

# 1 INTRODUCTION

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The goals of the postgraduate programmes at the Indian Institute of Technology Kanpur are: *The development of scientific and engineering manpower of the highest quality, to cater to the needs of industry, R & D organisations and educational institutions, a broad grasp of the fundamental principles of the sciences and scientific methods, a deep understanding of the area of specialization, an innovative ability to solve new problems, and a capacity to learn continually and interact with multidisciplinary groups. Above all, the students should have a capacity for free and objective enquiry, courage and integrity, awareness and sensitivity to the needs and aspirations of society.* With these goals in view, the postgraduate programmes are designed to include courses of study, seminars and project/thesis through which a student may develop his/her concepts and intellectual skills.

The procedures and requirements stated in this manual embody the philosophy of the postgraduate education and ensure a high standard of performance at the Institute. Within this general framework, subject to the approval of the *Senate Postgraduate Committee (SPGC)*, the various departments and programmes may impose such additional requirements as will serve their particular academic goals.

## 1.1. Postgraduate Programmes

1. The Indian Institute of Technology offers one-year programme leading to the Diploma of the Institute (D. IIT.) in certain specified areas of engineering.
2. The Institute also offers programmes leading to the Master of Technology (M.Tech.) degree in Aerospace Engineering, Biological Sciences and Bio-Engineering, Chemical Engineering, Civil Engineering, Computer Science and Engineering, Earth Sciences, Electrical Engineering, Environmental Engineering and Management, Industrial and Management Engineering, Materials Science & Engineering, Materials Science Program, Mechanical Engineering, Nuclear Engineering and Technology and Photonics Science and Engineering.
3. Programme leading to the Master of Design (M.Des.) degree.
4. Programme leading to the Master of Business Administration (MBA) degree.
5. Programmes leading to the Doctor of Philosophy (Ph.D.) degree exist in Aerospace Engineering, Biological Sciences and Bio-Engineering, Chemistry, Chemical Engineering, Civil Engineering, Computer Science and Engineering, Design, Earth Sciences, Electrical Engineering, Humanities and Social Sciences (Economics, English, Philosophy, Psychology and Sociology), Industrial and Management Engineering, Materials and Metallurgical Engineering, Materials Science, Mathematics (including Statistics), Mechanical Engineering, Nuclear Engineering and Technology, Photonics Science and Engineering and Physics.

The Senate Postgraduate Committee (SPGC), established according to the bylaws of the Senate, operates through the Departmental Postgraduate Committees (DPGCs) to administer all aspects of the above programmes. The constitution, jurisdiction and functions of the SPGC and the DPGC are given in Annexure I.

## **1.2. Waiver of Requirements in Special Cases**

The procedures and requirements stated in this manual, other than those in section 2.3 (Eligibility for Admissions) and section 7.7 (Academic Performance Requirement) may be waived in special circumstances by the SPGC on the recommendation of the DPGC. All such exceptions shall be reported to the Senate.

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## **2. Admission**

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### **2.1. Academic Session**

The academic session of the Institute is divided into three parts: two regular semesters and a summer term. The first semester will normally commence in the last week of July every year, and the second in the last week of December. The summer term will run from the middle of May to the middle of July.

### **2.2. Admission Calendar**

1. The admissions to the M.Tech./M.Des. and Ph.D. programmes may be made in either or both of the two regular semesters. Admission to the D.IIT. programme may be made once in a year but in either semester. The Head of the Department concerned may take the decision in this regard. Admissions to MBA programme are made once a year in first semester.

2. Admissions to the M.Tech./M.Des. and Ph.D. programmes are normally made in April-May for the first semester and in November- December for the second semester. The Dean of Academic Affairs will notify the admission calendar each semester. Admissions to the MBA program are normally made in March-April for the first semester.

3. In addition, the department may process applications for admissions to Ph.D. Programmes on a continuous basis and admit students as per the existing procedure. The candidates admitted during the course of a semester, would be required to register for proportionately reduced credits.

### **2.3. Eligibility for Admission and Reservation of Seats**

1. The eligibility conditions given below are the absolute minimum. Departments may prescribe any requirements over and above these, subject to the approval of the SPGC.

2. The “specified minimum” marks/CPI (Cumulative Performance Index), referred to in subsequent sections, implies a minimum of 55 percent marks /5.5 (on a 10 point scale) as long as it is not less than the minimum pass marks/CPI; otherwise, the “specified minimum” marks/CPI implies the minimum pass marks/CPI.

3. Applicants having qualifications equivalent to the ones stated in sections 2.3.1 to 2.3.8 may also apply for admission to the appropriate programme.

4. The number of admission that can be made to any programme shall be as decided by the Senate from time to time.

5. Reservation of seats for various reserved categories shall be as prescribed by the Board of Governors. Annexure II provides the details of the reservations approved by the Board.

6. Candidates belonging to the Scheduled Castes/Scheduled Tribes who have passed the basic qualifying degree as stated in sections 2.3.1 to 2.3.8, are eligible to apply irrespective of the marks/CPI and will be considered for admission.

### **2.3.1. D.IIT.**

The applicant must have a bachelor's degree in engineering or a master's degree in science with marks/CPI not below the specified minimum. Only candidates sponsored by recognized industries are eligible for admission to this programme.

The applicant must have a bachelor's degree in engineering or **science (4 year program)** or a master's degree in science with marks/CPI not below the specified minimum. Only candidates sponsored by recognized industries are eligible for admission to this programme.

### **2.3.2. M.Tech.**

The applicant must have a valid GATE score card, bachelor's degree in engineering or **science (4 year program)** or a master's degree in science with marks/CPI not below the specified minimum. For admission into M.Tech. in Biological Sciences and Bio-engineering, applicants having bachelor's degree in pharmacy/medicine with marks/CPI not below the specified minimum may also be considered. The requirement of a GATE score is waived for M.B.B.S. degree holders and for engineering graduates from IITs with minimum CPI 8.0.

### **2.3.3. M.Des.**

The applicants must have a bachelor's degree in Engineering or **science (4 year program)**, Design or Architecture with marks/CPI not below the specified minimum. Candidates holding degrees in Fine Arts or Interior Design are not eligible to apply.

### **2.3.4. M.B.A.**

The applicants must have a valid CAT score and Bachelor's degree in Engineering or **science (4 year program)** or **B.Arch. (with mathematics in class XII)** with minimum 60 percent marks/6.0 CPI.

### **2.3.5. Ph.D. in Engineering**

An applicant from CFTI (Centrally Funded Technical Institutes) with CPI of at least 7.5/75% in his/her B.Tech.

or

An applicant with a master's degree in engineering with marks/CPI not below the specified minimum

or

An applicants with a bachelor's degree in engineering or science (4 year program) with a minimum of 75 percent marks/7.5 CPI,

or

master's degree in science or an allied area, satisfying each of the following criteria:

- (a) a minimum of 65 percent marks/6.5 CPI in the master's degree,
- (b) first division in bachelor's degree, and
- (c) JRF/95 percentile or higher in GATE.

For admission into Ph.D. in Biological Sciences and Bio-engineering, applicants having master's degree in pharmacy/medicine with marks/CPI not below the specified minimum, or bachelor's degree in pharmacy/medicine with a minimum of 75 percent marks/7.5 CPI, may also be considered.

### **2.3.6. Ph.D. in Sciences**

The applicant must have a master's degree in the relevant subject or a bachelor's degree in engineering or science (4 year program) with marks/CPI not below the specified minimum.

### **2.3.7. Ph.D. in Humanities and Social Sciences (HSS)**

The applicant must have a master's degree in the relevant subject or a bachelor's degree in engineering or sciences (4 year program) or a master's degree in sciences or in an allied field of HSS with marks/CPI not below the specified minimum.

### **2.3.8. Ph.D. in Management:**

An applicant from CFTI (Centrally Funded Technical Institutes) with CPI of at least 7.5/75% in his/her B.Tech.

or

An applicant with a master's degree in engineering/technology with marks/CPI not below the specified minimum

or

An applicants with a bachelor's degree in engineering or science (4 year program) with a minimum of 75 percent marks/7.5 CPI,

or

master's degree in science or an allied area, satisfying each of the following criteria:

- (a) a minimum of 65 percent marks/6.5 CPI in the master's degree,
- (b) first division in bachelor's degree, and

(c) JRF/GATE/CAT/GMAT/NET or any other national level exam with 95 percentile or higher.

