



PhD Ordinances and Regulations

Indian Institute of Technology Ropar

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Abbreviations

- BME Biomedical Engineering
- CE Civil Engineering
- CFTI Centrally funded technical institute
- CSE Computer Science and Engineering
- CSIR-NET CSIR National Eligibility Test
- DC Doctoral Committee
- EE Electrical Engineering
- ERP External Registration Programme
- GFTI Government funded technical institute
- GOI Government of India
- HoD Head of the Department
- HTRA Half Time Teaching/Research Assistantship
- JRF Junior research fellow
- ME Mechanical Engineering
- MME Metallurgical and Materials Engineering
- MHRD Ministry of Human Resource and Development
- RPEC Research Progress Evaluation Committee
- SRF Senior research fellow
- UGC-NET UGC National Eligibility Test

References

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Implementation: As noted in 23rd Senate, Annexure III, Page 20 (MoM of RPEC dated 23.01.2017).

1 ORDINANCES:

- 1.1. A candidate who has qualified for the award of Master's degree of this Institute or a recognised Institute or University in the discipline as prescribed in the regulations of the Senate is eligible to apply for the PhD programme of this Institute.
- 1.2. A candidate who has qualified for the award of Bachelor's Degree in Engineering / Technology with exceptionally good academic background in the discipline as prescribed in the regulations of the Senate is also eligible to apply for PhD programme in Engineering/Technology of this Institute.
- 1.3. The award of the PhD degree shall be in accordance with the regulations of the Senate of this Institute.

2 REGULATIONS:

2.1 Categories of Admission

Candidates will be admitted to the PhD programme of the Institute under one of the following categories:

2.1.1 Regular full-time scholars.

Students selected from HTRA list can move to Non-HTRA and revert back to HTRA later or vice-versa depending on the selection criterion adopted by the department during the intake of the candidate.

The regular full time scholars can be of the following categories.

2.1.1.1 Institute research scholars

Students under this category are entitled for Institute Research Assistantship / Fellowship as per MHRD, GOI norms.

2.1.1.2 Govt. / Semi Govt. Fellowship Awardees (CSIR, UGC, DAE, DST, DBT, NBHM, etc.)

These candidates are financially supported under various Govt. / Semi Govt. schemes. The admission procedure and other requirements are same as applicable to research scholars/institute fellowship.

2.1.1.3 Research Fellows under Projects/Schemes

The admission procedure and other requirements for research Fellows (JRFs/SRFs) in various projects/schemes in the institute who wish to enroll for the PhD programme are the same as applicable to Institute Research Scholars. They will be paid assistantship/fellowships as per the norms of the project and sanctioned amount.

2.1.1.4 Direct PhD programme

Students under this category gets an opportunity to earn a doctorate in Engineering / Sciences / Humanities just after the Bachelor's degree.

2.1.2 External Registration Programme (ERP)

A research scholar under the External Registration Programme will carry out major part or all of his/her research work in the industry/research laboratories employing the scholar.

Research scholars under the External Registration Programme (ERP) should be sponsored by and employed in industries/research laboratories having R & D facilities and recognised by DST or IIT Ropar.

2.1.3 Part time PhD programme

A research scholar under the Part time PhD Programme will carry out major part or all of his/her research work at IIT Ropar under the supervision of supervisor(s) at IIT Ropar. The feasibility of doing this with sufficient intensity will be an important consideration in admitting the scholar in this category.

The candidate should be employed in a reputed University/Institution/Organisation.

Leave is not required for attending the courses.

2.1.4 PhD programme for staff of IIT Ropar

Members of non-teaching staff (working in permanent capacity, including technical and non-technical) may be permitted to join the Ph.D. program under this category.

Regulations pertaining to all kinds of PhD programmes will be common, unless stated otherwise.

2.2 Reservation for admission

2.2.1 Reservation for SC/ST

Reservation under SC/ST category will be allowed as per GOI rules.

2.2.2 Reservation for the physically handicapped (PH)

Reservation under PH category will be allowed as per GOI rules. They will not be allowed any other relaxation beyond this limit even if they belong to SC/ST category

2.3 Eligibility criterion

1. Advertisement for admission to the PhD programme will be published on the website/newspapers (twice a year) in the month of March/April for the first semester (that starts in July) of the academic year and in the month of September/October for the second semester (that starts in January) of the academic year.
2. The candidates who possess requisite qualifications as mentioned in the advertisement are eligible for admission to the PhD programme on the basis of
 - a. Overall academic career
 - b. Entrance test conducted by the Department/School.

A candidate who has obtained research scholarship on the basis of CSIR-NET fellowship or equivalent examination will also be evaluated on the basis of (a) and (b) above only.

2.3.1 Eligibility for Regular Full Time PhD programme

The minimum educational qualification and research areas for admission to the PhD programme of the Institute in the following major disciplines are as furnished in the Institute website /

Advertisement. Registration under this programme is generally open in the following Departments/Centers.

PhD in Engineering: BME, CE, CH, CSE, EE, ME, MME

PhD in Science: Chemistry, Physics, Mathematics

PhD in Humanities and Social Sciences

2.3.2 Eligibility for External Registration Programme (ERP)

Admission to this programme is open to the Departments/Centers as furnished in the Institute website / Advertisement. Registration under this programme is generally open in the following Departments/Centers.

PhD in Engineering: BME, CE, CH, CSE, EE, ME, MME

PhD in Science: Chemistry, Physics, Mathematics

PhD in Humanities and Social Sciences

2.3.2.1 Minimum Eligibility Requirements

In addition to possessing the academic qualifications mentioned in the respective departments / centers, an applicant should fulfil the following requirements also:

2.3.2.1.1 GATE or equivalent qualification

GATE or Equivalent Qualification is not required for admission.

2.3.2.1.2 Professional Experience

Should have completed full time employment of 2 years of service as on the deadline of application (of the year of admission into the programme).

