भारतीय प्रौद्योगिकी संस्थान रुड़की

शैक्षणिक मामले कार्यालय

रुड़की – 247 667, उत्तराखण्ड, भारत

Indian Institute of Technology Roorkee

Academic Affairs Office

Roorkee – 247 667, Uttarakhand, India

उप कुलसचिव

Deputy Registrar

No. Research / 4103 /PhD-2026 **Date:** May 6, 2026

NOTIFICATION

Subject: Adoption and Implementation of Revised Ph.D. Ordinances and Regulations – Reg.

In pursuance of the approval accorded by the Board of Governors in its 75th meeting held on March 21, 2026, it is hereby notified that the Institute has adopted the Revised PhD. Ordinances and Regulations (Annexed) with immediate effect.

The provisions of the Revised Ph.D. ordinance shall be applicable to all Ph.D. research scholars of the Institute.

This is issued with the approval of the Competent Authority.

Deputy Registrar
(Academics)

मेजर रीति उपाध्याय (से.नि.)
Maj Reeti Upadhyay(Retd.)
उप कुलसचिव/Deputy Registrar
शैक्षणिक अफैयर्स कार्या./Academic Affairs Office
भा॰ प्रौ॰ सं॰ रूड़की/I.I.T Roorkee
रूड़की/Roorkee-247 667

Copy through e-mail to:

1. Director
2. All Heads of Departments/Centres/School
3. Faculty-Notices
4. All PhD Scholars
5. Dean of Academic Affairs
6. Associate Dean of Academic Affairs (Evaluation / Curriculum / ITS & Admission)
7. Assistant Registrar (ITS & Admission) / (Curriculum) / (Evaluation)
8. Institute Website / Channel-i
9. Meeting Section

(Item No. BoG / 75.5)

ORDINANCES, ADMISSION PROCESS, AND REGULATIONS

FOR

THE DEGREE
OF
DOCTOR OF PHILOSOPHY (Ph.D.)



Indian Institute of Technology Roorkee
Roorkee-247667

PREAMBLE

Indian Institute of Technology Roorkee (IITR), being the first technical institution in Asia and one of the premier technical institutions in India today, has been a front runner in imparting state-of-the-art education in science and technology to the people of this country, and has produced engineers and scientists par excellence. Indian Institute of Technology Roorkee inherits the legacy of excellence in teaching and research of the erstwhile University of Roorkee as is evident from its illustrious alumni and their engineering feats like Aswan to Bhakra-Nangal dam across the world, standing as testimonies of their capabilities and excellence.

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

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

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

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

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

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THE INSTITUTE

Indian Institute of Technology Roorkee, erstwhile University of Roorkee, is the oldest technical institution of the country. Established as the Roorkee College in 1847 and rechristened as the Thomason College of Civil Engineering in 1854, it made tremendous contributions in the development of infrastructural base-roads and highways, canals and irrigation networks, railways and engineering industries. Recognising its outstanding contributions and its potential for growth, the college was elevated to be the first Technical University of India on November 25, 1948. Nurtured as the premier institution by the State of Uttar Pradesh, the University was declared an Institute of national importance and converted into the Indian Institute of Technology Roorkee by an Act of Parliament with effect from September 21, 2001.

The academic activities of the Institute are spread over three campuses: (i) 365 acres campus at Roorkee, (ii) 25 acres campus at Saharanpur and (iii) 10 acres campus of Greater Noida Extension Centre at Greater Noida. The Institute offers several undergraduate programs leading to Bachelor's degree in different disciplines of engineering, sciences, architecture, and design. In addition, the Institute offers Integrated dual-degree programs and Integrated Master's programs in different disciplines of engineering and sciences, and postgraduate programs in specialised areas leading to Master's degree in technology, architecture, sciences, management and design. The Institute is also engaged in advanced level research and offers doctoral programs in the areas of cutting edge technologies and sciences.

The Institute boasts of a dedicated and highly qualified faculty of approximately 550 members actively involved in both teaching and research. In addition to their academic roles, faculty members also contribute their expertise through consultancy services to various public and private sector organizations. Currently, the Institute is home to over 5,500 undergraduate students, more than 2,000 postgraduate students, and over 3,000 Ph.D. scholars, including international students from several countries.

A number of academic and service centres are engaged in interdisciplinary research and there are many collaborative programs between the Institute and other institutions in India and abroad. The teaching and research at the Institute is amply supported by central facilities such as the Central Library with around 4 lakhs printed volumes of books, journals and periodicals. The Central Library is a member of the Indian National Digital Library in Engineering Science and Technology (INDEST) Consortium. The membership provides online access to about 15000 e-journals and 15000 e-books. Important centres and cells on the campus include: E-learning Centre, Institute Computer Centre, Institute Instrumentation Centre, The Tinkering Lab, TIDES Business Incubator, iHUB Divyasampark TIH, and Intellectual Property Right Cell.

The Institute prepares students to meet the ever-increasing technological and social challenges with its traditions of self-discipline, hard work, all round personality development and a creative approach to problem solving. An extensive infrastructure exists to imbibe and cultivate these attributes amongst the students. To uphold academic excellence and remain responsive to evolving academic and industry demands, the Institute undertakes periodic curriculum revisions, ensuring that its programs remain contemporary, relevant, and aligned with global standards.

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The Institute has procured a large number of state-of-the-art equipment and various other facilities, thus updating and modernizing its laboratories. All the Departments of the Institute have modern laboratories equipped with sophisticated facilities.

A large number of distinguished organizations interact with the Institute through research and consultancy services, which bears testimony to the important role being played by the Institute in the national development. The Institute also offers, on request, tailor-made short-term continuing education programs, specifically for personnel from industry and service organizations.

The Indian Institute of Technology Roorkee has a unique character and is fully residential for the students and the faculty. The Institute campus is vibrant with diverse creative activities, which constantly serve to bring students and the staff in close contact, thereby fostering an all-round intellectual development. The Institute campus has an excellent gymnasium, badminton and squash courts, lawn tennis courts, a swimming pool, billiards tables, and recreational centres like the Students' Clubs, Hobbies Club, Boat Club, Cultural Society, and Institute Cinema Club. The students are housed comfortably in hostels with excellent dining facilities. A fairly equipped Institute Hospital caters to the health needs of the campus community.

The Institute organizes several co-curricular activities for all-round personality development of the students, such as THOMSO, the annual youth festival; COGNIZANCE, an all-India technical festival. Hobbies Club and its annual exhibition SRISHTI is one of the unique features of the Institute that promotes creativity among students.

Students are encouraged to participate in various sports and cultural activities to help them develop a well-balanced personality. Every year, they organize an exhibition of fine arts, sculptures and carvings, philately, photography, scientific models, etc., besides sports activities. Being a rather compact campus, a cheerful and friendly atmosphere prevails and students feel at home very soon after joining the Institute. The lush green surroundings and the stately Ganga Canal flowing nearby provide a very stimulating and creative environment.

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ACADEMIC DEPARTMENTS, CENTRES, SCHOOL AND UNITS

There are twenty-three academic departments in the Institute, one school, ten academic centres, seven academic service units and five other support units.

Academic Departments

1. Applied Mathematics and Scientific Computing*
2. Architecture and Planning
3. Biosciences and Bioengineering
4. Chemical Engineering
5. Chemistry
6. Civil Engineering
7. Computer Science and Engineering
8. Design
9. Earth Sciences
10. Earthquake Engineering
11. Electrical Engineering
12. Electronics and Communication Engineering
13. Humanities and Social Sciences
14. Hydrology
15. Hydro and Renewable Energy
16. Management Studies
17. Mathematics
18. Mechanical and Industrial Engineering
19. Metallurgical and Materials Engineering
20. Paper Technology*
21. Physics
22. Polymer and Process Engineering*
23. Water Resources Development and Management

*Note: These departments are at Saharanpur Campus.

School

1. Mehta Family School for Data Science & Artificial Intelligence

Academic Centres

1. Disaster Mitigation and Management
2. Indian Knowledge Systems
3. International Centre of Excellence for Dams
4. Nanotechnology
5. Photonics and Quantum Communication Technology
6. Semiconductor Design and Technology
7. Space Science and Technology
8. Sustainable Energy
9. Sustainable Rural Development
10. Transportation Systems

Academic Service Centres

1. Centre for Continuing Education
2. E-Learning Centre
3. Institute Computer Centre
4. Institute Instrumentation Centre
5. Greater Noida Extension Centre IITR
6. Mahatma Gandhi Central Library
7. Rethink! The Tinkering Lab

Other Units

1. DRDO Industry Academia Centre of Excellence (DIA-CoE)
2. iHUB Divyasampark TIH - under NM-ICPS mission, Govt of India
3. Intellectual Property Right Cell
4. TIDES Business Incubator
5. Water for Welfare: An Uttarakhand Government Initiative

The Academic Departments, Centres and School offer the degree of Doctor of Philosophy (Ph.D.) to students of various disciplines.