### **2.3.9 Ph.D. in Design:**

An applicant from CFTI (Centrally Funded Technical Institutes) with CPI of at least 7.5/75% in his/her B.Tech.

or

The applicant must have a master's degree in Engineering/ Technology/ Design with marks/CPI not below the specified minimum.

or

An applicants with a bachelor's degree in engineering or science (4 year program) with a minimum of 75 percent marks/7.5 CPI,

or

master's degree in science or an allied area, satisfying each of the following criteria:

(a) a minimum of 65 percent marks/6.5 CPI in the master's degree,

(b) first division in bachelor's degree, and

(c) 95 percentile or higher in GATE /CEED score

## **2.4 Admission Procedure**

The applicants must apply for admission on prescribed forms, which must be sent directly to the Convener, DPGC of the department concerned.

1. All admissions will be made on approval by the Chairman, Senate on the recommendations of the duly constituted selection committees and the Chairperson, SPGC. A selection committee will consist of faculty members, one of whom will be from another department. The constitution of the selection committee will be proposed by the DPGC and approved by the Chairperson, SPGC.

2. Separate selection committees may be appointed to select candidates belonging to different categories, viz., sponsored, regular, QIP, etc.

3. Admission to the M.Tech. programme may be made directly based on the GATE scores of the candidates and performance in the qualifying examination, and in addition, some of the candidates may also be called for written tests and/or interviews.

4. Candidates for D.IIT programme will be called for interview and may in addition be asked to take a written test.

5. Admission to the MBA programme will be made based on the CAT score and performance in the interview and/or group discussion.

6. Admission to the Ph.D. programmes will be based on written tests and/or interviews of the candidates shortlisted by the DPGC of the department concerned.

7. The admission of Scheduled Castes/Scheduled Tribes candidates will be decided without comparing them with the general category candidates.

8. The selected candidates who have completed all the examinations including project/thesis examination and the viva voce before the date of registration but are unable to produce the certificate in proof of having passed and secured the minimum specified qualifying marks, may be considered for provisional admission. However, if admitted provisionally, they will be required to

produce the evidence of their having passed the qualifying degree examination with minimum specified marks by the last date for document submission as specified in the academic calendar (usually about 8 weeks from the date of registration), failing which the admission may be cancelled.

9. The provisions in para 8 shall not be applicable in the case of M.Sc./M.Tech. students of the institute, who have been provisionally selected for admission to a Ph.D. programme. These students will be admitted to the Ph.D. programme subject to the condition that they must successfully complete all the prescribed requirements including acceptance of their thesis in a particular semester by the late registration date as specified in the academic calendar.

10. On approval by the Chairman, Senate, the departments will issue the admission letters to the candidates who will be required to accept the offer of admission by depositing the prescribed fee before the specified date.

11. In case a candidate does not accept the offer by paying the prescribed fee by the specified date, the offer of admission may stand withdrawn, and the admission offered to the candidates in the waiting list, if any, in order of merit.

12. The offer of admission may also stand withdrawn if the candidate who has accepted the offer fails to register by the date for late registration.

## **2.5. Admission of Quality Improvement Programme (QIP) Candidates and Defence Personnel**

The procedures and requirements for admission of QIP and defence personnel candidates will be as per the prescribed existing procedure. These candidates will have to satisfy the prescribed minimum marks and qualifications as laid down in section 2.3.

## **2.6. Admission of Indian Nationals Residing Abroad (INRA) and Foreign Nationals**

1. INRA candidates must have been residing abroad continuously for at least one year at the time of applying for admission. Their applications may be processed by the departments as and when they are received or according to any schedule convenient to the department. The applications should be scrutinized to make sure that, both in terms of qualifications and attainment they are comparable with the candidates admitted in the general category.

2. The applications of foreign nationals, who are sponsored by the Indian Council of Cultural Relations (ICCR) will be scrutinized by the department concerned to assess their suitability for admission to the programme. The department's recommendation will be sent to the Chairman, Senate through the Chairperson, SPGC.

3. The applications of non-sponsored foreign national candidates will also be considered for admission to the postgraduate programmes. Such candidates who are in India and are seeking admission to the M.Tech. programme must satisfy the same GATE requirements (if eligible to take it) as the candidates in the general category. However, application of a candidate who is in India and has not been able to take GATE for valid reasons, will be considered by the department concerned on its merit. Admission of such candidates will be subject to *no-objection* from the *Department of Education, Ministry of Human Resource Development*.

## **2.7. Admission to External Registration Programme for M.Tech. and Ph.D. (Engg.)**

1. A candidate working in an R & D establishment which is equipped with the necessary research and library facilities may be considered for admission to the M.Tech. and Ph.D. (Engineering) programmes. Such a candidate must be sponsored by his/her employer and must have been in employment with the sponsoring organization for at least 2 year at the time of admission. The employer must expressly undertake to pay full salary to the candidate and relieve him/her to stay on the campus to enable the candidate to complete his/her residence requirement (specified in section 7.1).

For employees of research labs, centers of excellence, and other organizations such as DRDO, CSIR, DAE, DoS, DIT, DST, DBT, ICMR, ICAR etc., fully funded by the government (national/state), the minimum employment requirement will be only one year. The reduced employment requirement will also be applicable to employees of public sector unit (PSU) and central and state universities fully funded by the government

2. A candidate applying for admission to the external registration programme must provide detailed information about the research facilities available at his/her organization and a certificate that these would be available to him/her for carrying out research. He/she should also provide the biodata of the prospective supervisor who would supervise the candidate's work at his/her organization.

3. On the recommendation of the DPGC, the SPGC will approve an organization for carrying out M.Tech./Ph.D. research in a specified area. An application for admission from a candidate working in the approved organization will be considered only if he/she wishes to work in the specified area.

## **2.8. Admission of Sponsored Candidates**

1. A candidate who is sponsored by his/her employer and who meets the additional conditions specified below may be admitted through a separate selection committee appointed specifically for the purpose.

2. A sponsored candidate must have been in service of the sponsoring organization for at least two years at the time of admission. The sponsoring organization must specifically undertake to provide full salary to the candidate and to relieve him/her to pursue the programme for its full duration.

3. Fulfillment of GATE eligibility requirement may be waived for such candidates. However, the sponsored candidates seeking admission to the M.Tech. programme who have not taken GATE will be called for interview and may in addition be asked to take a written test.

## **2.9. Admission to Part-Time Programmes**

1. The Institute also offers part-time postgraduate programmes leading to the M.Tech/Ph.D. degrees for local professionally employed personnel such as working engineers, scientists and teachers who can, while employed, attend regular classes as per schedule of the Institute.

2. The applicant must be an employee of a recognized organization with at least two years of service at the time of admission and be engaged in professional work in the area to which admission is sought. For an employee of IIT Kanpur (project or regular) with a valid GATE score at the time

of seeking admission, may be waived. An application for the part-time studies forwarded by the employer should be sent to the Convener, DPGC of the department concerned.

### **2.10. Admission of Non-Degree Students**

1. A non-degree student is a student who is registered for a degree in a recognized institute or university in India or abroad, and who is officially sponsored by that institute or university to complete part of his/her academic requirements at I.I.T. Kanpur. For that purpose the non-degree student may carry out research or take courses for credit or otherwise or may use other academic facilities. However, any credits earned by a non-degree student cannot be applied for any degree programme at I.I.T. Kanpur at any time.

2. A candidate will be admitted as a non-degree student on a duly sponsored application to the Dean of Academic Affairs who will recommend admission on the advice of DPGC and SPGC to the Chairman Senate for approval. The strength of non-degree students in any programme should not be more than 5% of the programme strength.