2.3.2.1.3 Organization/Institution

Organisation/Institution must have at least 5 years of its existence for sponsoring candidates to ERP programme. Only persons engaged in R & D work in Technical / Scientific Institutions/ Industries or R & D Establishments are eligible. The organization should have adequate facilities for carrying out research. All CFTIs/GFTIs will be considered irrespective of their years of existence.

2.3.2.1.4 Sponsorship/NOC

Unconditional sponsorship or NOC by the employer is essential and a must at the time of joining. IIT Ropar will not have any financial liability for the candidate throughout the tenure of PhD.

2.3.3 Eligibility for Direct PhD programme

Admission to this programme is open to the Departments/Centers as furnished in the Institute website / Advertisement. Registration under this programme is generally open in the following Departments/Centers.

PhD in Engineering: BME, CE, CH, CSE, EE, ME, MME

PhD in Science: Mathematics (Only CFTIs), Chemistry, Physics

PhD in Humanities and Social Sciences

2.3.3.1 Minimum Eligibility Requirements:

2.3.3.1.1 For Students of Centrally Funded Technical Institutes (CFTIs)

1. Studying in final year of B.Tech/BE
2. No GATE or other equivalent national exam qualification required
3. CGPA of at least 8.0 out of 10.0

2.3.3.1.2 For Students of Non-CFTIs

1. Studying in final year B.Tech/BE
2. GATE or other equivalent national exam qualification required at the time of joining
3. CGPA of at least 8.0 out of 10.0

2.3.3.2 Programme Details

Regular PhD programme guidelines will be followed

2.3.4 Eligibility for Part time PhD programme

Admission to this programme is open to the Departments/Centers as furnished in the Institute website / Advertisement. Registration under this programme is generally open in the following Departments/Centers.

PhD in Engineering: BME, CE, CH, CSE, EE, ME, MME

PhD in Science: Mathematics (Only CFTIs), Chemistry, Physics

PhD in Humanities and Social Sciences

2.3.4.1 Minimum eligibility requirements

In addition to possessing the academic qualifications mentioned in the respective departments / centers, an applicant should fulfil the following requirements.

2.3.4.1.1 GATE or equivalent qualification

Minimum qualification for these candidates is the same as for full-time candidates except that the requirement of qualifying in a national examination (e.g., GATE or equivalent) is waived off.

2.3.4.1.2 Professional Experience

The candidate should have a minimum experience of 2 (two) years (full time) after B.Tech./M.Tech/M.Sc./M.A. or equivalent as on the date of registration.

2.3.4.1.3 Sponsorship/NOC

Part-time candidates are required to submit a “No Objection Certificate” on a proper letter head from the appropriate authority in the organization clearly stating the following:

- The candidate is permitted to pursue studies on a part-time basis.
- That his/her official duties permit him/her to devote sufficient time for research.
- Facilities for research in the candidate’s field of research in the area in which admission is sought are available at the candidate’s place of work.

- He/she will be fully relieved from duty and permitted to reside at the Institute for the period required residency.

2.3.4.1.4 NOC in case of change or organization

If the candidate after joining PhD program changes the organization, he/she should get NoC from the new organization as well.

2.3.5 Eligibility of PhD programme for staff

Registration under this programme is open in the Departments/Centers as given in the advertisement. All common rules laid down in the Ph.D. Regulations relating to course work, prosecution of research work under the supervision of a member of faculty, etc. shall be applicable to all members of staff when being enrolled.

2.3.5.1 Minimum eligibility requirements

For admission to the program a member of staff must fulfill the prescribed norms and at the qualifying examination he/she must have obtained at least the percentage of marks/grade/CGPA at par with the regular PhD programme. The Chairman of the Senate may, on the recommendation of the RPEC, relax the above norm to the extent deemed reasonable in the case of a staff member of the Institute having long experience and/or additional professional qualification.

2.3.5.1.1 GATE or equivalent qualification

Minimum qualification for these candidates is the same as for full-time candidates except that the requirement of qualifying in a national examination (e.g., GATE or equivalent) is waived off.

2.3.5.1.2 Sponsorship/NOC

Prior permission/NOC has to be obtained from competent authority before applying for admission to the program. Institute work should not suffer due to joining the PhD programme by the candidate.

2.3.5.1.3 Other conditions

The other conditions for permission of staff shall be as follows.

1. The application for administrative permission to join a research program by a member of non-teaching staff must be submitted through the Head of the Department/Centre or the Section In-charge, as the case may be. While submitting the application he/she must give an undertaking in the prescribed form to the effect that he/she will abide by all rules and regulations.
2. If the exigencies of Institute work so require, the permission granted to a member of non-teaching staff under these rules can be withdrawn by the Institute at any time without assigning any reason.
3. Every application for permission under these rules shall be examined by the RPEC taking into account whether the proposal for joining the program for which permission is sought for, arises out of genuine interest and ability.
4. After the permission is granted he/she will submit his application on prescribed form together with the prescribed enrolment-cum-registration fee. On receipt of this application the Head of the Department/Centre concerned will proceed for composition of the DC.
5. The minimum period to be spent in the research work by a member of non-teaching staff registered for the Ph.D. degree shall 4 years. The maximum period admissible for completion of the work and submission of the thesis shall, however, remain to be the same as in the case of regular candidates.

2.4 Selection Procedure

Eligible candidates possessing the minimum educational qualifications and satisfying additional criteria set by the departments from time to time, will be called for an Interview and/or Test by the Selection Committees of the respective departments/Centers.

Based on the academic record and the performance of the candidates in the interview and/or test, the Departmental Selection Committee will recommend to the Dean (Research) the names of candidates found suitable for admission to the PhD Programme.

2.5 Admission to the programme

1. Candidates whose selection is approved by the Dean (Research) will be admitted to the PhD programme after payment of prescribed fees.
2. Ordinarily, a candidate is not eligible for re-registration for PhD after cancellation of his/her earlier registration for any reason. Based on the merits of the individual case and taking into consideration of any special circumstances, a candidate may be considered for re-registration.
3. All selected candidates who are Indian citizens and who do not receive any other scholarship or funding will be provided financial support by the Institute. Admission to reserved-category candidates will be as per Government of India notification.
4. A limited number of Research Assistantships and other financial support for attending conferences within India and abroad are available as per MHRD norms subject to the conditions prescribed in the Institute regulations.