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PART-I

ORDINANCES

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ORDINANCES FOR THE DOCTOR OF PHILOSOPHY (Ph.D.) PROGRAMS

Short Title & Commencement	**O.1**	(1)	These ordinances shall be called the Ordinances for the Doctor of Philosophy (Ph.D.) Programs and will be applicable to Ph.D. Programs of the Indian Institute of Technology Roorkee.
		(2)	These ordinances shall come into force with effect from such date as the Senate/Board may fix in this behalf.
Definitions	**O.2**	(1)	**"ADA"** shall mean Associate Dean, Admission & IT Systems.
		(2)	**"ADC"** shall mean Associate Dean, Curriculum.
		(3)	**"ADE"** shall mean Associate Dean, Evaluation.
		(4)	**"Applicant"** shall mean an individual who applies for admission to any Ph.D. program of the Institute.
		(5)	**"Board"** shall mean the Board of Governors of the Institute.
		(6)	**"Casual Student"** shall mean a student who is registered for a degree in a recognized Institution/ University in India or abroad and is officially sponsored by his parent institute to avail laboratory and other academic facilities or for attending a formal set of courses of the Institute.
		(7)	**"CFC"** shall mean Faculty Committee of the Centre.
		(8)	**"CGPA"** shall mean the Cumulative Grade Point Average.
		(9)	**"Competent Authority"** shall mean the Director of IIT Roorkee or any officer to whom the Director delegates the authority.
		(10)	**"Council"** shall mean the Council of the Indian Institutes of Technology.
		(11)	**"Course"** shall mean a curricular component identified by a designated code number and a title.
		(12)	**"Course Coordinator"** shall mean a faculty member who shall have full responsibility for the course and coordinating the academic activities associated with that course, including examinations and the award of grades.
		(13)	**"CRC"** shall mean the Research Committee of the Centre.
		(14)	**"Degree"** shall mean the Ph.D. Degree of the Institute as may be approved by the Board from time to time.
		(15)	**"DAA"** shall mean the Dean of Academic Affairs.
		(16)	**"DFC"** shall mean Departmental Faculty Committee.

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		(17)	**"DoSW"** shall mean the Dean of Students' Welfare.
		(18)	**"DRC"** shall mean Departmental Research Committee.
		(19)	**"Faculty Advisor"** shall mean a faculty nominated by the Department/Academic Centre/School to advise a student on the courses to be taken by him/her and other matters related to the academic program.
		(20)	**"GEN-EWS"** shall mean the General Economically Weaker Section.
		(21)	**"IRC"** shall mean Research Committee of the Institute
		(22)	**"Institute"** shall mean the Indian Institute of Technology Roorkee.
		(23)	**"OBC-NC"** shall mean the other backward classes – non creamy layer as notified by the Government of India from time to time.
		(24)	**"PD"** shall mean a person with different abilities as specified by the Government of India from time to time.
		(25)	**"PG"** shall mean Postgraduate.
		(26)	**"Research Student"** shall mean a person registered for the Ph.D. program of the Institute before becoming the candidate.
		(27)	**"ScFC"** shall mean the Faculty Committee of the School.
		(28)	**"SC/ST'** shall mean the scheduled castes/scheduled tribes as notified by the Government of India from time to time.
		(29)	**"SGPA"** shall mean the Semester Grade Point Average.
		(30)	**"Student"** shall mean a student registered for an academic program of the Institute.
		(31)	**"Supervisor(s)"** shall mean member(s) of the academic staff of the Institute approved by Competent Authority to guide/supervise the research/academic work of the research student/candidate.
		(32)	**"Co-supervisor(s)"** shall mean member(s) of the academic staff of the Institute or any person from other organization recommended by DRC/CRC/ScRC, Head of the Department/Centre/School and approved by Competent Authority to guide/supervise the research/academic work of the research student/ candidate.
		(33)	**"Caretaker Supervisor"** shall mean a member of the academic staff appointed to look after the

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			administrative interests of a research student/ candidate in the absence of the Supervisor(s).
		(34)	**"Course Work"** shall mean courses of study prescribed by the Department/Centre/School through the Student Research Committee, to be undertaken by a research student registered for the Ph.D. Degree.
		(35)	**"Full-time Research Student/Candidate"** shall mean a person registered for the Ph.D. Degree devoting full time at the Institute for completing the degree requirements.
		(36)	**"Part time Research Student/Candidate"** is a person who is registered for the Ph.D. degree and has been allowed to devote part of his time for completing the degree requirements.
		(37)	**"Registration Period"** shall mean the length of time span commencing with the date of initial registration at the Institute.
		(38)	**"ODC"** shall mean Oral Defence Committee.
		(39)	**"Residency"** shall mean the minimum period for which a student/candidate must attend the Institute.
		(40)	**"SRC"** shall mean Student's Research Committee.
		(41)	**"Sponsored Research Student/Candidate"** shall mean a research student/candidate sponsored by an organization/employer who provides full financial support to the student for pursuing Ph.D.
		(42)	**"ScRC"** shall mean the Research Committee of the School.

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Ordinances	**O.3**	(1)	The Institute shall offer Ph.D. programs and of such minimum duration as the Board may approve on the recommendation of the Senate either on its own or on the initiative of a Department/Academic Centre/ School, and/or on the direction of the Board/Council/ Government of India, provided that the Institute Research Committee (IRC) shall recommend all such programs.
		(2)	The minimum entry qualifications and the policy and procedure of admission to Ph.D. programs shall be such as may be specified by the Institute/Government of India and/or laid down in the regulations.
		(3)	A Ph.D. student shall be required to earn a minimum number of credits through various curricular components like lectures/laboratory courses, project, etc. at the Institute or at such other institutions as have been approved by the Institute. For a Ph.D. student, the thesis/project and other similarly designated academic activities shall have to be undertaken under the guidance of one or more supervisor(s) from the Institute. However, a Ph.D. student may be permitted by the DRC/CRC/ScRC to carry out in full or part of his/her thesis/project outside the Institute. In such cases, an additional supervisor from the host organization/institute, if considered necessary, may be appointed by the DRC/CRC/ScRC on the recommendation of the supervisor(s) from the Institute.
		(4)	A Ph.D. student shall be required to complete all the requirements for the award of the Degree within such period as may be specified in the regulations, including those credits earned at such other institutions as have been recognized by the Institute for this purpose.
		(5)	The date of initial registration of a student in a Ph.D. program shall normally be the date on which the student registers in the program for the first time. This date shall be construed as the date of joining of the student in the program for all intents and purposes.
		(6)	A student shall be required to attend every lecture, tutorial and practical class. However, for late registration, sickness or other such exigencies, absence may be allowed as provided for in the regulations.

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		(8)	A Ph.D. student may be granted such scholarship/ assistantship/stipend, etc. and awarded such prizes and medals as may be specified in the regulations in accordance with the directions of the Government of India and/or the decision of the Council/Board from time to time.
		(9)	The procedure for the admission of a student to a Ph.D. program shall be such as may be specified in the regulations; the casual students may be allowed access to academic programs in the manner as provided for under the regulations.
		(10)	The procedure for withdrawal from a Ph.D. program, rejoining the program, the award of grades and the SGPA/CGPA, the examination and all such matters as may be connected with the running of a Ph.D. program shall be such as may be specified in the regulations.
		(11)	The award of the Ph.D. degree to an eligible student shall be made in accordance with the procedure laid down in the regulations.
		(12)	A student admitted to a Ph.D. program shall abide by the "Standing Orders for Students" issued by the Institute from time to time. These Standing Orders shall deal with the discipline of the students in the Bhawans/Hostels, Departments/Centres/School, the Institute premises and outside. The Standing Orders may also deal with such other matters as are considered necessary for the general conduct of the students, and co-curricular and extra-curricular activities. These Standing Orders shall be approved by the Director on the recommendation of the Dean of Students' Welfare.
		(13)	The regulations for the Ph.D. program shall be framed by the IRC, which shall be considered and approved by the Senate.
		(14)	In special circumstances, the Chairperson of the Board may, on behalf of the Board, approve amendment, modification, insertion or deletion of an ordinance, which in his opinion is necessary or expedient for the smooth running of a program, provided that all such changes shall be reported to the Board in its next meeting for approval.

