

**NEP Based Ordinance for Doctoral Degree (Ph.D.)  
Programs  
at  
IIIT Allahabad**

*Effective from A.Y. 2023 -24*

**(A) Full Time Doctoral Degree (Ph.D.) Program**

### **A. Full Time Doctoral Degree (Ph.D.) Program:**

For the purpose of this Ordinance, **DEFINITIONS** as follows shall apply:

- **“Degree”** shall refer to the Ph.D. Degree Program.
- **“Course”** shall refer to such Course(s) for which a student shall earn Credits after due assessment as per the laid provisions. Each Course may comprise of Lecture, Tutorial and Practical Sessions. A Course may have either or all of the three Components.
- **“Academic Activities”** comprise of activities like Lecture (Physical Lecture Session), Tutorial (participatory discussion/self-Study/Desk Work/Quiz/Seminar Presentation, etc activities that make the student absorb & assimilate, the delivered contents effectively) and Practical / Practice sessions (includes hands on experience/ lab experiments/ Field Studies / Case Studies etc activities that enable the student to acquire the requisite skill).
- **“Continuous Assessment”** shall refer to the evaluation of the student spread over the entire semester on the various constituent components of the prescribed course.
- **“Semester”** shall refer to a period to cover the course/research work. A semester would generally be spread over 16-20 weeks.
- **“PhD/R&D Section”** shall refer to the Ph.D./Research & Development Section.
- **“HoD”** refers to the Head of the respective Department, where the student is enrolled for his/her Branch of Study.
- **“Attendance”** refers to the physical/on line personal presence in an academic activity session.
- **“Institute Fellowship”** refers to the fellowship given by Institute to a PhD Scholar.
- **“External Fellowship”** refers to the fellowship given by external agencies (e.g. UGC /DST /any other organization)
- **“Project Funding” Fellowship**-refers to the fellowship given to student under externally funded R&D Project, granted to the Institute.
- **“Supervisor”** refers to the faculty under whom a student is pursuing PhD Program.
- **“Blank Semester”** refers to the semester in which a student has not registered.

*In this document, he/him/his/himself etc is treated to be referring to a student/Faculty Member, without any Gender bias.*

## **GENERAL CLAUSES:**

1) **Degree to be Awarded-Ph.D.**

2) **Types of PhD scholars:**

- a. Regular: one who stays in the campus till residential period or more, admitted through Institute's PhD exam and the following process thereafter.
- b. Dual degree: one who stays in the campus till residential period or more, admitted in dual degree program.
- c. Working Professional: one who works in company/organization, does not stay in the campus, and does not receive institute fellowship.

3) **Date of Start of the Ph.D. Degree Program-** Opening date of odd/even semester.

4) **Attendance-** 75%, reckonable on Semester basis PLUS 75% Course wise during Coursework.

5) **Dean Concerned or as other position as decided by the competent authority** will be the ex-officio In-charge of the PhD Program. **JR/AR of R&D/PhD Section** will be the custodian of all files related to R&D/PhD Section. JR/AR of R&D/PhD Section will provide the administration support to Ex-officio in-charge of R&D/PhD Section.

6) **Minimum Eligibility Criteria for Regular Ph.D. Admission (With Institute Fellowship and with External Fellowship):**

- a. A Candidate with B.Tech. / B.Pharm. / MTech/ M. Pharm./ MSc. / MCA / MBA / M.Com. Degree/other equivalent professionals Backgrounds with a Qualified Score of GATE / GPAT / CAT/ NET (Lectureship/Assistant Prof.) / NET-JRF / CSIR NET/ICMR-JRF, as applicable, are eligible to apply to the PhD Program of respective domains. GRE/GMAT will also be considered in case the candidate has done his/her preceding degree outside India. Requirement of GATE is exempted only for M.Tech qualified candidates; Candidates who are in the Final Year / Semester of their respective qualifying Degree Programs are eligible to apply, subject to fulfilling other eligibility criteria.
- b. The candidate MUST have secured at least 60% (For PG) cumulatively or 6 CGPI (For PG) on a scale of 10 or equivalent CGPI at the time of application submission itself. For the candidates belonging to socially and economically underprivileged classes, Relaxation shall be applicable as per GOI norms.

**OR**

In case of Direct admission after of 4 years UG - The candidate MUST have secured at least 70% (For 4 years UG-) cumulatively or 7 CGPI (For UG) in a scale of 10 or equivalent CGPI at the time of application submission itself. For the candidates belonging to socially and economically underprivileged classes, relaxation shall be applicable as per GOI norms.

- c. Candidates admitted provisionally with INSPIRE Fellowship (or any such fellowship to be awarded after a year), are required to produce the award letter of fellowship before the end of 3<sup>rd</sup> Semester of their stay in the institute or during this period, the candidate needs to qualify the national exam as

mentioned in point b above, failing to produce above may result in termination of PhD program. The fellowship will be given after the award letter of fellowship. In a very exceptional case of the candidate, who fails to receive the award of INSPIRE fellowship, in a stipulated time period and also does not succeed in qualifying the above mentioned national examinations, an internal committee of experts, constituted by the Chairman-Senate, for the purpose, shall assess the merit of the case, and recommend on the continuance of the candidature with Institute's fellowship or without fellowship (thus converting the candidature into a 'self-financed' one) or terminate the candidature. The decision of the Chairman-Senate shall be final on such recommendation.

- d. A candidate without any Financial Support from the Institute /any other funding agency is NOT allowable to pursue PhD from IITA. (Not applicable for working professionals and applicable in 6c.).

7) **Admission Process, Frequency of Admission in a Year etc:** The PhD admissions announcement will be notified through rolling advertisement, with dissemination on all possible media, nation-wide. The admission to the PhD program in the institute will normally be held twice a year or as per the approval of Chairman Senate, well in advance of an odd/even term. The admission process shall consist of a national level PhD Entrance written examination-"IITA-PET" and personal interview.

8) **Who can get Fellowship & till what time:**

- a. Candidates who satisfy Clause no. 6 above will be considered for respective Fellowship.
- b. Any admitted student can get fellowship from institute, other sources like project etc, for a period not exceeding 5 years, all sources put together.
- c. If the candidate is eligible for another national Fellowship, s/he should apply for consideration (Viz. Maulana Abdul Kalam Azad Fellowship/ Rajiv Gandhi Fellowship/Visvesvaraya Fellowship, INSPIRE etc.)
- d. Every fellowship recipient has to mandatorily take up a minimum of 10 hrs/week load/ TRA assignment.
- e. Students of MTech-PhD who exercise the exit option with an MTech degree will not get any scholarship from 5<sup>th</sup> semester onwards.