3. Students so admitted will be governed by all rules, regulations and discipline of the Institute.

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## **3 FINANCIAL ASSISTANCE**

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1. The Institute may provide to postgraduate students, financial assistance in the form of teaching or research assistantships (referred to as Institute Assistantship). Assistantships are awarded on a semester to semester basis for a period of up to 22 months for M.Tech. students and up to five years for Ph.D. students. The stipend for the assistantship is paid at the approved rates. A student is expected to devote up to eight hours per week towards job(s) assigned to him/her. The renewal of assistantship is contingent on the student's satisfactory performance in the academic programme and in the discharge of assistantship duties.

2. A student on teaching/research assistantship is also reimbursed for some contingency expenses as per the approved terms and procedures to be notified from time to time. The reimbursement for a M.Tech. student is done twice on annual basis, and for a Ph.D. student annually for the first four years of his/her programme, if he/she is on an Institute Assistantship.

3. Some financial assistantships in the form of research assistantships may also be available from sponsored research projects. Additional assistantships in the form of scholarships, fellowships, etc. may be available through other organizations, such as, the Council of Scientific and Industrial Research (CSIR), Department of Atomic Energy (DAE), etc.

4. In addition to the students admitted with financial assistance, students may also be admitted to the M.Tech./Ph.D. programmes on a self-financing basis.

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## 4 REGISTRATION

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1. A student is required to register for I semester, II semester and Summer term for the courses/thesis credits that he/she intends to pursue in that semester/term. The registration process involves:

- i) submitting a duly approved course programme to be followed in the semester/term,
- ii) payment of fees for that semester/term and clearance of any outstanding dues, and
- iii) signing the registration roll with the office of the Dean of Students Affairs.

2. A new entrant (to the postgraduate programme) who is awaiting the results of the qualifying examination, will be allowed to register "provisionally" on submission of a certificate from his/her institution certifying that he/she has appeared in the final qualifying examination (including all papers in theory, practical, project, oral, etc.). The candidate will submit attested copies of the certificates of having passed the qualifying examination by the last date for document submission as specified in the academic calendar (usually about 8 weeks from the date of registration), failing which the admission may be cancelled.

3. All students who are not on authorized leave must continue to register in the following semester/term till they submit their thesis. If, however, a student is likely to submit his/her thesis within two weeks from the commencement of classes, he/she need not register in that semester/term. This period will not be extended in any case.

4. Ph.D. students who have submitted their thesis and are waiting for the defence of the thesis will register for zero credits. They may, however, apply for leave from the Institute with permission to defend thesis while on leave.

5. In very special cases, students who have completed all the experimental work and analysis related to the thesis and are on sanctioned leave, the SPGC on the specific recommendations of the DPGC may allow submission of thesis without registration.

6. On the recommendation of the DPGC and the approval of the SPGC, the employees of IITK and QIP students registered for the Ph.D. programmes who have completed the course and thesis unit requirements and the prescribed residence period, may not register in the following semester, provided they have completed experimental work related to their thesis. However, they will be required to submit their thesis within the prescribed maximum period (specified in section 7.1).

7. If maternity leave (granted before the date of registration) extends beyond the date of late registration and expires before the end of seven weeks from the specified date of registration in a given semester the student will be allowed to register only for thesis credits. The number of credits that a student will be allowed to register will be worked out on a prorata basis. If the maternity leave extends beyond the date of registration during the summer term, registration may be waived.

8. A student in the external registration programme must complete the residence requirements (laid down in section 7.1) before the beginning of the semester in which he/she wants to register for

thesis credits for the first time. The student in the external registration program is not required to register for the summer term.

9. The student in the external registration programme who has completed the residence requirement can register during the period starting from one week prior to the end of the previous semester till the late registration date provided he/she has been awarded grades for the previous semester/term.

#### **4.1. Late Registration**

1. If for any compelling reason like illness, a student is unable to register on the day of registration, he/she will be allowed to register on the day of late registration specified in the academic calendar (which is about one week from the date of registration). Any student registering late will be required to pay the specified late registration fee. No late registration is permitted for the summer term (section 4.4).

2. In exceptional cases, the SPGC on the recommendation of the DPGC may consider registration beyond the date of late registration. In such a case, the student will be allowed to register for thesis credits only.

#### **4.2. Academic Advising**

1. A student will be advised in the selection of courses by the registration adviser appointed by the DPGC of the concerned department. A student registering for thesis credits must have a thesis supervisor assigned to him/her.

2. A student may be permitted to repeat or substitute courses in which he/she has obtained D, E or F grades. Permission to repeat/substitute a course will be governed by the guidelines laid down in section 7.6. The request for repeat or substitution of a course must be given in writing duly endorsed by the DPGC to the Academic Section at the time of registration.

#### **4.3. Semester Load Requirements**

1. A semester load is defined as equivalent of 36 credits. Most courses carry 9 credits, while a few modular courses carry 6 or 11 credits (see annexure III for explanation). Thus, a student who has registered for a full semester load solely by course work is expected to attend 4 courses. For a well-merited case, the SPGC may permit a student to register for a maximum of 45 credits or a minimum of 26 credits.

2. The normal semester load for a part-time student is equivalent of 18 credits. For a well-merited case, the SPGC may permit a student to register for a maximum of 36 credits and a minimum of 17 credits during a regular semester.

3. A student in the external registration programme when registering for thesis research, to be carried out at his/her organization, can register for a maximum of 27 credits or a minimum of 9 credits during the regular semester.

4. Notwithstanding the provisions of Para 1, a semester load is defined as equivalent of 54 credits for an MBA student. For a well-merited case, the SPGC may permit a student to register for a minimum of 36 credits.

#### **4.4. Summer -Term Registration**

A student is required to register in the summer term for up to a maximum of half the normal semester load.

#### **4.5. Adding/Dropping of Courses and Withdrawing from Courses**

1. Adding and dropping of courses after registration is permitted only if the student's request is endorsed by the instructor of the course that he/she is adding or dropping and is also endorsed by the Convener DPGC. The last dates of applying for adding and dropping of courses are specified in the academic calendar. No adding or dropping of courses is permitted in the summer term.

2. A student may be required to drop a course at any stage if it is determined that he/she does not fulfil the prerequisites for the course, or if a timetable clash exists which does not permit him/her to attend all the meetings of the course, or any rule in this manual which forbids him/her to take the course(s) that he/she has registered for.

3. The DPGC in consultation with the instructor and with the approval of the SPGC may allow a student at his/her request to withdraw from one or more courses during the semester, if he/she has been sick for considerable time and has submitted a certificate to the satisfaction of the DPGC, but the reduced load shall not be less than the minimum semester load (specified in section 4.3).

4. A student may withdraw from a maximum of one course, one month prior to the end semester exam on the recommendation of the DPGC and approval of the SPGC but the reduced load shall not be less than the minimum semester load (specified in section 4.3).

5. In the summer term, a student may withdraw from a course, two weeks prior to the end semester exam, on the recommendation of the DPGC and approval of the SPGC.

#### **4.6. Change of Registration from M.Tech./M.Des/ Programme to Ph.D. Programme**

A student registered for the M.Tech./M.Des programme may be allowed in the beginning of the second / third / fourth semester to change his/her registration to that of the Ph.D. programme in Engineering or Management on the recommendation of DPGC and with the approval of SPGC. Since this is a change of programme, Section 2.3 rules are not automatically applicable. Instead, one of the following two conditions must be satisfied:

(a) The student satisfies the eligibility criteria of Section 2.3.5 or 2.3.8 or 2.3.9 and has completed one/two/three semesters of the M.Tech./ M.Des. programme with a minimum of 12 credits through course work, and has a CPI of at least 7.0.

(b) The student does not satisfy the eligibility criteria of Section 2.3.5 or 2.3.8 or 2.3.9; however, he/she has completed two/three semesters of the M.Tech. programme as well as has completed course requirements of the M.Tech. programme with a CPI of at least 7.0. Such a change of

registration shall be reported to the Senate. Students in part-time M.Tech. programme are not permitted to change over to part-time Ph.D. programme.

