

**INDIAN INSTITUTE OF TECHNOLOGY DHARWAD**

**RULES AND REGULATIONS**

**Ph.D. Programme**



॥ सा विद्या या विमुक्तये ॥

भारतीय प्रौद्योगिकी संस्थान धारवाड  
Indian Institute of Technology Dharwad

**Academic Office  
2017-2018**

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# INDIAN INSTITUTE OF TECHNOLOGY DHARWAD

## **Ph.D. Programme Overview**

The Ph.D Programme at IIT Dharwad offers research opportunities under the broad disciplines of Engineering, Sciences, and Humanities and Social Sciences. The programme is aimed at promoting research, innovation and critical thinking in core and interdisciplinary fields, expanding the frontiers of knowledge and training human-resources for research that caters to the needs of the nation.

The structure of the Ph.D programme is two-pronged involving credits accumulated through course-work and a research thesis. The Institute lays special emphasis on promoting research that is cutting-edge, well-defined and impactful. It undertakes collaborations, sponsored projects, and other forms of research through engagements with organizations in the public and private sectors. IIT Dharwad also ensures the availability of motivated and research-oriented faculty to facilitate innovation.

As a new institution with a vision for future research, IIT Dharwad is fast-establishing the required infrastructure and mechanisms for research. The Institute provides exposure to a rich knowledge base by facilitating interactions with industry experts, thinkers, scientists, and academics from India and abroad. Lectures, workshops, seminars, industry-visits and other similar avenues of thinking/learning are made available to all students.

At IIT Dharwad, researchers are also offered opportunities of pursuing research under various scholarships. The Institute caters to scholars undertaking projects and other defined academic schemes, while mentoring them through experts from within the Institute and outside. Hostel facility is also normally provided to scholars during the residential period requirements of their research.

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## **Ph.D. Ordinances**

The Ordinances of the Institute shall take precedence over the Rules in the matter of any dispute.

**O.D. 1:** The Doctor of Philosophy (Ph. D.) programme of IIT Dharwad is a programme of Research with the governing rules and regulations formulated by the Senate of the Institute. The Senate can modify or change the structure, the governing rules and regulations from time to time.

**O.D. 2:** IIT Dharwad considers meritorious candidates, with appropriate research aptitude and qualifications as decided by senate, for admission to the Ph. D. programme.

**O.D. 3:** Confirmation of registration of a student in the Ph.D programme will be considered by the senate only after the successful completion of the prescribed requirements.

**O.D. 4:** A student who has registered for the Ph. D. programme is awarded the Ph. D. degree after satisfying all of the following conditions

1. Successful completion of the minimum stipulated period of research
2. Recommendation of the research thesis submitted by the student, for the award of the Ph.D. degree by the referees
3. Successful defence of the thesis by the student before the Board of Examiners constituted for the viva-voce examination
4. Approval of the award of the Ph. D. degree by the Senate, based on points 1-3 above.

**O.D.5:** The degree of Doctor of Philosophy shall not be conferred as an ad eundem degree

## Rules and Regulations

The Institute offers facilities for work leading to the degree of Doctor of Philosophy (Ph.D.) in various research areas. The Rules and Regulations governing the Ph.D. programme are given below:

### 1. Admission

**R.1.1 Student Status:** Students may be admitted as full-time or part-time research scholars. The fulltime research scholars are expected to carry out their research normally at the Institute. The part time students need to be available full-time till they complete their coursework. They can carry out the research at their parent organization.

#### FULL TIME RESEARCH SCHOLAR

A full time research scholar can belong to one of the following types:

- i) Teaching Assistantship (TA): Funded by MHRD. The TAs are expected to assist in the academic/administrative work for smooth functioning of the Institute
- ii) Project Staff-Teaching/Research Assistantship through Project (PS-TAP/RAP): The students admitted in this type are funded from the specific sponsored projects. They are expected to assist in the academic/administrative work of the Institute.
- iii) Govt./Semi Govt. Fellowship Award (FA) (QIP, CSIR, UGC, DAE, DST Inspire, DBT, NBHM, PMRF etc.): Candidates who have been awarded any government/semi-government fellowship, specifically, for doing Ph.D. are considered for admission under FA category. Students admitted under this type receive their funding from the agency that has awarded the fellowship. They are expected to assist in the academic/administrative work for the smooth functioning of the Institute
- iv) Sponsored Candidates (SW): The sponsored candidates receive their funding from their parent organizations.