9) **Program Requirements:**

- a. Minimum Residential period, Maximum Duration and Academic Requirements- The following table lists the minimum residential period and maximum duration allowed in the program, and minimum credit requirements for graduation in the various programs: "Course Work" includes only postgraduate course credits unless otherwise stated. To satisfy the "Minimum Residence" requirements, registration must be over consecutive semesters. "Maximum Duration" is counted from the student's first registration date.

SGPI/CGPI will be calculated on the basis of all post graduate courses taken by the student.

Sl. No.	Program	Total Credits	Credit through Coursework	Credit through Research/Project	Minimum Residential Period (Years)	PhD Program Duration (Years)	
						Min	Max
1	Dual Degree (PG - PhD)	108	48	60	3	4	7

**Dual Degree (PG - PhD)- ( one who successfully complete the course)**

Sl. No.	Program Dual Degree (PG - PhD)	I	II	III	IV	V	VI	VII	VIII
1	Dual Degree (PG - PhD)	Same as in PG	Same as in PG	Same as in PG (except project)					
2	Credits	20	17	11	12	12	12	12	12
3	Total PhD Credits through course work								48
4	Total PhD Credits through research								60
5	Total Dual Degree (PG - PhD) CREDITS-( one who successfully complete the course)								108

**Dual Degree (PG - PhD)- (for exit cases)**

**Degree Awarded shall be M Tech**

Sl. No.	Program Dual Degree (PG - PhD)	I	II	III (minimum)	IV (minimum)	V
1	Dual Degree (PG - PhD)	Same as in PG	Same as in PG	Same as in PG except project	MTech project	Thesis
2	Credits	20	17	11	4	15
3	Total Credits through course work (for exit cases)					48
4	Total Credits through research [project & thesis (for exit cases)]					19
5	Total MTech credits (for exit cases)					67

Sl. No.	Program	Total Credits	Credit through Coursework	Credit through Research/ Project	Minimum Residential Period (Years)	PhD Program Duration (Years)	
						Min	Max
1	Ph.D. (Engineering/Management/ Sciences) students with UG 4 Years	100	40	60	3	4	7

**4 year UG admitted - PhD ( one who successfully complete the course)**

Sl. No.	Program Dual Degree (PG - PhD)	I	II	III	IV	V	VI	VII	VIII	IX	X
1	4 year UG admitted - PhD			(except project)							
2	Credits	12 CC	12 CC	8 CC	8 CC	12 RC	12 RC	12 RC	12 RC	12 RC	12 RC
3	Total PhD Credits through course work										40
4	Total PhD Credits through research										60
5	Total Dual Degree (PG - PhD) CREDITS- ( one who successfully complete the course)										100

**4 year UG admitted - PhD- (for exit cases)**

**Degree Awarded shall be MS by Research**

Sl. No.	Program 4 year UG admitted - PhD- (for exit cases)	I	II	III (minimum)	IV (minimum)	V
1	4 year UG admitted - PhD- (for exit cases)			(except project)	Project + 3 course work	1 Course work+ Thesis
2	Credits	12 CC	12 CC	8 CC	17 CC+ Project	18 CC+ Thesis
3	Total Credits through course work (for exit cases)					45
4	Total Credits through Research and thesis + publication (4 point from mandated research outcome table)					22
5	Total credits for MS by Research (for exit cases)					67

Sl. No.	Program	Total Credits	Credit through Coursework	Credit through Research/ Project	Minimum Residential Period (Years)	PhD Program Duration (Years)	
						Min	Max
1	Ph.D. (Engineering/Management/ Sciences) students with 2 year PG Years	64	16	48	3	4	7

Sl. No.	Program Ph.D.	I MAXIMUM	II MAXIMUM	III	IV	V	VI
1	PhD						
2	Credits	12 CC	12 CC	12 RC	12 RC	12 RC	12 RC
3	Total Credits through course work						16
4	Total Credits through research						48
5	Total Credits						64

PhD –Exit

**Degree Awarded shall be MS by Research**

Sl. No.	Program Ph.D.	I MAXIMUM	II MAXIMUM	III	IV	V	
1	PhD -Exit						
2	Credits	12 CC	12 CC	12 RC	12 RC	15 (Thesis) +12 (RC) =27	
3	Total Credits through course work (for exit cases)						16
4	Total Credits through Research and thesis +publication (4 point from mandated research outcome table)						51
5	Total credits for MS by Research (for exit cases)						67

Kindly note: CC- Course Credits and RC- Research Credits



**Note**– Students, whose UG/PG is from Institute of National Importance may be permitted to complete half of the credit by course work & half of the course credits may be completed through self study/NPTEL/SWAYAM/etc. For dual degree students, the PhD ordinance shall be applicable from III sem provided the students have no back log course of PG.

- b. A student shall normally register for 8 credits of coursework in a semester. The course(s) on Research Methodology of 4 credits is/are compulsory. However a maximum of 12 credits of coursework in a semester is allowed (Not applicable for dualdegree). A student has to earn a minimum of B grade in a course for completion of thatcourse. The pattern of examinations for the courses shall be as applicable to regular PG program students. The course chosen by student shall be in consultation with his/her supervisor.
- c. The student after the completion of the course work shall register for project/ research work (12 credits) and before the end of semester, the supervisor shall submit the satisfactory/ not satisfactory report through DC for research work.
- d. The student will be awarded an S/X grade for research/project work. ‘1S’and‘1X’stand for satisfactory and non-satisfactory credits, respectively for a 4 credit progress assessment.Accordingly for 12 credits, a student may get ‘3S’, ‘2S-1X’, ‘1S-2X’ or ‘3X’. The CGPI/SGPI calculation (as done for PG) will be only for course work and not for research/ projectwork. MORE THAN 50% of “S” is required for successful completion of research credits in a semester.
- e. Result Preparation, Declaration, Grade Sheet, Transcript, etc: will be same as done for PG Ordinance.
- f. Students admitted in the dual degree PG-PhD program can exercise the exit option and will be allowed to exit with MTech degree in minimum of 2.5 years after completing credit requirements.
- g. Students admitted in the Ph.D. (Engineering/Management/ Sciences) students with 4 Years UG program are allowed to exit with MS by Research Degree in minimum of V semester after completing minimum credits and research requirement and stipulated points from “Mandated Research Outcomes” table.
- h. Students admitted in the Ph.D. (Engineering/Management/ Sciences) students with PG 2 Yearsprogram are allowed to exit with MS by Research Degree (M.S.) in minimum V semester after completing minimum credits and research requirement and stipulated points from “Mandated Research Outcomes” table.

