

Annexure 8.09b

Full Time Doctoral Degree (Ph.D.) Program Rules 2022 of IIIT Lucknow

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

- 1) **Degree to be Awarded** - Ph.D.
- 2) **Normal & Minimal Degree Length** - Three Years (Containing Six Normal Semesters and 3 summer Semesters – Thirty Six Months) for a FULL Time Regular Student.
- 3) **Maximal Degree Length** - Five Years +6 months (with special permission of Director) + 6 months (with special permission of SENATE) – Sixty Months (Six Normal Semesters + Four Spill Over Semesters + Five Summer Semesters (Including Blank semesters if/whenever availed of)).
- 4) **Minimal Degree Requirements** - 64 Credits + Two Published Papers in SCI / SCIE / SSCI Journals + Minimum Attendance Criterion (per semester basis)+ Minimum of Six Full Semesters, for a full time regular Candidate.
- 5) **Date of Start of the Ph.D. Degree Program**- Opening date of the Semester One or the date of payment of Fees for the First Semester, whichever is later.
- 6) **Date of Ending of the Degree Program** - The date of submission of the Thesis to Dean (Academics)/ Dean (R&D) for evaluation OR the duration mentioned in Point 3 above, whichever is earlier.
- 7) **Attendance** - 75% , reckonable on Semesterly basis PLUS 75 % Course wise during Coursework
- 8) Dean (Academics)/ Dean (R&D) is the ex-officio In-charge of the PhD Program. Office of AR-Academics will provide the administration support to Dean (Academics)/ Dean (R&D) in conducting the PhD program. Dean (Academics)/ Dean (R&D) may, under approval by the Chairman Senate Co-opt Faculty In-Charge Research to function on his behalf. He would delegate the responsibility to any other Dean for the cases of those candidates for whom he/she him/her self is the research Supervisor.

9) **Components of the Degree Program** - Core Courses, Elective Courses, Advance Courses (As may be applicable), Colloquia, Periodic reviews by the duly constituted Doctoral Committee, Thesis Submission and Evaluation, Thesis acceptance for award of Ph.D. Degree after Open Viva Voce – cum-Defense , Plagiarism check and such other requirements as may be decided by the Senate from time to time.

10) Entry Requirements:

- a) Candidates who have passed or are in the Final Year / Semester of their respective Professional Degree Programs are eligible to apply.
- b) The candidate MUST have secured at least 60 %cumulatively or equivalent CGPI at the time of application submission itself. Candidates in all cases shall however be required to be clear PASS with 65% Marks or Equivalent Cumulative Grade Point Index before being finally joining into the Program. 5% relaxation shall be applicable for SC/ST/PH Candidates.
- c) Students with fellowship from any funding agency will be exempted from appearing in the written entrance exam.

11) General Admission Criterion:

- a) PhD entrance examination (Twice a year) to be conducted at one or more places or online, as may be possible.
- b) Candidate who has got above the cut off marks will be called for interaction/interview session Selection would be based on the performance in the interaction / interview session (This session may be about a day long).

OR

Sponsored working professionals (as per working professional Ph.D Rules) would be called for interaction/interviews directly.

OR

ASPIRING STUDENTS in HIGHER ACADEMICS (ASHA): 1.The minimum educational qualification for admission is a B.Tech degree with at least 8.5 CGPA or 80 % (as applicable in the graduating institute) with a consistently good academic record in relevant discipline. 2.Candidates seeking admission, should possess requisite marks/grades in GATE (cutoff to be defined by IIIT L) in Computer Science/EE/EC/Ch.E/ME or related field.

- d) For Candidates completing their regular M.Tech. from IIIT Lucknow, a special direct interview / interaction session for Ph.D. may be conducted, just before their Final Semester of M.Tech., provided such a candidate has maintained a CGPI of atleast 8.00 till then and provided s/he is a GATE / UGC/ CSIR NET or JRF qualified. In case the candidate is provisionally selected for admission to Ph.D. Program, s/he could preferably

take up his/her final Thesis Work for M.Tech. in the area of his/her proposed research work for Ph.D. and formally report to Ph.D. after completing the requirements of M.Tech.

