

**ORDINANCE FOR ADMITTING WORKING PROFESSIONALS
For Research Studies Leading to Ph.D.(Non Full Time) with effect from 2018**

Preamble:

Currently the admission to various Ph.D. programmes in Indian Institute of Information Technology, Allahabad (IIITA) is on full time basis and on scholarship support. Somehow this is inhibiting even the candidates who could be sponsored and deputed for full time Ph.D. studies from applying.

There are Industries, R&D organizations, Laboratories, Government/ Private Institutions, NGOs, Banking Institutions, and other Academic Institutions where quality infrastructure for advance research and even the inquisitive and right kind of aspirants to take up advance research activities are present in such places, but the mechanism to convert such work spots to research study centers is lacking. If IIITA, the institute of higher learning and of national importance could exploit this scenario and could create a win-win mechanism, the objective of enhancing research quality and culture and of bringing the professional world in closer proximity to the institute could be accomplished.

In this backdrop it is proposed to recognize appropriate professional centres as research centres, for enabling research studies leading to Ph.D., and also to provide admission for the working professionals on full/ part time basis from the next academic year and onwards.

Accordingly the proposed ordinance is as follows:

Ordinance for working professionals for research studies leading to Ph. D.

1. Suitably qualified working professionals as per the standards of admission to Ph.D. will be eligible to apply for respective research studies in various subjects as available in IIITA.
 - a) However, qualification certificate of GATE/ GRE/ UGC/CSIR NET/ CAT/ GMAT or similar Exams is not mandatory for admission in PhD (WP) program.
2. Such an aspirant may be exempted from appearing for an entrance test in lieu of sponsorship that she/he holds, however the candidate has to face the interview process before s/he could be formally admitted.
3. A sponsored candidate can be a full time residential scholar in IIITA or may even be considered for admission as full time / part time scholar at her/his work place itself, provided the workplace could be recognized as a research centre upon the compliance of the following stipulations* thereto:
 - 3.1 The said work place / professional centre should formally sponsor the aspirant candidate for research studies on a full / part time basis.

3.2 The Management / Administration of the work place / professional centre should agree to extend the research facilities, infrastructural support, library / computing resources and sufficient quality time for the researcher.

3.3 The Management / Administration of the Work place / Professional centre should be willing to extend the logistics of providing local hospitality and travel expenses to the research supervisor(s) / Doctoral committee whenever the visit is warranted for monitoring and reviewing the research progress and also grant permission to the candidate to travel to IIITA to meet research supervisor(s) / Doctoral committee for discussion and assessment process.

** These are also applicable to the working professionals registering for M.Tech by research / M.B.A. for working professionals. A working professional can also be an international working professional.*

3.4 The Management / Administration of the Work place / Professional centre should be able to identify a suitably qualified resource person, if available, to act as a local mentor / local supervisor for the research candidate, who could be identified as the joint supervisor for such a candidate by IIITA along with the main supervisor from IIITA.

4. Such a sponsored candidate may complete the course requirement in remote mode, remaining in contact with the research supervisor(s) online / offline. S/he has to carry out the studies as stipulated, submit the assignments, participate in discussion-sessions, present seminars, appear for quizzes, review tests etc. offline or online or in person. However, such a sponsored candidate has to be in the campus of IIITA with the research supervisor(s) at least for 15 days in every 6 months.
5. The research papers / patents resulting from such joint work will be the joint properties of both the institute and the professional workplace, and the advantage will be proportionately shared.
6. If the sponsored candidate is a full-time research candidate, s/he would be governed by the present minimum duration stipulations. However, if the sponsored candidate is a part time Ph.D. candidate, then the minimum duration required to submit the Ph.D. Thesis would be 48 months.
7. The working professionals from IIIT Allahabad would be treated as in-house candidates. The fee for them will be as applicable to regular candidates for such cases, while the academic requirements shall be the same for all candidates - regular, in-house and working professionals, as prescribed by Ph.D. Ordinances. There shall not be any differences in the degree obtained by a regular candidate and a working professional.

Addendum to Doctoral Degree (Ph.D.) Program Ordinance 2018 of IIT Allahabad for Non-full time Ph.D. Programme meant for Working Professionals

1. The norms for admission to/registration for Ph.D. programme is as per the Ordinance approved by Senate, regard to Ph.D. for working professionals.

a) Last dates of admission -

- Session July-December - Till 5th September
- Session January-June - Till 5th of March

Any applicant whose admission process (i.e. uploading all documents at ERP, submission of fee & getting email of Provisional Enrollment Receipt) will get completed after the above mentioned dates, their first academic semester will start from the next academic semester. Fees already submitted during the semester will be considered as their first semester fee for the next semester. However if there is any revision in fee during next semester, it will be applicable to the student.

2. The minimum duration will be 48 months (4 years).
3. The maximum duration will be 72 months (6 years).
4. Conventional spill over for one year after 4th year.
5. Special spill over for one year after 5th year.
6. Extraordinary spill over for one year beyond special spill over, may be considered on recommendation by the Doctoral Committee. However, the request need not even be considered. This will be as per Ph.D. Ordinance.
7. The course requirement is 64 credits as per Ph.D. Ordinance.
8. The course entitled TRA assessment could continue to be TRA assessment in case the candidate is associated with Training/Research Oriented responsibilities in his profession. The candidate has to prepare a report based on the work executed and present the same before the Doctoral Committee for evaluation. It could still be a TRA assessment if the candidate can find himself/herself attached with an academic/training centre of repute for the purpose. OR A candidate may be assigned a related advanced developmental work which involves self study also for completing the developmental work.
9. In view of non-full time nature of the research work, the schedule of course work is as follows:

I Semester

- | | |
|--------------------------------|-------------|
| 1. Foundation Course | – 4 credit |
| 2. Area specific Breadth Paper | – 4 credit |
| Total | – 8 credits |

II Semester

- | | |
|---|-------------|
| 1. Area specific Depth Paper | – 4 credit |
| 2. Pre-Research registration colloquium | – 4 credit |
| Total | – 8 credits |

Area of research should be finalized. If the candidate wishes to change the area of research, he/she has to repeat II semester course work and if required Area Specific Breadth paper of I semester also.

III Semester

- | | |
|--|-------------|
| 1. Research Methodology | – 4 credit |
| 2. Research topic specific course work | – 4 credit |
| Total | – 8 credits |

IV Semester

- | | |
|--|-------------|
| 1. An exploratory analysis of the influence of his/her profession/job on the research topic chosen | - 4 credit |
| 2. Research Registration colloquium | - 4 credit |
| Total | - 8 credits |

A candidate may seek to change the research topic, in which case he/she has got to repeat III & IV semester courses

V Semester

- | | |
|--|-------------|
| 1. Research problem specific course work | – 4 credit |
| 2. Research Proposal colloquium | – 4 credit |
| Total | – 8 credits |

VI Semester

- | | |
|--|-------------|
| 1. Research & Research Progress Colloquium I | - 8 Credit |
| Total | - 8 credits |

VII Semester

- | | |
|---|-------------|
| 1. TRA /Developmental work associated with Self study | -4 credit |
| 2. Research & Research Progress Colloquium-II | - 4 credit |
| Total | - 8 credits |

VIII Semester

- | | |
|-------------------------------------|------------------|
| 1. Authoring & Presenting | - 4 credit |
| 2. Pre-thesis submission colloquium | – 4 credit |
| | Total- 8 credits |

Grand Total = 64 Credits

All 56 credits up the end of VII semester should be completed before registering for 8 credits scheduled for VIII semester.

In principle Pre-thesis colloquium will be held only after the completion of 4 credits of the course – Authoring and Presenting, even if the candidate would register for these 8 credits in the final semester together i.e. the candidate should have covered 60 credits for pre-thesis colloquium as per Ph.D. Ordinance.