#### **4.7. Change of Registration from Part-Time to Full-Time Programme**

A student admitted to a part-time programme may be allowed to change his/her registration to full-time (regular) studies at the beginning of a semester upon the recommendation of the DPGC and with the approval of the SPGC. For the purpose of determining the maximum period of stay (specified in section 7.1), one-half of the period spent as a part-time student will be counted.

#### **4.8. Change of Registration from Full-Time to Part-Time Ph.D. Programme**

1. A student admitted to a full-time Ph.D. programme may be permitted to change to a part-time Ph.D. programme. A student requesting such a conversion must:

- i) have completed the coursework, passed the comprehensive examination, given the "State of Art" seminar which is adjudged as satisfactory, and completed the residence requirements,
- ii) get the request endorsed by the supervisor(s) and the DPGC,
- iii) produce a "No Objection" Certificate from the Head of the institution/organisation, which he/she proposes to join.

2. Such conversion, if approved by the SPGC, will be subject to the following conditions:

- i) The student must complete his/her thesis within 7 years counted from the date of his/her first registration in the programme,
- ii) provision of conversion from full-time to part-time status can be availed of only once by the student during his/her programme, and
- iii) the status of the student will be reviewed by the supervisor and the DPGC at least once every two semesters after the conversion, and his/her continuation on part-time status will be subject to his/her making satisfactory progress towards completing the Ph.D. thesis.

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## **5 LEAVE RULES**

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Students may be granted leave under sections 5.1 and 5.2 on application to the Head of the Department concerned through the DPGC. Leave under sections 5.3 and 5.4 will be sanctioned by SPGC on the recommendation of DPGC. Applications must be submitted well in advance of the date of commencement of the leave requested. Leave for a period longer than that specified in sections 5.1, 5.2 and 5.3 may be sanctioned by SPGC on the recommendation of DPGC and it will entail loss of financial assistantship for the extended period.

### **5.1. Vacation and Casual Leave**

1. A postgraduate student may take a maximum of 30 days vacation leave in an academic year. This leave may be taken during the Institute's vacation period (as defined in the academic calendar), or during the mid-semester recess period (up to maximum of 9 days)
2. In addition, a student may be allowed casual leave for up to 6 days per semester and 4 days during summer term subject to the condition that such leave will not be allowed for longer than 5 days at a time and 3 days at a time in regular semester and summer term respectively. The casual leave cannot be combined with any other kind of leave, and will not be carried over.
3. There will be no loss of financial assistantship for students going on vacation or casual leave.

### **5.2. Medical Leave**

Leave on medical ground, duly supported by a medical certificate, may be granted to a student for up to 8 days per semester and 4 days during summer term. Un-availed leave may be carried over to the next semester up to a maximum of 8 days and 4 days during summer term. However, at a stretch, the medical leave shall not exceed 15 days during the semester and 8 days during the summer term. Such leave shall not entail any loss of financial assistantship.

### **5.3. Maternity Leave**

A female student may be granted maternity leave for a maximum of 3 months. Leave up to 6 weeks can also be granted for miscarriage including medical termination of pregnancy, if supported by a proper medical certificate. Such leave can be combined with any other leave due and will not entail any loss of financial assistantship.

### **5.4. Semester Leave**

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

### **5.5. Medical Certificate**

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

### **5.6. Absence for a Minimum of 4 Weeks during the semester/2 Weeks during the summer term on Sanctioned Leave**

If a registered student is absent on sanctioned leave for a period of 4 weeks or more during a semester or 2 weeks during the summer term at a stretch, during the semester, SPGC may decide to convert the leave to a semester/term leave, or reduce the thesis credits (in blocks of 4 credits) appropriately, in case the student is registered only for thesis credits.

### **5.7 Absence without Sanctioned Leave**

Absence without sanctioned leave (5.1-5.6) will entail loss of financial assistantship for the period of absence, and may result in the termination of the student's programme on the recommendation of the DPGC and approval of SPGC.

## **6. PERMISSION TO PROCEED FOR ACADEMIC WORK OUTSIDE IITK**

### **6.1 PERMISSION TO PROCEED TO OTHER ACADEMIC INSTITUTIONS AS NON-DEGREE STUDENTS**

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

- i) An M.Tech. or a Ph.D. student who satisfies the minimum conditions laid down in para (ii) below may proceed to another academic institution in India or abroad with prior permission of the SPGC on the recommendation of the DPGC.
- ii) Only those postgraduate students who have spent at least two semesters and have a CPI of at least 8.0 are eligible to proceed as non-degree students elsewhere.
- iii) For permission to spend time as a non-degree student elsewhere, an eligible student will make an application to the SPGC through the DPGC, duly supported by a statement of purpose to undertake the proposed work and sufficient information about the department/institution for the purposes of para (iv) below.
- iv) The DPGC will consider the student's application and will determine if the proposed programme of work is of such a nature that waiver for at least 18 credits per regular semester or 9 credits per summer term is possible. The SPGC may approve the application on the recommendation of the DPGC. In all such cases, the student will be informed about the requirements he/she must fulfill to apply for academic credit on his/her return.
- v) Permission to proceed to an institution as a nondegree student does not imply that the student will automatically get any waiver from the academic requirements of IIT Kanpur.
- vi) The student after completion of the work, will apply for waiver from requirements of his/her programme at IIT Kanpur supported by an official transcript of the grades obtained and whatever material the DPGC may require for the purpose given in para (vii) below.
- vii) The concerned DPGC will evaluate the work done by the student and will make recommendations to the SPGC after determining by whatever means it deems fit, the equivalent IIT Kanpur courses/requirements for which the student may be given a waiver.

viii) On the recommendation of the DPGC, the SPGC may allow the waiver for a maximum of 36 credits. Against each requirement for which a waiver is granted, a W would appear on the transcript with an explanatory note that W stands for waiver for work done at the Institution concerned. All such requirements will be deemed to carry zero weight for SPI/CPI calculations.

ix) The minimum residence requirement for the students who avail of this provision will remain unchanged for Ph.D. students but may be reduced by one semester for M. Tech students, provided they spend at least one semester of 16 weeks duration or two quarters of at least 11 weeks duration each as non-degree students elsewhere with prior permission.

x) Those students who are selected by the Institute using a Senate-prescribed procedure to proceed on any institutional exchange programme, except for the students going under the DAAD fellowship programme, will also have to go through the procedure and rules for the transfer of credits as outlined in paras (vi), (vii), (viii) and (ix) above.

## 6.2 PERMISSION TO PROCEED FOR ACADEMIC ACTIVITIES

The PG students can be permitted to proceed for academic activities outside IITK to carry out field work, library work, computational work, experimental work, and Lab works, and also to attend conference, courses and to undertake other research work etc. as recommended by the department. Permission for a duration upto 30 days be sanctioned by the department with an intimation to SPGC and more than 30 days by the Chairperson- SPGC on the recommendation of the Department.

## 7 ACADEMIC REQUIREMENTS

### 7.1. Minimum Residence, Maximum Duration and Academic Requirements

The following table lists the minimum residence and maximum duration allowed in the programme, and credits requirements for graduation in the various programmes:

"Course Work" includes only postgraduate course credits unless otherwise stated. To satisfy the "Minimum Residence" requirements, registration must be over consecutive semesters; exception will be made only if the student is on authorized leave. "Maximum Duration" is counted from the student's first registration date. SPI/CPI will be calculated on the basis of all postgraduate courses taken by the student.