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

13) Doctoral Committee Composition and Responsibilities:

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

a) The Doctoral Committee shall comprise of the following :

1. Supervisor - Ex officio Chairperson
2. Supervisor-II / Co-Supervisor (If required by the supervisor) / Administrative Guide.
3. An Expert from within the department, having similar area of interest.
4. An External Expert from outside the Institute, having similar area of interest. In special cases, an Expert from Outside the Department BUT from within the Institute may also be considered as an external expert, upon expressed prior approval of the Chairperson Senate.
5. Head of the Department or his nominee from the Department.
6. Dean (Academics)/ Dean (R&D) (A&R) or his nominee (nominee must be from the relevant area of research).

b) Responsibilities of the Doctoral Committee:

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

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

- a) All Nobel Laureates / Turing Awardees / Shanti Swaroop Bhatnagar Awardees, who wish to be associated with the Institute in the discipline

concerned.

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

- 15) **Duties of the Supervisor:** Shall include the following: (Indicative Only)
- a) Shall act as the Single Point Contact for - The Candidate, Dean (Academics)/ Dean (R&D) and AAA Section, for all Academic Administration logistics.
 - b) Formation of the Doctoral Committee specific to the enrolled Candidate, within a month of the enrollment of the Candidate, under co-ordination with Dean (Academics)/ Dean (R&D) (A&R).
 - c) Intimation to the AR-Academics Office through Dean (Academics)/ Dean (R&D) about the Doctoral Committee formation with its composition and copies of approval of the Chairperson Senate, wherever required.
 - d) Maintenance of close supervision on the day-to-day academic / research requirements / performance / progress of the candidate.
 - e) Ensuring that the candidate has completed the pre-requisites for being considered for SRFship from JRF ship, various colloquium requirements, etc as applicable upon the candidate from time to time. For the purpose s/he shall be required to maintain a parallel; life cycle of events of the respective candidate from the date of registration to award or otherwise.
 - f) Timely conduct of the Doctoral Committee meetings and communication of their reviews to the AR-Academics Office through Dean (Academics)/ Dean (R&D) .
 - g) Timely approval of the Courses to be undertaken by the candidate under his/her supervision, including that of the Self Study and Advanced Courses and communicating the same to the AR-Academics Office through Dean (Academics)/ Dean (R&D) for records.
- 16) **Expectations from External Expert of the Doctoral Committee - Indicative only -**
- a) Physical presence would be mandatory in the Pre-Thesis Submission Colloquium.
 - b) In all other Doctoral Committee Meetings / Colloquiums, s/he may join through SKYPE etc, if unable to participate physically, but expressed evaluative comments on the concerned candidate would be required.
- 17) **Number of Candidates permitted to be registered under a Supervisor: As approved in SENATE**
- a) **Total Number of Candidates permitted to be supervised by any one Supervisor at any given point of time :**Upto a maximum of Eight

only, as per the below categorisation(Eight includes Candidates being supervised as Supervisor OR Supervisor-II or as Co-Supervisor, all put together).

- b) **With GATE / MHRD Fellowship and Contingency / CSIR-JRF / UGC-JRF / Visvesvaraya Fellowship / etcGoI funded Stipend / fellowships:** Upto Eight Numbers at any given point of time.
- c) **With GRE/CAT/GMAT/UGC-NET/CSIR-NET-** Financial support by the Institute – maximum two candidates at any point of time.
- d) **With Financial Support from any Project Sponsored from any external agency / Consultancy Offered by any External Agency to any Faculty Member and having provision of taking JRF / SRF :** At the Project/Consultancy Scheme allowable rates/terms and subject to a maximum of TWO scholars per project/Consultancy. From all Sponsored Projects/Consultancy put together, however the total number of scholars allowable shall be restricted to a total of FOUR only at any given point of time. The provision shall apply only in cases where the Supervisor himself is the PI / Co-PI of the Project/Consultancy.The PI (Supervisor) shall further ensure that all consumable requirements of the enrolled candidates shall be met out of the respective Project / Consultancy Funds. Non-Consumable / LTAS requirements may be met from the available Institute resources, without any additional requisition of institutional funds / resources.
- e) **Candidates required to be enrolled by the Institute under Exchange Programs / Institute MOUs with Other Institutions / Organisations / Agencies etc** - Chairperson Senate may allot upto two candidates to any Supervisor, depending upon the matching of areas of the candidate and the Supervisor. In case of tie between the two Supervisors, Chairperson Senate's decision shall be final and binding. In such cases however, the candidate should come with a pre guaranteed means of subsistence which should NOT be less than the MHRD assured support, as applicable to his level.
- f) **Number of Sponsored Candidates / Working Professionals - A Maximum of upto Three at any given point of time.**
- g) **Without any Financial Support from the Institute / any other funding agency:** Refers to completely Self Financing Candidate. No such candidate allowable.