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		(15)	Notwithstanding anything contained in these Ordinances & Regulations, all students shall be governed by the regulations, guidelines and procedures framed by the Senate in this regard, and in force from time to time.
		(16)	Notwithstanding anything contained in the above Ordinances, no regulations shall be made in contravention of the decision of the Board/Council and/or the direction of the Government of India in regard to the duration of the Ph.D. program, the amount and number of scholarship/assistantship and the number of studentships and the procedure of admission and the percentage of students of various categories, viz. reserved (SC, ST, OBC-NC, PD, GEN-EWS) and unreserved categories.

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PART-II

ADMISSION PROCESS

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ADMISSION PROCESS

Academic Session	**A.1**	(1)	An academic session will consist of two semesters. The first semester will normally commence in July (Autumn semester), and the second in January (Spring semester). Ph.D. applicants seeking Institute Assistantship will normally be admitted in any of the two semesters in an academic session. In addition, Ph.D. applicants with external funding may apply for the admission to the program throughout the year.
Admission Categories	**A.2**	(1)	**Full-time Research Scholar (FTRS)** (a) Institute Assistantship Research Scholar (IARS) (b) Externally Funded Research Scholar (EFRS) (i) Fellowships (ii) Foreign Nationals (iii) Project Funded (c) In-Service External Research Scholar (ISERS)
		(2)	**Part-time Research Scholar (PTRS)** (a) In-Service Internal Research Scholar (P-ISIRS) (b) In-Service External Research Scholar (P-ISERS) (c) Extensive Professional Experience Research Scholar (P-EPERS)
		(3)	**MoU Category** (a) Full Time as per terms of MoU (b) Part Time as per terms of MoU
Eligibility for Admission	**A.3**	(1)	An applicant should possess the following common minimum qualifications: 1. Applicants with Master's degree should satisfy the following: (i) General, GEN-EWS and OBC category: Minimum Cumulative Grade Point Average (CGPA) of 6.0 on a 10-point scale, or 60% marks. SC / ST / PWD category: Minimum Cumulative Grade Point Average (CGPA) of 5.50 on a 10-point scale or 55% marks. (ii) Qualified in a national level test, such as- GATE / CEED / JEST / UGC-NET /CSIR-NET including lectureship (Assistant Professorship) / Ph.D. only or equivalent or holding a national level fellowship. 2. Applicants of all categories (GEN/GEN-EWS/OBC/SC/ST/PWD) having B.Tech. degree or M.Sc. with a CGPA of 8.0 and above obtained from the Ministry of Education funded Technical

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			Institutions (erstwhile CFTIs of MoE), the requirement of the national level tests such as GATE/NET is exempted. 3. Applicants of all categories (GEN/GEN-EWS/OBC/SC/ST/PWD) with 4-Year Bachelor's degree from institutions other than the Ministry of Education funded Technical Institutions (erstwhile CFTIs of MoE) having a minimum CGPA of 7.50 on a 10-point scale or 75% marks and Qualified a national level test, such as GATE / CEED / JEST / UGC-NET / CSIR-NET including lectureship (Assistant Professorship)/ Ph.D. Only or equivalent or holding a national level fellowship 4. Applicants of all categories (GEN/GEN-EWS/OBC/SC/ST/PWD) with Bachelor's or Master's degree from IITs with a CGPA of 8.0 and above on a 10-point scale. Such candidates are exempted from the requirement of qualifying in a national level test, such as- GATE / CEED / JEST / UGC-NET / CSIR-NET including lectureship (Assistant Professorship)/ Ph.D. Only or equivalent or holding a national level fellowship. 5. Applicants of all categories (GEN/GEN-EWS/OBC/SC/ST/PWD) with MBBS/ BAMS / BHMS / BDS degree from Indian Universities / Institution shall have minimum CGPA of 6.0 on a 10-point scale, or 60% in the qualifying degree. Such candidates are exempted from the requirement of qualifying in a national level test, such as- GATE / CEED / JEST / UGC-NET / CSIR-NET including lectureship (Assistant Professorship)/ Ph.D. Only or equivalent or holding a national level fellowship. 6. Applicants with Master of Surgery (MS) / Doctor of Medicine (MD) degree from Indian Universities / Institutions are exempted from the minimum CGPA as well as the requirement of qualifying in a national level test, such as- GATE/ CEED /JEST/UGC-NET/CSIR-NET including lectureship (Assistant Professorship)/ Ph.D. Only or equivalent or holding a national level fellowship. In addition to the above-mentioned common minimum eligibility criteria, the candidate is required to fulfil the Department/Centre/ School wise minimum educational qualification and other guidelines mentioned in information brochure from time-to-time.

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		(2)	**Additional Provisions for applicants under Externally Funded Research Scholars (EFRS) Category** **(a) Fellowships** These applicants can apply through rolling advertisement as available on the Institute website. If the advertisement for the Institute Assistantship Research Scholars (IARS) category is in process, their applications will be considered along with those of the IARS category applicants. **(b) Foreign Nationals** Foreign nationals will be considered at par with General category candidates for minimum CGPA requirements. These candidates will be provided with support for English language proficiency, if required. **(c) Project Fellows** Candidates employed in a project at the Institute may be considered under EFRS category if they fulfil the minimum eligibility criteria. The project duration should be at least 2 years, and at the time of registration, funding for at least 12 months should be available in the project.
		(3)	**Additional Provisions for In-service External Research Scholars (ISERS)/ Part Time In-service Internal Research Scholars (P-ISIRS)/ Part Time In-service External Research Scholars (P-ISERS) Candidates** At the time of registration, the candidates should have at least two years' experience in a Government/Semi-Government organization/Public Sector Undertaking, AICTE/UGC recognized educational institute, or a registered company with an annual turnover of more than Rs. Twenty Crores. They should have permission from the employer for pursuing the Ph.D. program with adequate leave of absence to complete the course work requirements. This requirement of leave of absence is waived off for candidates working within 100 km of the Institute. Candidates in P-ISIRS category should, in addition, be regular employees of the Institute.
		(4)	Additional Provisions for applicants under Extensive Professional Experience Research Scholar (P-EPERS) Category are mentioned in the Appendix-A.

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Admission Procedure	**A.4**	(1)	Departments/Centres/School may prescribe higher or additional short-listing criteria beyond the minimum eligibility criteria. Thus, shortlisting criteria may be different in different specializations within a Department/Centre/School. Admission will be on the basis of performance in the written test and/or interview. Candidates who are residing abroad may appear for interview through video conferencing. Selected candidates who are unable to produce the proof of qualifying degree at the time of registration may be admitted provisionally. They should provide the same by the due date as specified by the Institute, failing which their admission shall be cancelled.
		(2)	**Admission under Quality Improvement Program (QIP)** These admissions shall be governed by QIP norms.
Thesis Supervisor	**A.5**	(1)	Every research scholar shall be assigned a thesis supervisor. Details of the supervisors of all the students admitted during a semester shall be communicated by the Departments/Centres/School to the Academic Office, within one month from the date of registration.
Financial Assistance	**A.6**	(1)	The Institute may provide financial assistance in the form of teaching or research assistantships, referred to as Institute Assistantships. Assistantships are awarded for up to 60 months. A student is expected to devote up to ten hours per week towards job(s) assigned by the Department/Centre/School. The renewal of assistantship is contingent on the student's satisfactory semester progress performance, timely completion of the candidacy in the academic program, and in the discharge of assistantship duties. After the expiry of project funding, project fellows may be offered Institute Assistantship. The duration of support shall be for a maximum period of 60 months which will include the duration of assistantship drawn from the project funding. These assistantships will be over and above any limit/quota of Institute Assistantships for the Departments/Centres/School. Financial assistance from the Institute will not be available to candidates who are recipients of fellowships from UGC/CSIR/DST/ICMR/DBT, etc. and candidates registered under ISERS/P-ISIRS/P-PISERS category. Tuition fee waivers may be available as per the policies of the Institute.