Programme	Minimum Total Credits	Credits Through Course Work (Minimum)	Credits Through Research (Minimum)	Minimum Number of courses	Minimum Residence	Maximum Duration
DIIT	72	36	18		2 Sem <sup>3</sup>	3 Sem <sup>5</sup>
M. Tech./ M.Des	144	54 <sup>1</sup>	63	6	4 Sem	4 Years <sup>5</sup>
MBA	216	216	-	24	4 Sem	3 Years
Ph.D (Engineering) students with B.Tech., M.Sc.	216	72	72	08 <sup>2</sup>	6 Sem <sup>4</sup>	7 Years
Ph.D (BSBE) students with B.Tech., M.Sc, B.Pharm, or M.B.B.S	216	54	162	06 <sup>2</sup>	6 Sem <sup>4</sup>	7 Years
Ph.D (Engineering /	144	36	72	04 <sup>2</sup>	4 Sem <sup>4</sup>	6 Years <sup>5</sup>

Management) students with M.Tech., M.Pharm, or M.D.						
Ph.D (Management) students with MBA (with M.Sc., M.A., B.Tech.)	144	36	72	04 <sup>2</sup>	4 Sem <sup>4</sup>	6 Years <sup>5</sup>
Ph.D (Management) students with MBA (with B.A., B.Sc.)	180	54	72	06 <sup>2</sup>	5 Sem	6 Years <sup>5</sup>
Ph.D (Management) students with B.Tech., M.Sc., M.A., or M.Com	<u>216</u>	72	72	08 <sup>2</sup>	6 Sem <sup>4</sup>	7 Years
Ph.D (Sciences / HSS) students with M.Sc., M.A., M.Phil	180	54	72	06 <sup>2</sup>	5 Sem	6 Years <sup>5</sup>
Ph.D (Sciences / HSS) students with B.Tech.	<u>216</u>	72	72	08 <sup>2</sup>	6 Sem	7 Years
Ph.D in Design	180	36	72	04 <sup>2</sup>	4 Sem <sup>4</sup>	6 Years <sup>5</sup>

1. May include one undergraduate course (permitted by the DPGC).
2. May register for undergraduate courses as a special case: these courses will be deemed to have zero credits and will be awarded an S/X grade. A student may take additional post graduate courses and will be awarded S/X grades unless the student requests for a course to be used for computing his/her CPI at the time of registration.
3. Excludes summer term.
4. Students in the External Registration Programme will be required to stay on the campus at least as long it takes to (i) complete the required course work and pass the comprehensive examination and (ii) get a written proposal (prepared in consultation with his/her supervisor and co-supervisor) outlining the work proposed to be done for his/her thesis.
5. Add an additional year in case of part-time/external students.
6. Department may specify minimum credits through courses over and above given in table 7.1. You may refer to Appendix IV.

A department may prescribe, with prior approval of the SPGC, additional credits of courses/thesis over and above the minimum specified in the above table.

## 7.2. Extension of Programme

1. No student who has completed the prescribed maximum duration in the programme shall be allowed to register in the subsequent semester unless he/she has been granted extension of the programme by the Senate on the recommendations of the DPGC and the SPGC.
2. However, those Ph.D. students who have submitted their theses and are waiting for the defence will be treated automatically as registered unless they apply for leave.

## 7.3. Audit Courses

The students are permitted to audit courses, but such courses shall not be shown either on the registration form or on the grade transcript.

## 7.4. Advance Standing at IITK

On the recommendation of the DPGC and approval of the SPGC, a student admitted to a postgraduate programme after partial completion of such or similar programme elsewhere may be



granted an exemption up to 50 percent of the minimum course credits requirements. A Ph.D. student who has completed the twoyear M.Sc. programme at this institute can transfer a maximum of 18 postgraduate course credits earned during the M.Sc. programme towards fulfillment of his/her course requirement for the Ph.D. programme on the recommendation of the DPGC and approval of the SPGC, provided these credits were in excess of the minimum requirement for earning the M.Sc. degree. Further a student granted advanced standing at IITK may get an exemption of one semester from the residence requirement on the recommendation of the DPGC and approval of the SPGC.

### **7.5. Residence Outside IITK**

Students registered in the postgraduate programmes may count for residence and credit requirements, research or field work undertaken outside the institute under the supervision of the Institute supervisor(s), if facilities for such work are not available at this institute. Such cases must be recommended by the DPGC and approved by the SPGC before the student proceeds to the place of assignment. The D.IIT. students will not be allowed to count research undertaken outside the institute for residence and credit requirements.

### **7.6. Credits, Grades, Semester and Cumulative Performance Index**

1. In each course a student is registered (except courses covered under footnote 2 of clause 7.1), he/she earns certain approved credits and is awarded a letter grade indicating his/her overall performance in that course. There are *ten* letter grades: A\*, A, B, C, D, E, F, S, X and I. The correspondence between grades and points (on a 10-point scale)/rating is given below:

**A\*: 10   A: 10   B: 8   C: 6   D: 4   E: 2   F: 0**  
**S: Satisfactory   X: Unsatisfactory   I: Incomplete**

2. If a student does not complete all the requirements for a course for a genuine reason, the instructor may award grade I (Incomplete). An I grade must be converted by the instructor to a regular letter grade by the last date for such conversion specified in the Academic Calendar, failing which it is automatically converted to an F grade.
3. A student getting an E or a F grade in a course must either repeat it or substitute it by another course as suggested by DPGC.
4. A student getting a D grade in a course may be allowed to repeat it or substitute it by another course, provided:
  - i) his/her CPI is less than the prescribed minimum and the student is allowed to continue in the programme (as per provisions of section 7.7), or the repetition/substitution is for a maximum of one course in the programme such that it does not lead to any increase in the semester load, and
  - ii) he/she has completed all the courses as prescribed by the department

In case a course is repeated or substituted, the old grade will also appear on the transcript although it will not be taken into account while computing the CPI/SPI.

5. Seminars will be graded as satisfactory (S) or unsatisfactory (X) and will carry zero credits.
6. A student earns 9 credits for each D.IIT, M.Tech., M.Des., Ph.D project/thesis unit he/she is registered for in a semester. The grade S or X will be awarded for project/thesis credits as follows:

At the end of the semester, the project/thesis supervisors(s) will assess the student's progress towards the project/thesis work during the semester and will award the grade S for each unit if the work is *satisfactory* and a X for every *unsatisfactory* unit. Thus a student registered for 4 credits can get one of the following five combinations SSSS, SSSX, SSXX, SXXX, XXXX.

Format for the M.Tech./M.Des/Ph.D. thesis grades in student's transcripts

Thesis Credits	Thesis Credits	Grading Options
4	36	4S, 3S1X, 2S2X, 1S3X, 4X
3	27	3S, 2S1X, 1S2X, 3X
2	18	2S, 1S1X, 2X
1	09	1S, 1X
0	0	0S, 0X

7. If a student is on leave for a part of the semester or submits his/her thesis in the middle of a semester, the SPGC may reduce his/her thesis/ project credits appropriately.

#### 7.6.1. Computation of the Semester Performance Index (SPI) and Cumulative Performance Index (CPI)

The SPI is an indicator of the overall academic performance of a student in all the courses he/she has registered during a given semester. It is computed as follows: *If the grades awarded to a student are  $G_1, G_2$  etc in courses with corresponding credits  $C_1, C_2$  etc, the SPI is given by*

$$SPI = (C_1 G_1 + C_2 G_2 + \dots) / (C_1 + C_2 + \dots)$$

In the above computation, courses with S and X grades are ignored. Similarly, the CPI indicates the cumulative academic performance in all the courses taken including those taken in the current semester.

#### 7.7. Academic Performance Requirement

1. The minimum CPI requirement for continuing in the programme or for graduation is given below.

D.IIT./M.Tech./M.Des./MBA programme : 6.5.  
Ph.D. programme : 7.0.

2. In the first semester in which the student registers, the minimum CPI (SPI) may be relaxed to 6.0 and the student may be allowed to continue in the following semester on the recommendations of the DPGC and with the approval of the SPGC. A warning will be issued.

3. If a D.IIT. /M.Tech./M.Des./MBA student secures a CPI between 6.0 and 6.5 or a Ph.D. student secures a CPI between 6.5 and 7.0, he/she may be allowed to continue in the following semester on the recommendation of the DPGC and with the approval of the SPGC. A warning will be issued

4. A student will normally not be allowed to continue in the D.IIT./M.Tech./M.Des./MBA programme if

- i) his/her CPI is below 6.0.
- ii) his/her CPI is below 6.5 in two consecutive semesters (however, SPGC may consider continuation as per provisions of para 3).
- iii) he/she obtains two Fs or two Es or one F and one E in the same or different courses.
- iv) he/she accumulates three or more Xs towards thesis grades.