2.5.1 Admission to ERP

Candidate admitted to the programme must continue to remain in the same organization and place of work until the research work is completed. If the candidate is transferred or joins a new organization before the submission of the thesis, he/she should get the approval from the new organization for continuation of the programme

2.6 Registration

2.6.1 Registering for the programme

A candidate who is selected for PhD the programme will be enrolled by paying the requisite fee on the stipulated date. An entry number will be allotted to the candidate after enrollment. In addition to the semester and hostel fees, candidates need to produce medical fitness certificate. The candidate has to carry out research work under a supervisor from amongst the faculty of the Institute.

2.6.2 Minimum period of registration

1. Candidate with a B.Tech/M.Sc/M.A degree or its equivalent: Shall be required to be registered for the degree for a period of not less than 3 calendar years (36 months) from the date of his initial registration. In exceptional cases, the minimum period of registration may be reduced to 2 calendar years (24 months) upon recommendation of the DC and subsequent approval of the Senate.

2. Candidate with an M.Tech degree or its equivalent: The minimum period of registration shall be 2 calendar years (24 months).

2.6.2.1 For non-teaching staff of IIT Ropar

The minimum period to be spent in the research work by a member of non-teaching staff registered for the Ph.D. degree shall be 4 years.

2.6.3 Maximum period of registration

The candidates of all categories shall normally submit their thesis within a period of 5 years from the date of their initial registration for the PhD programme. However, as a special case, this limit may be extended to a maximum of 7 years by the Dean (Research) after which the registration shall stand cancelled automatically.

2.6.3.1 For ERP candidates

Maximum registration period of the programme will be one year in addition to regular PhD programme of IIT Ropar.

2.6.3.2 For Direct PhD candidates

Maximum registration period of the programme will be at par with the regular PhD programme of IIT Ropar.

2.6.3.3 For non-teaching staff of IIT Ropar

The maximum period admissible for completion of the work and submission of the thesis shall, however, remain to be the same as in the case of regular candidates.

2.7 Fellowship and advance

Fellowship will be given to the candidates as per MHRD norms or external funding agency directives, as applicable.

The institute may provide advance as per existing norms and practices.

2.7.1 Transfer of project fellowship to Institute fellowship

1. This applies to candidates who are already registered under the PhD programme. Project fellowships cannot be transferred to Institute fellowship so long as funds are available in the project.
2. Minimum time for which a student has to work in a project to get transferred to Institute fellowship is 1 year.

2.7.2 Fellowship for Direct PhD students

The duration and amount of fellowship will be as per MHRD norms.

2.7.3 Fellowship for PhD of staff of IIT Ropar

Members of staff permitted and enrolled for the PhD degree shall not be entitled to any fellowship.

2.8 Choice of supervisor

2.8.1 Allotment of supervisor

Allotment of research scholars to supervisor(s) will be made by the Head of the Department (HoD) taking into consideration the research profile of the department and the preferences of the research scholars and supervisor(s) as per the departmental policy.

2.8.2 Maximum number of supervisors allowed

There shall be not more than two supervisors from the Institute for a research scholar.

2.8.3 Choice of supervisor for ERP candidates

2.8.3.1 *Research Supervisor(s) from IIT Ropar*

A maximum of 1 supervisor is allowed from IIT Ropar in case the student has a joint research supervisor from his parent institute. If the student has a coordinator from his parent institute, then he/she can have maximum 2 supervisors from IIT Ropar.

2.8.3.2 *Joint Research Supervisor/Coordinator*

(for candidates from industry/research laboratories)

Candidate should identify a Joint Research Supervisor (should hold a PhD degree)/Coordinator from the sponsoring organization (who must be a permanent staff member).

The person should be willing to supervise/coordinate the research work of the candidate.

The person should be from the same establishment/laboratory in which the candidate is employed.

2.9 Eligibility for being supervisors

1. The following may be considered for acting as a supervisor for a PhD scholar.
 - a. All faculty members of the Institute.
 - b. Scientific / Design staff of the Institute with a doctoral degree.
 - c. Visiting faculty member with a minimum of 1 year of appointment can take a PhD student along with another faculty member within IIT Ropar. In case, expertise is not available, the competent authority can take a decision.
2. Continuance of retired faculty members / emeritus faculty as co-supervisors only
3. CSIR and other Emeritus Fellows / Scientists / Emeritus Professors, who hold office at this Institute for a period of 2 years or more, can become co-supervisor(s) for scholars along with a supervisor from the institute, with at least 5 years of service still left at the time of registration of the scholar.
4. The induction of new supervisor(s) at any point of time during the PhD programme of a research scholar will be considered by the DC with the subsequent approval of Dean (Research) on a case to case basis.

2.10 Choice of co-supervisor(s)

Additional Supervisor from outside the Institute can be allowed with the approval of Chairperson, Senate on case to case basis.

Co-supervisor from other IITs / Institutions / Industries with a minimum academic qualification of Master's degree in Engineering / Management and with adequate professional experience in the relevant field or PhD in relevant area may be nominated for PhD scholars on the request of scholars / supervisors.

The recommendation for the co-supervisor shall be made with valid reasons and justifications by the DC of the research scholar.

Appointment of Co-supervisor by the Head of the Department on the recommendation of the supervisor within 24 months from the date of joining for the PhD scholars. After the time limit, the co-supervisor shall be made with valid reasons and justifications by the DC of the research scholar.

2.10.1 Number of co-supervisors allowed per PhD student and co-supervision rules

2.10.1.1 *Internal students*

The number of co-supervisors can be restricted to a maximum of 1. This process has to be completed before the confirmation of candidacy.

2.10.1.2 *External students*

It is recommended for the time being that a maximum of 2 external candidates can be supervised by our faculty. No financial or academic responsibility will be borne by IIT Ropar. Further, there is no requirement of any MoU with such institutions. However, the point regarding Intellectual property rights of the Institute has to be kept in mind while guiding such external candidates.