#### PART TIME RESEARCH SCHOLAR

The part time research scholars can belong to any of the following types:

- v) External candidates, sponsored by recognized R & D organizations (EX): The funding source is the parent organization.
- vi) College Teacher (CT): Teachers from the AICTE/UGC approved colleges in the vicinity of IIT Dharwad can apply in this category. Their funding source is the parent institute.

#### R.1.2: General Eligibility Criteria for Admission to the Ph. D. programme

IIT Dharwad considers the candidates with research aptitude and consistently excellent academic records for the admission to the Ph. D. programme.

Discipline	Engineering	Basic Sciences	Humanities and Social Sciences
<b>Qualifying Degree</b>	M. Tech. or equivalent degree OR B.Tech or equivalent	1) M. Phil or equivalent OR 2) M. Sc. or equivalent OR 3) M.Tech or equivalent OR 4) B.Tech or equivalent OR	1) M. Phil or equivalent OR 2) M. A. or equivalent
<b>Minimum marks/CPI in Qualifying Degree</b>	<b>Marks:</b> 60% (55% for SC/ST candidates) <b>OR</b> <b>CPI/CGPA:</b> 6.0 (5.5 for SC/ST candidates) on the scale of 10	<b>Marks:</b> 60% (55% for SC/ST candidates) <b>OR</b> <b>CPI/CGPA:</b> 6.0 (5.5 for SC/ST candidates) on the scale of 10	<b>Marks:</b> 55% (50% for SC/ST candidates) <b>OR</b> <b>CPI/CGPA:</b> 5.5 (5.0 for SC/ST candidates) on the scale of 10

<b>Additional Requirements</b>	If a candidate does not have M.Tech or equivalent degree, the candidate <b>MUST fulfil any one</b> of the following	If a candidate <b>does not have M. Phil. / M. Tech.</b> or equivalent degree, the candidate <b>MUST fulfil any one</b> of the following:	If a candidate <b>does not have M. Phil.</b> or equivalent degree, the candidate <b>NEEDS TO fulfil any one</b> of the following:
	1) Valid GATE score 2) Junior Research Fellowship (JRF) of CSIR/UGC or DST INSPIRE Fellowship	1) Valid GATE score 2) Junior Research Fellowship (JRF) of CSIR/UGC/NBHM/DBT /ICAR/ICMR/ICPR or DST INSPIRE Fellowship	1) Junior Research Fellowship (JRF) of UGC or other equivalent fellowship 2) UGC-NET Lectureship (LS)

- The qualifying degree should be in one of the disciplines specified by the concerned department.
- Candidates with M. Sc. degree may be considered for admission in some Engineering Departments, provided they have either
  - i. Valid GATE score in appropriate discipline
  - ii. Junior Research Fellowship (JRF) of CSIR/UGC/NBHM/DBT/ICAR/ICMR/ICPR or DST INSPIRE Fellowship
- Qualifying score (not necessarily valid) in one of the national level examination (GATE, NET etc.) is **desirable** for admission in the Engineering Departments.
- Relaxation in the additional requirements, may be considered if a candidate has minimum of 2 years of professional experience (acquired after obtaining the qualifying degree and completed before the starting of the semester in which admission is sought).
- In addition to the general eligibility criteria listed above, the applicant **must satisfy the eligibility criteria specified by the respective Departments**. Further, the applicable eligibility criteria for financial support need to be satisfied.
- Candidates in the final year of their qualifying degree may be considered for the admission to the Ph. D. programme, provided, they graduate before the registration date specified by the Institute.
- Mere satisfaction of the eligibility criteria, does not automatically entitle the applicant for admission to the Ph. D. programme.