5. A student will normally not be allowed to continue in the Ph.D. programme if

- i) his/her CPI is below 6.5 (below 6.0 in the case of first semester student).
- ii) his/her CPI is below 7.0 in two consecutive semesters (however, SPGC may consider continuation as per provisions of para 3).
- iii) he/she obtains two Fs or two Es or one F and one E in the same or different courses.
- iv) he/she accumulates eight or more Xs towards thesis grades.
- v) he/she accumulates six or more Xs towards thesis grades in two consecutive semesters.
- vi) he/she secures Xs in all the thesis credits registered for in two consecutive semesters.

6. A warning will be issued to a Ph.D. student when he/she accumulates two or more Xs.

7. The DPGC will keep a watch on the progress of every student and whenever a student fails to meet the requirements, will intimate the SPGC. If a student's programme is terminated, the Head of the Department will issue the letter of termination.

### **7.8. Exit from Ph.D. in Engineering**

A Ph.D. student in an engineering department may exit from the programme with an M.Tech. degree provided

- (i) a request to this effect is made at least six months before the exit but not before the student has completed two-and-half years (excluding the period of sanctioned leave, if any) in the programme;
- (ii) the request is approved by the Senate on the recommendations of DPGC and SPGC; and
- (iii) the student has completed all the requirements of the M.Tech. degree (including a thesis).

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## **8 COMPREHENSIVE EXAMINATION OF Ph.D. STUDENTS**

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1. Students registered in the Ph.D. programme must pass a comprehensive examination designed to test the overall comprehension of the student in the various subjects. A student can appear in the comprehensive examination only after he/she has completed the course requirements and satisfied the minimum specified CPI requirement

2. Students admitted with B.Tech., M.Sc., M.A. or M.Phil. degrees or part-time students with M.Tech. or equivalent degrees may appear in the comprehensive examination earliest at the end of the second semester, but must pass it before the end of the fifth semester after their first registration. Students admitted with M.Tech. or equivalent degrees may appear in the comprehensive examination earliest at the end of the first semester, but must pass it before the end of the fourth semester after their first registration. The above time limits are exclusive of the period of sanctioned leave, if any.

3. The examination will be in oral form but may be supplemented with a written part.

4. The comprehensive examination board will consist of at least three but not more than five faculty members of the student's department/IDP plus one faculty member from outside the department/IDP (discipline, in the case of Humanities & Social Sciences). There may be two faculty members from outside the department/IDP (discipline, in the case of Humanities & Social Sciences) in case thesis supervisor is from outside the department/IDP (discipline, in the case of Humanities & Social Sciences). Constitution of the board will be proposed by the DPGC in consultation with the Head of the department/IDP and the thesis supervisor, if already assigned, and will be forwarded to the Chairperson, SPGC who will send it to the Chairman, Senate for approval. The thesis supervisor of the student, if already assigned, will be the convener of the board. In case no thesis supervisor is assigned, the Convener, DPGC will be the convener of the board.

5. A student will be considered to have passed the comprehensive examination if all except at the most one member of the board are satisfied with student's performance in the examination. The report of the comprehensive examination must be sent to the Chairperson, SPGC within 8 weeks of the date of approval of the board.

6. When a student has not passed the comprehensive examination in his/her first attempt, a second comprehensive examination will be conducted by the same board that was constituted earlier unless otherwise approved by the Chairman, Senate on the recommendation of the DPGC and the SPGC. A student will not be allowed to appear in the comprehensive examination more than twice. All such cases shall be brought to the notice of the Senate.

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## **9 CANDIDACY FOR THE Ph.D. DEGREE**

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A student enrolled in the Ph.D. programme is formally admitted to the candidacy for the Ph.D. degree after he/she has completed the course requirements for the degree with at least the minimum required CPI, and has passed the comprehensive examination. Only such students who are admitted to the candidacy will be allowed to submit Ph.D. theses in accordance with the guidelines laid down in section 11.4.2.

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## 10 STATE OF ART SEMINAR

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Every Ph.D. student admitted to the candidacy for the Ph.D. degree is required to give a general seminar in the Department covering the *State of Art* of the area of research. This seminar must be given within six months of passing the comprehensive examination. A report of satisfactory completion of this requirement is to be communicated to Chairperson, SPGC by the thesis supervisor through the Convener, DPGC.

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## 11 THESIS AND THESIS EXAMINATION

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### 11.1. Appointment of Thesis Supervisors of D.IIT., M Tech., M. Des. and Ph.D. Students

1. A student shall not normally have more than two supervisors at any given time.
2. Thesis supervisor(s) of a student will normally be appointed from amongst the faculty members at IIT Kanpur using modalities decided by the departments.
3. Under exceptional circumstances, other employees of IITK with the rank of senior scientific officer and above can be appointed as co-supervisors of Ph.D. students. The recommendation of a peer group (appointed by the Head of the Department to which the student belongs) regarding the merit and qualifications of being considered as co-supervisor should be sent to the SPGC through the DPGC for approval. One such co-supervisor can be appointed to only one student at a time.
4. In exceptional cases a student can have a co-supervisor from outside the institute on the recommendation of the DPGC and the SPGC and approval of the Chairman, Senate.
5. The appointment or change of supervisor(s) will be communicated to the SPGC by the DPGC. No change/addition of supervisor(s) is allowed after the thesis has been submitted.
6. In case there has been a change/addition in the supervisor(s), the M.Tech./M.Des. thesis will not be submitted earlier than three months and the Ph.D. thesis will not be submitted earlier than six months from the date of such change.
7. If a student's supervisor proceeds on **long leave for more than one year** in case of Ph.D. students, and on leave for more than three months in case of M.Tech./M.Des. students, the DPGC shall appoint a supervisor or a co-supervisor in consultation with the supervisor and the student. In such a case the number of supervisors may be more than two if an external supervisor already exists. If a student's supervisor proceeds on **leave for not more than one year** in case of Ph.D. students\*, and not more than three months in case of M.Tech./M.Des. students, the DPGC may appoint a programme coordinator to take care of various formalities.

**\*Note:** Depending on the stage of the thesis of the student, the Comprehensive examination can be conducted by the DPGC Convener or the program coordinator. However, the SOTA, Open seminar, Thesis submission & defense etc. might get postponed till the supervisor's return. However, if the student has a co-supervisor, these things can be taken care of.

8. If all research work and related analysis is complete except writing of the thesis, and the supervisor proposes to go on leave, the DPGC may appoint a programme coordinator, to take care of the formalities, such as providing the list of examiners, conducting the oral examination, etc.

9. In case a supervisor resigns/retires or otherwise ceases to be a faculty member of the institute the DPGC will appoint a new supervisor or co-supervisor.

## **11.2. Open Seminar of Ph.D. Students**

Before proceeding to finalize the thesis, each Ph.D. student must deliver a seminar open to faculty and students in which the research work will be presented to obtain comments and criticism which may be incorporated in his/her thesis. A notice of the seminar must be displayed at least four days in advance. A thesis can be submitted only after the satisfactory fulfillment of this requirement. The intimation that the open seminar has been given should be communicated by the thesis supervisor through the Convener, DPGC to the Academic Section.

The maximum time duration for the submission of the thesis after the delivery of the open seminar will be six months. In exceptional circumstances, the students may seek an extension up to three months with proper justification. However, if the thesis is not submitted within the desired period including the extension, the open seminar already delivered will stand cancelled and the student will be required to give a fresh open seminar before he/she submits his/her thesis.

## **11.3. Constitution of Committee/Board for Thesis and Oral Examination**

### **11.3.1. M Tech/M Des Thesis and D.IIT. Project Oral Examination Committee**

1. The thesis/project will be examined by an oral examination committee formed by the thesis supervisor(s)/programme coordinator in consultation with the Head of the Department/IDP. It must be recommended by the DPGC and approved by the Chairperson, SPGC.

2. The committee shall consist of the thesis supervisor(s)/ programme coordinator and at least two but not more than four other members, one of who should belong to a department/IDP other than the student's department/IDP. The thesis supervisor/programme coordinator will act as the Convener of the Committee.