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PART-III

REGULATIONS

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Registration	**R.1**	(1)	**(a) New Students** All new students should report at the Institute on the day as specified in the offer of admission, along with the documents specified therein. New students, awaiting the results of the qualifying degree, will be allowed to register provisionally on the submission of an undertaking. In case a student registers after the last date of addition/change of courses, she/he cannot register for credit courses in that semester. However, the duration for completing the candidacy requirements shall be counted from the date of admission to the Ph.D. program. **(b) Current Students** Students are required to register every semester till they submit the thesis. The registration process involves: (i) Submission of prescribed Progress and Performance Report. (ii) Depositing prescribed fee and dues (if any), and completing the online registration process. If a student is likely to submit her/his thesis within 15 days from the date of registration, she/he need not register in that semester. If a student wishes to stay in the campus after submission of thesis, she/he will need to register. **(c) Change of Registration for switchover program (from M.Sc/M.Tech/M.Des/MURP/M.Arch/IDD/IMT to Ph.D.)** Students pursuing M.Sc/M.Tech./M.Des/M.Arch/MURP/IDD/IMT programs of IIT Roorkee may opt for a Ph.D. program. This option can be availed after completing two semesters of M.Tech/M.Des/M.Arch/MURP, or three semesters of M.Sc, or after completing all theory courses of IDD/IMT **with CGPA of minimum 8.0**. **(d) Joint Doctoral Degree and Dual Doctoral Degree** Students pursuing Ph.D. at IIT Roorkee may opt for Joint Doctoral Degree/Dual Doctoral Degree program through MoUs between specific institutions and IIT Roorkee with the approval of DAA and Senate.

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			(i) Joint Ph.D. Degree • Students must meet the admission requirements and complete the degree requirements of their home institution. • Students will receive the degree only from their home institution, with a remark indicating that the program has been completed jointly with the host institution. **(ii) Dual Degree Ph.D. Program** • Students must meet the admission requirements and complete the degree requirements of both the institutions. • Students will receive a separate degree from each institution. **(iii) Common Conditions for Joint Doctoral Degree and Dual Degree Programs** • Students must have a Supervisor at each institution. • Students must spend a minimum of 6 months at the host institution over the entire duration of the program. • Tuition fees shall be payable as per the MoU guidelines. **(e) Double Degree (Two-degrees) Ph.D. and M.Tech./M.Sc./MURP/M.Arch./ M.Des./MBA** (i) A student admitted to a Ph.D. program with a Master's Degree in an allied discipline, will be awarded M.Tech./M.Sc./MURP/M.Arch./ M.Des./MBA degree along with the Ph.D. degree, provided the student earns the course credits (excluding the thesis) required for an M.Tech./M.Sc./MURP/M.Arch./M.Des./MBA program, offered by the parent Department/ Centre/School, with CGPA 8.5 or more (course credits requirements is given in R4(2) Table 2). (ii) A student admitted in a Ph.D. program with a Bachelor's degree will also be awarded M.Tech./M.Sc./MURP/M.Arch./M.Des./MBA degree along with the Ph.D. degree, provided the student earns the course credits (excluding the thesis) required for an M.Tech./M.Sc./

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			MURP/M.Arch./M.Des./MBA program, offered by the parent Department/Centre/School, with CGPA 8.5 or more (course credits requirements is given in R4(2) Table 2). (iii) Candidates shall earn all credits for the course work (excluding thesis) of an M.Tech./M.Sc./ MURP/M.Arch./M.Des./MBA Program offered by the parent Department/Centre/School. The requirement of earning credits for pre-Ph.D. courses will be waived-off for such candidates. (iv) Fellowship will be allowed for a duration of 60 months from the date of initial registration in the Ph.D. program. (v) Other requirements for award of Ph.D. degree shall apply. (vi) On meeting the requirements, the student shall be eligible for two degrees (M.Tech./M.Sc./ MURP/M.Arch./M.Des./MBA and Ph.D.) on defending her/his Ph.D. thesis. (vii) The exit policy relevant to the Ph.D. program shall be applicable to the students who leave the program prior to completion. **(f) Change of Registration from Full-time to Part-time Program** If a student wishes to join an organization, she/he can request for change of her/his registration status to part-time, provided that all requirements for candidacy have been completed. The DAA can approve the request on the recommendation of DRC/CRC/ScRC. **(g) Change of Registration from Part-time to Full-time Program** If a part-time student has secured an authorized leave for the intended duration of stay (not less than one semester) or has formally resigned from her/his parent organization, she/he can request to change status from part-time to full-time. Such students are not eligible for Institute Assistantship. The DAA can approve the request on the recommendation of DRC/CRC/ScRC.

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Joining process and constitution of SRC for students	**R.2**	(1)	The following process should be followed for initiating the Ph.D. program: (a) All new students should report to the Head of Department/Centre/School. The Department/ Centre/School shall allot the supervisor(s) to every selected student within one month from the date of registration. (b) Login and password for Academic Information System (AIS) is provided by the Academic Affairs Office at the time of registration. Students should fill the name of the supervisor(s) on the PhD Forms in AIS Portal. (c) The thesis supervisor(s), once decided, shall propose the Student Research Committee (SRC) which shall comprise of three members and the supervisor(s). One of these three members shall be proposed as the Chairperson, SRC by Chairperson, DRC/CRC/ScRC. The proposed Chairperson, SRC should be a faculty member of IIT Roorkee and have supervised at least one Ph.D. at IIT Roorkee. Additional members may be added to the SRC based on the recommendations of the SRC and the DRC/CRC/ScRC. The SRC members must have requisite expertise and may be drawn from any Department/Center/School, CFTI, reputed national research institutes, or from industry. Retired experts can also be selected as SRC members. If required, the SRC meetings may be conducted through video conferencing. Once SRC has been approved by the Head of Department/Centre/School, the SRC will recommend to the Chairperson DRC/CRC/ScRC the courses which the candidate shall register for.
Supervisor	**R.3**	(1)	**Thesis Supervisor** Every student shall have a thesis supervisor from the Institute. The supervisor can be: (a) Any full-time faculty member holding a Ph.D. degree with minimum 3 years of service remaining. (b) Visiting Faculty/Emeritus Fellow/Scientific Officer/ Professor of practice /full-time faculty member with

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			less than 3 years of service remaining, holding a Ph.D. degree, can supervise a Ph.D. student jointly with a faculty member as defined in (a) above. (c) Co-supervisor, holding a Ph.D. degree in relevant subject, can be from outside the Institute, if recommended by the DRC/CRC/ScRC. In such cases, the co-supervisor should submit a No Objection Certificate from her/his parent organization. (d) In addition to the supervisor, there can be at most two co-supervisors, with NOT more than one from outside the Institute. If the number of supervisor and co-supervisor are three, then at least one co-supervisor should be from other department/center/school. However, in case of Joint/Dual degree programs, this condition may be relaxed as per the MoU. (e) Students with Institute Assistantship may be assigned thesis supervisor by the DRC/CRC/ScRC. There will not be any limit on the number of research scholars which can be concurrently supervised by a faculty member subject to the condition that the research scholars with Institute Assistantship can be at most five. However, students who have submitted thesis and awaiting final viva-voce will not be counted in this quota of five. In the case of Joint Faculty, two more Ph.D. students with Institute Assistantship will be allowed in the Department/Center/School to which the faculty is associated jointly. Further, in case of co-supervision, 1 student shall be counted as 0.5 student for each supervisor/co-supervisor(s).
		(2)	**Addition of a Supervisor/Co-supervisor** Addition of a co-supervisor may be approved by the Head of Department/Centre/School on the recommendation of the SRC and DRC/CRC/ScRC. If a co-supervisor is added for the supervision of a thesis, his/her period of association with the thesis should be at least 18 months. However, a co-supervisor/caretaker supervisor may be appointed upon the recommendation of the SRC and DRC in the following cases:

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			(i) If the sole supervisor of a student ends his/her formal association with the Institute, a supervisor/ co-supervisor may be added on the recommendations of the SRC and DRC/CRC/ ScRC, (ii) If a sole supervisor proceeds on leave (for one year or less), the Chairperson SRC may assume as caretaker supervisor to carry out the administrative role of the supervisor. (iii) If a sole supervisor proceeds on leave (for more than one year), the Chairperson DRC/CRC/ScRC in consultation with the supervisor may appoint a co-supervisor for both administrative and academic supervision.
		(3)	**Request for change of Supervisor by Student** The DRC/CRC/ScRC can consider the request for a change of supervisor, with the consent of the current supervisor and the proposed supervisor. In case this consent is not forthcoming, the issue may be referred to a three-member committee comprising of the Head of Department/Centre/School, Chairperson DRC/ CRC/ScRC and Chairperson SRC. The committee shall make every effort to salvage the academic program of the student while ensuring due credits to the current supervisor in publications, patents and thesis. The Head of Department/Centre/School will send the name of new supervisor to the DAA for record. In such cases, if required, the Chairperson, DRC/CRC/ ScRC and Head of the Department/Center/School may reconstitute the SRC and intimate it to DAA for record.