- h) **Internal Candidates** : The provisions (a) through (g) above shall also include in house candidates i.e. the ones who are on a substantive post at IIT Lucknow. During such period when they are enrolled under Ph.D., they shall be on "Study Leave" from IIT Lucknow and since being paid the full salary, they shall be treated as candidates enrolled under the Supervisor under category (d) above. Institute's internal candidates shall be treated like the other full time candidates with all academic and Fee etc provisions being applicable upon them identically. Fees and Dues payable shall have to be borne by the respective candidate with no liability on the Institute.
- 18) **Fees and Dues Chargeable** : To be decided by the Institute from time to time, but to be the same for all categories of candidates (Categories as specified in Item 17 above). Timely deposition of the same to the Institute and maintenance of No Dues at all times, shall be the responsibility of the enrolled candidate.
- 19) A semester of minimum 14 weeks duration and of 20 weeks including all semester end requirements is a **full semester**. The maximum credit that a Ph.D candidate can register for and successfully complete is 12 credits in such a full semester including the DROPPed course(s) from the previous semesters if any.
- 20) A semester is called an **Active Semester** if a candidate enrolls for the semester and registers for full load of credits assigned for that particular semester.
- 21) If a candidate does not register for any credits during a semester and would like to avail leave of absence, then such a semester is referred as '**Blank Semester**'. Expressed Permission for availing a Blank Semester, is however required to be taken *a priori*, by the candidate from the Supervisor and got registered with the AAA section of the Institute for records purposes. However, for the registration to remain valid and continuous, the candidate shall be required to pay the prescribed fees. Blank Semester Fees is same as the Semester Fees admissible
- 22) **Vacation/ Casual Leave** may be availed of by the registered candidate as per the funding agencies terms and condition/ Institute Policy, with prior

permission of the Supervisor and copy of such permission to AR-Academics Office through Dean (Academics)/ Dean (R&D) . Respective HOD is also expected to be apprised of the leave period by the Supervisor.

23) **Leave of absence / Travelling Allowances** shall be as per the norms of GoI / DST / Sponsoring Agency as applicable upon the candidate.

24) **Brief Credit Requirements, Course Work & Related Progress Checks expected from the registered Full Time Ph.D. Candidate:**

General Schema:

Zero Period	Sem 1	Sem 2	Summer Semester A	Sem 3	Sem 4	Summer Semester B	Sem 5	Sem 6	Summer Semester C	Sem 7	Sem 8	Summer Semester D	Sem 9	Sem 10	Sem 11 & 12 + 1 Summer Sem
	Odd Semester	Even Semester		Odd Semester	Even Semester		Odd Semester	Even Semester		Odd Semester	Even Semester		Odd Semester	Even Semester	
May-June	July - Dec	Jan - April	May - June	July - Dec	Jan - April	May - June	July - Dec	Jan - April	May - June	July - Dec	Jan - April	May - June	July - Dec	Jan - April	May to April
	Normal Semesters									Spill Over Semesters					
	Provisional Registration Stage	Registration Confirmation Stage		Registration Continues											
				Subject to the payment of prescribed Fees / Dues and other conditions of continuity as per the Ph.D. Rules											
	12 Credits	12 Credits	8 Credits	12 Credits	12 Credits	8 Credits	12 Credits	12 Credits	8Credits	12 Credits	12 Credits	8 Credits	12Credits	12Credits	

Admission Stage			(Dropped Courses)			(Dropped Courses only)			(Dropped Courses only)			(Dropped Courses only)			Extra-ordinary Spill Over Semesters
	3 Hard Core@4 Cr each	1 Hard Core @4 Cr + 1 Electives @ 4 Cr each + Registration Colloquium @ 4 Cr	As may be applicable	Research Problem Specific Self Study@ 4 Cr + TRA Assignment I @ 4 Cr +Research Proposal Colloquium @ 4 Cr	TRA Assignment II @ 4 Cr + Research & Research Progress Colloquium I @ 8 Cr	As may be applicable + JRF to SRF Qualifier Colloquium	TRA Assignment III @ 4 Cr + Research & Research Progress Colloquium II @ 8 Cr	(Overall) Pre Thesis Submission Colloquium @ 4 Cr	As may be applicable + JRF to SRF Qualifier Colloquium (if applicable)						

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

- 1 Sem:**
- 1 A Foundation Course * 4 Cr. (Hard Core)
 - 2 Area Specific Paper ** 4 Cr. (Hard Core)
- Total = 8 Cr.