2.11 Doctoral Committee

The Head of the Department (HoD) will intimate to the Dean (Research), for each scholar the area of research, the name(s) of the supervisor(s) and the names of faculty members constituting the Doctoral Committee (DC), within 15 days of the date of joining of the research scholar. The final approving authority of the DC will be Dean (Research).

The following would be the composition of the Doctoral Committee (DC):

1. Chairperson: Head of the Department (HoD/nominee of HoD) ((If the HoD happens to be the Supervisor of a scholar, the senior most Professor / previous HoD/ senior most Associate Professor will be nominated by Chairperson, Senate or his nominee)

HoD may nominate Chairperson, if he/she is otherwise engaged for the conduct of DC meetings to assess the progress of the scholars.

When a new HoD joins, the previous HoD will continue to be the Chairperson of the already existing DCs.

Chairperson, DC must be present for comprehensive Exam / Synopsis / Thesis report / Viva voce meetings of the Scholar.

2. Convenor: Research supervisor(s)
3. Member 1: A minimum of 1 faculty member of the Department nominated by the HoD. He/She will be chosen from a panel of 3 experts submitted by the supervisor(s).
4. Member 2: A minimum of 1 faculty member of allied Departments or allied Institutions nominated by the HoD. He /She may be chosen from a panel of 3 experts submitted by the supervisor(s).
5. Member 3: A minimum of 1 faculty member nominated by the HoD from any of the above panels.

The research supervisor(s) may suggest the constitution of the DC. However, it is desired that as far as possible the research supervisor(s) should avoid keeping the same DC members for his/her students.

2.11.1 DC member goes on long leave or retires

In case any member goes on leave exceeding one year duration, or resigns or retires from the Institute, the HoD or his nominee will nominate another member and duly inform the Dean (Research).

2.12 Change/Addition of supervisor

The Doctoral Committee of a research scholar may recommend change of supervisor or appointment of a co-supervisor for valid reasons.

A faculty member appointed as a PhD supervisor is normally expected to be available to a research scholar in the Institute till the thesis viva-voce examination. However, under unavoidable circumstances, such as: long leave of more than 12 months; resignation; retirement; or death; a supervisor may not be available to the scholar. In such special cases, appointment of supervisor(s) will be regulated as under:

2.12.1 A supervisor proceeding on long leave of more than 12 months

2.12.1.1 Joint supervisor exists

The supervisor proceeding on leave for more than 12 months can continue to be a Joint-Supervisor.

2.12.1.2 Joint supervisor does not exist

A Joint-Supervisor may be appointed by the DC in case where a student has not yet submitted his synopsis.

2.12.1.3 Stages of thesis

Depending on the stage of the thesis work, the following situations can arise.

2.12.1.3.1 Synopsis / thesis submission done

If the synopsis/thesis is submitted before the supervisor proceeds on leave, he will continue to be the supervisor and only a caretaker supervisor will be appointed.

2.12.1.3.2 Major revision of the thesis is necessary

If a major revision becomes necessary, and the sole supervisor is on leave, he should be asked to specifically state whether he would effectively help the student carrying out the major revisions within a reasonable time. In case the sole supervisor expresses his inability due to one reason or the other, the caretaker supervisor, if he provides the required help in carrying out the major revision, will automatically be treated as joint-supervisor of that candidate.

2.12.1.4 Supervisor wants to extend his leave

If a supervisor proceeds on leave for a period less than 12 months initially, but later extends his leave beyond 12 months, the above procedure will be followed. The extension granting authority will inform the PhD Section accordingly.

2.12.2 A supervisor retires

1. A faculty member who is to retire within 3 years may be permitted to become a supervisor to a new scholar with another faculty member, who is not likely to retire within 5 years as co-supervisor, at the time of registration itself. On retirement, the faculty member will continue to be a supervisor and will be invited to the Doctoral Committee meetings, synopsis meeting and viva voce examination.
2. In other cases, a faculty member on retirement may continue as
 - a. A Supervisor, if re-employed as an Emeritus Fellow
 - b. A Supervisor, if he/she has supervised a candidate for at least 3 years. However, a co-supervisor who is in service will be appointed in addition. The supervisor who has retired will be invited for the Doctoral Committee meetings, synopsis meeting and the viva voce examination.
 - c. A Joint-Supervisor, if the synopsis of the thesis has been submitted. Appointment of another Supervisor, if necessary, will be as mentioned above or as a caretaker Supervisor.

2.12.3 A supervisor resigns

If the supervisor resigns before completion of comprehensive examination, a new supervisor will be appointed on recommendation of DC.

If the supervisor resigns after completion of comprehensive examination, he/she may choose to remain as the supervisor or appoint a co-supervisor/caretaker supervisor as suggested by the DC.

2.12.4 A supervisor expires

A new supervisor will be appointed, if necessary, on recommendation of DC.

2.13 Course Work

All candidates enrolled for the PhD programme are required to complete the following credit requirements towards course work. The course work has to be decided by the DC.

Particulars	Credits Requirement
PhD in Science and HSS Departments for candidates with M.Sc/MA degree	15

PhD in Science and HSS Departments for candidates with M.Tech/M.Pharm/M.Phil degree	12
PhD in Science and HSS Departments for candidates with BE/B.Tech Degree	20
PhD in Engineering Departments with candidates having ME/M.Tech/MS degree	12
PhD in Engineering Departments with BE/B.Tech/MSc degree	20

Course work has to be normally completed within 18 months from the date of registration. Candidates are required to complete the course work with a minimum CGPA of 7.0 and Minimum grade in a subject should be at least 'C'. In case, a student fails in a given course, then DC can recommend to repeat the course or recommend another course as a replacement to complete the minimum CGPA requirements. For ERP candidates, the course work credit requirements and duration to complete courses is same as regular (M.Tech intake) / Direct (B.Tech intake) PhD scholars.