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Course Credit Requirements | **R.4** | (1)

Course Credit Requirements for a Ph.D. program

Minimum course credit requirements for a Ph.D. program are given in Table 1 below:

Table 1: Minimum Course credit requirements for candidacy to Ph.D. program

SL.NO	Qualification	Credit Requirements
1	M. Tech./ M. Arch./MURP, or equivalent admitted to any one of the Engineering/ Science/ HSS/ Management, Departments/Centres/School	Minimum 9 credits of P.G. level theory courses
2	M.Sc/M.A./M.B.A. or equivalent, admitted to Science/HSS/Management, Departments/Centres/School	Minimum 12 credits of P.G. level theory courses
3	M.Sc. or equivalent, admitted to any one of the Engineering, Departments/Centres/School	Minimum 15 credits of P.G. level theory courses
4	B.Tech. or equivalent admitted to any one of the Science/ Engineering/HSS/ Management, Departments/ Centres/School	Minimum 24 credits of P.G. level theory courses.

Note:

(a) All students need to earn 02 additional credits for Seminar.

(b) Students can take at most ONE Self-study theory course/NPTEL course of PG level as approved by the SRC.

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(2) **Course Credit Requirements for Double Degree (Two-degrees) Ph.D. and M.Tech./M.Sc./MURP/ M.Arch./ M.Des./MBA**

Minimum course credit requirements for Double Degree (Two-degrees) Ph.D. and M.Tech./M.Sc./ MURP/M.Arch./M.Des./MBA program are given in Table 2. These course credit requirements also encompass the credit requirements for Ph.D. program candidacy.

Table 2: Minimum Course credit requirements for Double Degree (Two-degrees) Ph.D. and M.Tech./M.Sc./ MURP/M.Arch./M.Des./MBA program

SL.NO	Qualification	Credit Requirements
1	M. Tech./ M. Arch./MURP, or equivalent, M.Sc/M.A./M.B.A. or equivalent, admitted to any one of the Engineering/ Science/HSS/Management, Departments/Centres/School	Minimum 40 credits of P.G. level theory courses
2	B.Tech. or equivalent admitted to any one of the Science/ Engineering/HSS/ Management, Departments/ Centres/School	Minimum 50 credits of P.G. level theory courses.

Note:

(a) All students need to earn 02 additional credits for Seminar.

(b) Students can take at most ONE Self-study theory course/NPTEL course of PG level as approved by the SRC.

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(3) **Course Credit Requirements: Candidates under Extensive Professional Experience (EPE) category**

The credit requirements will be applicable for EPE students as per their qualifying degree given in Table 3. On the recommendation of the SRC, the candidate can complete the credit requirements in the form of Project for Professionals (08 credits)/ Thesis for Professionals (16 credits) and NPTEL PG courses and/or Self-study PG courses. The project/thesis credits can be completed across the semesters, within the stipulated period of candidacy. The seminar of 02 credits is essential. There is no minimum residency requirement for such students.

Table 3: Minimum Course credit requirements for candidacy to Ph.D. program under EPE Category

SL.NO	Qualification	Credit Requirements	Mode of Credit Completion
1	M. Tech./ M. Arch./MURP, or equivalent admitted to any one of the Engineering/ Science/HSS/ Management, Departments/ Centres/School	Minimum 9 credits of P.G. level theory courses	In the form of Project for Professionals (08 credits) and remaining credits in the form of NPTEL PG courses and/or Self-study PG courses.
2	M.Sc/M.A./M.B.A. or equivalent, admitted to Science/HSS/ Management, Departments/ Centres/School	Minimum 12 credits of P.G. level theory courses	
3	M.Sc. or equivalent, admitted to any one of the Engineering, Departments/ Centres/School	Minimum 15 credits of P.G. level theory courses	
4	B.Tech. or equivalent admitted to any one of the Science/Engineering/HSS/ Management, Departments/ Centres/School	Minimum 24 credits of P.G. level theory courses	In the form of Thesis for Professionals (16 credits) and remaining credits in the form of NPTEL PG courses and/or Self-study PG courses.
Note: All students need to earn 02 additional credits for Seminar.			

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		(4)	**Minimum CGPA and Probation** Students shall register for all the courses recommended by the SRC and earn a minimum of 7.00 CGPA. Technical Communications, Communication skills, Language Courses and Project/Lab courses shall not be counted towards the minimum course credits and the calculation of CGPA. The candidate should secure an Audit Pass (AP) grade for an audit course. A candidate with less than 7.00 CGPA shall be allowed to take up more courses in the following semester while keeping the maximum duration for completing the candidacy requirements unchanged, and in this case, courses with best grades will be considered. However, academic records will remain unchanged. Ph.D. students are allowed to take additional courses as audit/credit courses even after completion of the candidacy.
Relaxation in Course Credit Requirement	**R.5**	(1)	Students who have completed extra course credits in qualifying degree, as enumerated below can request for relaxation in course credits. The SRC may recommend such requests for the consideration of the DAA. **(a) B.Tech. with Minor Specialization/Honours Courses** Relaxation in course credit requirements, up to a **maximum of 6 credits**, may be considered for students who have completed B.Tech. degree with Minor Specialisation/Honours Courses. The SRC should examine the courses claimed as extra P.G. level credits with respect to the contact hours, content and their relevance to the student's current research. Courses/credits earned during on job training shall not be considered for relaxation in course credit requirements. **(b) Master's Degree** Relaxation in course work requirement may be considered if a candidate registers for the Ph.D. program within two years from the completion of respective Master's Degree. (i) A Candidate who has completed the M.Tech./ IDD/M.Sc/M.Arch/MURP/MBA/IMS/IMT/ M.Des. program from IIT Roorkee can request for

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			relaxation of a maximum of 9 credits of P.G. level courses earned during these programs (other than project, dissertation and labs) towards fulfilment of her/his course requirement for the Ph.D. program on the recommendation of the SRC and approval of the DAA, **provided these credits were in excess of the minimum requirement for the said degree.** (ii) On the recommendation of SRC, relaxation in course work may be admissible to a candidate who has completed Ph.D. course work from IISc/IISERs/IIMs, or other IITs with a CGPA 7.0 or more on a 10-point scale, provided the candidate is admitted to the Ph.D. program at IIT Roorkee within 18 months of completing such courses. Such candidate must complete 02 credits Seminar, comprehensive examination and Research Proposal for Candidacy at IIT Roorkee. (iii) On the recommendation of SRC, full exemption from course credits is admissible for candidates who have completed M.Tech./M.Arch./MURP/ M.Sc./MBA from IITs, IISc, IISERs, or IIMs with CGPA 8.50 or more on a 10 point scale and are admitted in the relevant stream or discipline. Such candidate must complete 02 credits Seminar, comprehensive examination and Research Proposal for Candidacy at IIT Roorkee.
Candidacy for Ph.D.	**R.6**	(1)	A student shall be admitted to candidacy for Ph.D. after the successful completion of the following: (a) Required coursework and seminar credits with a CGPA of at least 7.00 (b) Comprehensive examination with minimum 7.00 grade point. (c) Approval of the research proposal. The report on the candidacy will be communicated by the SRC to the DAA for consideration.
		(2)	**Comprehensive Examination** The comprehensive examination is designed to test the comprehension of student in the broad subject area of research. The syllabus for comprehensive examination shall be defined by the SRC. Departments/Centres/ Schools shall have clearly defined procedure regarding the format and evaluation of the comprehensive

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<table>
<tr><td></td><td></td><td></td><td>examination in respective specializations.