### **11.3.2. Ph.D. Thesis Board**

1. The thesis board shall consist of three members in addition to the thesis supervisor(s) approved by the Chairman, Senate. Unless some special circumstances make it impractical, at least two members of the thesis board (other than the supervisor(s)) must be from outside the Institute and at least one of these two must be from within the country.

2. The procedure for constituting the thesis board is given below.

i) The thesis board may be proposed at the most 4 weeks before the submission of the thesis.

ii) The thesis supervisor(s)/programme coordinator, in consultation with the Head of the Department shall propose a list of examiners (in addition to the thesis supervisor(s)/programme coordinator) consisting of at least three extra names over and above the required number of members for the thesis board. This list along with adequate number of copies of synopsis (prepared according to the format prescribed in Specification and Information Regarding the Preparation of Thesis) shall be forwarded by the DPGC to Chairperson, SPGC.

iii) The Chairman, Senate in consultation with Chairperson, SPGC will select the members of the thesis board from this list. If considered necessary, the Chairman, Senate may require additional names of experts to be submitted. In case Chairman, Senate is the supervisor/co-supervisor of the student concerned, Chairperson, SPGC will select the members of the thesis board. In case Chairperson, SPGC is the supervisor of the student concerned, Chairman, Senate may consult Chairperson, SUGC for the selection of the thesis board.

iv) The names of the members of the thesis board shall be kept confidential till successful completion of the oral examination. However, on completion of Ph.D. thesis evaluation (as detailed in section 11.5.2), the Academic Section will send to the thesis supervisor(s) the names of the institute faculty who are the members of the thesis board, as well as that member who is from outside the institute but is from within the country so that these names can be included in the proposed list of the members of oral board.

### **11.3.3. Ph.D. Oral Board**

1. The oral board shall consist of four members in addition to the thesis supervisor(s)/programme coordinator. Of the four, three shall be from among the faculty members of the institute (including those, if any, on the thesis board) and one shall be from among the members of the thesis board within the country but outside the institute. Of the three members from IIT Kanpur at least one shall be from a department or IDP (or discipline in case of Humanities and Social Sciences) which is different from the student's own.

2. The thesis supervisor(s)/programme coordinator in consultation with the Head of the Department shall propose the constitution of the oral board (forwarded through the Convener, DPGC) to the Chairperson, SPGC who will forward it to the Chairman, Senate for approval.

### **11.4. Submission of Thesis/Project**

#### **11.4.1. M.Tech./M.Des. Thesis / D.IIT. Project**

After the M.Tech./M.Des./D.IIT. oral examination committee has been constituted, unbound copies of the thesis/project report one for each examiner of the oral board, prepared according to the format prescribed in the pamphlet entitled: Specification and Information Regarding the Preparation of Thesis, will be submitted at least a week before the probable date of oral examination. The Academic Section will arrange to send the copies of the thesis to the examiners. Two copies of the abstract (approximately 250 words) should also be submitted along with the thesis/project report.

#### **11.4.2. Ph.D. Thesis**

Ph.D. thesis can be submitted only after the thesis board has been duly approved and the intimation of the satisfactory completion of the open seminar has been received. Bound copies of the Ph.D. thesis (prepared according to the format prescribed in the pamphlet entitled: Specification and Information Regarding the Preparation of Thesis) one for each examiner of the thesis board plus an additional adequate number of copies for the oral board, will be submitted.

#### **11.5. Processing of Project/Thesis**

##### **11.5.1. M Tech/M.Des./D.IIT. Oral Examination**

1. The oral examination will be conducted within four months from the date of submission of the thesis/project. If a student does not appear in the oral examination within this time period, his/her programme would be deemed to have been terminated. Request for reinstatement in the programme by such a student should be addressed to the Chairman, Senate. The request may be considered by the Senate and in case the Senate grants the request it shall specify the requirements that the student must fulfill for the award of the degree.
2. The thesis supervisor/programme coordinator will intimate the date of the oral examination to the Academic Section.
3. The oral examination committee will evaluate the thesis/project, conduct the oral examination and send a report of the examination to the Chairperson, SPGC through the Convener, DPGC.
4. A thesis will be considered to have been accepted if all members of the oral examination committee recommend its acceptance. A thesis, which is not accepted, will be considered to have been rejected.
5. If a thesis is rejected along with a recommendation for resubmission after incorporating any modification/correction suggested by the oral examination committee, oral examination of the re-submitted thesis/project will be conducted by the original committee unless a different committee is approved by the Chairperson, SPGC. If the re-submitted thesis is rejected, the matter will be reported to the Senate for appropriate action.
6. Acceptance of thesis/project will be reported to the Senate for approval.

##### **11.5.2. Ph.D. Thesis Evaluation by the Thesis Board**

1. After the synopsis has been submitted and the thesis board constituted, the Dean of Academic Affairs will send a letter by e-mail/fax to each member of the thesis board enclosing a copy of the synopsis and requesting him/her to serve as an examiner for the thesis. If the examiner refuses or no response is received for four weeks (with a reminder being sent after two weeks), then steps will be taken to appoint another examiner.
2. On receipt of the acceptance of examinership a copy of the thesis along with a thesis evaluation form for the examiner's report will be sent to each examiner.



3. In case Dean of Academic Affairs is the supervisor of the student concerned, above processing (detailed in paras 1 and 2) will be done by the Dean of Faculty Affairs.

4. When an examiner's report is received, the Chairperson, SPGC will place it in one of the following three categories:

i) **Category I:** If an examiner suggests corrections regarding punctuation, grammar, spelling or language, the supervisor(s) can use their discretion regarding incorporation of such suggestions.

ii) **Category II:** If an examiner points out typographical errors other than those in (i) above, or minor technical mistakes, raises some queries or suggests modifications but does not imply that the acceptance of the thesis is subject to removal of these defects to the examiner's satisfaction, the supervisor will communicate to the Chairperson, SPGC the student's response to the above and the same will be incorporated in the thesis to the satisfaction of the oral board, and examiner(s) concerned should be informed of the changes made on the basis of his/her suggestions.

iii) **Category III:** If an examiner outright rejects the thesis or raises technical points or suggests modifications which must be answered/carried out to the examiner's satisfaction before the thesis is accepted, the supervisor will communicate to the Chairperson, SPGC the changes made in the thesis, if any, in response to the examiner's comments along with an explanatory note which will be sent to the examiner with a request to respond within six weeks; if the examiner's response is not received within this period, a reminder will be sent and if no reply is received within six weeks time, further action will be initiated.

5. Copies of the categorized report (without the identity of the examiner) will be sent to the thesis supervisor(s) and the Head of the Department.

6. On completion of the process detailed above, the Chairperson, SPGC will intimate the supervisor the concurrence of the Chairman, Senate, if given, to initiate the constitution of the oral board. This concurrence of Chairman, Senate will be given if all the examiners recommend acceptance of the thesis. If one of the examiners rejects the thesis, the matter will be referred to Chairman, Senate for deciding further course of action. If two or more examiners reject the thesis, the thesis will be rejected.

7. In case Chairperson, SPGC is the supervisor of the student concerned, the above processing (detailed in paras 4, 5 and 6) will be done by Chairperson, SUGC.

### **11.5.3. Ph.D. Oral Examination**

1. The Ph.D. oral examination will be an open examination. The supervisor(s)/programme coordinator will be the convener of the oral board and will fix the date of the oral examination and intimate the date to the Academic Section.

2. If a member of the oral board communicates his/her inability to be present in advance or fails to be present on the specified date and time, the Chairman, Senate may appoint a substitute in consultation with the thesis supervisor(s)/programme coordinator, Head of the department and Chairperson, SPGC.