#### **10) Appointment of Thesis Supervisors of Ph.D. Students:**

- a. Identification of Thesis supervisor for PhD/Dual degree students is to be accomplished before the end of first/third semester respectively. Till the time supervisor is not allotted, the students would register for courses from the pool of courses offered to MTech/MBA by the department.
- b. A student shall not normally have more than two supervisors at any given time. A student may have one supervisor, two supervisors or a supervisor with a co-supervisor. The induction of another Supervisor/Co-Supervisor shall be required to be identified and recommended by the Supervisor, for approval of the Chairman Senate, before the end of fourth semester of the PhD student being allotted to him/her. In case of faculty members, whose superannuation

age is approaching in the next 3 years, allotment of Co-supervisor to the student shall be mandatory when a student opts for the retiring faculty.

- c. Thesis supervisor(s) will be chosen by the student from amongst the faculty members (including Director) of the Department at IITA based on mutual research interest. In case the co-supervisor is from outside IITA prior approval from the Chairman Senate will be required for such Co-supervisor.
- d. 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: For all such cases, PI/ Co-PI of the Project/ Consultancy will be the only Supervisor/ Co-Supervisor. 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 are 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.
- e. Number of Students permitted to be registered under a supervisor: Up to a maximum of Ten only, (Ten includes Candidates being supervised as Supervisor or as Co-Supervisor, all put together).
- f. Thesis supervisors will be reported to the Senate.

#### **11) Duties of the Supervisor:**

The Supervisor shall act as the Point of Contact for the PhD student and R&D/PhD Section through the Department, for all Academic and Administration logistics. S/he shall be further responsible for:

- a. Formation of the Doctoral Committee specific to the enrolled PhD before the end of first Semester.
- b. Supervision on the day-to-day academic / research requirements / performance / progress of the PhD
- c. Conduct of the Doctoral Committee meetings and communication of their reviews through the Department to the R&D/PhD Section.

#### **12) The Doctoral Committee-(DC) shall comprise of the following:**

- a. Supervisor - Ex-officio Chairperson
- b. Supervisor/Co-Supervisor (If required and arranged by the Supervisor)
- c. An Expert from within the department conversant with the field of research of the student, nominated by the Department in consultation with the Supervisor.
- d. An External Expert (conversant with the field of research of the student, nominated by the Supervisor) from outside the Department but from within the Institute
- e. External Expert from outside the Institute (with his/her mandatory presence during the SOTA, JRF to SRF elevation, SRF continuation and Open Seminar, preferably online)

#### **Note:**

- I. For JRF to SRF evaluation and Annual continuation of SRF, an external expert (from outside the institute) is mandatory.

- II. Doctoral committee of a student shall be approved by the Department and communicated to the PhD section for record.
- III. External Experts from outside the Institute may join meetings online.

### **13) Responsibilities of the Doctoral Committee:**

- a. Monitoring the credits through research/project work and award of S/X and evaluating the research progress of the student in every semester.
- b. State-of-the-Art-Seminar (SOTA) /JRF to SRF elevation / Annual continuation of SRF / Pre-Thesis Submission (Open Seminar).
- c. Considering the request for extension beyond five years and providing suitable recommendations, in the prescribed format.

### **14) Registration:**

#### **14.1:**

- a. A student is required to register every semester for the courses /research credits that he/she intends to pursue in that semester. The registration process involves:
  - I. Submitting a list of courses which the student intends to pursue in that semester. This list should be approved by the supervisor. For the First Semester courses, since the Supervisor is not identified, the HOD of the department has to approve the courses, chosen by the student.
  - II. Payment of fees for that semester and clearance of any outstanding dues.
- b. In case of dual degree of PG-PhD, a candidate, of the post graduate program, who is awaiting the results of the qualifying examination i.e. respective UG, will be allowed to register "provisionally" to the PhD program, on submission of a certificate from his/her institution certifying that he/she has appeared in the final qualifying examination (including all papers in theory, practical, project, oral, etc.). The candidate will submit attested copies of the certificates of having passed the qualifying examination by the last date for document submission as specified in the academic calendar (usually about 8 weeks from the date of registration), failing which the admission may be cancelled.
- c. All students, except those are on authorized leave, must continue to register in the following semester/term till they submit their thesis. If, however, a student is likely to submit his/her thesis within six weeks from the last date of registration, he/she need not register in that semester/term. This period will not be extended in any case.
- d. If maternity leave (granted before the date of registration) extends beyond the date of late registration and expires before the end of seven weeks from the specified date of registration in a given semester, the student will be allowed to register only for research credits.

#### **14.2 Late Registration**

- a. If for any compelling reason like illness, a student is unable to register within the schedule of registration, he/she will be allowed to register on the day of late registration specified in the academic calendar (which is about one week from the date of registration). Any student registering late will be required to pay the specified late registration fee.

- b. In exceptional cases, the Dean on the recommendation of the HOD of the department may consider registration beyond the date of late registration. In such a case, the students will be allowed to register for research credits only.

#### **14.3 Termination of Registration**

- a. If a student fails to report and register by the last date of registration without any bonafide reason, his/her registration may be terminated by the Senate.
- b. If a student gets “X” grades continuously for 2 semesters under research credits, then it may lead to either termination from the program or choosing a different supervisor in consultation with department.

**14.4 Adding/Dropping of Courses and Withdrawal from Courses:** Adding and dropping of courses, after registration, is permitted only if the student's request is endorsed by the instructor of the course that he/she is adding or dropping and is also further endorsed by the Head of the Department. The last dates of applying for adding and dropping of courses shall be as specified in the academic calendar.