10. The JRF to SRF review will not be applicable.
11. The candidate should have successfully completed at least 40 credits corresponding up to the end of V semester, for presenting his/her request for extension of his Ph.D. period to spill over to 5th year (for seeking conventional spill over benefit).
12. Terms and conditions for spill over are as per Ph.D. Ordinance.
13. Dropped courses may be taken up in Summer Semester. One can register up to a maximum of 8 credits in a Summer Semester.
14. All other modus operandi aspects are as per the Ph.D. Ordinance.

Full Time Doctoral Degree (Ph.D.) Program Ordinance 2018 of IIT Allahabad

(To take effect from the date it is approved by the competent bodies of the Institute)

- 1) **Degree to be Awarded** - Ph.D.
- 2) **Normal & Minimal Degree Length** - Three Years (Containing Six Normal Semesters and 3 summer Semesters – Thirty Six Months) for a FULL Time Regular Student.
- 3) **Maximal Degree Length** - Five Years – Sixty Months (Six Normal Semesters + Four Spill Over Semesters + Five Summer Semesters (Including Blank semesters if/whenever availed of)).
- 4) **Minimal Degree Requirements** - 64 Credits + Two Published Papers in SCI / SCIE / SSCI Journals + Minimum Attendance Criterion (per semester basis)+ Minimum of Six Full Semesters, for a full time regular Candidate.
- 5) **Date of Start of the Ph.D. Degree Program**- Opening date of the Semester One or the date of payment of Fees for the First Semester, whichever is later.
- 6) **Date of Ending of the Degree Program** - The date of submission of the Thesis to Dean(R&D) for evaluation OR 60 months from the date of start of the degree program, whichever is earlier.
- 7) **Attendance** - 75% , reckonable on Semester basis PLUS 75 % Course wise during Coursework
- 8) Dean(R&D) is the ex-officio In-charge of the PhD Program. The Office of R&D Section will provide the administration support to Dean(R&D) in conducting the PhD program. Dean(R&D) may, under approval by the Chairman Senate Co-opt a senior faculty member (not below the rank of an Associate Professor) to function on his behalf. He would delegate the responsibility to any other Dean for the cases of those candidates for whom he/ she him/ her self is the research Supervisor.
- 9) **Components of the Degree Program** - Core Courses, Elective Courses, Advance Courses (As may be applicable), Colloquia, Periodic reviews by the duly constituted Doctoral Committee, Thesis Submission and Evaluation, Thesis acceptance for award of Ph.D. Degree after Open Viva Voce – cum-Defense , Plagiarism check and such other requirements as may be decided by the Senate from time to time.

10) Direct Entry Requirements, with Ph.D. Fellowship:

- A.** Candidates who have passed or are in the Final Year / Semester of their respective Professional Degree Programs are eligible to apply.
- B.** The candidate **MUST** have secured at least 65% cumulatively or equivalent CGPI at the time of application submission itself. Candidates in all cases shall however be required to be clear PASS with 65% Marks or Equivalent Cumulative Grade Point Index before being finally joining into the Program. 5% relaxation shall be applicable for SC/ST/PH Candidates.
- C. Applicant should also meet the following requirements:**
- i. For Candidates with B.Tech. / M.Tech. / B.Pharm. / M.Pharm. Degree Backgrounds -**
 - a)** GATE Score (Not more than Four Years old, on the cutoff date for applications for Ph.D. Degree) **OR**
 - b)** GRE Score (Not more than Four Year Old, on the cutoff date for applications for Ph.D. Degree) **OR**
 - c)** UGC/ CSIR NET or JRF (Period of eligibility as per the respective Funding Agency norms; For NET not more than two years old)
 - ii. For Candidates with M.Sc. / MCA Backgrounds -**
 - a)** GATE (Not more than Four Year Old, on the cutoff date for applications for Ph.D. Degree) **OR**
 - b)** UGC/ CSIR NET or JRF/ INSPIRE Qualified Candidates for JRF purposes (Period of eligibility as per the respective Funding Agency norms; For NET not more than two years old)
 - iii. For Candidates with MBA / M.Com. Background -**
 - a)** CAT Qualified (Not more than Four Year Old, on the cutoff date for applications for Ph.D. Degree) **OR**
 - b)** GMAT Score (Not more than Four Year Old, on the cutoff date for applications for Ph.D. Degree) **OR**
 - c)** UGC/ CSIR NET or JRF Qualified Candidates (Period of eligibility as per the respective Funding Agency norms; For NET not more than two years old)
- D. Candidates who have proven external fellowship (including project running at IIITA) -** may apply at any point of time. Their application will be processed in a similar way as adopted for Working Professionals mode applications. Admission of such candidates will only be confirmed if the promising agency grants the fellowship considering the admission of the candidate.

11) A. General Admission Criterion:

- a)** PhD entrance examination (twice a year) for “Regular PhD with Institute Fellowship” will be conducted at IIITA or in ONLINE mode.
 - **Last dates of admission -**
 - Session July-December - Till 5th September
 - Session January-June - Till 5th of March

- Any applicant whose admission process (i.e. uploading all documents at ERP, submission of fee & getting email of Provisional Enrollment Receipt) will get completed after the above mentioned dates, their first academic semester will start from the next academic semester. Fees already submitted during the semester will be considered as their first semester fee for the next semester. However if there is any revision in fee during next semester, it will be applicable to the student.

- b) For any reason after qualifying the written test, if the candidate chooses not to appear for an interview then he may be called for the interview within 2 years from the date of qualifying the written test if an explicit request is made by the candidate to Dean(R&D) & permission is granted.

OR

A Workshop of a week's duration for research aptitude will be convened once in a year (in summer). Prospective Ph.D candidates may enrol. The candidates meeting the expected level of aptitude would be selected.

OR

Sponsored working professionals (as per working professional ordinance) with minimum 2 years of work experience in the current organization would be called for interaction/interviews directly.

OR

The candidates with CGPI of more than 8.0 from IITs/ IIITs/ IISERs/ and such institutions of National importance could be called for interaction/interview sessions directly.

c)

- i. Candidates who satisfied 10(C) will be considered for respective Stipend / Fellowship.
- ii. If the candidate is eligible for another national Fellowship, s/he should apply for consideration (Viz.Maulana Abdul Kalam Azad Fellowship/ Rajiv Gandhi Fellowship/ Visvesvarayya Fellowship, etc.)
- iii. The Institute on its own discretion, may award TRAship, however if awarded, it would be on yearly basis only.

- d) Gol fellowship recipients have to mandatorily take up a minimum of 10 hrs/week TRA assignment (Refer TRA / TRF Document as approved by the Senate).

- e) A B.Tech. candidate with minimum CGPI of 8.5 and who clears the requirements of the entrance process will be considered for admission to Ph.D.

Eligibility for availing Stipend / Fellowship/ TRAship shall be as per clause (c) above.

- f) For Candidates completing their regular M.Tech. from IIT Allahabad, a special direct interview/ interaction session for Ph.D. may be conducted, just before their Final Semester of M.Tech., provided such a candidate has maintained a CGPI of at least 8.00 till then and provided s/he is a GATE/ UGC/ CSIR NET or JRF qualified. In case the candidate is provisionally selected for admission to Ph.D. Program, s/he could preferably take up his/her final Thesis Work for M.Tech. in the area of his/her proposed research work for Ph.D. and formally report to Ph.D. after completing the requirements of M.Tech.

B. Procedure for conducting PhD Admissions -

i) For Regular PhD (With Institute Fellowship)

- a) RDS will collect the areas from all faculty members of IITA (irrespective of their current department of association) in which they would like to supervise a research scholar in earning his/her PhD. Some interdisciplinary areas will also be defined wherein two prospective faculty names will be mentioned for possible joint supervision. It will be published in the advertisement and incorporated in the IITA's ONLINE application portal. Moreover, there may be a rolling advertisement for Admission in PhD Program with the 2-3 suitable deadlines decided by the Dean(R&D) as per the needs of the institute. As soon as the deadline is defined, a small advertisement may be published in any leading newspaper's all India edition as may be decided by the Dean(R&D), along with the programs at B ii) & iii) below.
- b) At the time of filling the ONLINE form the applicant is also required to submit a note (about 500 words) on the interesting research findings in the chosen area. The candidates will submit the details as desired in the online application portal. After the last date, the application will be downloaded by the concerned department.
- c) This research proposal will be sent to the respective faculty member(s) (automatically through the portal). If anyone of these faculty members submit an affirmative recommendation to RDS within a given deadline (after duly verifying the eligibility criteria), and if he/she has a vacancy too, then the application of such a candidate will be forwarded to a suitable department for further processing, as may be decided by the SPGC. It may be a different department than the parent department of the chosen faculty. The vacancy under a faculty is governed by the maximum number of students under a faculty as may be defined by the Dean(R&D) from time to time. A faculty may recommend a maximum of 3 times the number of candidates for the available vacant seats under him/her.
- d) Each department should conduct a written test for all applicants as mentioned in (i) above. The department should preferably include 60 MCQs (attempt any 30 questions choice which may weigh 30 Marks) from the areas chosen by these group of candidates as well as subjective questions (from different areas with 'attempt any one choice' which may weigh another 30 Marks, it may include programming too.) in the written test. If needed (e.g. total applicants are too much), the department may screen out some applicants based on the written score. Each department may constitute a

suitable number of interview panels and conduct the interviews in ONLINE mode (which may weigh 40 marks). The cut off on total score for each category should be explicitly defined by the department while submitting a comprehensive report to the AR(RD) for placing before the Chairman Senate through Dean(RD) and Dean(R&D). As the written and interviews are to be conducted in the ONLINE mode so there is no need of conducting both parts on the same day. However, all interview panels of a department must meet simultaneously and prepare the final result as soon as all interviews are over, on the same day. Reasons for scoring a student below 30% (i.e. below 12 marks) by the interview panel. The department will shortlist the applications as per department as per guidelines of PhD Ordinance. The department may also add other conditions for short listing of the application other than the minimum conditions as laid down in PhD ordinance in consultation with Dean (R&D) and will send the intimation to the shortlisted applicants. The written test followed by the interview will be conducted by the department for the screened in candidates. The department may from the board, separate written test, interview panels etc if needed as per the specialization. The department shall also take prior approval of the interview board from the Director through Dean, RD. The final weightage of written and interview board shall be 60:40. Normalization if required may be done by the department. Prior approval from the Director through Dean(RD) shall be required in case any changes in the above ratio is done. The total marks shall then be submitted by the Department through Dean (R&D) for final approval. HoD of the concerned department will do the needful as per the timeline mentioned in Advertisement. After the approval from the Director, RDS Section shall then declare the result and will inform the applicant.

- e) The Chairman Senate may raise or lower various cutoffs as he may deem fit while considering these comprehensive reports of various departments. The RDS will issue the letters to the selected candidates as approved by Chairman Senate, verify the eligibility and other relevant documents and if found in order then admit the candidate.
- f) The procedure for admission through the workshop (minimum 5 days duration) is also similar. The coordinator and the main teacher may conduct a written test followed by an interview and submit the recommendations to AR(RD). Suitable interview panel may be constituted by Dean(R&D). In the workshop brochure it must be explicitly mentioned that PhD admissions may also be considered for workshop participants.

ii) For Regular Ph.D. (With external funding i.e. NO financial support by IIITA):

The eligible candidates may apply any time through the ONLINE portal and their applications may be processed through the chosen supervisor, DPGC, Dean (RD) just like WP mode applications are currently processed. Provisional admission will be offered to the selected candidates, but the confirmation will be done only after they start receiving the financial assistance from the external funding agency with a deadline given by the Dean(RD), who may also extend it as he may

deem fit. Failing which the admission stands cancelled i.e. these candidates can never be converted into institute fellowship category.

iii) For Ph.D.(Working Professional Mode):

In addition to the current practice, the candidates possess B.Tech. or equivalent degrees may be allowed. The RDS will obtain recommendations for such candidates from their organization through back channels and place it before the selection panel. The selection panel also decides the additional credits which should be earned by this candidate. If admitted and then for any reasons such a candidate failed to complete PhD then he/she may be allowed to get a MTech (by research) degree (if credit requirements for earning this degree is satisfied) at the time of exit. Further, the employees of Central/State Govts, Autonomous bodies like ISRO, DRDO etc PSUs, and other similarly placed organizations the NOC issued as per their own format may be acceptable.

- 12)** Each enrolled candidate shall work under the Supervision of a designated Supervisor. The Supervisor may be more than one in case it is so warranted under the opinion of the Supervisor. In such a case the second Supervisor shall be designated as a Supervisor-II / Co-Supervisor. In all there cannot be more than two Supervisors namely - One Supervisor and the Other Supervisor-II / Co Supervisor. The induction of Supervisor-II / Co-Supervisor shall be required to be settled by the Supervisor, by the end of first semester of the Candidate being allotted to him/her.

13) Doctoral Committee Composition and Responsibilities:

Dean(R&D) will coordinate the process of getting the Doctoral Committee composed.

a) The Doctoral Committee shall comprise of the following:

1. Supervisor - Ex officio Chairperson
2. Supervisor-II / Co-Supervisor (If required by the supervisor) / Administrative Guide.
3. An Expert from within the department, having a similar area of interest, and not below the level of Assistant Professor.
4. An External Expert from outside the Institute, having a similar area of interest. In special cases, an Expert from Outside the Department BUT from within the Institute may also be considered as an external expert, upon expressed prior approval of the Chairperson Senate.
5. Head of the Department or his nominee from the Department, but not below the level of Assistant Professor, who must have guided at least one PhD successfully.
6. Dean(R&D) or his nominee (nominee must be from the relevant area of research, but not below the level Assistant Professor, who must have successfully guided at least one PhD).

b) Responsibilities of the Doctoral Committee:

1. Designing the course work for various Semesters, suggest a suitable L-T-P format for each course (as per M.Tech. ordinance), and also propose a title for every course enabling the generation of grade card.
2. Monitoring the progress through the performance in the respective colloquiums and providing the corrective, constructive and suggestive feedback, in the prescribed Format.
3. Conducting/Evaluating JRF to SRF review and making suitable recommendations, in the prescribed Format.
4. Conducting pre thesis submission Colloquium and providing suitable recommendations in the prescribed Format.
5. Considering the request for extension to spill over period and providing suitable recommendations, in the prescribed Format.
6. Approving the Research Proposal / JRF to SRF elevation / Pre Thesis Submission, etc.
7. Deciding the cut off for every course to enable the computation of course GPI.
8. Considering the credit carryover/ credit transfer as applicable.
9. Advising on any other aspects deemed necessary by the committee towards the betterment of the research output.

14) Who can be a Supervisor/ Supervisor-II / Co-Supervisor:

- a) All Nobel Laureates/ Turing Awardees/ Shanti Swaroop Bhatnagar Awardees, who wish to be associated with the Institute in the discipline concerned.
- b) All such Eminent Persons, who have been conferred with D.Sc. (HC), by the Institute / Other Institutions of National Importance who are formally adopted by the Institute Senate for the purpose in the discipline concerned.
- c) Fellows of INAE, INSA, NASI and Fellows of such similar Institutions who are formally adopted by the Institute Senate for the purpose in the discipline concerned.
- d) All Full time Faculty Members of the Institute.
- e) Suitably qualified Professionals, as may be approved by the Chairperson Senate, on case to case Basis.