## **2. REGISTRATION**

1. On joining the Institute every student is required to plan his/her academic programme in consultation with a Faculty Advisor/Ph.D. Supervisor.
2. IIT Dharwad follows a semester system. All students have to clear the Institute and Hostel dues and register in each semester until the submission of the thesis.
3. If a student does not register in a particular semester without prior permission of the Institute, he/she ceases to be a student and the admission is liable to be cancelled. Further, if a student does not register for TWO consecutive regular semesters, the admission will be cancelled automatically.
4. All students should ordinarily submit their final year mark-sheet/provisional certificates of the qualifying degree within a month after joining the Institute. The original degree certificate must be produced for verification within one year from the joining date.

5. Candidates who are working with any organization, **MUST** submit the **relieving letter** from that organization at the time of joining the Institute, if they are admitted in TA, TAP or FA (other than QIP) category. For sponsored candidates NOC/Sponsorship certificate is required.
6. **Any student who is found to have concurrently registered for any postgraduate degree at another institute/university shall be automatically deregistered from the Institute.**
7. The admission of a student may be cancelled if it is found that any false information is provided or any of the facts are misrepresented by the candidate. If such a candidate has already been awarded the degree, the same may be withdrawn.

### **3. Credit requirements**

All students in the Ph.D. programme are required to complete the prescribed credits, which shall normally be completed:

- a) Within one semester from the date of joining by the students having M. Tech./M. Phil or equivalent qualification and
- b) Within the first two semesters from the date of joining by the students having M.Sc./M.A./equivalent qualification.
- c) Students may be allowed to take courses from other institutes subject to the approval of the competent authority, based on the requirement and agreement with those institutes. The credits for the courses done in institutes other than IIT Dharwad would be transferred from those institutes to IIT Dharwad.

Details of the credit structure are given in Appendix 1.

#### **R.3.1: Applicable to students with M. Tech./M. Phil. or equivalent degree**

- a) The credit requirements for students **having M. Tech./M. Phil. or equivalent qualification, will be a minimum of 16 credits.**
- b) The students may earn up to a maximum of 4 credits through seminars.

#### **R.3.2: Applicable to students with M.Sc./M.A. or equivalent degree**

- a) The credits requirements for students having **M.Sc./M.A. or equivalent qualification will be minimum of 32 credits.**
- b) The students may earn up to a **maximum of 8 credits through Seminars**, which should be spread over two semesters.

Ph.D. students will be allowed to take extra credit courses, if necessary.

### **4. PERFORMANCE REQUIREMENTS for confirmation of registration**

The details about course evaluation, grade assignment and calculation of Semester Performance Index (SPI) & Cumulative Performance Index (CPI) are given in Appendix 1. The registration of a student for Ph. D. programme will be considered upon the successful completion of the performance requirements given below:

**R.4.1: A student MUST get at-least CC grade in EVERY course registered as a credit course. Further, the overall CPI should be atleast 7.0. After satisfying these two conditions, the registration of the student may be confirmed.**

**R.4.2: Academic Probation to the students having marginally lower grade than the minimum required for continuation of their studies:**

For students who have scored grade lower than CC in **at most one course in their first semester**, may be offered an academic probation, with appropriate conditions.

**R.4.3:** Each student, on completion of the prescribed requirements shall apply for confirmation of Registration.

Registration dates of all students shall be decided by the competent authority. The final approval to the confirmation of registration shall be granted by the Senate.

**5. Supervisor/Co-supervisor/Research Progress Committee (RPC)**

**R.5.1: Selection of Research topics, Areas of Research**

The details of research topics/areas proposed by various faculty members will be made available to the students. The students are encouraged to discuss those topics/areas with the respective faculty members.

**R.5.2: Assignment of Research Supervisor**

- a) All selected students shall be assigned tentatively to research supervisor(s) at the time of selection.
- b) Each external student shall have only one Supervisor in the sponsoring organization where he/she is employed along with the supervisor(s) from the Institute.
- c) The allocation of supervisor(s) to the Research Scholars will be finalized at the time of confirmation of Registration.

**R.5.3: Research Progress Committee (RPC)**

After the confirmation of the registration, a Research Progress Committee (RPC) will be constituted for each candidate. The RPC will normally consist of the Supervisor(s) and at-least two other faculty members conversant with the field of research. The members of the RPC may be from within or outside the Institute.

The names of the RPC members and any subsequent changes in its composition shall be communicated to the Dean (AP) for record.

Normally one of the RPC members is expected to function as the internal examiner for the evaluation of the thesis.

The RPC is expected to monitor the progress of the candidate until the completion of the programme.

**6. Place of work, Progress and Duration**

R.6.1: Research work is to be carried out at the Institute under the guidance of Supervisor(s) for at least two years in the case of all students (except external students) and three years in the case of external students after their date of registration on a topic duly approved by the Senate.

**R.6.2** For the full-time scholars, it is expected that, normally, the research work is carried out within the Institute. However, if necessary, on the recommendation of the Supervisor(s), the Institute may allow the research work for the Ph.D. degree to be partially or wholly carried out at another organization approved by the Institute.

**R.6.3:** All the research scholars (including CSIR and UGC fellows) shall submit a report of their work in the previous academic year to the concerned department and present their Annual Progress Seminar (APS) to the RPC once a year, till the thesis is submitted.



**R.6.4:** If the work presented by a student is found insufficient or un-satisfactory by the RPC, the student has to submit a report and present APS again, after working on the comments/recommendations of the RPC, not later than three months from the previous APS date.

**The continuance of registration and financial assistance of all students is subject to favourable recommendation by the RPC based on their APS.**

**R. 6.5:** For all categories of students, the period of validity of their Ph.D. registration is six years from the date of registration.

## **R.7 Synopsis, Thesis submission and Evaluation**

### **R.7.1: Pre-synopsis Seminar and Examination**

Prior to the submission of the synopsis and thesis, a comprehensive internal assessment of the research work should be made by the RPC.

- a) The RPC will assess the work through a pre-synopsis seminar and report. The student can submit the synopsis only if the panel is satisfied about the quality and quantity of the work for submission as a Ph.D. thesis.
- b) Students should submit their synopsis and thesis within four months of the successful Pre-synopsis seminar date.

### **R. 7.2: Panel of Referees (External Examiners) for Evaluation of Ph.D. Thesis**

**R.7.2.1:** The Ph. D. supervisor(s) of the student, in consultation with the other members of RPC, will recommend a panel of External Examiners (8 names with at-least 4 from within India) and the names of the Chairperson (2 names) and Internal Examiner for the Ph.D. Viva-Voce to the Chairman, Senate, through APEC.

The academic office will request the external examiners to be reviewers for the thesis and after receiving acceptance, the thesis will be sent to examiners by academic office.

**The thesis will be sent to only 2 examiners duly selected by the Chairman, Senate or his/her nominee.**

### **R.7.3: Referees' Evaluation Reports on PhD Thesis**

- i) If both the referees recommend acceptance of the thesis as it is (i.e. "a"), or with clarifications of minor points at the time of the viva voce (i.e. "b"), the **defence can be held** directly.
- ii) If one or both the referees recommend minor modifications in the thesis (i.e. "c"), the **defence can be held** only after the internal examiner certifies that the changes have been carried out. iii) If one or both the referees recommend major revisions in the thesis (i.e. "d"), the revised thesis should be re-submitted within **6** months, after incorporating the revisions to the satisfaction of the supervisors and internal examiner. This will then be sent for further review.
- iv) If one referee recommends rejection (i.e. "e"), an opinion of a third examiner will be sought.
- v) If both the referees recommend rejection of the thesis, the thesis in the current form is rejected. In such a case, a new thesis along with synopsis may be submitted, only once, for review, after 1 year and no later than 2 years from the date of intimation by the Academic Office. Before the resubmission of the thesis, the candidate is required to present a pre-synopsis seminar to the RPC.

### **R.7.4: Board of Examiners for Defence**

The **Board of Examiners** will be appointed by the Chairman, Senate and it shall consist of: i)

A professor, as Chairman;

- ii) The research supervisor(s);
- iii) A faculty member of the Institute conversant with the subject to act as the internal examiner; and
- iv) One or both of the referees, who has reviewed the thesis (failing which a referee from the approved panel).

The Board of Examiners will submit its report in the prescribed form to the Senate. On satisfactory completion of the viva-voce examination, the degree may be conferred upon the student after approval by the Senate.

## 8. Other Administrative Rules

### 8.1 Financial Assistance Appendix 1. Pattern of Courses and Credits, Course Assessment and Award of Grades

There are various sources from which a research scholar is provided financial assistance. The Teaching Assistants will be paid stipend as per the rules in force from time-to-time. Currently, Teaching Assistants are eligible to receive Assistantship for a maximum period of **FIVE** years or till the date of the defence, whichever is earlier, as communicated by the MHRD. For receiving the stipend, the TAs are expected to assist in academic/administrative activities for smooth functioning of the Institute.

The funding of the research scholars receiving stipend for projects/fellowships is governed by the rules of the funding agency.

### 8.2: Leave Rules

**R.8.2.1:** All full-time Research Scholars are entitled for leave for a maximum of **thirty days per year** in addition to Public Holidays. Also **10 days leave** on medical reasons is permitted. The leave due can be carried over to the next year and accumulated **up to 90 days**.

**R.8.2.2:** Women Scholars are entitled for **maternity leave** at the full rate for a period not exceeding 180 days, once during the tenure of their studentship. This should be supported by a medical certificate.

**R.8.2.3:** Male Scholars are entitled for **paternity leave** of 15 days once during the tenure of their award. This should be supported by a medical certificate.

**R.8.2.4:** No vacation in Summer/Winter is admissible. Appendix 1. Pattern of Courses and Credits, Course Assessment and Award of Grades

**R.8.2.5:** Special Leave to attend Seminars/Conferences in India/abroad to present research papers is **admissible**, subject to the approval of the component authority.

**R.8.2.6:** Research Scholars under CSIR/UGC and other categories are governed by the rules of the bodies which provide financial support.

#### **R.8.2.7: Temporary Withdrawal from the programme**

The request for temporary withdrawal at any stage will be considered by competent authority on case-to-case basis.

### 8.3: Change of admission category

The request for change of admission category at any stage will be considered by competent authority on case-to-case basis.

## 9. Discontinuation options

It is expected that a research scholar whose registration for Ph.D. has been confirmed, will normally, complete the Ph. D. programme in the stipulated period. In exceptional circumstances, permanent withdrawal from the programme with an exit degree may be permitted to the research scholars who have completed two years in the Institute. For exercising this option, the research scholars need to submit a report on the work-done and present a seminar in front of a committee duly appointed for this purpose. On successful defence, this committee may recommend the **award of an M.Phil. Degree (to the students from Science/Humanities and Social Sciences Stream) / an M.S. by Research (to the students from the Engineering Stream).**

## **Appendix1. Pattern of Courses and Credits, Course Assessment and Award of Grades**

The courses offered for the Ph.D. Programmes may be: Lecture Courses, Laboratory Courses, Design Courses, Seminars, Supervised learning courses, courses pertaining to Communication Skills.

### **R.A1.1:**

The credit for a course depends upon the contact hours and self-study hours associated with it and is obtained by adding all these hours.

### **R.A1.2: Credit Seminar**

A Seminar shall satisfy the following conditions:

- a) Each seminar shall carry four credits.
- b) The Seminar shall be treated as a course for the purpose of registration and evaluation.
- c) The Seminar co-ordinator shall arrange the seminars and forward the grades awarded by the panels of examiners to the Academic Office by the end of the semester.
- d) A student shall not take more than two Seminars during the entire Ph.D. Programme.

### **R.A1.3 Communication Skills (PP/NP course)**

These courses are compulsory for all Ph.D. students.

- a) Ph.D. students are normally required to clear the Communication Skills course within the first two semesters.
- b) These courses are an addition to the minimum course credit requirement prescribed.

**Students having a qualifying degree from IIT who have cleared the ‘Communication Skills’ course during their M. Tech./M. Sc. Programme are exempted from this requirement, subject to the production of appropriate transcripts.**

**R.A1.4: Grade Points** For every course taken by the student, he/she is assigned a grade based on his/her combined performance in all the assessments. These grades are described by the following letters and corresponding grade points.

AA (10 points), AB (9 points), BB (8 points), BC (7 points), CC (6 points), CD (5 points), DD (4 points), and FR (0 points), PP (Passed, 0 points), NP (not Passed, 0 points) or AU (Passed, 0 points).

Some courses are only associated with PP/ NP grades. In such courses, satisfactory completion is indicated by the award of the PP grade.

**R.A1.5: Audit Course:** The students may be allowed to register for at most two Audit courses per semester, in addition to the specified credit requirements. The option of permitting student to register a course as “Audit” is left to the course instructor. The students registered for auditing a course shall be

awarded the grade AU if they fulfil the requirement as prescribed by the Instructor. The Instructor shall include such AU grades in the final grade report for that course. **If the student does not qualify for the grade AU, it will be assumed that the course has been dropped** by that student. It will not appear the semester grade card/transcript issued.

**R.A1.6: II grades:** The grade II shall be awarded to a student in a course if he/she has satisfactory insemester performance and has fulfilled the attendance requirement, but has not appeared for the semester-end examination. The student will be eligible for a make-up for the semester-end examination provided the student submits valid documental proof on the reason of the absence. The Academic Office will decide whether re-examination is to be allowed, after consulting with Dean (AP). In case a re-examination is allowed and is conducted, the instructor shall decide the final grade on the basis of sum of in-semester and the re-examination marks. The weightage of the re-examination would be the same as that of the final examination that the student has missed. In all other cases the II grade will be converted to FR grade.

**R.A1.13: Method of Computing SPI and CPI**

The performance of a student in a semester is indicated by a number called the Semester Performance Index (SPI). The SPI is the weighted average of the grade points obtained in all the courses taken by the student during the semester.

**Example:** Suppose in a given semester, a student has taken five courses having credits  $C_1, C_2, C_3, C_4, C_5$  and his/her grade points in those courses are  $G_1, G_2, G_3, G_4, G_5$  respectively. Then his/ her

$$\text{SPI} = \frac{C_1 G_1 + C_2 G_2 + C_3 G_3 + C_4 G_4 + C_5 G_5}{C_1 + C_2 + C_3 + C_4 + C_5}$$

SPI will be calculated (after re-examination, if any) on the basis of the final grades awarded AA, AB, BB, BC, CC, CD, DD and FR. The SPI is calculated up to two decimal places.

An up-to-date assessment from the time the student entered the Institute is obtained by calculating a number called the Cumulative Performance Index (CPI). The CPI is the weighted average of the grade points obtained in all the courses taken by the student since he/ she entered the Institute. It is calculated in the same manner as the SPI.

## Appendix 2. Format of APS evaluation report

INDIAN INSTITUTE OF TECHNOLOGY DHARWAD

Ph.D. Annual Progress Examination-Cum-Extension of Ph.D. Registration Form

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### Part A: To be filled in by the student of Ph. D. Programme

Department: \_\_\_\_\_

1. Name of Research Scholar: Mr. / Ms. \_\_\_\_\_
2. Roll No.: \_\_\_\_\_ Month and Year of Joining: \_\_\_\_\_
3. Programme Registration Category: TA / PS-TAP/PS-RAP /FA (CSIR, UGC, QIP, DST-Inspire, PMRM, NBHM, etc.)/ SW /CT/EX
4. Theme of Doctoral work: \_\_\_\_\_  
\_\_\_\_\_
5. Review Period: \_\_\_\_\_ to \_\_\_\_\_
6. Progress Seminar prior to the current one was presented on (Month & Year): \_\_\_\_\_
7. Current Seminar Date: \_\_\_\_\_ Time: \_\_\_\_\_ Place: \_\_\_\_\_
8. Whether APEC's approval was obtained for delayed seminar presentation?: Yes/ No/ N.A.
9. Number of Publications, if any (attach separate sheet giving details):  
Accepted/Published: a) Journals \_\_\_\_ b) Conferences \_\_\_\_ Journal papers under review: \_\_\_\_
10. Has the Ph.D. Confirmation Form been forwarded to Academic Section – Yes/ No (*If no, please forward the same to Academic Section at the earliest*).

=====  
**Part B: To be filled by the students who have completed five or more years in the PhD program.  
The Supervisor should be consulted before filling this section.**

Extension required till \_\_\_\_\_

Summary of Work to be Carried Out - (attach separate sheet if necessary) \_\_\_\_\_  
\_\_\_\_\_

When do you expect to reach your research milestones, deliver your pre-synopsis seminar, and submit your Synopsis and Thesis? (give a bar-chart with time lines):

*A separate extension form is not required*

\_\_\_\_\_

Signature of the Student with Date

**Part C: To be filled in by the RPC members**

1. Quality of work done: Excellent / Good / Satisfactory / Unsatisfactory/ NA (see item 3) *Please give additional comments (item 7) if progress is unsatisfactory*
2. Quantity of work done: Enough / Just Sufficient / Insufficient/ NA (see item 3)
3. Progress in the initial phase of the Ph.D.: Satisfactory / Unsatisfactory  
*(if after the first year, or if coursework has just been completed)*
4. Expected period for completion of programme: 1 year / 2 years / 3 years / 4 years.
5. If the student has completed five or more years, review **Part B** and give your recommendation here. **Note:** A separate form for extension is **not required**.  
Extension of PhD registration Not recommended / Recommended up to \_\_\_\_\_
6. Progress Seminar should be given again after \_\_\_\_\_ months. This option may be used if progress is unsatisfactory and/or insufficient, or if the student has completed 6 years.
7. Additional Comments, if any (attach additional sheets if necessary).

\_\_\_\_\_  
\_\_\_\_\_

Signature: \_\_\_\_\_

Name: (Prof. \_\_\_\_\_) (Prof. \_\_\_\_\_)  
Examiner (RPC) Examiner (RPC)

Signature: \_\_\_\_\_

Name: (Prof. \_\_\_\_\_) (Prof. \_\_\_\_\_)  
Examiner (RPC) Co-supervisor

Signature: \_\_\_\_\_

Name: (Prof. \_\_\_\_\_) (Prof. \_\_\_\_\_)  
Co-Supervisor Supervisor

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**Through Convener, APEC** \_\_\_\_\_  
(Signature with date & Stamp)

**Remarks and Signature of Convener PGAPEC:** \_\_\_\_\_

Extension approved till \_\_\_\_\_ / Not Applicable

### **Appendix 3. Procedures for Exit option from Ph.D. Programme (with M. Phil./M.S. By Research)**

1. If APEC decides to recommend discontinuation of Ph.D. with an option of conversion to M. Phil./M.S. (Research) then the student will be informed accordingly.
2. The student should apply for conversion within a month through the Supervisor.
3. If the student applies, and the timelines are approved by the APEC, then the Ph.D. is discontinued & converted to M. Phil./M.S. (Research).
4. If no response received by the student within a month, the APEC may recommend discontinuation of his/her Ph.D., without the option of conversion to M. Phil./M.S. (Research). **Procedures for Evaluation of the M. Phil./M.S. Thesis:**
  1. The thesis be sent to two external examiners.
  2. The **first report** to be received from any of the two external examiners report be considered (if favourable) to permit the student to appear in the Viva-Voce examination.
  3. However, if this examiner has marked either option (d)- The thesis requires major modifications/revision. The nature of the modifications required are indicated. It is recommended that the revised thesis be referred again by an external examiner. OR option (e) – The thesis be rejected, the office may wait for the recommendation of the second referee and if favourable, may be considered to permit the student to appear in the viva-voce examination.
  4. If both reports are unfavourable, the APEC may treat each such case individually on a case to case basis.
  5. The Viva-voce examination will be conducted by a Committee appointed by the Head of the Department, consisting of: i) Supervisor(s) ii) Internal Examiner  
iii) External Examiner/Additional Internal Examiner\* in absence of the external examiner if approved by the Department  
iv) Chairperson: A Professor/ Associate Professor from another department or a different specialization / research area.

The Department may decide if a Chairperson is needed for the viva or if one of the Internal Examiners can also act as a Chairperson. In case the Internal Examiner happens to be a Professor/ Associate Professor, he may be designated to also serve as the Chairperson with prior approval of the Head of the Department.
  6. The M. Phil./M.S. Degree be awarded after receipt of favourable reports and a successful viva-voce examination.

**\* The presence of an External Examiner is desirable. However, in case of difficulty in finding an external examiner in the required areas, an additional Internal Examiner may be appointed in place of the external Examiner subject to the approval of the Head of the Department.**

**Update as on: 09<sup>th</sup> October, 2017**