2.14 Minimum Residential Requirement

Regular PhD students have to stay within campus during their entire period of studentship. However, special permission, on a case to case basis, may be granted by the competent authority for staying outside of campus.

2.14.1 For ERP candidates

Candidate is required to spend a minimum of one semester at IIT Ropar right after admission (during course-work). Otherwise, the registration is liable to be cancelled.

2.14.2 For Part Time candidates

For part-time candidates from outside, there is a minimum residency requirement of 4 months. DC may specify a higher or lower residency requirement based on the courses recommended as well as the background. The minimum residency period can be completed in parts in the entire tenure of PhD. However, the minimum period of residency for each period should not be less than 3 weeks.

The minimum period to be spent in the research work by a student working under part time PhD programme shall be 4 years.

2.14.3 Temporary withdrawal from the programme

Withdrawal from the programme is permitted for a semester or longer for reasons of ill health or other valid grounds as duly recommended by DC. However, the maximum period of registration will remain unchanged.

2.15 Attendance

Attendance should be in compliance with the leave rules of IIT Ropar or as applicable by the external funding agency.

2.16 Progress Report

1. DC will monitor the progress of the research scholar.
2. The research scholar needs to submit the progress report duly forwarded through research supervisor (of IIT Ropar, in case of ERP candidates) and DC to department office within 15 days of the end of each semester. If two consecutive progress reports are not submitted/not satisfactory, registration of the student may be cancelled.
3. In case of joint supervisors, the progress report must be submitted with the signature of all the research supervisors.
4. The Progress report may not be submitted, in case the student has proceeded on maternity leave, semester leave etc.
5. In case, the supervisor proceeds on long leave, the caretaker supervisor will forward the progress report of student.
6. In the case of research scholars under ERP or working on a Part Time basis, the Doctoral Committee will pay particular attention to the quantum of effort put in by the scholar towards doctoral studies and progress.

2.17 Comprehensive Examination

1. After the successful completion of course work the student needs to appear for comprehensive exam.
2. Every PhD scholar should perform satisfactorily in a comprehensive examination.
3. The comprehensive examination will consist of two parts
 - a. Examination on basic concepts of the subject
 - i. Written examination: Minimum weightage will be 30%
 - ii. Oral examination: Minimum weightage will be 30%.
 - iii. The minimum passing marks for this (written + oral) will be 50%
 - b. Thesis proposal seminar
 - i. Should focus on the research problem to be taken up
4. The Comprehensive Examination should be conducted with the following committee
 - a. Oral examination:
 - i. DC members
 - ii. Dean (Research) should nominate a faculty member from outside the DC to be present during the oral examination.
 - b. Thesis proposal seminar:
 - i. DC members
 - ii. External expert: Head of the department/Doctoral Committee may decide if the external expert is required to be invited. If yes, One external expert chosen by Dean (Research) from a panel of 5 experts given by the supervisor.
5. The regular candidate must qualify the written and the oral exams within 18 months of registering into the PhD programme. Direct PhD students and students having B.E/B.Tech degrees have to complete the same within 4 semesters. The above are inclusive of the second attempt by the candidate.

6. The student must qualify the thesis proposal seminar within 24 months of registering in the PhD programme for regular candidates. Direct PhD students have to complete the same within 5 semesters. The above are inclusive of the second attempt by the candidate.
7. If the candidate is unable to qualify the comprehensive exam, his/her registration for the PhD programme may be cancelled.

2.18 Candidacy confirmation

1. The candidacy of a student will be confirmed for the PhD degree after successful completion of course work and comprehensive examination. Candidacy for the PhD degree shall be effective, normally from the date of registration
2. The candidacy of a candidate may be deferred by the DC on account of unsatisfactory progress.
3. A candidate is required to submit the thesis before the expiry of the registration period. In the event of the candidate failing to submit the thesis within the period, the registration shall lapse automatically.
4. PhD scholars should submit their thesis as stated below.
 - a. Regular PhD scholars: Within 5 years from the date of registration
 - b. Direct PhD: Within 5 years from the date of registration.
 - c. The DC may recommend to Dean (Research) to extend the period of submission of the thesis further 2 years with an additional year for research scholars under external registration

2.19 Enhancement seminar

The seminar related to enhancement of fellowship from JRF to SRF for students getting fellowship from external agencies, will depend on the respective rules of the funding agencies.

2.20 Enrolment

All research scholars who are in residence and whose registration is still in force, are required to enroll each semester on the stipulated date.

2.21 Conversion from full time to part time PhD programme to take up job

PhD Scholars who got a job offer can get relief from full time PhD programme based on the recommendations of DC, RPEC and subsequent approval of the Senate, while keeping their registration alive on payment of the requisite fees every semester, on the following conditions:

1. If they have completed their
 - a) Minimum residential requirement
 - b) Course work
 - c) Passed the comprehensive examination, given the research proposal seminar which is adjudged as satisfactory.
2. The candidate must produce the offer letter from the institution/organization which he/she proposes to join.
3. The candidate has to produce a “No Objection Certificate” from the Head of the institution/organization, which he/she proposes to join.

Such conversion will be subject to the following conditions:

1. The student must complete his/her thesis within 7 years counted from the date of his/her first registration in the programme
2. Provision of conversion from full-time to part-time status can be availed of only once by the student during his/her programme
3. The status of the student will be reviewed by the supervisor and the DC at least once in every two semesters after the conversion, and his/her continuation on part-time status will be subject to his/her making satisfactory progress towards completing the PhD thesis.

2.22 Leave rules

PhD students may be granted leave on application to the Head of the Department (HoD) concerned through their respective supervisor(s). The following applies to all leave unless stated otherwise.

- All leave will be approved by the concerned HoD upon recommendation of the supervisor(s).
- The leave application (excepting personal leave and medical leave (in case of emergency)) has to be submitted to the department at least 7 working days before the commencement of leave.
- The maximum period of registration remains unchanged for all cases.
- Leave will be sanctioned as per calendar year. It will be granted on pro-rata basis to those students who join midway.

2.22.1 Personal leave

All Research Scholars under TA/RA/SF are entitled for leave for a maximum of 30 days per year in addition to Public Holidays. This leave can be carried over to the next year and accumulated up to 10 days. The carried over leave can be taken in any semester. The total number of leave should not exceed 21 days for any semester. While sanctioning the leave, HoD must make sure that the TA duties have been taken care of.

2.22.2 Withdrawal for a long period (beyond 30 days)

Withdrawal beyond 30 days in an academic year may be granted to a Research Scholar in exceptional cases by Dean (Research) on the recommendation of DC.

- i) Withdrawal beyond 30 days will be without Assistantship/Scholarship.
- ii) The causes of such withdrawal could be due to personal, medical or professional reasons.
- iii) Such an extension of up to additional 30 days will be granted only once during the programme of the Scholar.
- iv) Withdrawal may be subject to the approval of the Head of Department / Centre / Programme Coordinator concerned on the recommendation of the supervisor(s); and a proper withdrawal account of each scholar shall be maintained by the Department/ Centre/ Programme Coordinator concerned.
- v) In exceptional circumstances the Dean (Research) may, on the recommendation of the DC grant a Research Scholar withdrawal without assistantship for a period not exceeding 12 months in the entire period of his/her tenure for purpose of accepting teaching / research assignment on temporary basis provided the post accepted by research scholar is in the same school or in an educational institution, R & D organization or an industry of repute.

- vi) When a scholar is permitted for such withdrawal without assistantship the enhancement of fellowship or comprehensive examination (in case it has not taken place yet) shall be deferred for the appropriate period. However, the date of termination of fellowship remains unchanged.

2.22.3 Duty leave

Duty leave is permissible for performing experiments, attending Schools / Seminars / Conferences / Workshops / Meetings etc. in India or abroad involving an active participation or field trips such as data collection, survey work, etc. on recommendation of the concerned supervisor(s), forwarded by the HoD/Dean (Research) on a case to case basis.

This kind of leave is also permissible for institute related activities (e.g., sports, cultural fests, technical fests, etc.) on recommendation of the concerned supervisor(s), forwarded by the concerned Faculty-in-Charge / Officer for the particular activity and subsequent approval by HoD on a case to case basis.

Before forwarding the application, the concerned HoD must ensure that TA duties have been taken care of.

2.22.4 Medical leave

Leave on medical ground, duly supported by a medical certificate, may be granted to a student for up to 10 days per year. Such leave shall not entail any loss of financial assistantship.

2.22.5 Maternity leave

Women scholars are entitled for maternity leave at the full rate for a period as per the GOI rules, only once during the tenure of their studentship. The application should be supported by a medical certificate. In such cases, the maximum period of registration may be extended by the period of maternity leave availed.

When a scholar is permitted such leave the enhancement of fellowship or comprehensive examination (in case it has not taken place yet) shall be deferred for the appropriate period. However, the date of termination of fellowship remains unchanged.

2.22.6 Paternity leave

Male Scholars are entitled for 15 days of paternity leave at a stretch only once during the tenure of their award. This should be supported by a medical certificate.

When a scholar is permitted to avail such leave the enhancement of fellowship or comprehensive examination (in case it has not taken place yet) shall be deferred for the appropriate period. However, the date of termination of fellowship remains unchanged.

2.22.7 Vacation leave

Not applicable.

2.22.8 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 programme on the recommendation of the DC and approval of RPEC.

2.22.9 Leave for students from external funding agencies

Research scholars getting funded through external funding agencies will be governed by institute rules. In case of any difference of policy with the funding body, the Senate takes a decision.

2.22.10 Registration and fees during leave

A student granted academic leave for one or more semesters should pay prescribed fees in every semester as per schedule.

2.23 Cancellation of Registration

1. The registration of a research scholar whose progress is not found to be satisfactory consecutively twice by the DC is liable to be cancelled.
2. The registration of a research scholar who has not enrolled within time is liable to be cancelled.
3. The registration of a research scholar who has not submitted his/her thesis before the end of the maximum permissible period will be cancelled.
4. If the scholar absents him/herself for a continuous period of four weeks without prior intimation/sanction of leave.
5. If the scholar resigns from the Ph.D. Programme and the resignation is duly recommended by the DC.
6. If the scholar does not clear the comprehensive examination as stipulated.
7. If the CGPA is below 7.00 at any time while doing course work.
8. If the scholar is found involved in an act of misconduct and/or indiscipline and termination is recommended by a competent authority.

2.24 Synopsis

On satisfactory completion of the prescribed courses, the comprehensive examination and the research work, the scholar shall submit the requisite copies of the synopsis of his/her research work in the required format through the DC with its recommendations to the Research Section.

2.24.1 Synopsis criterion

Prior to submission of the synopsis, the scholar

1. Is required to give at least 2 open seminars on the topic of his/her research.
 - a. One of these would be the thesis proposal seminar delivered as a part of the comprehensive examination.
 - b. The other should be delivered at least 6 months before the synopsis seminar.
2. The scholar should have at least 1 paper either published or accepted for publication in a refereed journal.
3. DC may consider exceptional cases, which will be reported to Senate.

2.24.2 External experts for synopsis presentation

The supervisor(s) shall suggest a panel of 5 external experts for evaluation of the synopsis seminar to the Dean (Research) through their respective HoD.

The expert will be chosen from the panel by Dean (Research).

2.24.3 Synopsis presentation

1. The research scholar shall present the synopsis seminar to an open audience in which besides others the DC members will be present. Dean (Research) and/or Director may attend as invitees in the synopsis seminar.
2. The seminar lecture will test the candidate's depth of knowledge and progress in his/her research.
3. The candidate shall be allowed to submit his/her thesis for the PhD degree only when the DC is satisfied with the work.
4. If the DC is not satisfied with the quality of the work or the general preparation of the candidate, the candidate will have to appear again for the seminar within a maximum period of 6 months.

2.25 Submission of Thesis

1. Subject to fulfilling the course credit requirements and other conditions as may be laid down from time to time, the candidate may submit the PhD thesis.
2. The thesis has to be submitted within a minimum period of 2 (two) years and maximum period of 7 (seven) years from the date of registration.
3. The thesis must be submitted within 2 (two) months of successful completion of the synopsis seminar. If the thesis is not submitted within the above mentioned period, the candidate shall be required to submit fresh synopsis. However, in case a candidate fails to submit the thesis but has suitable justification for the same, the Dean (Research) may on recommendations of DC and on individual merit of each case grant the candidate an extension for not more than 2 (two) months for submission of the thesis.
4. The scholars should submit the synopsis along with thesis in hard and soft copy.
5. The research scholar shall submit 3 (three) copies of the thesis and abstract of the thesis.

2.25.1 Thesis guidelines

1. Besides a soft copy (CD)/USB storage, a candidate shall submit 2 (two) copies of the thesis neatly typed or printed and bound in a manner notified separately. The thesis must contain the text and common matters like bibliography/references and summary/conclusions.
2. A preface/introduction in which the candidate shall state whether the thesis is based on discovery of new facts or new interpretation of established facts by others, or based on exhaustive study and critical analysis of published work of others, or design, or development;
3. Bio data of the candidate within one page (i.e. name, date of birth, educational qualification, research experiences, professional experience, if any, and permanent home address).
4. An abstract of the thesis (about 500 words) with key words (about 5)
5. A certificate (in standard format from the supervisor that (a) the work has been carried out under his/her/their supervision, (b) the candidate has fulfilled all prescribed requirements and c) the thesis which is based on the candidate's own work has not been submitted elsewhere for a degree/diploma.

2.26 Panel of Examiners

1. On successful completion of the synopsis seminar, the Research Supervisor will recommend to the Senate a panel of 10 experts, from India and/ or abroad, to examine the thesis (not more than 5 persons in the list shall be from India). Two experts, from the panel shall be appointed as 'external' examiners.
2. The experts will be chosen from the panel by Chairperson, Senate.
3. Co-authors of publications included in the thesis cannot be an examiner.
4. A person working in the same laboratory/Institution(s) where Research Scholar is employed cannot, however, be appointed as External Examiner for evaluating the Thesis of that Research Scholar. Further no person can be appointed as External Examiner from Laboratory/Institution to which the Joint Supervisor(s) of the Research Scholar belongs.
5. There is no bar towards appointment of ex-student of the supervisor in the Panel of Examiners provided the concerned ex-student had received PhD Degree of the Institute under his guidance at least 10 years earlier.
6. The thesis shall be forwarded to all examiners who shall report separately on the thesis and forward their recommendation to the Dean (Research).
7. The Dean (Research) will examine the reports of the thesis examiners and send them to the DC for their perusal and necessary action.

2.27 Thesis Report

1. The examiner is expected to send the report on the thesis within 2 (two) months from the date of receipt of the thesis.
2. In case of undue delay in receiving the thesis report, the Chairperson, Senate or his/her nominee shall appoint another examiner in his/her place for evaluating the thesis.

2.27.1.1 Outcome of thesis reports

The Dean (Research) will forward the reports of the thesis examiners to the DC for their perusal and necessary action. There may be the following possible situations arising out of the nature of the reports, and the steps to be taken appropriate to the circumstances shall be as laid down below:

2.27.1.1.1 The examiners are unanimous in recommending the award of the degree on the basis of the thesis without any modification.

This is a clear case for going in for the final requirement of viva voce.

2.27.1.1.2 The external examiners are unanimous in recommending the award of the degree but have suggested modification and/or have asked for clarifications.

The candidate in that case shall make modification and provide the clarifications as suggested within a time which in no case shall exceed six month from the date the communication is sent to the candidate, failing which the revised thesis will not be accepted and his/her registration will be cancelled. These may be sent to the examiners, if so desired by them.

2.27.1.1.3 One of the external examiners does not recommend the award of the degree and rejects the present form of the thesis while the other external examiner recommends the award

The DC in such a case may either ask the candidate to modify the thesis as suggested within a given time not exceeding six months and send the modified thesis to the Dean (Research) to be forwarded to the same examiner again or recommend to the Senate to appoint another external examiner or send the thesis to him in its original form. The recommendation of this 'third' examiner, at this stage, shall be taken as final.

2.27.1.1.4 Both the external examiners reject the thesis

In the event of a thesis being rejected by both the external examiners the Senate may, on the recommendation of the DC and forwarded by Dean (Research), permit submission of a revised thesis on an additional payment of the prescribed fee, after a suitable time to be fixed by the Senate. The observations and comments of the examiners, if any, may be copied and given to the candidate on request. In no case should a resubmission of the thesis without modification along the lines of criticism made by the earlier examiners, if any, may be allowed. The revised thesis shall be referred for assessment to two external examiners selected from a new panel of 10 experts recommended by the Research Supervisor. In case, both the experts reject the revised thesis again, the thesis will stand rejected and the registration of the candidate cancelled.

2.27.1.1.5 The reports obtained are ambiguous

In case of any ambiguity in the reports or the recommendations received from the examiners, the DC may recommend an interpretation of the reports which will be considered by the Dean (Research) and further Chairperson, Senate for approval.

2.27.1.2 Acceptance of satisfactory reports

1. Once the reports of the examiners have been accepted as satisfactory, DC will hold a meeting in presence of Dean (Research).
2. The names of the external examiners may be revealed by Dean (Research) in this meeting.
3. The DC upon examination of the reports shall recommend to the Dean (Research) for the PhD viva voce examination.
4. The DC shall make recommendations for the viva voce board during this meeting.
5. In the viva voce examination, the candidate will have to defend his/her thesis before the viva voce board.

2.28 Viva Voce Examination

2.28.1 Composition of Viva Voce board

- a) The DC shall recommend the examination of the composition of the viva-voce board as stated below:

1. **Chairperson, DC:** Chairperson must be present for comprehensive Exam / Synopsis / Thesis report / Viva voce examination of the Scholar

2. **Member:** The examiner of the thesis from within the country. In the rare case of the examiner unable to appear, a specialist in the subject nominated by the Chairperson, Senate or his nominee from the panel of examiners recommended by the DC.
3. **Member(s):** An expert (representing the foreign examiner) within the institute from the panel approved by the DC and nominated by the Chairperson, Senate or his nominee. The supervisor will provide a panel of 5 experts for this purpose.
4. **Member:** Research Supervisor(s) (Convenor)

(b) The DC members of the Research Scholar concerned will be invitees to the viva voce.

2.28.2 Evaluation during Viva Voce

1. The viva voce board will examine the scholar on his/her thesis work and evaluate his/her performance as satisfactory or otherwise.
2. The viva voce board will ensure that the scholar answers satisfactorily the questions raised by the thesis examiner(s).

2.28.3 Reappearing for Viva Voce

1. If the report of the viva voce board declares the performance of the research scholar not satisfactory, he/she may be asked to reappear for viva voce at a later date (not earlier than a month and not later than 3 months from the date of the first viva voce).
2. If the viva voce board on the second occasion also evaluates the performance of the research scholar not satisfactory, the matter will be referred to Senate for a decision.

2.28.4 Final form of thesis

1. The viva voce board may also recommend revision to be made in the final version of the thesis after taking into consideration suggestions of the examiners who evaluated the thesis and the discussion at the viva voce examination.
2. The Chairperson of the viva voce board shall forward the thesis to the research section certifying that the revisions recommended by the viva voce board, if any, have been incorporated in the copy of the thesis along with the report of the viva voce board.
3. The research scholar shall submit one copy of the final form of thesis in A4 size (double-sided) and an electronic version in PDF format after the viva voce board recommends the award of the PhD degree.
4. Nothing contained in these Regulations shall preclude a candidate from publishing/patenting either independently or jointly with the supervisor the result of the work incorporated in the thesis, at any time before or after submitting the thesis for examination.
5. Patents, if any, will be in the name of IIT Ropar. The inventors for a particular patent will be as per the Intellectual Property Rights (IPR) policy of the institute.

2.29 Award of PhD Degree

1. If the performance of the research scholar in the viva voce is satisfactory and has completed all the prescribed requirements and has cleared all fees and dues payable to the Institute, he/she

will be awarded PhD degree on the recommendation of the Senate and with the approval of the Board of Governors of the Institute.

2. A provisional degree may be given to the candidate, on request, if the award of the final degree is delayed due to any reason, whatsoever.

2.30 Publication of the thesis by the institute

The institute has a right to publish the thesis in repositories after submission. However, the candidate can request to defer such publication of his/her thesis by a maximum period of 1 year keeping in mind the pending patents and publications linked to the thesis.

2.31 Discipline

1. Every scholar is required to observe disciplined and decorous behaviour both inside and outside the campus and should not indulge in any activity, which will tend to bring down the prestige of the Institute.
2. Students are expected to dress and to conduct themselves in a proper manner.
3. All forms of ragging are prohibited. If any incident of ragging comes to the notice of the authorities, the student concerned shall be given the opportunity to explain. If the explanation is not found to be satisfactory, the authorities can expel him/her from the Institute.
4. The students are expected to conduct themselves in a manner that provides a safe working environment for women. Sexual harassment of any kind is unacceptable and will attract appropriate disciplinary action.
5. Any act of indiscipline of a student reported to the Dean (Research) will be referred to a Disciplinary Committee nominated by the Senate from time to time.
6. The committee will investigate the charges and will recommend suitable punishment if it finds the charges substantiated.
7. The recommendation of the Committee will be considered by the Dean (Research) to take appropriate action.
8. The Dean will report the action taken at the next meeting of the Senate.
9. Appeal: The scholar may go in for appeal to the Chairperson of the Senate whose decision will be final.
10. The following graded punishments will be imposed on those who indulge in academic malpractices – unfair means during quizzes/mid-semester/end-semester examinations:
 - a. For rude behaviour:
 - i. Severe warning shall be issued to a student who is found to display rude behaviour towards fellow students /invigilators.
 - ii. The student is liable to be expelled from the examination hall.

- iii. In such cases, the parents of that student would be informed of such indiscipline.

b. Malpractices and corresponding punishments:

S.No.	Nature of Malpractice	Recommended Punishment
1	Communicating with neighbours in the examination hall	The erring student(s) shall be awarded 'F' grade in the subject concerned
2.	<p>Possessing incriminating* materials inside the examination hall</p> <p>(or)</p> <p>Possessing the answer book of another candidate</p> <p>(or)</p> <p>Passing on answer book to another student</p> <p>(or)</p> <p>Exchange of question papers, with some answers noted down on them</p> <p>(or)</p> <p>Individual referral of material/discussion with other students, during visit outside the examination hall</p>	<p>The Disciplinary Committee shall have the discretion to recommend one of the following punishments:</p> <p>(a) The erring students(s) shall be awarded 'F' grade in the subject concerned.</p> <p>(or)</p> <p>(b) The erring student(s) shall be awarded 'F' grade in the subject concerned and one grade less in all the other subjects in the concerned semester.</p> <p>(or)</p> <p>(c) The concerned student(s) shall be awarded 'F' grade in all the subjects in the concerned semester.</p>
3.	Involved in malpractice in the examination for the second time, in a premeditated manner.	<p>The concerned student</p> <p>i) shall be awarded 'F' grade in all subjects, in the concerned semester and</p> <p>ii) shall be debarred from attending classes and taking examinations in the subsequent semester.</p>

4.	Impersonation in the examination	<p>The concerned student</p> <p>i) shall be awarded 'F' grade in all subjects, in the concerned semester and</p> <p>ii) shall be debarred from attending classes and taking examinations in the next two subsequent semesters.</p>
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(* incriminating materials include written/printed material; unauthorized additional sheets without or with write-ups, bits, scribbles on scales / handkerchief / on the body; abuse of calculator / organizer / cell phone, etc.)

2.32 Power to Modify

The Senate has the right to modify any of the above regulations as and when required.