline	Qualifying Degree	Minimum	Maximum
Regular PhD	Engineering	M.Tech/ME/MS/M.Sc(IIT)	3 years	5 years
	Sciences	M.Sc.		
External /Part Time	Engineering	M.Tech/ME/MS/M.Sc(IIT)	3 years	6 years
	Science	M.Sc.		

Regular Ph.D. Research Scholars may submit the thesis after completion of 3 years within 5 years from the date of registration.

Maximum duration for women Ph.D. Scholars who avail maternity leave, is 5 years + 1 year + number of days on maternity leave (not exceeding 180 days)

16. Temporary withdrawal from the programme

A scholar may be permitted by the Dean (Academic) to temporarily withdraw from the programme for a semester or longer for reasons of ill health or other valid grounds duly recommended by the Doctoral Committee. Normally a scholar will be permitted to discontinue from the programme only for a maximum continuous period of two semesters.

17. Cancellation of Registration

- (a) The registration of a research scholar whose progress is not found to be satisfactory by the Doctoral Committee or who has not enrolled is liable to be cancelled.
- (b) The registration of a research scholar who has not submitted his/her thesis before the end of the maximum permissible period u/s (16) will be cancelled.

18. Synopsis

- (a) On satisfactory completion of the prescribed courses, comprehensive examination and the research work, the scholar should submit the requisite copies of the synopsis of his/her research work in the required format through the Guide(s) and Head of the Department to the Academic Section for consideration of the Doctoral Committee. The scholar should have at least two papers published in SCI journals of repute. Further, scholar must have presented his work in two conferences/symposia/workshops with the proceedings published in refereed journals. DC may consider exceptional cases, which will be reported to Senate.
- (b) The scholar shall present the synopsis of his research work in the colloquium arranged by the Doctoral Committee. If the Doctoral Committee approves the research work reported in the

synopsis, it will permit the research scholar to submit the thesis and recommend a panel of at least eight examiners from outside the institute (Including Foreign universities).

- (c) "Prior to submission of the synopsis, the scholar must have given at least two seminar talks on the topic of his/her research and the first seminar talk must be given before the end of third year.
- (d) The Research proposal meeting may be treated as the first seminar. In case of a separate seminar meeting, it will be treated as DC meeting. There must be at least 6 months between two seminars.

19. Submission of Thesis

The research scholar should submit requisite copies of the thesis and abstract of the thesis, within two months from date of declaration of acceptance of the Synopsis. The Doctoral Committee may grant additional time beyond one month on request from the scholar for valid reasons. The Guidelines for use of anti-plagiarism software for the Ph.D. thesis are as follows:

1. The scholars have to certify that using any standard software / platform was used for checking against Plagiarism.
2. The Guide has to ensure checking against plagiarism through any standard software before submission of PhD thesis and endorse the undertaking of the scholar.
3. The Guide may obtain a special relief from this checking from the Dean (Academic) on grounds of IPR implications or National Security, if applicable.

20. Panel of Examiners

The thesis should be referred to two examiners chosen by the Chairman, Senate or his nominee from among the panel of examiners recommended by the Doctoral Committee. In case, both approved are Indian examiners, both should be invited for the viva-voce examination. If one of the referees is unable to attend in person, the DC shall request him/her to attend the viva-voce through video conferencing.

21. Thesis Report

- (a) The examiner is expected to send the report on the thesis within two months from the date of receipt of the thesis.
- (b) In case of undue delay in receiving the thesis report, the Chairman, Senate or his/her nominee should appoint another examiner in his/her place for evaluating the thesis.
- (c) If one of the two thesis examiners declares the thesis as not commended, the thesis should be referred to a third examiner from the panel referees.
- (d) If an examiner suggests resubmission of the thesis, after revision, the research scholar will be allowed to resubmit the thesis within the time stipulated by the Doctoral Committee failing which the revised thesis will not be accepted and his/her registration will be cancelled.
- (e) If two examiners, after referral to a third examiner, if necessary, report the thesis as not commended the registration of the scholar should stand cancelled.
- (f) If reports of two examiners after referral to a third examiner, if necessary, declare the thesis as 'commended' the Doctoral Committee will consider the reports and recommend for conduct of viva voce which will be conducted normally not earlier than two weeks from the date of the constitution of the viva voce board. The Doctoral Committee will suggest a panel of at least four expert members out of which one member will be nominated for the viva voce board.
- (g) In all other cases, not covered by the above Regulations the matter will be referred to the Doctoral Committee for consideration.