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

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

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

II Sem

- 1. Research Methodology +Technical Writing+ Research Ethics # 2+1+1 Cr.(Hard Core)
(could contain aspects pertaining to the specific area of research)

2. Elective/ (Specific to the topic of research/Self Study Course) 4 Cr. (Suitable Title to be communicated by the Chairperson Doctoral Committee, for Grade Card purposes)

3. Registration Colloquium 4 Cr.

(For this Colloquium, Candidate is expected to finalize the Topic of research and to generate a report covering the possible Statement of the problem, Related literature, Relevance, Importance followed by presenting and defending the same before the Doctoral committee.

Total = 12 Cr.

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

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

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

1. TRA/ Research Based Project Proposal 3 Cr. (May be a Self-study course) (Suitable Title to be communicated by the Chairperson Doctoral Committee, for Grade Card purposes)

2. Research Proposal Colloquium 8 Cr.

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

Total = 11 Cr.

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

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

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

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

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

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|----|---|--------------|
| 1. | TRA / Research Based Project Proposal | 3 Cr. |
| 2. | Research & Research Progress Colloquium I | 8 Cr. |
| | | Total =11Cr. |

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

V Sem :

- | | | |
|----|--|----------------|
| 1. | TRA / Research Based Project Proposal | 3 Cr. |
| 2. | Research & Research Progress ColloquiumII* | 8 Cr. |
| | | Total = 11 Cr. |

(* Including authoring and presenting)

VI Sem **Pre-requisite:** Successful completion of all 53 Credits till the end of V Sem, as prescribed + TRA / Research Based Project Proposal (Overall) Pre Thesis Submission Colloquium = 3+8=11 Cr.

a) Upon the explicit request of the candidate / Supervisor, in case it is desired to touch the earlier frozen Thesis Title, the Doctoral committee may recommend the fresh title for acceptance to the Chairperson Senate, upon the payment of prescribed Fees which shall be 5% of the Tuition Fees for the Semester as prevailing. The brief of the abstract should be submitted to the Dean (Academics)/ Dean (R&D) (A&R), before the conduct of the pre-thesis colloquium, which will be sent to AR- Academics Office for the purpose of recording.

b) No re-touching of any kind in the Thesis Title shall be allowed after successful completion of Pre Thesis Submission Colloquium, which shall be Title Specific.

c) The thesis should be submitted within a maximum of 150 days from the date of notification of successful completion of Pre-thesis submission Colloquium, failing which it is automatically treated as the candidate has dropped the Pre-thesis colloquium which compels him/her to register for Pre-thesis colloquium afresh.

Cumulative Degree Credits =64 Credits.

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

- i. To be held after the successful completion of 64 Credits (as per the table) .
- ii. 75% Attendance fulfillment Certification from the Supervisor, along with the Supervisor-II / Co-Supervisor,(if applicable).
- iii. The Similarity Index (as obtained by a standard Software such as Turnitin etc.) should not be more than 15% in any case (excluding the similarity index obtained from own publication and references). A report of similarity index, to be included as a part of the thesis. A thesis meeting the above criterion, may be considered as Plagiarism free. For all the other cases, definitions, as applicable The Gazette of India 2018 may be referred and followed.
- iv. Certification regarding the publication of atleast two papers in SCI / SCIE / SSCI Journals, as per the requirement ,from the Supervisor, along with the Co-Supervisor,(if applicable). If any Research Paper resulting out of the research work contains those names which are other than the names of the Candidate/ Supervisor / Co-Supervisor, then it is obligatory for the candidate to produce a No Objection Certificate from the concerned persons for inclusion of their names in the said Paper and Thesis.
- v. Joint Certificate from the Candidate and the Supervisor, stating that the work being submitted is original and has NOT been submitted elsewhere by them (or any other co-authors involved) for the award of Ph.D. Degree or any other Degree / Diploma.
- vi. **Thesis Submission Procedure** -Thesis to be submitted initially in Soft version (Pendrive) by the Candidate together with PDF Copies of the above certificates contained therein, to the Supervisor, along with one hard copy spiral bound. The supervisor shall forward the same for further consideration and evaluation to the Dean (Academics)/ Dean (R&D) (A &R) of the Institute. If additional hard copies are required at a later stage, the candidate would be expected to arrange for the same expeditiously.
- vii. The Dean (Academics)/ Dean (R&D) , may accept the same after ensuring the due compliance of the conditions of this Ph.D Rules and forward the same to the AR-AFA Office for taking up its evaluation.
- viii. **Format in which the Thesis is to be submitted** :As per the Institute standard given in **Annexure 1** attached.
- ix. **Thesis Evaluation by whom** -The Supervisor and Supervisor-II / Co-Supervisor (wherever applicable), shall jointly, suggest a panel of experts for the purpose, at least 45 days prior to the expected date of Thesis submission to the Dean (Academics)/ Dean (R&D) (A&R) (to facilitate parallel seeking of concurrence by the evaluators), as follows:
 - a) A total of twelve names shall be suggested, each of which shall be of an expert in the area of the thesis to be evaluated. Their expertise should be well evidenced by the documents in support (and kept available with the Supervisor, for inspection if so required by the Chairperson Senate)

- b) All the suggested experts shall be of the stature of at least that of an Associate Professor of an Institution of National Importance or higher.
 - c) Out of the twelve suggested panelists a minimum of FOUR shall be from out of India (out of which not more than two can be of Indian Origin) and the remaining from within India.
 - d) Of the suggested panelists from India, not more than three could be from Uttar Pradesh.
 - e) Persons of appropriate level as indicated before, who are associated with a reputed Foreign - Institution / Organization for the past at least 3 Yrs. may only be considered on the panel, as the one from outside India.
 - f) Dean (Academics)/ Dean (R&D) (A&R) will present the panel to the Chairperson Senate, who may accept the suggested panelists for being on the Evaluation Panel or introduce his own names on the panel.
 - g) While approving the names for the evaluation panel the Chairperson Senate shall indicate order of priority on which the AAA Section under intimation to Dean (Academics)/ Dean (R&D) (A&R) shall approach them for their acceptance to evaluate the Thesis under consideration, clearly appending along with the Synopsis of the work (Synopsis to be submitted by the candidate at least 45 days in advance of the Thesis submission date)
 - h) The evaluator shall also be required to sign a Declaration that s/he is not a relative of the candidate or the Supervisor/ Supervisor-II / Co-Supervisor and that s/he does not have any conflict of Interest in adjudication / valuing the Ph.D. Thesis.
 - i) Evaluation panel for each candidate shall be individually approved by the Chairperson Senate and shall comprise of Three Persons as per the above(Ensuring that at least one of the three evaluators is from abroad).
- x. **Thesis Evaluation Mechanism** -The Evaluators have to examine whether the candidate has achieved the objectives in the Thesis while preparing his/her report on the Thesis. The objectives here refer to the ones stated in the Abstract of the Research Plan as approved in the Research Proposal Colloquium.
- a) The evaluators shall send the scanned copy of the evaluation report duly signed in the prescribed format, by email directly to the Dean (Academics)/ Dean (R&D) (A&R). While the hard copy may be sent concurrently by post/ Air mail.
 - b) If the Thesis is **unconditionally recommended** to be accepted by atleast two of the three evaluators, the Dean (Academics)/ Dean (R&D) (A&R) shall intimate the same to the Supervisor accordingly. Next Stage shall then be the fixation of the Open Viva Voce and Thesis Defense, after receipt of final Bound Copy of the Thesis (Three Copies + Soft Copy).
 - c) If the Thesis is recommended to be **rejected by atleast two of the evaluators**, it shall be treated as rejected and the same shall be communicated by the Dean (Academics)/ Dean (R&D) (A&R)to the Supervisor accordingly. Next Stage shall then be the Exit of the Candidate, with a PG Diploma Certificate stating the Courses and Credits & Grades earned by the Candidate. However, the candidate can appeal through the Doctoral Committee, for sending the Thesis to a fresh set of evaluators. Only one appeal is admissible against this rejection, within 15 days from the date Dean (Academics)/ Dean (R&D) (A&R) informs the Supervisor of the rejection of the Thesis. In such an event, the Chairperson Senate may or may not

consider the request. In case s/he considers to admit the appeal, then s/he may consider the existing panel or may call for a fresh panel of evaluators.

- d) If the Thesis is recommended to be **accepted unconditionally by at least two evaluators**, and conditionally accepted by the third one then the Thesis shall be treated as accepted as such and communicated to the Supervisor. Next Stage shall then be the fixation of the Open Viva Voce and Thesis Defense after receipt of final Bound Copy of the Thesis (Soft Copy).
- e) If the Thesis is recommended to be **accepted conditionally by at least two of the evaluators**, then the same shall be communicated to the Supervisor for compliance on the recommendations. In case any of the evaluators had desired that the conditionalities imposed by him/her should be shown to him/her after compliance then the Supervisor shall ensure that the same is complied with and produce the clear go ahead from the respective evaluator. In case the evaluator had suggested that the conditionalities be met, incorporated in the thesis and the evaluation then proceed, then the same shall also be certified to have been complied with by the Supervisor and communicated to the Dean (Academics)/ Dean (R&D) , for proceeding to the next stage. Next stage shall then be the fixation of the Open Viva Voce and Thesis Defense, after receipt of final Bound Copy of the Thesis (Two Copies + Soft Copy).

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

- a) A Synopsis of the Thesis, should be submitted in a hard copy duly bound.
- b) Final Hard Bound Copy to be submitted by the candidate before the final Viva Voce cum Open Thesis Defense, clearly certifying that the suggestions/ corrections desired to be incorporated by the Thesis Examination Experts have been duly incorporated and complied with.
- c) Should be in the prescribed format as per the Ph.D Rules and HARD BOUND.
- d) MUST contain all the required Certificates duly signed by the respective persons, as indicated in the Ph.D Rules.
- e) Two Copies, together with one Soft Copy to be submitted.
- f) One Compendium of all publications in a properly indexed volume should be submitted. One Hard Bound and one Soft Copy in a CD/ Pen drive.

xii. **Viva Voce - Cum - Open Defense Mechanism and outcome :** To start after the receipt of two copies (for the Institute) of hard bound Final Thesis along with the Soft Copy:

- a) The Dean (Academics)/ Dean (R&D) (A&R) will get the Viva Voce – cum – open Defense evaluation Board constituted.
- b) The said Board meeting shall be convened by the AR-AFA Office and the Board shall comprise of the following:
 - i. The Supervisor (s) -- Chairperson(s) of the Board
 - ii. Supervisor-II/Co-Supervisor (if applicable)

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

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

- i. Attendance - At least 75%, ELSE DROP.
- ii. If SGPI in a Semester is less than 6.50, then the candidate shall be required to DROP certain courses of his/her choice , from that semester, to manage an SGPI of 6.50 with the residual Courses.

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

- i. Completion of a minimum of two 'Full' & 'Active' Semesters,
- ii. Successful completion of I, II & III Sem credits,

- iii. Successful completion of a minimum of 31 credits (inclusive of Sem I , II and III)
- iv. Should have communicated at least one paper in a journal (as prescribed for the Ph.D degree)

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

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

- 28) **What if, Unable to Pass the JRF-SRF Qualifier Colloquium** - The student continues the research with JRF ship as a JRF, until s/he clears in the next chance, which shall keep on happening every three months, subject to a maximum of three attempts as stated earlier. In such cases SRFship shall be provided only from the date the candidate is declared having PASSED the JRF to SRF Qualifier Colloquium, by AR-AFA Office. It might so happen that the candidate completes the Degree requirements entirely, without availing the SRFship i.e. s/he continues to get 48 installments of JRFShip only. S/he shall still be eligible to get the Degree awarded, if all other requirements are completed.
- 29) **Pre-requisites for Pre Thesis Submission Colloquium** - All of the following are required -
- a) During or After six consecutive semester.
 - b) After Completion of required credits (see the Table)
 - c) Complying with the minimum attendance Criteria of 75% in each of the availed semester.

d) Publishing/ Getting Acceptance ,at least Two Paper in an SCI / SCIE / SSCI Journal and at least the second paper should be evidenced to be in the pipeline for publication in an SCI / SCIE / SSCI Journal.

- 30) **Stipend Payment** - Only after the completion of the month and a certificate to the effect on attendance etc from the allotted Supervisor, in the Specified Format. No advance payment is tenable.
- 31) **Maximum Amount and Period for which Stipend can be tenable** - 48 Months x Monthly Stipend payable (till the completion of conventional spill over period)/ applicable from time to time. Additional 12 months stipends will be payable, if the extension to special spill over period (ref. section 35) is approved by Senate Chairman. JRFship and SRFship put together or it could be JRFship only. The payment of stipend will be as per the guidelines of the Sponsor / Funding Agency, from time to time.
- 32) **Stipend Rate during Semester DROP Period / BLANK Semester:**
- i. **If on account of Medical Reasons , other than Maternity-** @ 25% of the otherwise payable monthly stipend. The period availed as Leave on health grounds, shall be treated as extended Normal period provided supported by necessary certification in the prescribed format. **(Ann.....)**
 - ii. **If on account of Maternity Reasons (applicable to Female candidates only)-**@ 25% of the otherwise payable monthly stipend.
(Duration of maternity leave shall be as per the GoI guidelines. The period availed as Maternity Leave shall be treated as extended Normal period. All Fees other than tuition Fees shall however have to be paid by the student as per the declared time schedules.)
 - iii. **If on account of other Non-Medical Reasons -** @ 25% of the otherwise payable monthly stipend.
 - iv. **If on account of undertaking Paid Internship / Job Opportunity -** Nil
 - v. **If on account of undertaking UN-Paid Internship-** @25% of the otherwise payable monthly stipend.
 - vi. **Other Un Specified Situations -** NIL
 - vii. **During "Blank Semester"** for any reason the Stipend will not be given. However in extra-ordinary circumstances, an appeal may be made to the Chairperson Senate, for approving to grant a maximum of 25% of the monthly stipend applicable, for a period of six months only and subject to the overall financial limit of the maximum sum payable across the full degree period.

- 33) **'Spill Over' Semesters** - The normal Degree Length is 3yrs (thirty six months only) with tenability to spill over to Fourth Year and fifth year.
- (a) The two years after the normal Degree length period are referred to as the Spill Over Years, out of which the first one is referred to as the **'Conventional Spill Over Year'**, which shall be granted by the Supervisor, upon the expressed recommendation of the Doctoral Committee, under communication to Dean (Academics)/ Dean (R&D) (A&R). Minimum requirements that the Supervisor would ensure before taking up the case with the Doctoral Committee would be: that the candidate has successfully completed all requirements of I, II and III Sem with a CGPI of 6.50 or above. Thereafter, if the Doctoral committee considers that the progress made by the candidate is considerable enough for the grant of Spill Over Period, then only the Supervisor shall accord the approval for the Conventional Spill Over Period for a period upto one calendar year from the date of initial completion of three years. If the minimum requirement of completion of I, II and III Sem with a minimum CGPI of 6.50 is not satisfied then the candidate has to atomically exit from the PhD program.
- (b) The Second One Year spell of the Spill Over period is referred to as the **'Special Spill Over Year'**, is grantable by the Chairperson Senate upon the explicit request of the candidate and recommendations of the Doctoral Committee, through Dean (Academics)/ Dean (R&D) (A&R).
- 34) **Time Extension beyond 60 Months**- Generally not allowable. Any extraordinary time extension desired beyond 60 months, if however desired, is required to be requested explicitly by the student latest during 57th to 58th month (from the date of original registration). The request, clearly explaining the extra-ordinary reasons, to be made through the Thesis Supervisor and recommendations of the Doctoral Committee to the Chairperson Senate, through Dean (Academics)/ Dean (R&D) (A&R). The decision on grant or otherwise of this **Extraordinary Spill Over Period** (of a maximum of one year only), shall however be taken by the Senate. The request may also be turned down, in which case the Ph.D. Program of the concerned candidate shall automatically stand terminated on the completion of 60 months from the date of original registration.)
- 35) **Exit / Withdrawal Mechanism:**
- i. If a candidate is unable to complete the 64 Credits even after availing the Special Spill Over period i.e. within 60 months of the registration, BUT has earned at least 52 Credits successfully, then such a candidate shall be **allowed to EXIT** from the program, upon expressed request to the Supervisor, who shall put it up for acceptance of the Chairperson Senate. Such a candidate may however be awarded a PG Diploma Certificate, if so desired by him/her. Such a candidate shall be additionally eligible to apply afresh for Ph.D. admission, as per the rules then prevailing.
 - ii. If the enrolled Student **OPTS to WITHDRAW** from the Ph.D. Program owing to personal reasons / other circumstances, s/he may do so at any point of time, BUT after repayment of 50% of the stipend drawn from the Institute, till the date of making such request. Upon such exit s/he shall be given a PG Diploma Certificate / Certificate of the Courses and Credits completed at the Institute, upon request. Such student may however become eligible for a FRESH admission, ONLY after 1 Year of such withdrawal.