Candidate can avail up to a maximum of two attempts to clear the comprehensive examination. However, the minimum duration between the two attempts should be at least one month.</td></tr>
<tr><td></td><td></td><td>(3)</td><td>Duration for completing Candidacy requirements
The maximum duration for completing candidacy requirements from the date of initial registration shall be as follows:
Table 4: Maximum duration for completing candidacy
<table>
<tr><th>SL.NO</th><th>Qualification</th><th>Duration for Candidacy</th></tr>
<tr><td>1</td><td>M. Tech./ M. Arch./MURP, or equivalent admitted to any one of the Science/Engineering/ HSS/Management, Departments/Centres/School</td><td>18 months</td></tr>
<tr><td>2</td><td>M.Sc/M.A./M.B.A. or equivalent, admitted to Science/HSS/Management, Departments/ Centres/School</td><td>18 months</td></tr>
<tr><td>3</td><td>B.Tech./M.Sc. or equivalent, admitted to any one of the Engineering, Departments/Centres/School</td><td>24 months</td></tr>
<tr><td>4</td><td>B.Tech. or equivalent admitted to any one of the Science/ Engineering/HSS/ Management, Departments/ Centres/School</td><td>24 months</td></tr>
</table>
In case a student is unable to complete the candidacy requirement within the stipulated period, a three-month extension, on the recommendation of the SRC and DRC/CRC/ScRC, may be given by DAA and a further three-month extension may be granted by IRC. However, requests for such extensions must be submitted to the Academic Affairs Office at least ONE month in advance.</td></tr>
<tr><td>Performance Monitoring</td><td>R.7</td><td>(1)</td><td>A Ph.D. student shall submit a progress report in every semester, and deliver a Progress and Performance Presentation once every year till the submission of the thesis. The annual Progress and Performance Presentation should include the work done so far and highlight the progress made in the one-year period since the last Progress and Performance Presentation.</td></tr>
</table>

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			The SRC shall evaluate the progress and communicate it to the Academic Affairs Office. Performance of a student in each semester, after the candidacy is approved, shall be in terms of units. (i) If a Ph.D. student who has not completed candidacy requirements gets two consecutive unsatisfactory progress reports, his/her academic registration will stand cancelled. A warning will be issued to a student by the Academic Affairs Office after his/her first unsatisfactory progress report. (ii) A full-time (part-time) Ph.D. student who has completed candidacy requirements shall register every semester for 6 units (4 units for part-time) for the thesis work to be evaluated by the supervisor(s). For each unit, the grade earned shall be either Satisfactory or Unsatisfactory. A warning will be issued by the Academic Affairs Office to the student if he/she accumulates 6 Unsatisfactory units. If a student accumulates 12 Unsatisfactory units, then his/her academic registration in the program will stand cancelled.
Submission of Thesis	**R.8**	(1)	**Thesis Submission** The thesis shall contain a critical account of the candidate's research. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or development of innovative products and technologies or a combination of these. It should bear evidence of the candidate's capacity for analysis and judgment as well as his/her ability to carry out independent investigation, design or development. The student should have published (or, accepted for publication) at least two papers, out of which at least one paper from the thesis work should be in a peer reviewed journal of repute. A patent filed and published from the thesis work carried out during Ph.D. program should be considered equivalent to a published paper. In case the patent is published with a group of students, the first among them in order of authors shall

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			be entitled to claim the credit. If a researcher starts a scientific spin-off which is incubated at IIT Roorkee, he/she can take benefit of this start-up towards completion of Ph.D. requirements in the following way: (i) The founder, through his/her SRC, will propose to form a committee to Dean SRIC for consideration through ADII, consisting of the SRC and two experts. The committee, as approved by the Dean, SRIC, will consider and submit its recommendations on submission of the Ph.D. thesis without research paper publications. The Dean, SRIC will consider the report of this committee on equivalence of research paper publications. The recommendations of the Dean, SRIC will be sent to DAA for consideration. (ii) In case two or more students, OR a student with a faculty jointly incubate a start-up, only one student, as recommended by the committee, shall be entitled to claim credit. The thesis shall be written in English in the specified format. The specifications of the thesis are given in Appendix-B. The supervisor(s) shall convene a meeting of the SRC when the research work is complete, the student has earned at least 24 Satisfactory units, and a draft of the thesis is ready. The student shall submit a draft copy of the thesis to the SRC members at least 7 days prior to the scheduled Final SRC Meeting. The student will present his/her research work to the SRC and if the SRC approves it for submission, the SRC will send its recommendation to the DAA along with a list of potential examiners. The supervisor may check the availability of potential examiners before the SRC meeting and should take into consideration the following points while finalizing the panel of examiners: (i) Any person related to the candidate or supervisor(s) should not appear in the panel of examiners. (ii) Any examiner on the panel should not be a co-author, collaborator, or co-supervisor of the student, and should be an established researcher.

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			(iii) The recommended panel of examiners would include a substantial representation from institutions across the globe. Any person working in the laboratory(ies)/institution(s) where the research scholar or co-supervisor(s) from outside the institution, if one, is employed, cannot however, appear in the panel of examiners. (iv) The examiners on the panel should have a Ph.D. degree and should preferably be at the level of Professor/Associate Professor or equivalent. The student should submit the thesis within four months of the Final SRC meeting. However, in case a candidate fails to submit his/her thesis within the stipulated time and has an appropriate justification for the same, the DAA may, on the recommendations of the SRC and DRC/CRC/ScRC and, on individual merits of each case, grant him/her extension in time beyond four months. However, no further extension will be given beyond 8 months for the submission of thesis. The external examiner can participate in the viva-voce examination through a digital communication medium with the prior approval of the DAA.
		(2)	**Minimum Duration for Thesis Submission** The minimum working period for the submission of thesis for a full-time Ph.D. student is two years from the date of candidacy. For a part-time student the minimum working period for the submission of thesis shall be three years from the date of candidacy. Furthermore, the student must have received a minimum 24 satisfactory units in the progress and performance Reports for the semester completed after fulfilling the candidacy requirements.
		(3)	**Maximum Duration for Thesis Submission** The maximum period for the submission of thesis shall be five years for full-time students, and six years for part-time students from the date of initial registration. If a student has converted his/her status from full-time to part-time before five years, the maximum duration for thesis submission shall be same as a part-time student. The DAA may extend this limit by six months on the recommendations of the SRC and DRC/CRC/ScRC. Further extension by six months may be considered by the IRC on the recommendations of the SRC and DRC/CRC/ScRC.

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Evaluation and Defense of Thesis	**R.9**	(1)	The thesis shall be sent to three examiners for evaluation, and if any two out of three examiners recommend acceptance of the thesis, the student shall be asked to defend his/her thesis in front of the Oral Defense Committee (ODC). The ODC shall consist of the Head of the Department/Centre/School (or nominee), Chairperson SRC, the external examiner and supervisor(s). The DAA shall appoint one of the thesis examiners from which the reports have been received as External Examiner of the ODC. If the ODC for the oral defense of the thesis cannot be conducted within the stipulated time due to unavoidable circumstances, the DAA may appoint the Chairperson of the SRC or another internal expert to conduct the defense. In such cases also, the Ph.D. work will be deemed to have been carried out under the guidance of the supervisor(s) only. Before the thesis defense, the student shall consider the comments of the examiners and submit a detailed response for the consideration of the ODC. In case major revisions are required, the revised thesis should be submitted within one year. The ODC shall communicate its recommendations to the DAA. Evaluation of a thesis shall be as per the rules in force at the time of the submission of the thesis. A candidate shall not be permitted to resubmit the thesis more than once.
Leave, Assistantship and Semester Withdrawal	**R.10**	(1)	**Leave** A full-time Ph.D. student should be present in the campus except when on authorized leave. He/she will be entitled to casual leave for 8 days, vacation leave for 15 days, and 15 days leave on medical grounds in an academic year. An academic year will be counted from the date of initial registration. Once during the entire program, the Head of the Department/Centre/School, on the recommendation of the thesis supervisor, may sanction additional leave of maximum 15 days. A student is entitled to Assistantship/Fellowship for the sanctioned leave period including periods of maternity leave (180 days) and paternity leave (15 days). The absence beyond the due leaves will be without Assistantship/Scholarship/Fellowship.

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			On the recommendation of the Supervisor, duty leave up to a maximum of one year in the entire duration of the program may be granted by the Head of the Department/Centre/School for field trips, to visit other institutions, and to present paper(s) in Seminars/ Conferences/Workshops. Requests for duty leave for more than one year will be considered by the IRC. For Dual/Joint degree programs, leave rules will be as per the individual MoU. A proper leave account of each Ph.D. student/ candidate shall be maintained by the Department/ Centre/School concerned.
		(2)	**Assistantship** a. Institute Assistantship may be given for total number of 60 months (excluding the withdrawal period) or till the submission of the thesis, whichever is earlier. However, Institute Assistantship for the period from submission of the thesis to the defense of the thesis may be granted by the DAA based on the recommendations of the SRC subject to overall ceiling of Institute Assistantship of 60 months. b. Assistantship/Fellowship shall be released by the Finance and Accounts Section on the recommendation of the Supervisor and Head of the Department/Centre/ School.
		(3)	**Semester Withdrawal** A student can seek withdrawal from a semester on medical grounds, or under exceptional conditions beyond her/his control. Request on medical ground shall be supported by documents issued by the Institute hospital, or issued by a certified medical practitioner and vetted by the Institute Chief Medical Officer. Such requests shall be considered by the DAA. A student may, temporarily, withdraw from his/her Ph.D. Program after the due recommendations of the SRC and DRC/CRC/ScRC, and approval of the DAA. Temporary withdrawal may be granted for up to one year (two semesters). Further extensions may be considered by the IRC on the recommendations of the SRC and DRC/CRC/ScRC. The period of temporary withdrawal will not be counted, when counting the number of semesters