22. Viva Voce Examination

(a) The following is the composition of the viva voce Board:

Sl.No.	Description	Designation
1	Head of the Department (if HoD happens to be the Guide of the research scholar the Senior most Professor/ previous HoD, will be nominated by Chairman, Senate or his nominee). HoD must be present for comprehensive Exam / Synopsis / Thesis report / Viva voce examination of the Scholar	Chairman
2	The examiner of the thesis from within the country, or a specialist in the subject nominated by the Chairman, Senate or his nominee from the panel of examiners approved by the Doctoral Committee	Member
3	Research Guide(s)	Member(s)
4	A Specialist either from the Institute or outside from the panel approved by the Doctoral Committee and nominated by the Chairman, Senate or his nominee – Member.	Member
5	Concerned Doctoral Committee members of the Research Scholar.	Invitees

- (b) The viva voce board will examine the scholar on his/her thesis work and evaluate his/her performance as satisfactory or otherwise.
- (c) The viva voce board will ensure that the scholar answers satisfactorily the questions raised by the thesis examiner(s). E-copy of the thesis to be circulated prior to reports meetings and viva voce examination of the Ph.D. thesis. The details are as follows:
- (i) The reports are to be circulated to the DC members along with a e-copy of the thesis.
 - (ii) The response of the candidate as well as the modified e-thesis be circulated prior to the Viva voce
- (d) If the report of the viva voce board declares the performance of the research scholar not satisfactory, he/she may be asked to reappear for viva voce at a later date (not earlier than a month and not later than six months from the date of the first viva voce).
- (e) If the viva voce board on the second occasion also evaluates the performance of the research scholar not satisfactory, the matter will be referred to Senate for a decision.
- (f) The viva voce board may also recommend revision to be made in the final version of the thesis after taking into consideration suggestions of the examiners who evaluated the thesis and the discussion at the viva voce.
- (g) The Chairman of the viva voce board should forward the thesis to the academic section certifying that the revisions recommended by the viva voce board, if any, have been incorporated in the copy of the thesis along with the report of the viva voce board.
- (h) All the research scholars should submit one copy of the final form of thesis in A4 size and an electronic version in PDF format after the viva voce board recommends the award of the Ph.D degree.

- (i) The examiner's name can be appended in the final A4 copy of the thesis only with the consent of the examine

23. Award of Ph.D. Degree

If the performance of the research scholar in the viva voce is satisfactory, he/she will be awarded Ph.D. degree on the recommendation of the Senate and the approval of the Board of Governors of the Institute. As much as possible reduce the period of waiting by scholars for getting the degrees.

The soft copy of the thesis will be available open in the Institute website for scrutiny for a period of one year. If any objection arises within the period about the integrity of the thesis, the Institute can revoke the degree.

24. Discipline

Every scholar is required to observe disciplined and respectable behavior both inside and outside the Institute. He/she should not indulge in any activity, which will tend to bring down the prestige of the Institute. Any act of indiscipline of a scholar reported to the Dean (Academic) will be referred to a Discipline and Welfare Committee nominated by the Senate from time to time.

The Discipline Committee will investigate the charges and will recommend suitable punishment if it finds the charges substantiated. The recommendation of the Committee will authorize the Dean (Academic) to take appropriate action. The Dean (Academic) will report the action taken at the next meeting of the Senate.

Appeal: The scholar may appeal to the Chairman of the Senate whose decision will be final.

25. Power to Modify

Notwithstanding all that has been stated above, the Senate has the right to modify any of the above regulations from time to time.

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