15) Duties of the Supervisor: Shall include the following: (Indicative Only)

- a) Shall act as the Single Point Contact for - The Candidate, Dean(R&D) and R&D Section, for all Academic Administration logistics.
- b) Formation of the Doctoral Committee specific to the enrolled Candidate, within a month of the enrollment of the Candidate, under co-ordination with Dean(R&D).
- c) Intimation to the R&D Section through Dean(R&D) about the Doctoral Committee formation with its composition and copies of approval of the Chairperson Senate, wherever required.
- d) Maintenance of close supervision on the day-to-day academic / research requirements / performance / progress of the candidate.

- e) Ensuring that the candidate has completed the pre-requisites for being considered for SRFship from JRF ship, various colloquium requirements, etc as applicable upon the candidate from time to time. For the purpose s/he shall be required to maintain a parallel; life cycle of events of the respective candidate from the date of registration to award or otherwise.
- f) Timely conduct of the Doctoral Committee meetings and communication of their reviews to the R&D Section through Dean(R&D).
- g) Timely approval of the Courses to be undertaken by the candidate under his/her supervision, including that of the Self Study and Advanced Courses and communicating the same to the R&D Section through Dean(R&D) for records.
- h) Supervisor shall hold the responsibility of recording the scores of the respective candidate in C1, C2, C3 Format and communicate the same to the R&D Section through Dean(R&D), at the end of respective semester, for declaration of Semesterly results by R&D Section. (The Course is said to be successfully completed only upon the declaration of results by R&D Section).

16) Expectations from External Expert of the Doctoral Committee - *Indicative only* -

- a) Physical presence would be mandatory in the Pre-Thesis Submission Colloquium.
- b) In all other Doctoral Committee Meetings / Colloquiums, s/he may join through SKYPE etc, if unable to participate physically, but expressed evaluative comments on the concerned candidate would be required.

17) Number of Candidates permitted to be registered under a Supervisor

Total Number of Candidates permitted to be supervised by any one Supervisor at any given point of time: Upto a maximum of Ten only, as per the below categorisation (Ten includes Candidates being supervised as Supervisor OR Supervisor-II or as Co-Supervisor, all put together).

- a) **With GATE / MHRD Fellowship and Contingency / CSIR-JRF / UGC-JRF / Visvesvaraya Fellowship / etc. GoI funded Stipend / fellowships**
- b) **With GRE/CAT/GMAT/UGC-NET/CSIR-NET- Financial support by the Institute**
- c) **With Financial Support from any Project Sponsored from any external agency/ Consultancy Offered by any External Agency to any Faculty Member and having provision of taking JRF/ SRF :** The provision shall apply only in cases where the Supervisor himself is the PI/ Co-PI of the Project/ Consultancy. The PI (Supervisor) shall further ensure that all consumable requirements of the enrolled candidates shall be met out of the respective Project/ Consultancy Funds. Non-Consumable/ LTAS requirements may be met from the available Institute resources, without any additional requisition of institutional funds/ resources.

- d) **Candidates required to be enrolled by the Institute under Exchange Programs/ Institute MOUs with Other Institutions/ Organisations/ Agencies etc**
- e) **Sponsored Candidates/ Working Professionals**
- f) **Without any Financial Support from the Institute / any other funding agency:** Refers to completely Self Financing Candidate. No such candidate is allowable.
- g) **Internal Candidates:** The provisions (a) through (f) above shall also include in house candidates i.e. the ones who are on a substantive post at IIIT Allahabad. During such period when they are enrolled under Ph.D., they shall be on "Study Leave" from IIIT Allahabad and since being paid the full salary, they shall be treated as candidates enrolled under the Supervisor under category (c) above. Institute's internal candidates shall be treated like the other full time candidates with all academic and Fee etc provisions being applicable upon them identically. Fees and Dues payable shall have to be borne by the respective candidate with no liability on the Institute.

- 18) Fees and Dues Chargeable :** To be decided by the Institute from time to time, but to be the same for all categories of candidates (Categories as specified in Item 17 above). Timely deposition of the same to the Institute and maintenance of No Dues at all times, shall be the responsibility of the enrolled candidate.
- 19)** A semester of minimum 16 weeks duration and of 20 weeks including all semester end requirements is a **full semester**. The maximum credit that a Ph.D. candidate can register for and successfully complete is 12 credits in such a full semester including the DROPPed course(s) from the previous semesters if any.
- 20)** A semester is called an **Active Semester** if a candidate enrolls for the semester and registers for a full load of credits assigned for that particular semester.
- 21)** A **Summer Semester** is not a full semester. The Summer Semester can be availed of by the PhD Candidate to complete the 'Dropped' Credits, of any of the preceding semester(s). Maximum credits that a candidate can enrol for during any one summer semester are '8' only. Otherwise a candidate should normally be occupied with his/her research work during the summer semester period. For registering Courses FOR equal to 4 Credits, 35% of the regular Full Semester Fees shall be payable, while for registering for full 8 Credit Courses, 50% of the regular Full Semester Fees shall be payable.
- 22)** If a candidate does not register for any credits during a semester and would like to avail leave of absence, then such a semester is referred to as '**Blank Semester**'. Expressed Permission for availing a Blank Semester, is however required to be taken *apriori*, by the candidate from the Supervisor and got registered with the R&D Section of the Institute for records purposes. However, for the registration to remain valid and continuous, the candidate shall be required to pay the prescribed fees. Blank Semester Fees is same as the Semester Fees admissible

- 23)** A suitable LTP structure is required to be followed for the Credits description of each Course, together with the conduction and assessment of the various Course(s) in the C1, C2, C3 format. (Ref. M.Tech. Ordinances of the Institute for the purpose).
- 24) Vacation/ Casual Leave** may be availed of by the registered candidate as per the funding agencies terms and condition/ Institute Policy, with prior permission of the Supervisor and copy of such permission to R&D Section through Dean(R&D). Respective HOD is also expected to be apprised of the leave period by the Supervisor.
- 25) Leave of absence / Travelling Allowances** shall be as per the norms of Gol / DST / Sponsoring Agency as applicable upon the candidate.
- 26) Brief Credit Requirements, Course Work & Related Progress Checks expected from the registered Full Time Ph.D. Candidate:**

General Schema:

	Sem 1	Sem 2	Sum mer Sem A	Sem 3	Sem 4	Summer Sem B	Sem 5	Sem 6	Summer Sem C	Sem 7	Sem 8	Summer Sem D	Sem 9	Sem 10	Sem 11 & 12 + 1 Summer Sem
	Odd Sem	Even Sem		Odd Sem	Even Sem		Odd Sem	Even Sem		Odd Sem	Even Sem		Odd Sem	Even Sem	
May-June	July - Dec	Jan - April	May - June	July - Dec	Jan - April	May - June	July - Dec	Jan - April	May - June	July - Dec	Jan - April	May - June	July - Dec	Jan - April	May to April
	Normal Semesters									Spill Over Semesters					
	Provisional Registration Stage	Registration Confirmation Stage		Registration Continues Subject to the payment of prescribed Fees / Dues and other conditions of continuity as per the Ph.D. Ordinance											
	12 Credits	12 Credits	6 Credits (Dropped Courses)	12 Credits	12 Credits	8 Credits (Dropped Courses only)	12 Credits	12 Credits	6 Credits (Dropped Courses)	6 Credits	6 Credits	6 Credits (Dropped Courses Only)	6 Credits	6 Credits	Extra-ordinary Spill Over Semesters
	3 Hard Core@4 Cr each	1 Hard Core @4 Cr + 1 Electives @ 4 Cr each + Registratio n Colloquiu m @ 4 Cr		Research Problem Specific Self Study@ 4 Cr + TRA Assignmen t I @ 4 Cr +Research Proposal Colloquium @ 4 Cr	TRA Assignm ent II @ 4 Cr + Researc h & Researc h Progres s Colloqui um I @ 8 Cr	As may be applicabl e + JRF to SRF Qualifier Colloquiu m	TRA Assignmen t III @ 4 Cr + Research & Research Progress Colloquiu m II @ 8 Cr	(Overall) Pre Thesis Submission Colloquium @ 4 Cr	As may be applicable + JRF to SRF Qualifier Colloquium (if applicable)						

Pre I Sem - Admission, Deciding the Area of Research, Supervisor Allotment, constitution of the Doctoral Committee, etc.