3. Each member of the oral board will be given a copy of the thesis along with the entire technical correspondence with the thesis examiners at least one week before the date of the oral examination.
  4. The oral board shall
    - i) examine the thesis reports,
    - ii) examine if necessary modifications suggested by the thesis examiners have been incorporated,
    - iii) elicit the candidate's replies to the questions raised by the thesis examiners,
    - iv) authenticate the work as the student's own,
    - v) judge if the presentation of the work by the student and the answers to the questions asked have been satisfactory, and
    - vi) give a report of the examination, which will be communicated by the supervisor(s)/programme coordinator to the Chairperson, SPGC through the Convener, DPGC.
  5. If all, except at most one member, declare the student as passed, the student shall be deemed to have passed.
  6. If a candidate has not passed, the oral board will specify whether
    - i) the candidate may be given another chance to appear in the oral examination and will specify the approximate date for re-examination. The original oral board will conduct the re-examination unless a different oral board is approved by the Chairman, Senate. In the re-examination, the board will declare whether the student has passed or failed as per the criteria laid down above but will not recommend holding a third oral examination.
    - ii) the candidate is declared to have failed.
  7. On receipt of the report that the student has passed the oral examination, the Chairperson, SPGC will recommend to the Senate for award of the Ph.D. degree.
  8. If the candidate has failed, the matter will be brought to the attention of the Senate for further action.
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## **12 GRADUATION REQUIREMENTS**

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A student shall be deemed to have completed the graduation requirements., if the student has

- i) passed all the prescribed courses,
- ii) attained the minimum required CPI,
- iii) satisfied the minimum academic and residence requirements,.
- iv) satisfied all the requirements specified by the concerned department, if any,
- v) satisfied all the requirements specified by the Senate and the Ordinances..

In addition, the student should have paid all the dues to the Institute and, should have no pending case of indiscipline.

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## ANNEXURE I

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### POSTGRADUATE COMMITTEES

The Senate Postgraduate Committee (SPGC) shall consist of one representative from each of the academic departments/interdisciplinary programmes who must be the Convener of DPGC and six additional members of whom one shall be the outgoing Chairperson (if not otherwise a member) and four shall be students, two each from Ph.D. and M.Tech. programmes and nominated for the purpose by the Students Senate.

The Postgraduate Committee shall have jurisdiction in the following matters concerning the postgraduate programme of the Institute: *the formal approval of new courses of instruction, modification of courses already approved, the credit value of courses, the formal approval of admission of postgraduate students, the admission of qualified students to candidacy for degrees, the rules governing the form of presentation and disposal of theses, the conduct of oral and written examinations and in such other related matters as may be referred to it by the Senate.*

The functions of the Committee shall consist primarily of general policy determination, coordination and review, but the Senate shall retain the power of final review. In the discharge of its responsibilities the committee shall make full use of the appraisals and recommendations of the various academic departments concerned. This committee shall be assisted by the Departmental Postgraduate Committees.

Each department/interdisciplinary programme (approved by the Senate) shall have a Departmental Postgraduate Committee consisting of a Convener to be nominated by the Head of Department in consultation with the faculty of the department, the Head of the Department and a minimum of four and a maximum of eight faculty members to be chosen by the Department, and two students, one from the Ph D and other from the M. Tech programme. If an M.Tech. programme does not exist both shall be from the Ph.D. programme. The student members shall be chosen by the postgraduate students of the department for a period of one year.

The student members shall not participate when the cases of academic evaluation of individual students are being considered, although the students' opinion might be sought prior to taking any decision.

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## ANNEXURE II

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### RESERVATION OF SEATS

#### SC/ST Category

In each programme 15 percent seats are reserved for the Scheduled Castes (SC) candidates and 7.5 percent seats are reserved for the Scheduled Tribes (ST) candidates. Such candidates are required to produce at the time of admission an **original certificate** in the prescribed format (see Annexure II.1).

#### OBC Category

Board of Governors has approved 27 percent reservation for Other Backward Classes (OBCs) candidates (other than those covered under the category of “creamy layer”) in a phased manner commencing from the academic year 2008-09 (ref: BOG 2008.3.16). The reservation is applicable to those OBC candidates who satisfy the following eligibility requirements.

1. They belong to one of the castes listed against the state of their residence on the web-site of **National Commission of Backward Classes (NCBC)**, i.e., they belong to the **central list of OBC** (visit the URL: <http://ncbc.nic.in/backward-classes/index.html>).

2. They are excluded from the Creamy Layer as provided in the OM No. 36012/22/93-(SCT) dated 8<sup>th</sup> September, 1993 of the Ministry of Personnel, Public Grievance and Pension, Department of Personnel and Training as amended by that department vide OM No. 36033/3/2004-Estt.(Res) dated 9<sup>th</sup> March, 2004 and any other notification that may take place before the admission. More details on the definition of Creamy Layer are available at the following links:

<http://ncbc.nic.in/html/creamyayer.html>

[http://persmin.gov.in/WriteData/WMS/ScanDocument/36033\\_5\\_2004\\_01April2005.htm](http://persmin.gov.in/WriteData/WMS/ScanDocument/36033_5_2004_01April2005.htm)

To ensure that the benefit of reservation is given only to the **OBCs excluded from the Creamy Layer** (as per the above-mentioned Office Memorandum), candidates belonging to the OBC category are required to produce at the time of admission an **original certificate** in the prescribed format (see Annexure II.2).

#### PD Category

In each category of seats (unreserved and reserved), 3 percent seats are reserved for the Physically Disabled (PD) candidates and are to be filled up as per the admission procedure laid down for that category. In case one or more of the seats reserved for the PD candidates in a category remain vacant, those are permitted to be filled up by the other candidates belonging to the same category.

**Annexure II.3 gives the break-up of the seats in different categories as approved by the Senate for the academic year 2010-2011.**

**FORM OF THE CERTIFICATE TO BE PRODUCED BY SCHEDULED CASTES AND  
SCHEDULED TRIBES CANDIDATES IN SUPPORT OF HIS/HER CLAIM**

1. This is to certify that Shri/Shrimati/Kumari\* \_\_\_\_\_ son/daughter\* of \_\_\_\_\_ of Village/Town\* \_\_\_\_\_ in District/Division\* \_\_\_\_\_ of State/Union Territory\* \_\_\_\_\_ belongs to the \_\_\_\_\_ Caste/Tribe\* which is recognised as a Scheduled Caste/Scheduled Tribe\* under:-

The Constitution (Scheduled Castes) Order, 1950

\*The Constitution (Scheduled Tribes) Order, 1950

\*The Constitution (Scheduled Castes) (Union Territories) Order, 1951

\*The Constitution (Scheduled Tribes) (Union Territories) Order, 1951

[As amended by the Scheduled Castes and Scheduled Tribes Lists (Modification Order) 1956, the Bombay Reorganisation Act, 1960, the Punjab Reorganisation Act, 1966, the State of Himachal Pradesh Act, 1970, the North Eastern Areas (Reorganisation) Act, 1971, the Scheduled Castes and Scheduled Tribes Orders, (Amendment) Act, 1976 and the Scheduled Castes and Scheduled Tribes Orders (Amendment) Act, 2002].

\*The Constitution (Jammu & Kashmir) Scheduled Castes Order, 1956;

\*The Constitution (Andaman and Nicobar Islands) Scheduled Tribes Order, 1959, as amended by the Scheduled Castes and Scheduled Tribes Order (Amendment) Act, 1976;

\*The Constitution (Dadara and Nagar Haveli) Scheduled Castes, Order, 1962;

\*The Constitution (Dadara and Nagar Haveli) Scheduled Tribes, Order, 1962;

\*The Constitution (Pondicherry) Scheduled Castes Order, 1964;

\*The Constitution (Uttar Pradesh) Scheduled Tribes Order, 1967;

\*The Constitution (Goa, Daman and Diu) Scheduled Castes Order, 1968;

\*The Constitution (Goa, Daman and Diu) Scheduled Tribes Order, 1968;

\*The Constitution (Nagaland) Scheduled Tribes Order, 1970;

\*The Constitution (Sikkim) Scheduled Castes Order, 1978;

\*The Constitution (Sikkim) Scheduled Tribes Order, 1978;

\*The Constitution (Jammu and Kashmir) Scheduled Tribes Order, 1989;

\*The Constitution (Scheduled Castes) Orders (Amendment) Act, 1990;

\*The Constitution (Scheduled Tribes) Order (Amendment) Act, 1991;

\*The Constitution (Scheduled Tribes) Order (Second Amendment) