

## **PREAMBLE** *(Item No. 60.23, Appendix 'L', dt 08.07.2015)*

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Indian Institute of Technology (I.I.T.) Roorkee offers academic programmes leading to the award of Ph.D. degree through its Departments/Centres. The award of Ph.D. degree is in recognition of high academic achievements, independent research and application of knowledge to the solution of technical and scientific problems in Science, Technology, Architecture & Planning, Humanities & Social Sciences and Management; creative and productive inquiry is the basic concept underlying the research work.

The academic programme leading to the Ph.D. degree is broad-based and involves a prescribed course credit requirement and a research thesis. The institute also encourages interdisciplinary areas through a system of Co-supervision and provides excellent opportunities for such programmes. The institute undertakes sponsored research and development projects from industrial and other organizations in the public as well as private sector.

The degree of Doctor of Philosophy shall be abbreviated as Ph.D. The Degree of Doctor of Philosophy is granted for research work in areas recognized by the Academic Departments/Centres of the Institute subject to the conditions and regulations contained hereinafter.

The research work shall be an original work characterized either by the discovery of facts, or by a fresh approach towards the interpretation and application of facts, or development of innovative products and technologies. It shall evince the candidate's capacity for critical examination and sound judgment and shall represent original contribution to the existing knowledge.

The degree of doctor of philosophy (Ph.D.) of the Indian Institute of Technology, Roorkee shall be conferred on a candidate who successfully completes all the requirements specified in these ordinances and regulations, which were approved by Board of Governors/Senate.

## ORDINANCES FOR THE DOCTOR OF PHILOSOPHY (Ph.D.) PROGRAMMES

<p><b>Definitions</b> (Unless the context requires otherwise) (Item No. 60.23 Appendix 'L' dt 08.07.2015)</p> <p><u>(Notification No. Estt.(A)/3239/E-2281 dated 31.03.2017)</u></p>	<b>1</b>	(i)	"DRC/CRC" shall mean the Research Committee of the Department/Centre.
		(ii)	"Applicant" shall mean an individual who applies for admission to the Ph.D. programme of Indian Institute of Technology, Roorkee on a prescribed Application Form.
		(iii)	"IRC" shall mean the Institute Research Committee of Indian Institute of Technology, Roorkee
		(iv)	"Candidate" shall mean a person registered for the Ph.D. Degree and who has successfully completed the course requirement, the written and oral comprehensive examinations, and has submitted and presented the research plan and approved as per clauses R.5 and R.6 of the Regulations.
		(v)	<del>"DA" shall mean the Dean, Academics.</del> <b>"DoAA" shall mean the Dean of Academic Affairs.</b>
		(vi)	"Research Student" shall mean a person registered for the Ph.D. programme of Indian Institute of Technology, Roorkee before becoming the candidate.
		(vii)	"Supervisor(s)" shall mean member(s) of the academic staff of the Institute approved by Competent Authority to guide/supervise the research/ academic work of the research student/candidate.
		(viii)	"Co-supervisor(s)" shall mean member(s) of the academic staff of the Institute or any person from other organization recommended by SRC, DRC, Head of the Department/Centre and approved by Competent Authority to guide/supervise the research/ academic work of the research student/candidate.
		(ix)	"Caretaker Supervisor" shall mean a member of the academic staff appointed to look after the administrative interests of a research student/candidate in the absence of the Supervisor(s) and after the submission of the thesis, if necessary as per clause R.3.5 of the Regulations.
		(x)	"Course Work" shall mean courses of study prescribed by the Department/Centre through the Student Research Committee, to be undertaken by a research student registered for the Ph.D. Degree.
		(xi)	"Degree" shall mean the Degree of Doctor of Philosophy (Ph.D.) of the Indian Institute of Technology, Roorkee.
		(xii)	"Educational Institution" shall mean those Institutes, which offer Bachelor's or higher Degree.
		(xiii)	"Institute" shall mean the Indian Institute of Technology, Roorkee (IIT Roorkee).
		(xiv)	"Full-time Research Student/Candidate" shall mean a person registered for the Ph.D. Degree devoting full time at the Institute for completing the degree requirements.
		(xv)	"Part time Research Student/Candidate" is a person who is registered for the Ph.D. degree and has been allowed to devote part of his time towards this pursuit.
		(xvi)	"Registration Period" shall mean the length of time span commencing with the date of initial registration at the Institute.

		(xvii)	“ODC” shall mean Oral Defence Committee.
		(xviii)	“Residency” shall mean the minimum period for which a student/candidate must attend the institute.
		(xix)	“SRC” shall mean Student Research Committee.
		(xx)	“Sponsored Research Student/Candidate” shall mean a research student/candidate sponsored by an organization /his employer who provides full financial support for doing Ph.D.
		(xxi)	“Competent Authority” shall mean the Director of IIT, Roorkee or any officer to whom the Director delegates the authority.
		<b>NOTE: ‘HE’ &amp; ‘HIS’ IMPLY ‘HE’/‘SHE’ AND ‘HIS’/‘HER’ RESPECTIVELY.</b>	
<b>REGISTRATION, APPOINTMENT OF SUPERVISOR AND SRC</b> <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i>	<b>R.1</b>	1.	Fresh research students admitted to the Ph.D. programmes are required to report to the Head of the Department/Centre one week in advance before the scheduled date of opening the Institute. Their registration will also take place one week in advance.
		2.	<p>During the admission process, faculty members who do not have Ph.D scholar under MHRD fellowship working under their supervision, shall be given the highest priority to facilitate reasonable uniform distribution of MHRD scholars amongst the faculty members of Departments/Centres.</p> <p>The candidates are required to give their choice for supervisors based on his/her area of interest and supervisor is allocated to him/her at the time of recommending the candidates for admission. The candidates shall be informed about the supervisor allocated in the admission letter. The candidates shall have to work with the supervisor allocated.</p> <p>Only one MHRD scholar shall be taken by a faculty in a semester, in general. In case, if the faculty member wants to take another MHRD scholar in a semester, no-objection from other faculty members of the concerned academic group is required.</p>
		3.	<del>The research supervisor of a student after the registration shall be approved by the Head of the Department/ Centre. Proforma Ph.D-0, given in Appendix-A, is to be filled for the approval of supervisor(s). In case of joint supervision, supervisors shall be approved by the competent authority as determined from time to time.</del>
		4.	<p>The Student Research Committee (SRC) for a research student shall be appointed within a week but not later than a month from the date of initial registration by HoD on the recommendation of supervisor through the Chairman, DRC. The SRC shall consist of:</p> <p>(a) <del>Any Senator from the department (preferably subject area expert but not necessarily from DRC) can be nominated as Chairman SRC.</del> <b>Any senator preferably subject area expert either from the department or outside can be nominated as Chairman, SRC.</b></p> <p><b>It was also decided that, henceforth, the supervisor shall propose three names each of Internal and External experts after taking their written consent for the formation of SRC. Out of these six names at least two shall</b></p>
<i>(Item No. 63.7 Minutes (Page No. 07) dt 11.01.2016)</i>  <u>(Notification No. Acd./2180/UG-15 dated 04.02.2016)</u>			

			<p>be the members of the Senate. The Chairman, DRC and Head of the Department shall decide one of the Senators as Chairman, SRC.</p> <p>(b) One expert in the field from the department/centre.</p> <p>(c) One institute faculty expert, preferably in the concerned area, from outside the department/ centre to which the student belongs.</p> <p>(d) Supervisor(s).</p> <p>Proforma Ph.D-I, given in Appendix-A, is to be filled for the appointment of SRC of the candidate.</p> <p><b>Note 1:</b> Names for 4(b) and 4(c) shall be proposed by the supervisor(s) and nominated by the Chairman, DRC and Head of the Department/ Centre.</p> <p><b>Note 2:</b> Once approved, the member of SRC can be changed only under exceptional circumstances on recommendations from the department by competent authority.</p>
<p><b>MINIMUM AND MAXIMUM TIME FOR THESIS SUBMISSION</b>  <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i></p> <p><i>(Item No. 71.15 Agenda (Page No.226) Minutes (Page No.06) dt 28.12.2017)</i></p>	<p><b>R.2</b></p>	<p>5.</p> <p>(a)</p> <p>(b)</p> <p>(c)</p>	<p>Every research student/candidate will be required to carry out online subject registration prior to candidacy during stipulated dates and register for the Ph.D. degree programme every semester till the submission of the thesis irrespective of their category and status. However, after candidacy on-line registration is not required. Proforma Ph.D-III, given in Appendix-A, is to be filled in every semester for the continuation of registration. If there is a revision of thesis, registration is required again at the time of next submission.</p> <p>All candidates shall be required to be registered for the entire duration of Ph.D. in every semester till submission of thesis.</p> <p>The candidates of all categories shall submit their thesis within a period of five years from the date of their initial registration for the Ph.D. Programme. However, as a special case, this limit may be extended on specific recommendation of SRC to a maximum of six years for Full time research candidate and seven years for Part time research candidate by the competent authority after which the registration shall stand cancelled automatically. However, if the candidate has converted his/her status from full time to part time before the expiry of five years, the maximum duration for thesis submission shall be seven years.</p> <p>For all students the minimum duration for submitting the thesis is TWO years from the date of candidacy. The date of candidacy will be considered as the date on which the research proposal is presented by the student and accepted by the SRC.</p> <p>Eligibility criteria for submission of thesis regarding minimum duration of submission and number of papers to be published shall be as per the Ph.D. Ordinances &amp; Regulations in force at the time of admission.</p>

<p><b>SUPERVISOR(S)</b> <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i></p> <p><i>(Item No. 68.32 Minutes (Page No.15) dt 02.03.2017)</i></p> <p><i>(Item No. 72.4 Agenda (Page No.09) Minutes (Page No.04) dt 22.03.2018)</i></p>	R.3	1.	Supervisor(s) can be any full-time faculty member/ scientific officer of the Institute with a Ph.D. degree.
		2.	Supervisor has to be decided at the time of selection of candidates depending on the candidate's area of interest and the choice for the supervisors. The choices for the supervisors shall be taken by Chairman, selection committee, prior to the interview.
		3.	The competent authority on the recommendations of the SRC, may appoint one or more Supervisor(s) not exceeding a total of three to supervise the research student/candidate. These may be from inside or outside the Institute and there should not be more than two supervisors from within the Institute and not more than one supervisor from outside Institute. <b>However, Emeritus Fellows are allowed to supervise a student only jointly as co-supervisors.</b> Addition/ deletion of Supervisor(s) would not be made after the lapse of 12 months from the date of admission to candidacy. In such cases, the minimum association period of new supervisor shall not be less than one and a half year. <i>In case of Joint Supervision, not more than two supervisors from the same department will be allowed to supervise the thesis jointly.</i>
		4.	<del>The maximum number of Scholars supervised by a faculty member at any time at IIT Roorkee shall not be more than 12 jointly or singly or a combination of both with a maximum of 06 MHRD supported scholars.</del> <i>There will not be any limit on the total number of research scholars which can be supervised by a faculty subject to the condition that the research scholars with Institute Assistantship can be maximum 08 (eight) per faculty, singly or jointly or a combination of both.</i> However, this number may be changed by the Senate from time to time.
		5.	Requirement of Co-supervisor in case of Part-time candidate: a) If the research scholar is registered as full time candidate and later on converted to part time after completing 3 years, co-supervisor will not be required. b) If the research scholar is registered as full time candidate and after completing candidacy joined an organization within 100 km from Roorkee and status is converted to part time, co-supervisor from host organization will not be required. c) If the research scholar is teacher trainee (sponsored faculty) from an institute having MoU with institute, co-supervisor may not be required if there is no possibility of co-supervisor at that institute. However, the candidate has to complete residential requirement for completing the course work and for candidacy and they will have to be present at IIT Roorkee during all vacations for interaction with the supervisor(s). <del>d) If the research scholar is registered as full time candidate and after completing candidacy joined an organization at a distance of more than 100 km from Roorkee and status is converted to part time, co-supervisor from host organization will required at the time of</del>

<p>(Item No. 71.16 Agenda (Page No.227) Minutes (Page No.06) dt 28.12.2017)</p>			<p><del>conversion-</del> An Organization as a whole and not one of its units be considered by DRC while approving change of status from Full-time to Part-time. Further, there shall not be any requirement of obtaining NOC and having a local supervisor will not be mandatory, if the place of job is at distance more than 100 km. from Roorkee.</p> <p>e) If the research scholar/candidate from an organization, at a distance of more than 100 km from Roorkee, is registered as part time candidate in the beginning, co-supervisor will be required from that organization from the beginning.</p> <p>f) In either case of (d) and (e) above, the organization has to give an undertaking that the research scholar will continue to work on project or in area relevant to his/her Ph.D. degree programme.</p>
		6.	<p>Change of Supervisor(s) and Appointment of Caretaker Supervisor for Ph.D. students:</p> <p>A faculty member appointed as a Ph.D. Supervisor(s) is expected to be available to a research student/candidate in the Institute till the thesis is submitted. However, under unavoidable circumstances, such as: long leave of more than 12 months, resignation, retirement, death or change of the supervisor, a new Supervisor(s) may be appointed following regulations as under:</p> <p><b>A. Supervisor proceeding on long leave but less than 12 months</b></p> <p>a. If he/she is the only supervisor for a research student/candidate, a caretaker supervisor may be appointed to look after the administrative interest of the student provided the student has completed the requirement of candidacy. HoD can also act as caretaker supervisor only for administrative purposes and faculty supervisor continues for academic purposes.</p> <p>b. If he/she is the only supervisor for a research student/candidate and the student has yet not completed the requirement of candidacy, a co-supervisor shall be appointed by the SRC.</p> <p><b>B. Supervisor(s) proceeding on long leave of more than 12 months.</b></p> <p>a. (i) Where there is more than one Supervisor for a research student/candidate and one of the supervisors is proceeding on long leave for more than 12 months other supervisor(s) shall take care of the candidate. The supervisor proceeding on leave continue to be the supervisor of the candidate, if the candidate has completed the minimum duration of submitting thesis as per clause R.2 (c).</p> <p>(ii) Where only one Supervisor exists for a research student/candidate, another supervisor shall be appointed by the</p>

		<p>SRC in cases where SRC has not yet found the research work fit for submission following clause R.8 sub-clause 1d) in the area of his research work.</p> <p>b) (i) If SRC has recommended the research work for submission following clause R.8 sub-clause 1d) before the supervisor proceeds on leave, a caretaker supervisor will be appointed for administrative purpose only.</p> <p>(ii) If the thesis has been submitted before the supervisor proceeds on leave, only a caretaker supervisor will be appointed.</p> <p>(iii) Further, if a major revision becomes necessary, and the supervisor(s) is (are) on leave, he should be asked to specifically state whether he would effectively help the Research Scholar in carrying out the major revisions within a reasonable period. In case the supervisor(s) expresses his/her inability due to one reason or the other, the caretaker supervisor, if he/she provides the required help in carrying out the major revision, will automatically be treated as a <u>co-supervisor</u> of that candidate.</p> <p>c) If a supervisor(s) proceeds on leave for a period less than 12 months initially, but later extends his/her leave beyond 12 months, the above procedure as applicable for leave beyond 12 months, will be followed. The extension granting authority will inform the competent authority accordingly.</p> <p>d) If a new supervisor needs to be appointed in case of supervisor proceeding on long leave, his/her signature is required before granting leave to the faculty. The existing supervisor will continue as co-supervisor only if the candidate has completed the minimum duration of submitting thesis as per clause R.2 (c).</p> <p>e) If the supervisor(s) proceeds on leave for more than 24 months during the Ph.D. registration of a research student/candidate and in the opinion of SRC, he has not contributed significantly to the thesis, he/she will cease to be the supervisor(s).</p> <p><b>C. A Supervisor retiring</b></p> <ol style="list-style-type: none"> <li>1. A faculty member on retirement may continue as a co-supervisor till the completion of work and submission of thesis by the candidate. Another supervisor shall be appointed as in "B" above in similar circumstances.</li> <li>2. A faculty member who is due to retire within the next two years may be appointed only as co-supervisor and may continue to be the co-supervisor even after his/her retirement provided the SRC is convinced of his availability/continued guidance to the student.</li> </ol> <p><b>D. A Supervisor(s) resigning</b></p> <p>A new supervisor shall be appointed at the time of acceptance of resignation by a supervisor as in "B" above. However, if the supervisor has associated with the student for TWO years after</p>
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			<p>candidacy, he/she shall continue to be co-supervisor otherwise he/she shall cease to be supervisor.</p> <p><b>E. Death of Supervisor(s)</b> A new supervisor(s) shall be appointed on the recommendation of SRC as in "B" above.</p> <p><b>F. Supervisor(s) declining to supervise</b> Once a supervisor agrees to supervise a student, he/she cannot decline to supervise the student later on.</p> <p><b>G. Change/drop of Supervisor(s) by the research candidate</b></p> <p>(a) If the research student has requested for change of supervisor before the admission to candidacy and both the outgoing and incoming supervisors have consented then the change of supervisor will be considered by the competent authority on the recommendation of DRC/CRC.</p> <p>In case, research student wishes to change the area of research with new supervisor, SRC be constituted a fresh.</p> <p>(b) If a research student before admission to candidacy wants to drop one of the supervisors, in case of more than one supervisor, the same will be considered by competent authority on the recommendation of SRC and the HoD. However, a supervisor cannot be dropped by the student after the candidacy.</p> <p>(c) If the candidacy has already taken place and student has requested for change of supervisor but the supervisor is not willing to give NOC, the matter shall be sorted out first in the DRC and then in the DFC at the department level.</p> <p>If the department is unable to resolve the issue then the student has to continue with the same supervisor or leave the Ph.D. programme.</p> <p><b>H. (a)</b> If a new SRC has been constituted due to change of supervisor and the research area, the new SRC may ask the research student to do more courses related to new research area provided candidacy has not taken place.</p> <p><b>(b)</b> If the candidacy has already taken place but the research area has changed, the SRC may ask the candidate to appear for written examination, oral examination before going for candidacy again.</p>
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<p><b>COURSE CREDIT REQUIREMENTS</b>  <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i></p> <p><i>(Item No. 72.13 Agenda (Page No.26) Minutes (Page No.05) dt 22.03.2018)</i></p>	<p><b>R.4</b></p>	<p>1.</p>	<p>Each research student shall satisfy the credit requirements as given in Table-1 by crediting courses as advised by course supervisor and recommended by SRC. The minimum CGPA requirement for pre-Ph.D. courses will be 7.00 calculated taking all courses recommended by SRC including seminar.</p> <p>Waiving off of course work requirement for the candidates is subject to the following conditions:</p> <p>(a) Candidates with M. Tech./M.Arch./MURP from IITs or IISc and M.Sc. from IISERs, MBA from IIMs and having CGPA 8.5 or more.</p> <p>(b) These candidates shall start their PhD within TWO years from the completion of M.Tech./M.Arch./MURP/ M.Sc./MBA.</p> <p>(c) These candidates may be required to do additional course if the SRC recommends to do so.</p> <p>(d) The waiver will be applicable if admission is sought within the relevant stream or discipline with respect to the post-graduate degree based on recommendation of SRC.</p>
		<p>2.</p>	<p>If any subject-class is having more than 80% research scholars/students, absolute grading be carried out. Proforma Ph.D-II, given in Appendix-A, is to be filled for the approval of courses to be registered by Dean of Academic Affairs.</p>
		<p>3.</p>	<p>Each research student has to do all the courses recommended by the SRC in the beginning. If the student could not get the passing grade in any course or the CGPA as calculated in clause R.4.1 is less than 7.00, the student has to leave the programme.</p>
		<p>4.</p>	<p>SRC may recommend additional course(s) as Audit course(s), if required, in a particular case. A research student is deemed to have fulfilled the requirement of additional course(s) as Audit Course(s) if he/she obtains 'Audit Pass' for successfully completing each of such course(s).</p>
		<p>5.</p>	<p>The pre-Ph.D. courses including Audit course are to be completed successfully in first 1 to 2 semesters by research students having masters degree and in 2 to 3 semesters by research students having bachelor's degree. These semesters are counted from the date of initial registration and this clause is applicable both for full time/part time research students.</p>
		<p>6.</p>	<p>The courses offered other than minimum theory courses for the Ph.D. programmes may be Laboratory Courses, Design Courses and Project.</p>
		<p>7.</p>	<p>No self-study course shall be offered as part of the requirement of minimum theory courses. However, extra courses may be offered as self-study courses.</p> <p><b>A.</b> Self-study Courses shall satisfy the following conditions:</p> <p>a) A self-study course should be preferably outside the courses listed in the Courses of Study and offered to a research student/candidate following sub-clause d) below.</p>

		<p>b) A course listed in Courses of Study but not offered in a semester due to lack of sufficient number of students registering for it, may be offered as a self-study course in that semester with the prior approval of Dean of Academic Affairs.</p> <p>c) A course already running in a semester shall not be offered as a self-study course.</p> <p>d) The SRC shall examine proposals for self-study courses, not listed in the course of study, along with the course contents, textbooks, mode of assessment and name(s) of the instructor(s) and shall recommend the proposal and the credit to be assigned to Dean of Academic Affairs for his approval.</p> <p>e) All self-study courses shall carry a maximum of four credits.</p> <p>f) A student shall not take more than one self-study course during the entire Ph.D. programme.</p> <p>g) If the supervisor/SRC feels that a course is essential for the student which is not available, the same may be designed by SRC and recommended by the DRC under the code and title “<b>XX-999: Special Topics</b>” and approved by competent authority.</p> <p><b>B. Seminars shall satisfy the following conditions:</b></p> <p>a) Seminar in a semester shall be of two credits and every research student must deliver a seminar as a part of course requirement and beyond the minimum limit of credits for course requirement.</p> <p>b) Seminar shall be treated <b>as additional</b> course for the purpose of registration and evaluation.</p> <p>c) Supervisor shall act as seminar coordinator and decide the topic of seminar in accordance with the area of research. Supervisor shall arrange the seminar and forward the grade awarded by the SRC to the competent authority by the end of the semester.</p> <p>d) A student shall not get credits for more than one Seminar during the entire Ph.D. programme.</p> <p>e) All research scholar/students are required to be adjudged for proficiency in English while delivering seminar which is mandatory for everyone. The SRC will give its recommendation alongwith the result of seminar whether the candidate has qualified examination for proficiency in English or not. In case, the candidate's proficiency in English is not found satisfactory, the candidate is required to do a course on Communication Skills.</p> <p>(f) A proforma-III_S is to be filled to send the seminar grade and proficiency in English.</p>

Table 1 COURSE CREDIT REQUIREMENTS			
S. No.	Candidate Having	Range of Credit Requirements	Remarks
1.	M.Tech, M.Arch./MURP, MCA or M.Tech. (Integrated/ IDD) or Equivalent Degree	<ul style="list-style-type: none"> <li>- minimum 3 theory courses or minimum of 9 credits theory courses</li> <li>- should earn 2 more credits by delivering seminar</li> </ul>	Course From the existing M.Tech and/or pre-Ph.D. courses offered by own Deptt./ other Deptts.
2.	M.Sc/M.A./M.B.A. or equivalent admitted to Science/ HSS/ Management department	<ul style="list-style-type: none"> <li>- 12-15 credits theory courses.</li> <li>- should earn 2 more credits by delivering seminar</li> </ul>	Course From the existing PG level and/or pre-Ph.D. courses offered by own Deptt./ other Deptts.
3.	B.Tech. or equivalent, or M.Sc. or equivalent, admitted to anyone of the Engg. Disciplines	<ul style="list-style-type: none"> <li>- 34-38 credits equivalent to credits earned by M.Tech. students</li> <li>- should earn 2 more credits by delivering seminar</li> </ul>	Course Form the existing PG level and/or pre-Ph.D. courses offered by own Deptt./ other Deptts.
<p><b>NOTE :</b> The research scholars having M.Tech./MCA or equivalent degree have to take either minimum three theory courses (irrespective of credits) or minimum 9 credits theory courses (may be two courses, one of 4 credits and another of 5 credits).</p>			
<p><b>Comprehensive Examination</b>  <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i></p> <p><i>(Item No. 69.12 Agenda (Page No.25) Minutes (Page No.08) dt 28.07.2017)</i></p>	R.5	1.	<p>Soon after successfully completing the pre-Ph.D. course requirements, each research student will request through proforma Ph.D-IV, given in Appendix-A, for appearing in a comprehensive examination which has three segments:</p> <ul style="list-style-type: none"> <li>(i) Written comprehensive examination</li> <li>(ii) Oral comprehensive examination to test comprehension of the research student in the broad area of study, and</li> <li>(iii) Submission of research plan and its oral presentation to SRC, which will examine his/her academic preparation and potential to carry out the proposed research plan.</li> </ul> <p>Comprehensive examination shall be conducted by the SRC of the research student appointed under clause R.1 sub-clause 4. The comprehensive examination method has to be governed by DRC. The student having Masters degree or Bachelors degree has to present the research proposal within the stipulated time frame of <del>45</del> 18 months or <del>20</del> 24 months respectively from the date of initial registration. It is applicable to both Full Time and Part Time research scholar.</p> <p>The syllabus for comprehensive written and oral examination is to be defined by SRC including the courses student has completed as pre-PhD courses and approved by Chairman, DRC.</p>

<p>(Item No. 63.15 Minutes (Page No.12) dt 11.01.2016)</p>	2.	<p>On the basis of the performance of student in the comprehensive examination, SRC will make one of the following recommendations under each of a), b) and c), to the Dean of Academic Affairs:</p> <p>a) Written comprehensive examination</p> <p>(i) passed</p> <p>(ii) to reappear in the written comprehensive examination after a certain period of time specified by the SRC and/or after taking additional courses recommended by it, if any.</p> <p>(iii) failed</p> <p>b) Oral comprehensive examination</p> <p>(i) passed</p> <p>(ii) to reappear in the oral comprehensive examination after a certain period of time specified by the SRC.</p> <p>(iii) failed</p> <p>c) Research plan and its oral presentation</p> <p>(i) approved</p> <p>(ii) not approved</p>
	3.	<p>Oral examination shall be conducted only after successful completion of written examination i.e., <del>the student has secured at least 'B' grade (or 64% marks) in written examination.</del> <b>The minimum passing grade in Comprehensive Written Examination shall be 'C+' (64 ≤ C+ ≤ 72). It was also decided that in Comprehensive Oral Examination, no grade be awarded.</b></p>
	4.	<p>Research proposal shall be presented before the SRC only if the student has successfully cleared the oral examination, i.e., the student has been declared passed.</p>
	5.	<p>Notifications for different components of comprehensive examination shall be issued separately through proforma Ph.D-V, given in Appendix-A, and only after the successful completion of previous component(s).</p>
	6.	<p>Report on Comprehensive Examination - written and oral and Candidacy for Ph.D. Degree will be submitted by SRC through proforma Ph.D-VI, given in Appendix-A.</p>
	7.	<p>Progress report of Ph.D scholar for the candidacy will be submitted by SRC through proforma Ph.D-VII, given in Appendix-A, alongwith comprehensive examination report for the approval of Dean of Academic Affairs.</p>
	8.	<p>At the time of presentation of research proposal, SRC/DRC may identify the ISI/Scopus indexed journals of his/her proposed area where publication is required.</p>

		<b>NOTE:</b>	A student will be provided a maximum of two attempts to qualify in each segment of the comprehensive examination, to obtain the SRC recommendation of 2.a(i), 2.b(i) and 2.c(i). However, two failures in any of the comprehensive examinations will require a student to leave the programme.
<b>ELIGIBILITY FOR THE CANDIDACY</b> <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i>  <i>(Item No. 69.12 Agenda (Page No.25) Minutes (Page No.08) dt 28.07.2017)</i>	R.6	1.	<p>The Dean of Academic Affairs will approve admission of a research student to candidacy on the recommendation of SRC which will satisfy that a research student has fulfilled the following:</p> <ol style="list-style-type: none"> <li>completed the required course work;</li> <li>passed the written and oral comprehensive examinations;</li> <li>submitted a research plan and defended it to the satisfaction of SRC.</li> </ol> <p>Thereafter, the research student will be admitted to candidacy from the date on which SRC recommended and be called a research candidate.</p>
		2.	<p>If a research student fails to get admission to candidacy as below then his/ her registration for the Ph.D. Programme will be terminated.</p> <p><b>(a). For Ph.D. students with M.Tech./M.Arch./ MURP/ MCA/ M.Tech. (Integrated/IDD) or equivalence degree and M.Sc. /MA/ MBA or equivalent admitted to Science /HSS/ Management department: 18 months.</b></p> <p><b>(b). For Ph.D. students with B.Tech. or equivalent or M.Sc. degree or equivalent admitted to Engineering discipline: 24 months.</b></p> <p>With a rider that last six months shall be devoted to non-course related activities of Ph.D. programme such as comprehensive exam (Written/Oral) and research proposal for candidacy.</p>
<b>RESEARCH PERFORMANCE MONITORING</b> <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i>	R.7	1.	The research progress of each research candidate in each semester will be monitored by the supervisor(s), who will assess the performance to be 'satisfactory' or 'unsatisfactory' at the end of each semester. For this purpose, each research candidate will be asked to submit a progress report to the supervisor(s) by the dates stipulated in R11.6.
		2.	In addition, the candidate shall have to give seminar once in an academic year before the SRC for progress evaluation. If the candidate has been admitted in July, the seminar presentation has to be completed by July 15 <b>of the next year</b> and if the candidate has been admitted in January, the seminar presentation has to be completed by December 31 <b>of the same year</b> .
		3.	The supervisor(s)/SRC shall forward the recommendation regarding the performance of the research candidate to the Chairman, DRC/CRC before the beginning of the next semester. The Chairman, DRC/CRC will forward the recommendation to the competent authority for necessary action.
		4.	The progress of a research candidate in each semester is evaluated as 'satisfactory' or 'unsatisfactory' by the supervisor(s)/SRC and forwarded to competent authority through Chairman DRC and Head of the Department/Centre.

		5.	If the progress is evaluated as 'unsatisfactory' by the supervisor(s) for the first time, a warning will be issued to the Research Candidate by the competent authority.
		6.	If the performance is evaluated unsatisfactory in two consecutive semesters to a research candidate, his/her registration for Ph.D. programme will stand terminated.
		7.	<p>A special meeting of SRC may be called by the supervisor(s) at any time during the entire period of Ph.D. for the following:</p> <ul style="list-style-type: none"> <li>a) Any type of change of topic or research area.</li> <li>b) Addition or deletion of supervisor.</li> <li>c) To consider the request of student for doing work in industry or in some other institute for a short period.</li> <li>d) To consider the extension of period</li> <li>e) To consider the enhancement of fellowship or change of status from JRF to SRF.</li> </ul> <p>Proforma Ph.D-VIII need to be filled every time by the SRC for the approval of Dean of Academic Affairs.</p>
<p><b>THESIS SUBMISSION</b>  <i>(Item No. 60.23  Appendix 'L'  dt 08.07.2015)</i></p> <p><i>(Item No. 71.15  Agenda (Page No.226)  Minutes (Page No.06)  dt 28.12.2017)</i></p>	R.8	1.	<p>a) A candidate is required to publish at least two papers or accepted for publication in refereed journal(s) of repute (preferably journals included in SCI) as decided by the SRC at the time of presentation of research proposal or at least one patent filed.</p> <p><b>Eligibility criteria for submission of thesis regarding minimum duration of submission and number of papers to be published shall be as per the Ordinances &amp; Regulations in force at the time of admission.</b></p> <p>b) When the supervisor is of the opinion that the research work as planned in the research proposal has been completed and the quality of work is up to the mark for submission of Ph.D., he/she will ask the research candidate to prepare a draft copy of the thesis and submit to the Chairman, SRC with the request to convene the meeting of SRC.</p> <p>c) The candidate shall submit <b>8</b> soft bound copies and one soft copy of the synopsis after the SRC recommends submission of synopsis.</p> <p>d) The research candidate will deliver a seminar on his/her research work and the seminar shall be adequately notified by the Chairman, SRC, so as to enable interested staff members and students to attend it. If the SRC is satisfied about the quality of the work and considers it fit for submission as a Ph.D. thesis, it will send its recommendation to competent authority along with five soft bound copies and one soft copy of the synopsis and the proposed panel of examiners. Proforma Ph.D-IX, given in Appendix-A, is to be filled by the supervisor(s) to be sent for the approval of Dean of Academic Affairs.</p>

<p>(Item No. 66.16 Minutes (Page No.08) dt 11.08.2016)</p>			<p>e) At the time of delivery of seminar for pre-submission, student has to present the rough draft of the thesis to the SRC.</p> <p>f) If candidate feels that supervisor is not allowing him/her to submit thesis, the student can approach Chairman SRC or HoD and request to convene the special meeting of SRC to consider the work done by him/her. The candidate may or may not be allowed to submit thesis by the SRC.</p> <p>The research candidate shall be required to submit his thesis within 04 months of SRC recommendation for submission of thesis. However, in case a candidate fails to submit his/her thesis within the stipulated time and has suitable justification for the same, the competent authority may, on recommendations made by the SRC and DRC and on individual merits of each case, grant him/her extension in time beyond more than four more months, i.e. the candidate may be allowed to submit his/her thesis within a period not exceeding 08 months from the date of SRC meeting recommending submission. No further extension will be given beyond 08 months for the submission of thesis.</p>
		2.	<p><b>Panel of Examiners</b></p> <p>A panel of at least ten experts in the area of the Ph.D. thesis would be suggested by the supervisor(s) and recommended by the SRC while forwarding its recommendation for submission of thesis. The panel so recommended would include at least 50% of the examiners from outside India and be out of the bibliography list of references as submitted by the candidate with synopsis with one reference of each expert in cited journal. Any person working in the laboratory(ies)/ Institution(s) where the research candidate or supervisor(s) from outside the institution, if any, is employed, cannot, however, appear in the panel of examiners. Any person related to the candidate or supervisor(s) should not appear in the panel of examiners.</p>
		3.	<p><b>Board of Examiners</b></p> <p>On receipt of the recommendation of SRC for submission of thesis along with synopsis and panel of examiners, the Dean of Academic Affairs will seek consent of the examiners and appoint the Board of Examiners for each research candidate. The Board will consist of internal examiners - <del>the Supervisor(s)</del>, and three external examiners – two from within India and the other from abroad, who shall be experts in the subject of the thesis except for cases covered under clause R.8.2 (b). These external examiners shall be chosen from the panel of examiners recommended by the SRC.</p> <p>The supervisor has already gone through the thesis submitted by his/her student and approved the submission, the supervisor will not be asked to evaluate the thesis again. The thesis shall be evaluated only by the Indian and Foreign Examiners as per existing rules.</p>

		4.	<p><b>Submission of Thesis</b></p> <p>(i) The thesis shall be written in English in the specific format available in the office of Dean of Academic Affairs / Department. The specifications of the thesis are given in Proforma Ph.D-X, given in Appendix-A.</p> <p>(ii) The thesis shall contain a critical account of the candidate's research. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or development of innovative products and technologies or a combination of these. It should bear evidence of the candidate's capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development.</p> <p>(iii) The Ph.D. thesis must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side:</p> <p style="text-align: center;"><b>© INDIAN INSTITUTE OF TECHNOLOGY, ROORKEE, 200.. ALL RIGHTS RESERVED</b></p> <p>(iv) The research candidate shall submit initially n+4 copies of the thesis in a spiral bound form with a soft cover, where 'n' is the number of supervisor(s), and also a soft copy (pdf file) on a CD. One copy each is for office record, for foreign examiner, for Indian examiner and for supervisor(s).</p> <p>(v) The candidates declaration page will have signature of only the student and supervisor(s).The format of the declaration page will have the format as given in proforma Ph.D- XI-A, given in Appendix-A.</p> <p>(vi) The candidate will have to fill proforma Ph.D-XII, given in Appendix-A, for the submission of thesis.</p>
<p><b>THESIS EVALUATION</b> <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i></p> <p><i>(Item No. 71.15 Agenda (Page No.226) Minutes (Page No.06) dt 28.12.2017)</i></p>	R.9	1.	<p>The thesis will be sent to the examiners by the office of the Dean of Academic Affairs with the request for a detailed assessment report and his/her recommendations on the prescribed proforma within a period of six weeks of the date of receiving the thesis.</p> <p><b>Criteria to be adopted for evaluation of thesis shall be as per the Ph.D. Ordinances &amp; Regulations in force at the time of submission of the thesis.</b></p>
		2.	<p>a) Examiners will examine the thesis individually with a view to judge that the thesis is a piece of research work characterized by;</p> <ul style="list-style-type: none"> <li>i) The discovery of facts, or</li> <li>ii) A fresh approach towards interpretation and application of facts or theories, or</li> <li>iii) Development of innovative products and technologies</li> </ul> <p>b) Each examiner will send detailed comments on the research work along with a clear recommendation stating one of the following:</p>



			<ul style="list-style-type: none"> <li>(i) The thesis is satisfactory and recommended for the award of Ph.D. degree, or</li> <li>(ii) The thesis is recommended for the award of Ph.D. Degree subject to the candidate giving satisfactory answers to queries specifically mentioned in the report at the time of oral defence, or</li> <li>(iii) The thesis is recommended for the award of Ph.D. Degree subject to the candidate revise the thesis as per suggestions made and presents during oral defence, or</li> <li>(iv) The candidate is required to resubmit the thesis in the revised form, as per suggestions made and the thesis be sent for re-evaluation.</li> <li>(v) The thesis is rejected.</li> </ul>
<p><i>(Item No. 68.13 Appendix 'D' Minutes (Pg No. 23-26) dt 02.03.2017)</i></p>		<p>3.</p>	<p>The Dean of Academic Affairs will, on the basis of the recommendations of the examiners will take one of the following actions:</p> <ul style="list-style-type: none"> <li>i) If all the examiners recommend acceptance of the thesis, their recommendations shall be accepted.</li> <li><del>ii) If out of three external examiners, two external examiners (Foreign and one of the Indian) have sent the report in time and recommend the acceptance of the thesis and all internal examiners also recommend acceptance of the thesis, their recommendation may be accepted. However, the academic section shall wait till the last date of sending the reports by all external examiners from the date of dispatch of Ph.D. thesis (i.e., 6 weeks as given in R.9.1 above) and after that give at least one reminder to examiner to send the report in next 4 weeks.</del></li> <li><b>If out of three external examiners, two external examiners (Foreign and one of the Indian) have sent the report in time and recommend the acceptance of the thesis, their recommendation may be accepted. However, the academic section shall wait till the last date of sending the reports by all external examiners from the date of dispatch of Ph.D. thesis (i.e., 08 weeks) and after that give at least one reminder to examiner to send the report in next 4 weeks.</b></li> <li><del>iii) If the report of one out of two external examiners (received till last date) is negative, the report of third examiner is must.</del></li> <li><del>iv) In case reports have come from both the Indian examiners, any one of them may be included in the examination board for viva-voce examination.</del></li> <li><b>In case reports have come from both the Indian Examiners and both have given the same recommendations, any one of them may be included in the examination. However, if the recommendations of Indian examiners are different, the one who has raised the queries or asked to revise the thesis as per suggestions made by him/her and presents during oral defence shall be included in the examination board.</b></li> </ul>

		<p><del>v) If majority of the external examiners recommend rejection, their decisions would be accepted. The candidate may, however, be allowed to resubmit the thesis at least after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis. In case of resubmission of the thesis, a fresh fee for the examination shall be paid by the candidate. No candidate shall be allowed to resubmit the same thesis for more than once.</del></p> <p>If any of the examiners recommends rejection, his/her decision would be accepted. The candidate may, however, be allowed to resubmit the thesis at least after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis. In case of resubmission of the thesis, a fresh fee for the examination shall be paid by the candidate. No candidate shall be allowed to resubmit the same thesis more than once.</p> <p><del>vi) If more than one examiner recommends rejection, the candidate's replies to the comments made by the examiners shall be sent to these examiners and their clear verdict sought. The examiners may then recommend acceptance, rejection or revision of the thesis. In case the thesis is accepted, sub-clause 3(i) above will be applicable. In case of recommendation for revision, sub-clause 3(vii) below will apply. However, if these examiners still recommends rejection, alternate examiners would be appointed from the panel of the examiners recommended by SRC by the Dean of Academic Affairs. In such cases sub-clause 4(viii) will apply.</del></p> <p>If one or more examiners recommend rejection, the candidate's replies to the comments made by the examiners shall be sent to these examiners and their clear verdict sought. The examiners may then recommend acceptance, rejection or revision of the thesis.</p> <p>In case the thesis is accepted, sub-clause 3(i) above will be applicable. In case of recommendation for revision, sub-clause 3(vii) below will apply. However, if these examiners still recommends rejection, alternate examiners would be appointed from the panel of the examiners recommended by SRC by the Dean of Academic Affairs. In such cases sub-clause 4(viii) will apply.</p> <p>vii) In case some examiners recommend revision of the thesis, the thesis would be revised normally within one year, if the candidate so desires. The revised version of the thesis with new date of submission on thesis would be sent to all the examiners for their recommendations.</p> <p>If the candidate does not agree for revision, he may ask for appointment of another examiner(s) under sub-clause 4(viii) below.</p>
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			<p>and resubmit it within a period of one year, for evaluation by the same set of examiners.</p> <p>xi) Any doubt arising out of following the procedure laid down in clause R.9.3 shall be referred to the Director for a decision.</p> <p>xii) In case of ambiguous recommendations by the examiner(s), Dean of Academic Affairs will approach the examiner(s) for a clear recommendation. In case clear recommendation is not forthcoming, the matter may be referred to the Director for his decision.</p> <p><del>xiii) In case any examiner gives comments to be incorporated in the thesis and also states that the revised thesis need not be sent again to him / her, the revised thesis will not be sent to the examiner. The supervisor(s) shall certify that the comments have been incorporated, before the viva-voce examination. ( in view of clause R.9.2 (b) (iii) included in the revise rules.)</del></p>
<p><b>ORAL DEFENCE OF THESIS</b>  <i>(Item No. 60.23  Appendix 'L'  dt 08.07.2015)</i></p>	<p><b>R.10</b></p>	1.	<p>If the thesis is recommended for the award of Ph.D. degree, the candidate shall be required to defend his / her work / thesis orally (Oral Defence) before a duly constituted committee hereinafter referred to as the Oral Defence Committee (ODC). The Dean of Academic Affairs shall request the thesis supervisor and Chairman, SRC to arrange the conduct of oral thesis defence. The copies of the report of the thesis examiners shall be sent to the supervisor with the request to provide them to the candidate so that he/she may prepare to answer the queries raised in the report during oral defence. The oral thesis defence shall be adequately notified so as to enable interested staff members and students to attend it.</p>
		2.	<p>(i) The ODC shall be chaired by the Head of the department / centre or his nominee and shall consist of Chairman SRC, supervisor(s) and one Indian external examiner. The Chairman, SRC and the supervisor(s) in the capacity of internal examiner(s) shall arrange for the oral defence of the candidate and the Head of the department/centre will notify it. The oral defence of the thesis of the candidate shall be arranged as early as possible and normally within two months from the date of receipt of communication from the Dean of Academic Affairs for holding the viva-voce examination.</p> <p>(ii) The Dean of Academic Affairs will decide that out of two Indian external examiner who should be included in the panel of examiners for ODC.</p> <p>(iii) In case of the inability of the supervisor to arrange the conduct of the oral defence of the thesis due to any reason whatsoever, the Dean of Academic Affairs may appoint Chairman, SRC or internal expert, as recommended by Head of the Department/Centre concerned, another Internal Examiner for oral defence of the thesis. In such cases also, the Ph.D. work will be deemed to have been carried out under the guidance of the supervisor only.</p>

		3.	<p>a) In case of non-availability of the Indian External Examiner in conducting the viva-voce examination, the Dean of Academic Affairs may appoint another examiner to conduct the oral defence of the thesis from the panel of Indian examiners recommended by SRC. If need be, the SRC may suggest a fresh panel of examiners.</p> <p>b) The examiners in Oral Defence Committee (ODC) shall be provided with the comments made by the examiners before the oral defence.</p> <p>c) If there is a difference of opinion among the viva-voce examiners in Oral Defence Committee (ODC), the recommendations of the ODC will be put up to the Director for a decision who may either direct that a fresh oral defence be held with a new ODC or recommend acceptance or otherwise to the Senate.</p> <p>d) On the completion of the oral defence, the Oral Defence Committee shall recommend to the Dean of Academic Affairs, one of the following courses of action:</p> <ul style="list-style-type: none"> <li>(i) that the degree be awarded;</li> <li>(ii) that the candidate be re-examined at a later specified time in a specified manner;</li> </ul> <p>The Oral Defence Committee shall also provide to the research candidate a list of all corrections and modifications in the thesis (if required) including suggestions made by the examiners during the thesis evaluation.</p> <p>The second oral defence may be held in case of (ii) normally after a period of 3 months.</p> <p>Any other matter not explicitly provided herein or of an exceptional nature, may be referred to the Director for his decision.</p> <p>e) After the successful completion of oral defence, the candidate is required to make all the changes suggested by the examiners or members of viva defence committee.</p> <ul style="list-style-type: none"> <li>(i) The final submission of thesis shall be in hard bound form incorporating all the changes in the thesis after successful completion of oral defence. The candidate declaration page will have the format as given in proforma-XI-B, given in Appendix-A.</li> <li>(ii) The candidate's declaration page in the final thesis will have the signature of the candidate, supervisor(s), Indian examiners and Chairman, SRC. The supervisor will take the signature of all the members of Oral Defence Committee on required number of sheets at the time of viva-voce examination to be place in the final thesis.</li> <li>(iii) Before signing the thesis in the hard bound form, the supervisor(s) will certify that the candidate has made all the changes as suggested by the examiner(s).</li> <li>(iv) The research candidate shall prepare n+2 copies of the final thesis in hard bound, where 'n' is the number of supervisor(s), after</li> </ul>
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			<p>successful completion of Oral Examination. One copy each is for Central Library, Departmental Library and for supervisor(s).</p> <p>(v) One copy of the thesis shall be given to each supervisor(s) by the candidate.</p> <p>(vi) One copy of thesis shall be submitted in Departmental Library by the candidate to get 'No Dues' from the Departmental Library.</p> <p>(vii) The candidate shall submit one copy of thesis meant for Central Library, synopsis of the thesis, additional one page synopsis for Hindi translation, 'No Dues' certificate and a soft copy (pdf file) on a CD to supervisor(s) for sending to Academic Section.</p> <p>(viii) Supervisor will send the above alongwith Report of the thesis to Academic Section for approval of the competent authority.</p>
<p><b>AWARD OF Ph.D. DEGREE</b>  <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i></p>	<b>R.11</b>	1.	<p>The Degree of Ph.D. shall be awarded by the Senate, provided that:</p> <p>a) The Oral Defence Committee so recommends;</p> <p>b) The candidate produces a 'No dues Certificate' in the prescribed form.</p> <p>c) The candidate has submitted one soft and two hard cover copies of the thesis; one for the Library of the Department/Centre and the other for the Central Library. The thesis should incorporate all necessary/ corrections/ modifications listed by the Oral Defence Committee (ODC).</p>
<p><b>FINANCIAL ASSISTANCE (Institutional Assistantship)</b>  <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i></p> <p><i>(Item No. 69.32 Agenda (Pg No. 139-140) Minutes (Pg No. 12) dt 28.07.2017)</i></p>	<b>R.12</b>	1.	<p>a) Those students who are admitted on full-time basis are considered for the award of Institutional MHRD Assistantship of the amount as decided by the Government of India from time to time, under specified terms and conditions.</p> <p>b) The students getting Institute MHRD Assistantship will provide 8-10 hours of assistance per week in teaching, laboratory development, and research.</p> <p>c) The total number of MHRD assistantships in a department will be as decided by the institute from time to time.</p>
		2.	<p>The maximum duration for which assistantship can be awarded to any Ph.D. research student is 4 years for MHRD and UGC/CSIR fellows or till the end of the semester in which the thesis is submitted, whichever is earlier. Continuation of the fellowship is contingent on satisfactory academic and research performance and satisfactory performance in the discharge of responsibilities for assistance assigned under the scheme.</p> <p><b>IITR Assistantship to research scholars may be extended up to the viva-voce Examination on the recommendation of supervisor. This is subject to their registration in those semester(s). However, in any case, the assistantship cannot be given beyond five years as per the guidelines of MHRD.</b></p> <p>MHRD or UGC/CSIR fellowship can be given to the students in the 5<sup>th</sup> year provided the SRC or the three member assessment committee</p>

		<p>respectively strongly recommends with a justification for fellowship after the candidate delivers a seminar before the committee, to show progress. The committee has to specify the date beyond 4<sup>th</sup> year upto which fellowship can be given.</p> <p>It is to be noted that admission to the Programmes and award of assistantship are not linked. Admission to any programme does not guarantee the award of fellowship/ assistantship. Those who are not awarded assistantship can continue with the programmes as a self financing student.</p>
<p><b>TUITION FEE WAIVER TO Ph.D. STUDENTS</b> (Item No. 60.23 Appendix 'L' dt 08.07.2015)</p>	R.13	<p>Tuition Fee Waivers is given to research students/ candidates following the policy of the Government of India, Ministry of Human Resource Department.</p>
<p><b>LEAVE AND ATTENDANCE</b> (Item No. 60.23 Appendix 'L' dt 08.07.2015)</p> <p><u>(Notification No. Acd./1814/UG-15 dated 20.11.2015)</u></p>	R.14	<p>A research student/candidate will be entitled to avail leave as approved by the Head of the department/centre following Leave Rules/Attendance Rules formulated and amended from time to time by the Senate. Presently these are as under:</p> <p>1. <b>Leave Rules</b></p> <p>A full-time research student/candidate, during his/her stay at the Institute will be entitled <del>a total of 30 days leave per academic year, in addition to Public Holidays including leave on medical grounds.</del> <b>for 8 days casual leave and 15 days vacation leave including leave on medical grounds in an academic year.</b> He/she will not be entitled to mid-semester breaks, summer and winter vacation. The leave due can be carried over to the next year and accumulated up to <del>90</del> <b>60</b> days.</p> <p>Leave beyond <del>30</del> <b>15</b> days in an academic year may be granted to a Research student/ candidate in exceptional circumstances, on the recommendation of the supervisor, by the Head of the Department/Centre concerned, subject to the following conditions:</p> <ol style="list-style-type: none"> <li>The leave beyond <del>30 days</del> <b>due leave</b> will be without Assistantship/ Scholarship/ Fellowship.</li> <li>An extension of leave up to additional <del>30</del> <b>15</b> days will be granted only once during the programme of the scholar.</li> <li>A proper leave account of each research student/candidate shall be maintained by the Department/ Centre concerned.</li> <li>Women scholars are entitled for maternity leave with full fellowship/assistantship as applicable, for a period not exceeding <b>180</b> days, once during the tenure of their award. The application for maternity leave should be supported by medical certificate.</li> </ol>

<p><u>(Notification No. Acd./1814/UG-15 dated 20.11.2015)</u></p>			<p>e) Male Scholars are entitled for 15 days paternity leave once during the tenure of their award. The application for paternity leave should be supported by medical certificate.</p> <p>f) Special leave may be granted with the permission of Dean of Academic Affairs to attend Seminars/Conferences in India <del>abroad</del> and present paper. <b>However, permission of Dean of Academic Affairs, is required to attend Seminars/ Conferences in abroad and present paper.</b></p> <p>g) <b>Field trips, attending Seminars/Conferences/Workshops will be considered on duty.</b></p> <p>h) Research student/candidate supported by a Government/ semi-Government agencies may be governed by their own rules as applicable.</p>
<p><b>WITHDRAWAL FROM SEMESTER/COURSES</b> (Item No. 60.23 Appendix 'L' dt 08.07.2015)</p>	<p>R.15</p>	<p>1.</p>	<p>A research student/candidate may be permitted by the Dean of Academic Affairs to withdraw from all the courses registered by her/him in the entire semester, on medical grounds supported by a medical certificate from the Institute Medical Officer. The medical certificate issued by a registered Medical Practitioner will also be acceptable in those cases where the research student/candidate has valid reasons for his/her absence from the Institute. Withdrawal may also be granted by the Dean of Academic Affairs provided he/she is convinced that the research student/candidate cannot pursue his/her studies for the reasons beyond his/her control.</p>
		<p>2.</p>	<p><b>Attendance</b></p> <p>A research student/candidate irrespective of the source of support including self financing, while pursuing course work, must have at least 75% attendance in each course in which he/she is registered. A research student falling short of 75% attendance in a course shall not be permitted to appear in the examination of that course and asked to leave the programme.</p> <p>A research student/candidate after having completed the course work must attend to his/her research work on all the working days and mark attendance except when he/she is away from the campus on duty/sanctioned leave. The requirement of 75% attendance will apply as above on daily attendance on monthly basis except in the cases where longer leave have been duly sanctioned within the leave entitlement of the research student/candidate.</p> <p>In case the attendance of a research student/candidate falls below 75% during a month, he/she will not be paid his assistantship/support, if applicable, for that month. Further, if his/her attendance again falls short of 75% in any subsequent months in the same semester his/her studentship/candidacy and support will be terminated.</p> <p>For the above purpose, if 75% works out to be a number which is not a whole number, the immediate lower whole number will be treated as the required 75% attendance.</p>



		2.	Research Student/Candidate should present the medical certificate in support of his/her absence for health reasons within two days of his/her rejoining the Institute, if not produced already. Under no circumstances a request for semester withdrawal from a research student/candidate will be entertained after the major tests in courses have begun. Withdrawal will not be granted retrospectively.
		3.	The period of authorized absence in the semester should not be less than three weeks in a Semester, for which withdrawal is to be granted. Regularity in attending the classes / department and satisfactory performance in research/ the mid-term examinations, if any, held prior to the date of application for withdrawal are the factors which would be taken into account while recommending/ granting withdrawal.
		4.	Any semester withdrawal will count towards the maximum limit of registration for six years for full time /seven years for part time research student/candidate as per clause R.2(b).
<b>CANCELLATION OF REGISTRATION</b> <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i>  <i>(Item No. 69.12 Agenda (Page No.25) Minutes (Page No.08) dt 28.07.2017)</i>	<b>R.16</b>	1.	<p>Registration of a Research student/candidate shall be cancelled in any one of the following eventualities, after due approval of Dean of Academic Affairs:</p> <ol style="list-style-type: none"> <li>If he/she absents himself/herself for a continuous period of four weeks without prior intimation/sanction of leave and is duly recommended by the supervisor/ Chairman, DRC/CRC/HoD.</li> <li>If he/she resigns from the Ph.D. Programme and the resignation is recommended by the supervisor/ Chairman, DRC/CRC/HoD.</li> <li>If he/she fails to renew his/her registration in any semester following the provision contained in clause R.1.5.</li> <li>If his/ her academic and research progress is not as per requirement clauses R.7.4 and R.7.5.</li> <li>If all the prescribed courses including Audit course(s) are not successfully completed within the stipulated time frame of <del>15/20</del> <b>18/24</b> months by Research students with Masters' Degree/ Bachelors' Degree both for full time/part time student from initial registration following provisions of clause R.4.</li> <li>If he/she does not clear the comprehensive examination as stipulated in clauses R.5.2 and R.6.2.</li> <li>If he/she is found involved in an act of misconduct and/or indiscipline and termination has been recommended by a competent authority.</li> </ol>
<b>TO TAKE UP JOBS/ASSIGNMENTS</b> <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i>	<b>R.17</b>		<p>The Full time research student/candidate cannot take up any regular job/assignment during Ph.D. programme.</p> <p>If he/she takes up a job / assignment, his/her status will be converted from Full-time to Part-time student in accordance with clause A.2.3. Conversion of status from Full-time to Part-time is admissible only after the candidacy.</p>
<b>GENERAL</b> <i>(Item No. 60.23 Appendix 'L' dt 08.07.2015)</i>	<b>R.18</b>	1.	Notwithstanding anything contained in these Ordinances & Regulations, all categories of the research students/candidates shall be governed by the regulations, guidelines and procedures framed by the Senate in this regard, and in force from time to time.

		2.	<p>Unfair means and Plagiarism</p> <p>a) In case a research student/candidate is found adopting or suspected of adopting unfair means before, during and after the examination or lifting of some other's work(s) and inserting it in his/her project, seminar and dissertation, etc. without proper acknowledgment, credit and reference or plagiarizing the dissertation/project report etc., such penal action shall be taken by the Institute as may be necessary to uphold the sanctity and integrity of the examination system and the credibility of the Institute.</p> <p>b) All such cases may be taken suo-moto cognizance of by the Institute Standing Committee (ISC) appointed by the Senate for this purpose. Such cases may also be reported by examiners/invigilators/ supervisor(s)/ Chairman, DRC/CRC or any person to Dean of Academic Affairs and or the Institute Standing Committee for consideration. After giving an opportunity to the concerned research student(s) /candidate(s) to explain the conduct/defend against the charge, the Chairman, Senate on the recommendation of Institute Standing Committee shall take action to impose on the concerned research student(s)/candidate(s) appropriate penalty including termination of registration or award of F Grade in the concerned course(s) etc.</p>
<p><b>INTERPRETATION</b>  <i>(Item No. 60.23  Appendix 'L'  dt 08.07.2015)</i></p>	<p><b>R.19</b></p>	1.	<p>Any doubt or dispute about the interpretation of these Ordinances and Regulations shall be referred to the Chairman, Senate whose decisions shall be final.</p>
		2.	<p>Eligibility for admission to Ph.D. programmes in different disciplines is summarized in <b>Annexure-I</b>. This may be reviewed from time to time by the concerned department/centre and approved by the Senate.</p> <p>Note: The recommendations of SRC in respect of a research student are to be made on prescribed proforma available in the office of concerned department / centre as well as Institute website.</p>