#### **15) General Time line for PhD Completion:**

- a. Successful completion (with minimum B-Grade) of course work, preferably within the first two semesters (PhD after PG) and first three semesters (PhD after UG). However, in anycase, students have to complete coursework before 2 and 3 years for PG admitted and UG admitted students respectively. A certificate for course completion will be provided in case a student fails to clear course work in stipulated time.
- b. State of Art Seminar: Every Ph.D. student after the completion of course with minimum B Grade is eligible to appear for SOTA. He/she is required to give a general seminar before the DC covering the review of literature and frontiers of his area of research and broad area of research. This seminar must be given within six months of passing all the required course works. It must be completed in any case before 2.5 and 3 years for PG admitted and UG admitted student respectively.
- c. After successful completion of course work, in every semester, students have to present research progress to DC. Its report will be submitted to the PhD section through HoD of the department for record.
- d. Elevation from a status of JRF to SRF will be allowed, after completion of minimum 2 years in the Program.
- e. Annual Continuation of SRF - On yearly basis, from the date of grant of SRF. (If not continued as SRF in the prevailing review, then JRF fellowship will be continued to the Student).

**Note:** The external DC member will join in the ONLINE mode.

#### **16) Change of Supervisor:**

Change/Addition of supervisor/Co-supervisor shall be applicable only before successful completion of SOTA. This change can be exercised only once during the entire duration of the PhD program of a student.

- a. Change of Supervisor, under mutual consent: Such cases shall be required to be brought to the notice of the ex-officio In-charge of R&D/PhD Section by the Supervisor/ Co-Supervisor/Candidate/through Doctoral Committee Member. The ex-officio In-charge of R&D/PhD

Section shall look into the merit of the individual case, and make a clear recommendation to the Chairperson Senate after narrating the facts and circumstances of the matter. The replacement shall be approved 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/PhD Section for it being recorded in the respective Candidate records.

- b. Change of Supervisor, under Conflict of Interest or Unforeseen Circumstances: Such cases shall be required to be brought to the notice of the ex-officio In-charge of R&D / PhD Section by the Supervisor/Co-Supervisor /Candidate /Doctoral Committee Member/R&D/PhD Section etc. The ex-officio In-charge of R&D/PhD Section shall look into the merit of the individual case, and make a clear recommendation to the Chairperson Senate after narrating the facts and circumstances of the matter. In case the ex-officio In-charge of R&D /PhD Section is of the opinion that the differences between the Candidate and the Supervisor/ Co-Supervisor are beyond convergence, s/he may recommend for a change of the Supervisor/Co-Supervisor as the case maybe. There placement shall be approved 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/PhD Section for it being recorded in the respective Candidate records.
- c. 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 ex-officio In-charge R&D/PhD Section, 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/In ability 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 ex-officio In-charge of R&D/PhD Section.
- d. Consideration of a Candidate for academic deputation: 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 Semester 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 are search related internship / employment, ORELSE, this period shall be treated as a blank Semester. Academic and Financial norms as applicable to BLANK Semester shall then be applicable.

#### **17) Pre-Thesis Submission (Open Seminar)**

All of the following are required-

- a. Earning of required Course & Research Credits
- b. Publication in Journals/Conferences, Patents/ IPR requirements as per Table I on 'Mandated Research Outcomes':

<b>Table:I</b>		
<b>‘Mandated Research Outcomes’</b>		
For PhD thesis submission, a student has to earn a minimum of 12 points through publications: Out of these 12 points, At least 6 points need to be earned through a mandatory SCI/SCIE/SSCI/ABDC (A*/A) Journal		
<b>AND</b>		
An additional 6 points from below		
<b>Journal/Conference/Symposium/Granted Patents</b>		<b>Points Earned</b>
<b>Category</b>	<b>Journals/Patents/Conferences</b>	
1	SCI/SCIE/SSCI/ABDC(A*/A) Journal/GRANTED Patent (US/India) / Core rank A or <b>H5- Index</b> (30 or More)	6
2	Core rank B or <b>H5-Index</b> (20 to Less than 30)	5
3	<b>H5-Index</b> 10 to Less than 20 Additionally, for MS Deptt.– following Conference Paper publications shall also earn the credits: i. American Psychological Association ii. American Finance Association iii. European Finance Association iv. American Marketing Association v. Academy of Management vi. INFORMS	4
	ESCI/ABDC(B Only) Journals	
4	GRANTED Patent (other than US/India)/SCOPUS(Q1 & Q2) OR <b>H5-Index</b> 07 to Less than 10	3
5	SCOPUS (Q3&Q4) OR <b>H5-Index</b> 04 to Less than 07	2
6	ABDC (C Only) Journals /01 to Less than 04	1
<b>Note:</b>		
<ul style="list-style-type: none"> <li>a) All published papers must be a part of the Thesis and based on the research carried out by the PhD student.</li> <li>b) The status of the conference will be considered as on the date(s) of conference in which the paper is accepted.</li> <li>c) At the time of the final thesis defense, the candidate must have proof of paper presentation/Publication in the conference.</li> <li>d) If a conference falls in more than one category based on different criteria, then the category with higher points will be considered.</li> </ul>		

## **18) Submission of PhD Thesis**

Ph.D. thesis and synopsis can be submitted only after the successful completion of open seminar & upon recommendation of the Doctoral Committee. The maximum time duration for the submission of the synopsis and thesis after successful completion of the open seminar will be six months. In special case, Chairman Senate may give additional 3 months time. However, if the thesis is not submitted, the open seminar already delivered will stand cancelled and the student will be required to give afresh open seminar before he/she submits his/her thesis.

## **19) Processing of Thesis:**

### **Thesis Submission:**

#### **A. Eligibility by Student-**

- I. Successful completion of credits.
- II. Thesis is Plagiarism free-declaration from the student (limit is 15%)
- III. Successful completion of open seminar with all the publication requirements.
- IV. Joint Endorsement from the Candidate and the Supervisor, stating that the work being submitted is original and has NOT been submitted elsewhere by them for the award of Ph.D. Degree or any other Degree/ Diploma.

**B. Format in which the Thesis is to be submitted:** As per the Institute prevailing standard.

#### **C. Ph.D. Thesis Evaluation process:**

- I. Ph.D. Thesis Evaluation by the 3 external examiners/reviewers consisting of 2 national and 1 international examiners/reviewer.
- II. After the synopsis submission and the panel of examiners/reviewers is constituted and approved by Chairman Senate, the PhD Section will send a letter by e-mail/fax to each member of the examiners/reviewers enclosing a copy of the synopsis and requesting him/her to serve as an examiner for the thesis.
- III. Copies of the report, received from the examiners, will be sent to the thesis supervisor(s), without the identity of the examiner.
- IV. On completion of the process detailed above, the oral board will be constituted depending upon the report received.
- V. In case, the Dean is the supervisor of the student concerned, the above processing will be done by the concerned Head of Department.