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			completed by the Ph.D. student in the program. Withdrawal will not be granted retrospectively. Institute Assistantship shall not be given during the withdrawal period. However, the Institute Assistantship may be given for total number of 60 months (excluding the withdrawal period) or till the submission of the thesis, whichever is earlier. However, Institute Assistantship for the period from submission of the thesis to the defense of the thesis may be granted by the DAA based on the recommendations of the SRC subject to overall ceiling of Institute Assistantship of 60 months.
Cancellation of Registration	**R.11**	(1)	Registration of a student may be cancelled if: (a) He/she is found to have falsified any document at any point of time; (b) He/she fails to register in a semester; (c) He/she fails to meet the minimum required academic performance; (d) He/she is found to be involved in an act of misconduct.
Unfair means and Plagiarism	**R.12**	(1)	(a) All Ph.D. thesis should go through a similarity check and an Artificial Intelligence (AI) usage check using appropriate software. With the help of supervisor, the candidates should address the similarities flagged by the software which merit corrective action. (b) The guidelines as shown in Appendix-C shall be applicable for checking plagiarism. (c) In case a student is found adopting or suspected of adopting unfair means before, during and after the examination or lifting of some other's work(s) and inserting it in his/her project, seminar and Thesis etc., without proper acknowledgment, credit and reference or plagiarizing the Thesis/project report etc., such penal action shall be taken by the Institute as may be necessary to uphold the sanctity and integrity of the examination system and the credibility of the Institute. (d) All such cases may be taken suo-moto cognizance of by the Institute Standing Committee (ISC) appointed by the Senate for this purpose. Such cases may also be reported by examiners/ invigilators/supervisor(s)/Chairperson, DRC/CRC/ ScRC or any individual to Dean of Academic Affairs and/or the Institute Standing Committee for consideration. General instructions for penal action

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			for use of unfair means and plagiarism are given in Appendix-D. After giving an opportunity to the concerned student(s) to explain the conduct or defend against the charge, the Chairperson, Senate on the recommendation of Institute Standing Committee shall take action and impose appropriate penalty on the concerned research student(s), including cancellation of registration or award of F Grade in the concerned course(s) etc. (e) Any case pertaining to purported resorting to unfair means/plagiarism before and after the examination/Dissertation etc. shall be dealt with by the Institute Standing Committee for dealing with the offence/case. The penalty in such cases of unfair means/ plagiarism which have been found to be true and (i) Which have occurred before or after the examination, or partly before and during or during and after the examination. (ii) Which have been detected after the examination/declaration of the result/award of the degree. (iii) Which have been reported or detected after a research paper research report/note/ communication has been published in a Research Journal/widely circulated magazine /proceedings of conferences/seminar or a monograph or a book, and or any electronic device, shall be recommended by the appropriate committees of the Department/ Institute Standing Committee, as the case may be. The imposition of any such penalty shall be at the discretion of the Director, who, after considering the full facts and the report on the matter (i) may impose the same penalty, (ii) may reduce the penalty, or (iii) may enhance the penalty as recommended by the committee.
Exit Certificate	**R.13**	(1)	If a student wishes to exit the program, the exit certificate will be available to a student only after she/he completes a minimum period of one of year in the program after candidacy. Such a candidate shall be eligible for an MS by Research degree, provided she/he successfully defends her/his MS-Thesis in a presentation before the SRC. If a candidate is unsuccessful in the viva-voce, yet wishes to leave the programme, she/he may be awarded a Certificate on the recommendation of the SRC.

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Appendix – A

INDIAN INSTITUTE OF TECHNOLOGY ROORKEE

Notification

No. IITR/PG Admn./2021/ 2782 Dated: March 15, 2021

The senate approved guidelines vide item no. 74.11 and further revision in eligibility criteria vide item no. 86.8 towards Ph.D. admission under Extensive Professional Experience are given below:

1. Candidates working only in government organizations/laboratories, PSUs, and reputed companies should be considered.

2. Eligibility criteria should be as follows:
   Candidate having M.Tech. / M.Arch. / M.U.R.P. / M.Pharm. / MS (Research) / Post-Graduate degree in Medical Sciences / Equivalent degree with at least 12 years of professional experience.

   OR

   Candidate having B.Tech./ B.Arch./ MBA / M.Sc. / B.Pharm / Graduate degree in Medical Sciences / equivalent degree with at least 14 years of professional experience.

3. Candidates should have demonstrated research potential through research papers in reputed journals / patents / technology transfer.

4. The Pre PhD course credit requirement would be as per the current practice for Part-Time candidates.

5. The credit requirement as recommended by the SRC, can be completed in the form of project/dissertation/seminar, NPTEL online courses.

6. There would be no residency requirements for such candidates.

7. Applications in this category can be made throughout the year to the office of Head of the concerned Department. The application should clearly mention the preferred area of work and choice of supervisor (if any). The candidate would be asked to give a presentation of his professional credentials in the concerned Department. The Head of the Department will seek inputs on the application from the faculty members working in the concerned area. The name of the proposed supervisor along with the recommendations of extended DRC (with faculty members of the same specialization as special invitees) should be sent to the office of DAA.

The selection would be recommended on the basis of interaction by the following 3-member committee:

1. Dean Academic Affairs - Chairman
2. Dean SRIC - Member
3. Head of the concerned Department - Member

The final approval on the recommendations will be accorded by the Chairman, Senate.

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The details of the Ph.D. admission procedure under 'Extensive Professional Experience Scheme' are given below:

1. The candidate needs to submit their application to the HoD / HoC in which he / she wants to pursue the Ph.D. study. The application should include identified/proposed area of research work, facilities for carrying out the research work, etc.

The following documents should be attached with the application letter:

a. NOC from the parent organization / institute.
b. Detailed resume with qualification and experience.
c. Self-attested copy of all the educational qualification.
d. Copy of the papers published in the reputed journals, if any.
e. Details and copy of the Patents (s) or application submitted for Patentship, if any.
f. Documents related to Transfer of Technology (TOT), if any.
g. Service particulars of the candidate from the present organization and previous organization(s), if any issued in the official letter-head. Service particulars should incorporate yearwise details of designation / post(s) held by the candidate.

2. Candidates shall be called by the concerned Department / Centre for presentation before the extended department Research Committee (DRC) / Centre Research Committee (CRC). Presently, online presentation can be conducted.

3. On recommendation of the said DRC / CRC, the candidate will be required to appear for Interaction before the designated committee.

4. Offer letter for Ph.D. admission shall be issued after the final approval of the competent authority.

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Appendix – B

SPECIFICATIONS FOR THESIS

1. The thesis shall be typed or printed on 21cm x 28cm size paper 100 gsm. No handwritten thesis will be accepted.
2. The thesis shall be typed on both side with 1.5 spacing with a margin of 3.5 cm on the left 2.5 cm on the top and 1.25 cm on the right and bottom.
3. The thesis must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side:

   © INDIAN INSTITUTE OF TECHNOLOGY ROORKEE, 20_ ALL RIGHTS RESERVED
4. Thesis Title must be in Capital words: Font size 12 (Bold) Times New Roman (As per the specified format).
5. The title page of the thesis must include the student's name and enrollment number, formatted as per the prescribed guidelines. The remaining sections of the thesis should follow the sequence outlined below:
   - The declaration by the candidate and the supervisor(s).
   - Abstract of the thesis not exceeding 1500 words.
   - Acknowledgement
   - List of abbreviations (if any)
   - Table of contents
   - List of Figures and Tables (if any)
   - Chapters of the Thesis
   - References
   - Appendix (if any)
6. The list of references should preferably be in alphabetic order of the authors' names. These references should be listed giving (i) the author's name and his initials (ii) the title of the paper and the name of the journal (iii) the name of the book and the publisher (iv) the number of volume, page numbers and the year of publication. Standard abbreviations may be used in the names of the journals.
7. The diagrams should be legible and printed on a light background. Tabular matter should be clearly arranged. Decimal points may be indicated by a full-stop.
8. The thesis shall be spiral bound at the time of initial submission.
9. After the viva-voce examination the thesis shall be submitted in hard bound. The thesis shall be bound in card sheet paper of 18.6 kg. ream weight of cover page with soft binding (size 22 cm x 29 cm) in green colour. The name of the candidate, the degree and the year shall be printed in bold on the cover and in gold on the bound edge (As per the specified format).

Note: Soft copy of the thesis on AIS Portal should also be submitted after final viva-voce examination.

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Appendix – C

GUIDELINES FOR CHECKING PLAGIARISM

1. Exclusion of material while checking

(a) All quoted material.