- 36) **Residential Institute & Hostel Accommodation** –Suitable accommodation facility may be provided as per the availability in the institute hostel.
- 37) **Special Situations needing consideration:**
- i **Change of Supervisor, under Conflict of Interest or Un Foreseen Circumstances:** Such cases shall be required to be brought to the notice of the Dean (Academics)/ Dean (R&D) (A&R) by the Supervisor / Co-Supervisor / Candidate / Doctoral Committee Member / AAA section etc. The Dean (Academics)/ Dean (R&D) (A&R) shall look into the individual merits / demerits of the case, and make a clear recommendation to the Chairperson Senate after narrating the facts and circumstances of the matter. In case the Dean (Academics)/ Dean (R&D) (A&R), is of the opinion that there are ir-reconcilable differences between the Candidate and the Supervisor / Co-Supervisor, s/he may recommend for a change of the Supervisor/Co-Supervisor as the case may be. The replacement shall be named by the Chairperson Senate and duly reported in the next meeting of the Senate. The ratification by the Senate shall be notified by the Secretary Senate to the AAA Section for it being recorded in the respective Candidate records.
 - i **Replacement of a Supervisor / Co-Supervisor, owing to his/her Exiting from the Institute:** Upon explicit request from the Supervisor to the Chairperson Senate through Dean (Academics)/ Dean (R&D) (A&R),The Supervisor may be allowed to continue to be the Supervisor till the candidate completes the Viva Voce cum Open Thesis Defense. Upon the superannuation / Exit of the Supervisor/ Inability of the Supervisor to continue rendering the guidance, in case no Co-supervisor pre-existed for the candidate, the Chairperson Senate shall appoint a Co-Supervisor / Administrative Supervisor, as per the then prevailing circumstances, in consultations with the Dean (Academics)/ Dean (R&D) (A&R).
 - i **Consideration of a Candidate for internship or for temporary employment in an Institution / Organisation outside, DURING the pendency of the Ph.D. Course Work:** Upon explicit request by the candidate, s/he may be allowed to avail an 'academic deputation' for the purpose , provided , the Doctoral Committee makes a suitable recommendation to the effect to the Chairperson Senate. The period of academic Deputation shall however be admissible only after the successful completion of the Course requirements as till Sem III. The period of such academic deputation shall NOT exceed 180 days. During this period of academic deputation, the candidate shall be required to take up the course requirements, in case s/he is on a research related internship / employment, OR ELSE, this period shall be treated as a blank semester. Academic and Financial norms as applicable to BLANK Semester shall then be applicable.
 - iv. **Consideration of a Candidate for internship or for temporary employment in an Institution / Organisation outside , BEYOND the pendency of the Ph.D. Course Work:** Provided the coursework of 53 Credits, corresponding upto the requirements of the end of the Semester V are successfully completed by the candidate and the candidate has got into non-financial support period viz. Special / Extra ordinary Spill over Period, s/he may be allowed to take up some sort of suitable engagement, however should be in academic reachable proximity with the Supervisor.

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

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

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

Addendum to Doctoral Degree (Ph.D.) Program Rules 2021 of IIIT Lucknow for

Non-full time Ph.D. Programme meant for working professionals

1. The norms for admission to/registration for Ph.D. programme is as per the Ph.D Rules approved by Senate, regard to Ph.D. for working professionals.
2. The minimum duration will be 48 months (4 years).
The maximum duration will be 72 months (7 Years (6 Years + 6 Months + 6 Months)).
3. The course requirement is 64 credits as per Ph.D. Rules.
4. The course entitled TRA assessment could continue to be TRA assessment in case the candidate is associated with Training/Research Oriented responsibilities in his profession. The candidate has to prepare a report based on the work executed and present the same before the Doctoral Committee for evaluation. It could still be TRA assessment if the candidate can find himself/herself attached with an academic/training centre of repute for the purpose.
OR-A candidate may be assigned a related advanced developmental work which involves self study also for completing the developmental work.

5. In view of non-fulltime nature of the research work, the schedule of course work is as follows:

I Semester

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

II Semester

- | | | |
|--|--------------------|-------------|
| 1. Research Methodology +Technical Writing+
Research Ethics # | – 2+1+1
credits | Payable |
| 2. Pre-Research registration colloquium | – 4 credit | |
| Total | | – 8 credits |

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

III Semester

- | | | |
|--------------------------------------|-------------|---------|
| 1. Payable Area specific Depth Paper | – 4 Credits | Payable |
|--------------------------------------|-------------|---------|

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

IV Semester

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

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

V Semester

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

VI Semester

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

VII Semester

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

VIII Semester

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

Grand Total = 64 Credits

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

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

6. The JRF to SRF review will not be applicable.
7. The candidate should have successfully completed at least 52 credits corresponding up to the end of V semester, for presenting his/her request for extension of his Ph.D. period to spill over to 5th year (for seeking conventional spill over benefit).
8. Terms and conditions for spill over are as per Ph.D Rules.
9. All other modus operandi aspects are as per the Ph.D Rules.