Relevant courses (a total of 12 credits) should be designed in the areas of the following:

<u>1 Sem:</u>	1	A Foundation Course *	4 Cr. (Hard Core)
	2	Area Specific Breadth Paper **	4 Cr. (Hard Core)
	3	Area Specific Depth Paper***	4 Cr. (Hard Core)
		Total	= 12 Cr.

* The relevant Course shall be designed Specific to the Department. (To be designed by the Department)

**A Course covering all essential academic studies related to the identified Branch. Suitable Course Title to be communicated by the Chairperson Doctoral Committee, for Grade Card purposes.

***Detailed Coursework appropriate to the chosen area of research. Suitable Title to be communicated by the Chairperson Doctoral Committee, for Grade Card purposes.

(Freedom of choosing the number of courses and the credits per course is provided to the respective departments. However, the total credits a student completes for the semester should be maintained to 12 credits). However, course types which are "Hard Core" will remain "Hard Core".

If the candidate feels that he/she should change the area of research, then s/he can be allowed to restart the first semester afresh. Only one restart option could be made available. The credit carryover benefit for certain courses may be considered by the Doctoral Committee.

II Sem

- | | |
|---|------------------|
| 1. Research Methodology
(could contain aspects pertaining to the specific area of research) | 4 Cr.(Hard Core) |
| 2. Elective/ (Specific to the topic of research/Self Study Course)
(Suitable Title to be communicated by the Chairperson Doctoral Committee, for Grade Card purposes) | 4Cr. |
| 3. Registration Colloquium
(For this Colloquium, candidates are expected to finalise the Topic of research and to generate a report covering the possible Statement of the problem, related literature, Relevance, Importance followed by presenting and defending the same before the Doctoral committee. | 4 Cr. |

Total =12 Cr.

If the candidate feels that s/he should change the Topic of research, s/he may allowed to do so, However, Elective/Self Study specific to the Topic of research and registration colloquium courses may have to be registered afresh. Only one restart option could be made available. The credit Carry over benefit for certain courses may be considered by the Doctoral Committee.

Special Provision: At the end of the second Semester, if a candidate thinks that area of research itself should be changed, his/her case could be considered, under expressed request to the Dean(R&D) and approval of the Chairperson Senate to that effect. Only one such re-start may be provided. However, the candidate has to start afresh from the beginning of the First Semester.

III Sem : (Pre-requisite: Successful completion of Registration Colloquium of Sem-II and all course credits of SemI & II Sem).

1. Research Problem Specific Course - 4 Cr. (May be a Self-study course)
(Suitable Title to be communicated by the Chairperson Doctoral Committee, for Grade Card purposes)
2. TRA assignment –I - 4 Cr. (Assessment for the knowledge and depth of involvement)
3. Research Proposal Colloquium - 4 Cr.

(For this Colloquium, Candidate is expected to freeze the Title of the Thesis and to generate a report covering the Proposed Statement of the problem, State of the art Relevance/Importance, Proposed Methodology followed by presenting and defending the same before the Doctoral committee. The title of the thesis along with the **abstract of the research plan**, in about 300 words, shall then be communicated to R&D Section through Dean(A&R), under the approval of the Chairperson Doctoral Committee). In case the Candidate is unable to successfully defend the Research Colloquium and s/he shall be treated as a DROPPed Course and shall be dealt with as per the relevant provisions of DROPPed Courses.

Total = 12 Cr.

If certain credits of II Sem are DROPPED, the candidate has got to register for those credits essentially in this semester, if s/he could not complete the same even after availing the preceding Summer Semester. However, if credit slots are available, the candidate could be allowed to take up the Assessment of TRA assignment of III Sem along with the DROPPED courses of II Sem.

(Imp -Research Area - is broadly the area identified for Research within the branch of study.

Topic of Research - is the focused theme identified within the Research Area.

Thesis Title - would refer to the statement of the Research problem, within the scope of the identified Research Topic.)

IV Sem: **Pre-requisite:** Successful completion of Research Proposal Colloquium of III Sem together with all Course Credits upto the end of Sem III..

1. TRA Assignment - II - 4 Cr.
2. Research & Research Progress Colloquium I - 8 Cr.

Total = 12 Cr.

If the Thesis Title is required to be touched by way of alteration or modification, the same may be allowed by the Doctoral Committee provided the desired alteration/modification confirms to the requirement. This MUST however happen before the Progress Colloquium and duly certified in the Progress Colloquium. The same shall be required to be communicated to R&D Section through Dean(R&D) for recording.

V Sem :

- | | | |
|--|---|-------|
| 1. TRA assignment III | - | 4 Cr. |
| 2. Research & Research Progress Colloquium II* | - | 8 Cr. |

Total = 12 Cr.

(* Including authoring and presenting)

VI Sem

Pre-requisite: Successful completion of all 60 Credits till the end of V Sem, as prescribed

(Overall) Pre Thesis Submission Colloquium = 4 Credits + TRA

- a) Upon the explicit request of the candidate/ Supervisor, in case it is desired to touch the earlier frozen Thesis Title, the Doctoral committee may recommend the fresh title for acceptance to the Chairperson Senate, upon the payment of prescribed Fees which shall be 5% of the Tuition Fees for the Semester as prevailing. The brief of the abstract should be submitted to the Dean(R&D), before the conduct of the pre-thesis colloquium, which will be sent to R&D Section for the purpose of recording.
- b) No re-touching of any kind in the Thesis Title shall be allowed after successful completion of Pre Thesis Submission Colloquium, which shall be Title Specific.
- c) The thesis should be submitted within a maximum of 150 days from the date of notification of successful completion of Pre-thesis submission Colloquium, failing which it is automatically treated as the candidate has dropped the Pre-thesis colloquium which compels him/her to register for Pre-thesis colloquium afresh.

Cumulative Degree Credits =64 Credits.

Note -A candidate has to function as a TRA, in every semester till the submission of Thesis, whether the TRA assignment is a credited Coursework or not. TRA Assignments will be made by the respective Head of the Department in consultations with the respective Supervisor. Except for being engaged for 10 Hrs explicitly for TRA ship, for the rest of the time the candidate shall be expected to be immersed in his/her research activities.

27) Thesis Submission eligibility, procedure , Thesis Evaluation, etc and Viva Voce-cum-Open Defence -

(It should be ensured by the fellow that the Assistance provided by the Funding Agency of Gol is acknowledged in all publications related to the results of JRF/SRF research work.)