(b) Matches up to 20 words.

(c) All material (e.g. figures/images and tables) used with the permission of the original source.

(d) Material published by students from the thesis/dissertation.

(e) Bibilography.

2. Acceptance Levels

(a) Introduction and Literature review portion: commonality up to 20% may be accepted.

(b) Remaining material (e.g. Methodology, Results, Discussion, Conclusion and future research): commonality up to 10% may be accepted.

(c) Overall similarity index should normally not exceed 20%.

Appendix – D

INSTRUCTION FOR PENALTY FOR USE OF UNFAIR MEANS

1. Reporting and Handling of Unfair Means Cases

(a) Any contravention of the instructions printed on the cover page of the answer book or informed in the examination hall by the invigilators or the use of any unfair means to write the answer will render the student liable for penal provisions.

(b) In case of unfair means being suspected by the invigilator, the reporting to the Dean of Academic Affairs will be carried out as per form UF-0 and the student will be allowed to complete the examination in the same answer script. Marking may be made in the answer script up to which the student has already written the answers when use of unfair means was reported.

(c) A Committee appointed by the Director shall enquire into cases of reported use of unfair means during the examination. The student will be given an opportunity to present his/her case before the committee. The committee shall decide the level of the offence (as per the Table) and submit its recommendation to the Director for consideration.

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2. Penal Provisions for Using Unfair Means

Severity of Offence	Details	Offence	
Level 1	During the examination, if a student is found verbally communicating with another student inside or outside the examination hall.	If the student continues to talk after the first warning given by the faculty / invigilator in the same examination, the student may be stopped from writing for 15 minutes per offence by taking the answer sheet. If the student repeats it more than three times, then the answer sheet be taken and the student be asked to leave the examination.	
Level 2	(a) A student is found carrying prohibited item(s). * Or found transferring matter from any source	**Offence-I**	**Offence-II**
		Zero marks to be awarded to the student in the concerned course component examination	If a student is caught carrying prohibited items repeatedly during any of the examination in a semester, then the student be given a course backlog in all the exams in which the student was caught carrying such items.
	(b) Answer Script carried out of the examination room during or after the examination.	Backlog to be awarded in that course.	Semester Backlog i.e. the running semester will be dropped if the student repeats it in the examination of other courses too.
Level 3	Impersonation (Identity Mismatched)	• Semester Backlog in the running semester for both students. • If the impersonating student is not a student of the Institute, than an FIR may be lodged.	Expulsion from the Institute.

- ❖ Prohibited items include chits, electronic gadgets like tablets, mobile phones, smartwatches, earbuds, etc. (Not applicable to the exams conducted as Computer Based Test, subjective Communicated to DAA).
- ❖ If mobile phone of a student is found in the premises of Lecture Hall Complex, it will be treated as Unfair means offence of Level-2.
    - Cases not covered above to be dealt by the Standing Committee of Unfair Means.
    - The severity of the offence (Level 2 or 3) will be decided by the committee based on the facts available.

Note: If the student repeats the offence beyond the 2nd offence the case would be considered under the offence of immediate next level. The levels are:

Actions during the Examination	Actions after the Examination
• Barring student to write for 15 minutes • Asking student to leave the examination room	• Zero marks awarded in the concerned examination • Backlog in the concerned course • Backlog in the ongoing semester • Expulsion from the Institute

UF-O

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UNFAIR MEANS USAGE REPORTING FORM
INDIAN INSTITUTE OF ROORKEE

PART - A
(To be filled by the Invigilator)

Note: A separate sheet should be used for each student.

1. Examination: **MTE / ETE / PRS** (strike through whichever is not applicable)
2. Enrolment No. of the student.....
3. Name of the student .....
4. Course Code ..... Course Name .....
5. Day.....Date.....Time.....Location.....
6. Student is caught under Level:
   - ☐ Level I: During the duration of examination, if a student is found verbally communicating with another student inside or outside the examination hall.
   - ☐ Level II: a) A student is found carrying prohibited item(s).
   - ☐ Level II: b) Answer Script carried out of the examination room during or after the examination.
   - Level III: Impersonation (Identity mismatched)
7. Proof attached along with brief description:

.....
.....
.....
.....

Date	(Signature of the	(Signature of the Invigilator-
Time	Invigilator-I)	II/witness)
	Name of the invigilator-I	Name of the invigilator-II/witness

---

PART - B
(To be filled by the student after the submission of the answer script at the end of the examination)

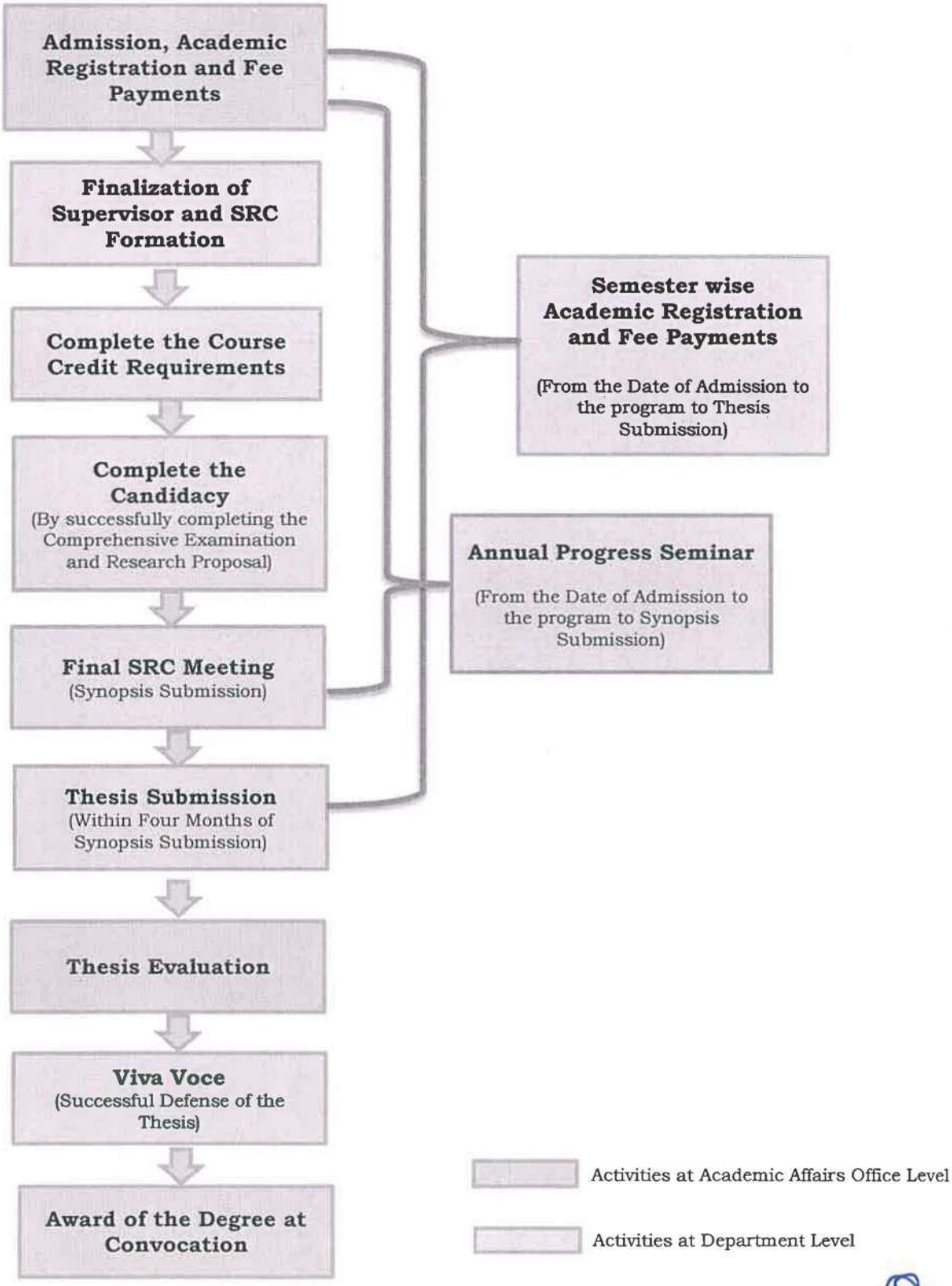
1. Response of the student:

.....
.....
.....

Date.....	(Signature of the student)	(Signature of the
Time.....	Enrolment No.:	Invigilator)

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Academic Journey of a Ph.D. Scholar at IIT Roorkee: A Snapshot



For more details, please refer to the Ph.D. Ordinance and Regulations

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