**D. Thesis Evaluation by whom** -The Supervisor and Supervisor-II/ Co-Supervisor (wherever applicable), shall jointly, suggest a panel of experts for the purpose, to the Chairman Senate through Dean PhD section-

- I. A total of eight names shall be suggested, each of which shall be of an expert in the area of the thesis to be evaluated.

- II. Out of the eight suggested panelists, THREE shall be from out of India and the remaining from within India.
- III. All the suggested Indian experts shall be of the cadre of at least that of an Associate Professor from an INI/Ranked Institute of similar/higher repute and perception OR may be scientist E and above OR industry expert (having doctorate degree with at least 10 years of experience in Industry of repute).
- IV. Persons of appropriate level as indicated above, and who are associated with a reputed Foreign - Institution/ Organization may only be considered on the panel, as the one from outside India.
- V. The Chairperson Senate may accept the suggested panelists/ may ask new names/ suggest new name of his own.
- VI. While approving the names for the evaluation panel, the Chairperson Senate shall indicate order of priority on which the R&D/PhD Section shall approach them for their acceptance to evaluate the Thesis under consideration, clearly appending along with the Synopsis of the work.
- VII. 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 a broad).

**E. Thesis Evaluation Mechanism** -The examiners/reviewers will evaluate the thesis and may mention an 'OPTION' as his/her remark, as follows:

S.N.	Options	Meaning
1	I	Unconditionally Accepted. Only Typo error, Final viva-voce will be conducted
2	II	Conditionally Accepted. Minor Modifications and Questions need to be answered during final viva-voce.
3	III	Not accepted in current status. Major modification in the Thesis.

- I. The evaluators shall send the scanned copy of the evaluation report duly signed in the prescribed format, by email directly to the R&D/PhD Section. While the hard copy may be sent concurrently by post/Air mail.
- II. If the Thesis is **accepted with option- I by all the evaluators then the Thesis shall be treated as accepted**, the R&D/PhD Section 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).
- III. If the Thesis is recommended with minimum Option-II by all the evaluators **then the Thesis shall be treated as accepted** and communicated to the Supervisor. Students through the supervisor need to report all the suggested modifications. Next Stage shall then be the fixation of the Open Viva Voce and Thesis Defense after receipt of final Bound Copy of the Thesis.
- IV. If the Thesis is recommended with Option-III by any one of the evaluators and other two Options are I/II then the Thesis shall be sent to the evaluator who awarded option III one more time for evaluations. Based on the received Options, the Senate chairman shall take a final call for viva-voce of the students.



- V. If the Thesis received Option-III by any two or more of the evaluators then the Thesis shall not be accepted in current form. Reports will be communicated to the supervisor. Students need to work on the thesis as per suggestions and submit again within one year of such communications for revaluations (to the same/other evaluator). In any case students shall not be allowed to submit a thesis more than two times for evaluations.

**F. Submission of Final Copy of Thesis and compendium of Publications to the PhD Section:**

Following requirements to be strictly adhered to:

- I. A Synopsis of the thesis in a duly bound hard copy and modified hard copy of the thesis after incorporating suggestions by the examiners, signed by both Supervisor + Student should be submitted to RD section. In addition to this, various flags should be inserted on the pages wherein the desired corrections have been accommodated. (signed by only Scholar)
- II. 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.
- III. Should be in the prescribed format as per the Ordinance and HARD BOUND.
- IV. Two Copies, together with one Soft Copy to be submitted.
- V. One Compendium of all publications in a properly indexed volume should be submitted.

**20) Ph.D. Oral Examination**

- a. The Ph.D. oral examination will be an open examination. The supervisor(s) will be the convener of the oral board and will fix the date of the oral examination and intimate the date to the PhD office.
- b. If a member of the oral board communicates his/her inability to be present in advance or fails to be present on the specified date and time, the Chairman, Senate may appoint a substitute in consultation with the thesis supervisor(s), Head of the department and Dean.

**21) 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 Supervisor will get the Viva Voce-cum-open Defense evaluation Board constituted.
- b. Viva Voce may be conducted at the convenience of the panel on any day after approval of the panel by the Senate Chairman.
- c. The R&D/PhD section shall convene the evaluation board meeting 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 thesis Examiners nominated by the Chairperson Senate
  - IV. Head of the Concerned Department or his nominee from the

department.

- d. For the Open Defense, R&D/PhD Section 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 of the audience shall be free to ask 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 must be present 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 members Board as in (c)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 provisional Degree will be issued by the R&D/PhD Section upon approval of the Chairman Senate on the recommendation of the Viva Voce-cum-open Defense evaluation Board. The date of the provisional Degree shall be treated as the date of the award of PhD degree.
- h. 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.
- i. 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 Ex-officio In-Charge of R&D/PhD Section and for further consideration in the Senate of the Institute, in the next meeting.

## **22) Requirement for Degree**

A student shall be deemed to have completed the degree requirements if the student has:

- a. Satisfied all academic & research requirements;
- b. Satisfied all the requirements specified by the Senate and the Ordinance;
- c. In addition, the student should have paid all the dues to the Institute, and, should have no pending case of indiscipline.

A student who has completed all the degree requirements shall be recommended by the Senate to the Board of Governors (BoG) for the award of appropriate Degree in the ensuing Convocation. A Degree can be awarded only after the Board has approved the award of the Degree.

**23) Fellowship Payment shall be initiated only after the completion of the month and endorsement etc from the allotted Supervisor, in the Specified Format. No advance payment shall be tenable.**

- a. Annual Satisfactory Assessment is mandatory to continue the benefit of

- fellowship during SRF period.
- b. Assistance provided by the Funding Agency of GoI must be acknowledged in publications/thesis
  - c. The fellowship of SRF will be given from the date of grant of SRF. However if the annual continuation of SRF is not granted, then the research scholar will continue to receive JRF fellowship till SRF continuation is done.

#### **24) Prerequisites for JRF to SRF**

- a. Completion of SOTA
- b. After completion of two years, assessment is mandatory for upgradation from JRF to SRF (Presence of an external expert outside the institute is mandatory). The fellow may be awarded SRF after successful assessment from the date of evaluation by the respective assessment committee.
- c. 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 and before the Commencement of 5<sup>th</sup> Sem. Upon completion of the pre-requisites, a candidate may apply to his/her Supervisor any time for the 'JRF to SRF Qualifier' to be undertaken.
- d. 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 a scholar need not to be a SRF to move over to 5<sup>th</sup> 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.
- e. **What if, Unable to Pass the JRF-SRF elevation:** 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. It might so happen that the candidate completes the Degree requirements entirely, without availing the SRFship.

**25) Maximum Amount and Period for which Fellowship can be tenable - 60 Months x Monthly fellowship payable. JRF-ship and SRF-ship put together or it could be JRFship only. The payment of fellowship will be as per the guide lines of the Sponsor/Funding Agency, from time to time.**

#### **26) Fellowship Rate during Semester DROP Period:**

- a. If on account of Medical Reasons, including Maternity-Regular monthly fellowship. The period availed as Leave on health grounds (provided supported by necessary certification in the prescribed format), shall be treated as extended Normal period. Fellowship shall be given only for a period of 5 years which in worst case may extend to more than 5 years for leave related issues.
- b. All Fees other than tuition Fees shall however have to be paid by the student as per the declared time schedules.
- c. On account of engagement with Paid Internship/Job Opportunity–Nil

fellowship

- d. On account of undertaking Unpaid Internship-@25% of the monthly payable fellowship.
- e. Other Un Specified Situations–NIL fellowship
- f. During "Non-registered Semester" NO fellowship will be given, under any circumstances. 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 fellowship 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.

**27) Regarding IPR issues in PhD thesis (arising out 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 and review paper.

Patent and product, shall be governed as per IPR policy of the institute. 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.

**28) Leave of Absence**

**Leaves**

Students may be granted leave on application to the Head of the Department concerned, through the supervisor. Leave will be sanctioned by the Head of the Department.

**28.1 Vacation and Casual Leave**

- a. A post graduate student may take a maximum of 30 days vacation leave in an academic year. This leave may be taken during the Institute's vacation period (as defined in the academic calendar), or during the mid-semester recess period (up to maximum of 9 days).
- b. In addition, a student may be allowed casual leave for up to 6 days per semester subject to the condition that such leave will not be allowed for longer than 5 days at a time in a semester. The casual leave cannot be combined with any other kind of leave, and will not be carried over.
- c. There will be no loss of financial assistantship for students going on vacation or casual leave.

**28.2 Medical Leave**

Leave on medical ground, duly supported by a medical certificate, may be granted

to a student for upto 8 days per semester. Un-availed leave may be carried over to the next semester up to a maximum of 8 days. However, at a stretch, the medical leave shall not exceed 15 days during the semester. Such leave shall not entail any loss of financial assistantship.

In case of leave due to sickness /medical disability, an application for the grant of leave must be supported by a medical certificate issued by the Institute's Doctor or Institute recognized Hospital(s). In case, the treatment is availed by a registered Private Medical Practitioner, the application should first be approved by the Medical Board of the Institute and then should be submitted to the Head of the Department. The application for medical leave must be submitted either during the period of treatment/hospitalization or within seven days after recovery. In any case, whatsoever, Institute will not entertain any medical certificates after the specified time period, especially before End Semester examination.

### **28.3 Medical Certificate**

If a student falls ill while on the IITA campus, the medical certificate must be obtained from the Institute's medical officer. If he/she falls ill outside the campus while on sanctioned leave, the medical certificate must be obtained from a registered medical practitioner.

### **28.4 Maternity Leave**

A female student may be granted maternity leave for a maximum of 3 months or as per GOI rules. Leave up to 6 weeks can also be granted for miscarriage including medical termination of pregnancy, if supported by a proper medical certificate. Such leave can be combined with any other leave due and will not entail any loss of financial assistantship. A male student shall be entitled for paternity leave as per GoI norms. This leave will not be counted towards as active PhD program duration.

### **28.5 Semester Leave**

Semester leave for up to a maximum of two semesters may be sanctioned for bonafide reasons. Except for medical reasons, such leave would not normally be sanctioned before a student has completed his/her residence requirements and in no case before the student has spent two semesters in the program. However, on medical considerations such leave may be sanctioned after his/her stay of one semester. Leave for more than one semester at a time will not be granted.

### **28.6 Absence for a Minimum of 4 Weeks during the semester**

If a registered student is absent on sanctioned leave for a period of 4 weeks or more during a semester, Dean may decide to convert the leave to a semester/term leave, or reduce the thesis credits appropriately, in case the student is registered only for thesis credits.

### **28.7 Absence without Sanctioned Leave**

Absence without sanctioned leave will entail loss of financial assistantship for the period of absence, and may result in the termination of the student's program on

the recommendation of the DEPARTMENT and approval of Dean.

**29) Permission to proceed for academic work outside IITA**

In order to help-students broaden their horizons and enrich their cultural and academic experience, provision to proceed to other academic and research institutions in India or abroad, as non-degree students, is available. Rules and procedures to be followed for availing this provision are as follows:

- A Ph.D student may proceed to another academic institution in India or abroad with prior permission of the Dean and on the recommendation of the DC through DEPARTMENT.

For more than 30 days, rules of academic deputation shall be applied.

**30) Extension of Program beyond 5 years-**

- a. Any extension desired beyond 5 years, is required to be requested explicitly before completion of 5 years. The request, clearly explaining the reasons, to be made through the Thesis Supervisor and recommendations of the Doctoral Committee to the Chairperson Senate, through Dean-PhD Section. At a time, extension will be for one year maximum. For the request to avail extension beyond six years, the candidate will have to repeat the same process. Beyond 7 Years, in extraordinary situations, extension will be granted by the Senate only. No scholarship will be given by Institute beyond 5 years.
- b. However, those Ph.D. students who have submitted their thesis and are waiting for the defense will be treated automatically as registered unless they apply for leave.

**31) Termination of Program**

Upon completion of the maximum allowable period, the **enrolment** of the student shall stand cancelled automatically. Such termination/dismissal can also happen due to reasons listed under conditions such as **LEAVE OF ABSENCE, CONDUCT AND DISCIPLINE** rules of the institutes etc. The student shall however be free to make an appeal to the Senate for reinstatement explaining reasons for the delay.

**32) Exit/Withdrawal Mechanism:**

A candidate shall be **allowed to EXIT** from the program, upon expressed acceptance by the Supervisor, who shall put it up for acceptance to the Chairperson Senate. Such a candidate may however be awarded a Certificate for Courses Completed, 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.

**33) Appeals against Termination:**

A student whose Program is terminated on account of inadequate Academic Performance or otherwise has the right to appeal to the Chairman Senate through DEPARTMENT and DEAN for reconsideration. While making the appeal against termination, he/she shall give reasons for his/her poor Academic Performance

and/or to explain why his/her position (case) deserves reconsideration. The Senate shall take a final decision after considering all the available inputs. However, the Senate shall not entertain any further appeal for review unless substantial additional information is brought to its notice. The maximum time for appeal against termination is one month from the date of the letter of termination.

**34) 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.

**35) Amendments**

Any amendments to the Ordinances made by the Senate shall be displayed here.

**(B) Joint PhD Programs at IIT Allahabad**



## **A. Joint PhD Programs at IIIT Allahabad:**

1. **Background** – IIIT Allahabad intends to put in place an opportunity for Joint Ph.D. degree program in collaboration with other National/International Institutions having similar/higher reputation to open the benefits of dual institutional experience while utilizing the infrastructure at both the partnering institutions for students of either or both of them, who so willfully decide to utilize of the opportunity. This shall be at no additional cost to IIIT Allahabad. The present Ordinance would therefore lay the broad contours for the offer of such Joint Ph.D. Degree Program at IIIT Allahabad.
2. **Definition**– The Joint Ph.D. Degree program of IIIT Allahabad shall refer to program, which is jointly offered by two institutions, one of whom shall essentially be IIIT Allahabad. The two institutions involved shall be mutually referred to as the Partnering Institutions, with more or less Equal rights and privileges. Accordingly, therefore, upon the completion of the Joint Ph.D. degree program requirements, the enrolled Scholar shall be eligible to get one Single Degree, in a joint Convocation, bearing the Names and Logos of both the partnering Institutions and duly signed by the Persons Competent to do so in the irrespective Institutions.
3. The above shall be subject to:
  - a. Preferring of an agreement/Memorandum of Understanding (MOU) being initially signed between the two Partnering Institutions, to the effect of committing themselves to JOINTLY offer Ph.D. Degree to the Scholars enrolled under this provision, as per this Ordinance. Once signed, the Agreement/MOU shall be effective necessarily till the completion of the successful award of the Joint Ph.D. Degree to the last Scholar enrolled under the Agreement/MOU. In case student specific Agreement/MOUs are required to be signed, under the Institutional Agreement/MOU, they shall be signed by the respective Supervisor(s) or in absence such other persons as may be delegated by the two institutions mutually.
  - b. Agreeing upon the Supervisor Identification modality - All such persons, who are so entitled under the rules of the respective Partnering Institutions, shall be duly entitled to act as Supervisor(s). There shall be one supervisor each from the two partnering Institutions, with both having equal rights and privileges. In case the work so demands that any additional person should be also engaged in active supervision, s/he shall then be classed as a co-supervisor. Number of co-supervisors shall not exceed two; either from one Institution or both the partnering institutions put together. The Number of Supervisors and co-supervisors put together shall in no case exceed a total of four. The thesis credit, if required to be calculated, shall also be so divided that the sum total of credit of one PhD produced shall also be one only. In respect of any enrolled scholar, the competent authority of both the partnering institutions, (the Chairman Senate Allahabad in case of IIITA), shall fix the supervisor and intimate to all concerned, within a period of three months of the date of enrolment of the scholar, into the program.

- c. Agreeing upon the Number of Seats Available under the Joint Ph.D. Degree Program –Each of the partnering institutions shall, during the period 1<sup>st</sup> January to 31<sup>st</sup> March each year, come out with the number of seats they jointly wish to make available under this Joint Ph.D. degree program, along with the privileges that they would offer to the enrolled Scholars, like Fellowship, etc. Also, it shall be spelled out then that out of the seats available, how many each shall be distributed among the two partnering institutions. The numbers may vary from year to year.
- d. Agreeing upon the policy for Admission of Students and Academic Plan – After clarity on the number of seats available being in place, each of the partnering institutions shall be free to undertake the admissions process as per their institutional norms. The student selections may take place round the year. After having selected the candidates, the lists shall be shared among the partnering institutions. Subsequently, within the next ninety days, the Scholar specific detailed program and calendar of events, for the initial three years shall be prepared jointly by the Supervisors from the partnering institutions and made known to the respective authorities of both the Institutions (concerned Dean of IIT Allahabad).
- e. Provided further that–(1) the selections made by each of the Institution on the approved seats under the program, shall be binding upon the other partnering institution. (2) At the time of deciding the three-year schedule, the periods that would be spent by the Scholar at each of the partnering institution, should also be indicated. (3) Both the partnering institutions shall be mutually obliged to respect the Scores / Grades / Assessment(s) /Evaluation(s) awarded by each other. (4) There should be complete clarity on as to who is going to bear the financial liabilities, in each and every respect. On its part IIT Allahabad shall stand indemnified of any financial liabilities that have not been a priori agreed upon by it).
- f. Mutually Agreeing upon the Rules applicable on the Enrolled Student – In all academic matters, the enrolled Scholar under this Joint Ph.D. degree program, shall be governed by the Ordinances/Rules of the institution who is initially selecting the Scholar. The partnering institution shall assist the other institution in getting them met, through the Scholar. For General Conduct / Discipline / Hostel and Mess Rules, the Scholar shall be governed by the rules of the Institution / Law of the land, where s/he is physically present.
- g. Both the institutions shall agree to put in place a Redressal mechanism, to iron out the difficulties that may arise during the studentship of a candidate or in between the two partnering institutions.

- h. Provided further, that if the partnering Institution abroad is situated in a country that requires prior permission from the GoI, the same shall be requested for and any MOU Signed by the Institute only after the due clearance.

**2. Other Generalities for Enrolled Scholars–**

- a. Candidates selected in to the program by IITA, shall first be required to register themselves as Ph.D Scholars at IIT Allahabad. This shall make them eligible for all the approved fellowship etc. and privileges, irrespective of the fact that whether subsequently, s/he is in India or abroad.
- b. All privileges extended by GoI approved agencies like GATE,CSIR-JRF/SRF, etc agencies, shall be extendable only when there are no prior pending academic / financialduesuponthe Scholar.
- c. Generally, IIT Allahabad would offer Hostel facility to all its enrolled Scholars. The same would also be extended to the Scholars enrolled under this Joint Ph.D. Degree Program, for the periods they are here on campus, on prevailing institutional rates. Scholars from partnering institutions will also be provided suitable available on campus accommodation facility when they are at IIT-A campus.
- d. Under the Joint Ph.D. Program, in order to avail the Scholarship / Fellowship from the partnering institution abroad, if it is required that the Scholar should also register with them concurrently and independently, the expenses on the same shall be required to be met by the respective Scholar himself/the supervisor of the partnering institutions. This may then be in addition to the full time registration at IIT Allahabad, which also has to be borne by the candidate himself.
- e. In case the Scholar is enrolled by the partnering institution and s/he visits IIT Allahabad to meet the part academic objectives, the scholar shall be liable to pay for the courses, based upon the number of credits s/he is enrolled for at IIT Allahabad.
- f. In cases where the partnering institution other than IITA, confirms to pay only monthly fellowship, while the student is on their campus , BUT doesn't commit for VISA, Travelfare, Insurance expenses, then to meet the partial expenses on account ofVISA, Travelfare, Insurance, etc, IITA may support the student by a sum equivalent to six months fellowship. This support can be requested for by the Scholar, only when a Scholar will visit to the partnering institution abroad for joint Ph.D. work, for a minimum period of sixmonths.
- g. Date of this Ordinance taking effect–From the date the Ordinance is approved, provided further that the Chairman Senate shall be free to extend the benefits herein, to any already existing agreement/MOU.

**(C)PhD Program for Working Professionals**

## **B. PhD Program for Working Professionals:**

### **Preamble:**

Currently the admissions to various Ph.D. programs in Indian Institute of Information Technology, Allahabad (IIITA) are on full time basis and with scholarship support. Somehow this is inhibiting even the candidates who could be sponsored /working professionals 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 organisation/Institutions (not limited to above) where quality infrastructure for advance research and even the inquisitive and right kind of aspirants to take up advance research activities are available, but the mechanism to convert such work spots to research study centers is lacking. If IIITA as an institute of higher learning and of national importance could exploit this scenario and also to help other organizations/industry/academia then it could create a win-win mechanism for all and the objective of enhancing research quality and culture and of bringing the professional world in closer proximity to the institute could be accomplished. The policy of empowering the that cross section of the learners, who wish to enhance their qualifications at some stage of their professional life and wish to continue learning, (as envisaged in NEP) shall be addressed.

In this backdrop it is proposed to provide admission for the working professionals of Industries, R&D organizations, Laboratories, Government/Private Institutions, NGOs, Banking Institutions, and other organization/Institutions (not limited to above) for enabling research studies leading to Ph.D. Accordingly, the ordinance is as follows:

1. Working professionals of Industries/Corporate, R&D organizations, Laboratories, Government/Private Institutions, NGOs, Banking Institutions, and other organization/Institutions (not limited to above) with B.Tech. / B.Pharm. / MTech / M.Pharm. / MSc. / MCA / MBA / M.Com will be eligible to apply for respective research studies in IIITA.
  - a. Qualification of GATE/ GRE/ UGC/CSIR NET/ CAT/ GMAT or similar Exams is not mandatory for admission in PhD (WP) program.
  - b. In place of IIITA- PET, the admission in the WP program will be through an interview. The selection in the panel shall compose of concerned faculty member(s), HoD, Subject Expert within the department, Subject Expert outside the department, Subject Expert outside the Institute.
  - c. For pursuing PhD at IIITA, the employees of Central/State Governments, Autonomous bodies like ISRO, DRDO etc, PSUs, Industries/Corporate, R&D organizations, Laboratories, Government/Private Institutions, NGOs, Banking Institutions, Academic Institutions, and other similarly placed organizations shall be required to submit an appropriate NOC.

2. A working professional student can be a full-time residential scholar in IITA, thereby using the on-campus research facilities for pursuance of his/her research may even be considered for admission as full time / part time scholar at her/his workplace itself, provided the work place issues an NOC for that candidate. A working professional candidate must be working in some organization and should have at least 3 years (2 years for INI pass out candidates UG/PG) of total experience at the time of application.
3. The said work place / professional centre should formally sponsor/ support the working professionals for research studies on a full / part time basis by issuing an NOC
4. Such a working professional may complete the course requirement using course registration in SWAYAM/ NPTEL/ INSTITUTE COURSE (INONLINE/OFFLINEMODE), remaining in contact with the research supervisor(s) online /offline. If a course is:
  - a. Registered in SWAYAM/NPTEL, the student would need to submit the course completion certificate and thereafter, the marks & grades for course shall be awarded by supervisor after conducting written examination of 100 marks. AAA section will notify the exam dates in consultation with supervisor.
  - b. Registered in INSTITUTE COURSE (IN ONLINE/ OFFLINE MODE), the student would need to appear in formative assessment (online/offline), summative assessment (offline) as per the schedule of the registered course. The course instructor shall submit the marks & grades and shall award the grades. AAA section will notify the exam dates in consultation with supervisor.
5. A sponsored candidate/ working professional who had registered in SWAYAM/ NPTEL compulsorily has to appear in summative assessment in the campus of IITA (the summative assessment will have only 1 component of 100 marks for a written end-sem examination and a progress seminar for the research work).
6. A student shall have to complete the course work and research credits as per the table mentioned for regular PhD program.
7. 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.
8. If the working professional is a full-time research student, s/he would be governed by the present minimum duration stipulations. However, if the working professional is a part time Ph.D. candidate, then the minimum duration required to submit the Ph.D. Thesis would be 48 months. The Table-I on 'Mandated Research Outcomes' shall apply to all such candidates for conduct of Open Seminar and submission of Thesis.
9. Employees (faculty/staff) of IIT Allahabad would be treated as the in-house working professionals. The fee for them will be as applicable to regular candidates for such cases, while the academic requirements shall be the same as that for all regular candidates, as prescribed by Ph.D. Ordinances. There shall not be any differences in the degree obtained by a regular candidate and a working professional.
10. Admissions can be undertaken 7 Days before the start of every Semester.
11. The minimum duration of the program will be 48 months (4 years) while the

- maximum duration will be 84 months (7 years).
12. The course requirement and research credits will be same as that of regular Ph.D. candidates as mentioned in the Ordinance for regular PhD. In view of non-full time nature of the research work, the schedule of course work can be allowed on the Saturday and Sundays for on-campus teaching OR as per calendar of NPTEL/SWAYAM.
  13. The JRF to SRF review will not be applicable.
  14. If admitted and then for any reasons such a candidate failed to complete PhD then he/she may be allowed to get a certificate of courses passed by him/her at the time of exit.
  15. All other modus operandi aspects are as per the Ph.D. Ordinance.

**This supersedes all previous PhD ordinances.**