- i. To be held after the successful completion of 64 Credits.
- ii. 75% Attendance fulfillment Certification from the Supervisor, along with the Supervisor-II / Co-Supervisor,(if applicable).
- iii. That the Thesis is Plagiarism free certification from the Supervisor, along with the Supervisor-II / Co-Supervisor,(if applicable).
- iv. Certification regarding the publication of at least two papers in SCI / SCIE / SSCI Journals, as per the requirement, from the Supervisor, along with the Co-Supervisor, (if applicable). If any Research Paper resulting out of the research work contains those names which are other than the names of the Candidate/ Supervisor / Co-Supervisor, then it is obligatory for the candidate to produce a No Objection Certificate from the concerned persons for inclusion of their names in the said Paper and Thesis.
- v. Joint Certificate from the Candidate and the Supervisor, stating that the work being submitted is original and has NOT been submitted elsewhere by them (or any other co-authors involved) for the award of Ph.D. Degree or any other Degree / Diploma.
- vi. **Thesis Submission Procedure** -Thesis to be submitted initially in Soft version (in a CD/Pendrive) by the Candidate together with PDF Copies of the above certificates contained therein, to the Supervisor, along with one hard copy spiral bound. The supervisor shall forward the same for further consideration and evaluation to the Dean(R&D) of the Institute. If additional hard copies are required at a later stage, the candidate would be expected to arrange for the same expeditiously.
- vii. The Dean(R&D), may accept the same after ensuring the due compliance of the conditions of this Ordinance and forward the same to the R&D Section for taking up its evaluation.
- viii. **Format in which the Thesis is to be submitted:** As per the Institute standard given in **Annexure 1** attached.
- ix. **Thesis Evaluation by whom** -The Supervisor and Supervisor-II/ Co-Supervisor (wherever applicable), shall jointly, suggest a panel of experts for the purpose, at least 45 days prior to the expected date of Thesis submission to the Dean(R&D) (to facilitate parallel seeking of concurrence by the evaluators), as follows:
 - a) A total of twelve names shall be suggested, each of which shall be of an expert in the area of the thesis to be evaluated. Their expertise should be well evidenced by the documents in support (and kept available with the Supervisor, for inspection if so required by the Chairperson Senate)
 - b) All the suggested experts shall be of the stature of at least that of an Associate Professor of an Institution of National Eminence or higher.
 - c) Out of the twelve suggested panelists a minimum of FIVE shall be from out of India and the remaining from within India.
 - d) Of the suggested panelists from India, not more than three could be from Uttar Pradesh.
 - e) Persons of appropriate level as indicated before, who are associated with a reputed Foreign - Institution/ Organization for the past at least 3 Yrs. may only be considered on the panel, as the one from outside India.
 - f) Dean(R&D) will present the panel to the Chairperson Senate,who may accept the suggested panelists for being on the Evaluation Panel or introduce his own names on the panel.

- g) While approving the names for the evaluation panel the Chairperson Senate shall indicate order of priority on which the R&D Section under intimation to Dean(R&D) shall approach them for their acceptance to evaluate the Thesis under consideration, clearly appending along with the Synopsis of the work (Synopsis to be submitted by the candidate at least 45 days in advance of the Thesis submission date)
 - h) The evaluator shall also be required to sign a Declaration that s/he is not a relative of the candidate or the Supervisor/ Supervisor-II/ Co-Supervisor and that s/he does not have any conflict of Interest in adjudication / valuing the Ph.D. Thesis.
 - i) Evaluation panel for each candidate shall be individually approved by the Chairperson Senate and shall comprise of Three Persons as per the above (Ensuring that at least one of the three evaluators is from abroad).
- x. Thesis Evaluation Mechanism** -The Evaluators have to examine whether the candidate has achieved the objectives in the Thesis while preparing his/her report on the Thesis. The objectives here refer to the ones stated in the Abstract of the Research Plan as approved in the Research Proposal Colloquium.
- a) The evaluators shall send the scanned copy of the evaluation report duly signed in the prescribed format, by email directly to the Dean(R&D). While the hard copy may be sent concurrently by post/ Air mail.
 - b) If the Thesis is **unconditionally recommended** to be accepted by at least two of the three evaluators, the Dean(R&D) shall intimate the same to the Supervisor accordingly. Next Stage shall then be the fixation of the Open Viva Voce and Thesis Defense, after receipt of final Bound Copy of the Thesis (Two Copies + Soft Copy).
 - c) If the Thesis is recommended to be **rejected by at least two of the evaluators**, it shall be treated as rejected and the same shall be communicated by the Dean(R&D) to the Supervisor accordingly. Next Stage shall then be the Exit of the Candidate, with a PG Diploma Certificate stating the Courses and Credits & Grades earned by the Candidate. However, the candidate can appeal through the Doctoral Committee, for sending the Thesis to a fresh set of evaluators. Only one appeal is admissible against this rejection, within 15 days from the date Dean(R&D) informs the Supervisor of the rejection of the Thesis. In such an event, the Chairperson Senate may or may not consider the request. In case s/he considers admitting the appeal, then s/he may consider the existing panel or may call for a fresh panel of evaluators.
 - d) If the Thesis is recommended to be **accepted unconditionally by at least two evaluators**, and conditionally accepted by the third one then the Thesis shall be treated as accepted as such and communicated to the Supervisor. Next Stage shall then be the fixation of the Open Viva Voce and Thesis Defense after receipt of final Bound Copy of the Thesis (Two Copies + Soft Copy).
 - e) If the Thesis is recommended to be **accepted conditionally by any of the evaluators**, then Copies of the categorized report (without identifying the examiner) will be sent to the thesis supervisor(s) for compliance of recommendations. If the supervisor(s) is/ are not available for any reason then it should be sent to HoD too for further provisioning. In case

any of the evaluators had desired that the conditionalities imposed by him/her should be shown to him/her after compliance then the Supervisor shall ensure that the same is complied with and produce the clear go ahead from the respective evaluator. In case the evaluator had suggested that the conditionalities be met, incorporated in the thesis and the evaluation then proceed, then the same shall also be certified to have been complied with by the Supervisor and communicated to the Dean(R&D), for proceeding to the next stage. Next stage shall then be the fixation of the Open Viva Voce and Thesis Defense, after receipt of final Bound Copy of the Thesis (Two Copies + Soft Copy).

xi. Submission of Final Copy of Thesis and compendium of Publications: Following requirements to be adhered to:

- a) A Synopsis of the Thesis, should be submitted in a hard copy duly bound. Modified hard copy of the thesis. Thereon, various flags should be inserted on the pages wherein the desired corrections have been accommodated. (signed by both)
- b) Final Hard Bound Copy to be submitted by the candidate before the final Viva Voce cum Open Thesis Defense, clearly certifying that the suggestions/ corrections desired to be incorporated by the Thesis Examination Experts have been duly incorporated and complied with. The response of the student to all the comments of the referees as communicated by the R&D Section, duly ratified by the supervisor(s). (signed by both)
- c) Should be in the prescribed format as per the ordinance and HARD BOUND.
- d) MUST contain all the required Certificates duly signed by the respective persons, as indicated in the ordinance.
- e) Two Copies, together with one Soft Copy to be submitted.
- f) One Compendium of all publications in a properly indexed volume should be submitted. One Hard Bound and one Soft Copy in a CD/ Pen drive. E-copy of the modified thesis in Pen-Drive.

xii. Viva Voce - Cum - Open Defense Mechanism and outcome : To start after the receipt of two copies of hard bound Final Thesis Along With the Soft Copy:

- a) The Dean(R&D) will get the Viva Voce – cum – open Defense evaluation Board constituted.
- b) Viva Voce may be conducted as per convenience of the panel on any day after approval of the panel by Competent Authority.
- c) The said Board meeting shall be convened by the R&D Section as per the intimation received from the Supervisor(s) who will interact with the external examiner and other members of the panel for fixing a date and time of the viva-voce and the Board shall comprise of the following:
 - i. The Supervisor ---- Chairperson of the Board
 - ii. Supervisor-II/Co-Supervisor (if applicable)

- iii. One of the External Examiners as identified by the Chairperson Senate
 - iv. Head of the Concerned Department / One of the Doctoral Committee Member / Nominee of the Chairperson Senate.
- d) For the Open Defense, R&D Section on behalf of Dean(R&D) would send an open invitation to the External Examiners, Members of the Doctoral Committee, Members of the concerned Department, Research Scholars and Students by giving wide publicity, as it is an open Viva Voce examination and Open Thesis Defense.
 - e) While any member from the audience shall be free to ask the questions from the candidate who shall be available there in person in defense of his/her Thesis, the evaluation rights of the Viva Voce Examination during the Open Thesis Defense shall rest with the Board. All evaluating members shall be required to be present personally during the Viva Voce-cum Open Thesis Defense.
 - f) The proceedings of this Viva Voce Examination cum Open Thesis Defense shall be drawn by the Chairperson Doctoral Committee upon the mutual agreement of the three membered Board as in (b) above, with clear, unconditional and unambiguous recommendation upon whether to accept or reject the Thesis under consideration for the award of Ph.D. Degree by IIT Allahabad.
 - g) The recommendation shall be handed over to the Dean(R&D), by the Chairperson Doctoral Committee in a sealed cover, who after accepting the same shall send the same, in original to the R&D Section for further action.
 - h) In case the Thesis is recommended for the award, R&D Section will solicit an approval from the Chairperson Senate to issue a provisional Degree award Certificate to the effect.
 - i) If the performance in the Viva Voce is not to the satisfaction of the Evaluation Board, the Board may direct the candidate to re-appear for Viva Voce cum Open Defense after allowing the candidate at least 90 days time. The second Viva Voce cum Open Defense must however be conducted before the completion of 105 days from the date of the first Viva Voce cum Open Defense. The evaluation Board shall however remain the same for the Second Viva Voce cum Open Defense, as for the first one.
 - j) In case the Thesis is not recommended for the award EVEN AFTER THE CONDUCT OF THE Second Viva Voce cum Open Defense, the same shall be apprised to the Chairperson Senate by the Dean(R&D) and for further consideration in the Senate of the Institute, in the next meeting.

28) Minimum Attendance, Grades etc Requirements to complete a Course Work:

- i. Attendance - At least 75%, ELSE DROP.
- ii. C1 + C2 Scores MUST be greater than 50% ELSE DROP.

- iii. C1 + C2 + C3 Scores MUST be greater than 60% ELSE DROP. (C3 Scores herein refer to the Scores obtained in C3 after the opportunity of MAKE UP Exams is allowed, if admissible)
- iv. If SGPI in a Semester is less than 6.50, then the candidate shall be required to DROP certain courses of his/her choice , from that semester, to manage an SGPI of 6.50 with the residual Courses.

(Note - Pl. refer M.Tech. Ordinance for C1, C2, C3, DROP Course(s), Make Up Exam, Cut Off, GPI, SGPI, CGPI, etc details . Cut Off shall be defined by the Supervisor for every Candidate and for each Course, in consultations with the Doctoral Committee. (Wherever the Cutoff is not mentioned by the faculty in the result it may be considered 100 for declaring the result.)

29) Pre-requisites for JRF to SRF 'Qualifier Colloquium'- All of the following are required -

- i. Completion Of a minimum of two 'Full' & 'Active' Semesters,
- ii. Successful completion of I, II & III Sem credits,
- iii. Successful completion of a minimum of 40 credits (inclusive of Sem I , II and III)
- iv. Should have maintained a CGPI of 7.00, at least for the minimum requirement of 40 Credits.

After completion of two years, an external assessment by the Institution is mandatory for upgradation from JRF to SRF. The fellow may be awarded SRF after successful assessment.

Successful completion of 'Review' is essential for elevation to SRF. A full time candidate can appear first time for this review only after the IV Semester, during the Summer before the Commencement of V Sem. Upon completion of the required pre-requisites, a candidate may apply to his/her Supervisor anytime for the 'Qualifier Colloquium' to be undertaken.

If the candidate is asked to appear for "Review" again, then he/she may be given an opportunity only after the completion of 90 days from the date of previous attempt, and thereafter once every 90 days, however need to be a SRF is not a pre-requisite to move over to V sem. (A candidate need not even become a SRF to compete Ph.D.) A total of 3 opportunities for elevation from JRF to SRF (including the first initial one) shall be tenable. No ante date elevation of status from JRF to SRF is tenable. Financials associated with the elevation shall also not be ante-dated.

30) What if, Unable to Pass the JRF-SRF Qualifier Colloquium - The student continues the research with JRFship as a JRF, until s/he clears in the next chance, which shall keep on happening every three months, subject to a maximum of three attempts as stated earlier. In such cases SRFship shall be provided only from the date the candidate is declared having PASSED the JRF to SRF Qualifier Colloquium, by R&D Section. It might so happen that the candidate completes the Degree requirements entirely, without availing the SRFship i.e., s/he continues to get 48 installments of JRFShip only. S/he shall still be eligible to get the Degree awarded, if all other requirements are completed.

31) Pre-requisites for Pre Thesis Submission Colloquium - All of the following are required -

- a) Earning of 60 Credits, as stipulated for the first five Semesters, with a minimum SGPI of 6.50 in each Semester.
- b) Achieving a CGPI of at least 6.50, for 60 Credits.
- c) Complying with the minimum attendance Criteria of 75% in each of the availed semester.
- d) Publishing/ Getting Acceptance ,at least One Paper in an SCI / SCIE / SSCI Journal and at least the second paper should be evidenced to be in the pipeline for publication in an SCI / SCIE / SSCI Journal.

(Note - The earliest that a full time regular candidate can appear for this is by the end of VI Sem after the completion of 60 Credits in the first successive five semesters from the date of registration in Ph.D. Program. Successfully completing the Pre-Thesis Submission Colloquium completes the earning of 64 Credits)

32) Stipend Payment - Only after the completion of the month and a certificate to the effect on attendance etc from the allotted Supervisor, in the Specified Format. No advance payment is tenable.

- a) Annual Satisfactory Assessment is mandatory to continue the benefit of fellowship during SRF period.
- b) It should be ensured by the fellow that the Assistance provided by the Funding Agency of GoI is acknowledged in all the publications.
- c) JRF/SRF are eligible only for Casual Leave. Maternity leave as per the GoI instructions issued from time to time would be available to female candidates.

33) Maximum Amount and Period for which Stipend can be tenable - 48 Months x Monthly Stipend payable (till the completion of conventional spill over period)/ applicable from time to time. Additional 12 months stipends will be payable, if the extension to special spill over period (ref. Section 35) is approved by the Senate Chairman. JRFship and SRFship put together or it could be JRFship only. The payment of stipend will be as per the guidelines of the Sponsor / Funding Agency, from time to time.

However, both the Candidate and the guide should in the presence of the Doctoral Committee may review and assess the genuineness of getting 5th year. If Candidate is nowhere even near the beginning of the Ph.D. work, the Doctoral Committee should be able to detain such a candidate, who may not be very eligible for automatic continuation.

34) Stipend Rate during Semester DROP Period / BLANK Semester:

- i. **If on account of Medical Reasons , other than Maternity-** @ 25% of the otherwise payable monthly stipend. The period availed as Leave on health grounds, shall be treated as extended Normal period provided supported by necessary certification in the prescribed format. **(Ann.....)**
- ii. **If on account of Maternity Reasons (applicable to Female candidates only)-**@ 25% of the otherwise payable monthly stipend.

(Duration of maternity leave shall be as per the GoI guidelines. The period availed as Maternity Leave shall be treated as extended Normal period. All Fees other than tuition Fees shall however have to be paid by the student as per the declared time schedules.)

- iii. **If on account of other Non-Medical Reasons** - @ 25% of the otherwise payable monthly stipend.
- iv. **If on account of undertaking Paid Internship / Job Opportunity** - Nil
- v. **If on account of undertaking UN-Paid Internship**- @25% of the otherwise payable monthly stipend.
- vi. **Other Un Specified Situations** - NIL
- vii. **During "Blank Semester"** for any reason the Stipend will not be given. However in extra-ordinary circumstances, an appeal may be made to the Chairperson Senate, for approving to grant a maximum of 25% of the monthly stipend applicable, for a period of six months only and subject to the overall financial limit of the maximum sum payable across the full degree period.

35) Spill Over' Semesters - The normal Degree Length is 3yrs (thirty six months only) with tenability to spill over to Fourth Year and fifth year.

- a) The two years after the normal Degree length period are referred to as the Spill Over Years, out of which the first one is referred to as the '**Conventional Spill Over Year**', which shall be granted by the Supervisor, upon the expressed recommendation of the Doctoral Committee, under communication to Dean(R&D). Minimum requirements that the Supervisor would ensure before taking up the case with the Doctoral Committee would be: that the candidate has successfully completed all requirements of I, II and III Sem with a CGPI of 6.50 or above. Thereafter, if the Doctoral committee considers that the progress made by the candidate is considerable enough for the grant of Spill Over Period, then only the Supervisor shall accord the approval for the Conventional Spill Over Period for a period upto one calendar year from the date of initial completion of three years. If the minimum requirement of completion of I, II and III Sem with a minimum CGPI of 6.50 is not satisfied then the candidate has to atomically exit from the PhD program.
- b) The Second One Year spell of the Spill over period is referred to as the '**Special Spill Over Year**', is grantable by the Chairperson Senate upon the explicit request of the candidate and recommendations of the Doctoral Committee, through Dean(R&D).

36) Time Extension Beyond 60 Months- Generally not allowable. Any extraordinary time extension desired beyond 60 months, if however desired, is required to be requested explicitly by the student latest during 57th to 58th month(from the date of original registration). The request, clearly explaining the extraordinary reasons, to be made through the Thesis Supervisor and recommendations of the Doctoral Committee to the Chairperson Senate, through Dean(R&D). The decision on grant or otherwise of this **Extraordinary Spill Over Period** (of a maximum of one year only), shall however be taken by the Senate. The request may also be turned down, in which case the Ph.D. Program of the concerned candidate shall automatically stand terminated on the completion of 60 months from the date of original registration.

37) Exit / Withdrawal Mechanism:

- i. If a candidate is unable to complete the 64 Credits even after availing the Special Spill Over period i.e. within 60 months of the registration, BUT has earned at least 40 Credits successfully, then such a candidate shall be **allowed to EXIT** from the program, upon expressed request to the Supervisor, who shall put it up for acceptance of the Chairperson Senate. Such a candidate may however be awarded a PG Diploma Certificate, if so desired by him/ her. Such a candidate shall be additionally eligible to apply afresh for Ph.D. admission, as per the rules then prevailing.
- ii. If the enrolled Student **OPTS to WITHDRAW** from the Ph.D. Program owing to personal reasons / other circumstances, s/he may do so at any point of time, BUT after repayment of 50% of the stipend drawn from the Institute, till the date of making such request. Upon such exit s/he shall be given a PG Diploma Certificate / Certificate of the Courses and Credits completed at the Institute, upon request. Such student may however become eligible for a FRESH admission, ONLY after 1 Year of such withdrawal.

38) Residential Institute & Hostel Accommodation - IIIT Allahabad is a fully residential Institution and residence on Institute Campus is mandatory. For the same, the Institute would provide accommodation on Campus to each enrolled candidate. In case of expressed non-availability of on-campus accommodation, the candidate shall be allowed to avail accommodation outside the Institute campus and be considered for grant of a suitable rent Compensation, as per the rules applicable.

39) Special Situations needing consideration:

- I. **Change of Supervisor, under Conflict of Interest or Un Foreseen Circumstances:** Such cases shall be required to be brought to the notice of the Dean(R&D) by the Supervisor/ Co-Supervisor/ Candidate/ Doctoral Committee Member/ R&D Section etc. The Dean(R&D) shall look into the individual merits/ demerits of the case, and make a clear recommendation to the Chairperson Senate after narrating the facts and circumstances of the matter. In case the Dean(R&D), is of the opinion that there are ir-reconcilable differences between the Candidate and the Supervisor/ Co-Supervisor, s/he may recommend for a change of the Supervisor/ Co-Supervisor as the case may be. The replacement shall be named by the Chairperson Senate and duly reported in the next meeting of the Senate. The ratification by the Senate shall be notified by the Secretary Senate to the R&D Section for it being recorded in the respective Candidate records.
- II. **Replacement of a Supervisor/ Co-Supervisor, owing to his/her Exiting from the Institute:** Upon explicit request from the Supervisor to the Chairperson Senate through Dean(R&D), The Supervisor may be allowed to continue to be the Supervisor till the candidate completes the Viva Voce cum Open Thesis Defense. Upon the superannuation/ Exit of the Supervisor/ Inability of the Supervisor to continue rendering the guidance, in case no Co-supervisor pre-existed for the candidate, the Chairperson Senate shall appoint a Co-Supervisor/ Administrative Supervisor, as per the then prevailing circumstances, in consultations with the Dean(R&D).

III. **Consideration of a Candidate for internship or for temporary employment in an Institution / Organisation outside, DURING the pendency of the Ph.D. Course Work:** Upon explicit request by the candidate, s/he may be allowed to avail an 'academic deputation' for the purpose, provided, the Doctoral Committee makes a suitable recommendation to the effect to the Chairperson Senate. The period of academic Deputation shall however be admissible only after the successful completion of the Course requirements as till Sem III. The period of such academic deputation shall NOT exceed 180 days. During this period of academic deputation, the candidate shall be required to take up the course requirements, in case s/he is on a research related internship/ employment, OR ELSE, this period shall be treated as a blank semester. Academic and Financial norms as applicable to BLANK Semester shall then be applicable.

IV. **Consideration of a Candidate for internship or for temporary employment in an Institution/ Organisation outside , BEYOND the pendency of the Ph.D. Course Work:** Provided the coursework of Sixty Credits, corresponding up to the requirements of the end of the Semester V are successfully completed by the candidate and the candidate has got into non-financial support period viz. Special/ Extraordinary Spill over Period, s/he may be allowed to take up some sort of suitable engagement, however should be in academic reachable proximity with the Supervisor.

40) Regarding IPR issues in PhD thesis (arising because of the change of Supervisor:

The problem conceptualization, methodology adopted and work flow formalization along with the research output in form of publications, concept note, review paper and patent and product, is the sole properties of researcher (candidate scholar) and the supervisor. In case of change of supervisor; the problem statement, the methodology adopted and work flow involved in solving the existing research problem and the results and intellectual outcomes like publications, patents, models and product cannot be used by the researcher with the new supervisor. However, in such case the candidate may continue the same topic after getting NO-OBJECTION CERTIFICATE from the Supervisor. While submitting the thesis the work carried out with the earlier supervisor should be acknowledged.

41) Saving Clause: For situations/ Circumstances, NOT covered as herein above, the Chairperson Senate shall be competent to take the decisions to mitigate the immediate necessities. The same shall be reported in the next meeting of the Senate.

This modified version of the Ordinance is approved by the Chairman, Senate. This will be placed before the Senate as ATR & BoG in its forthcoming meeting.
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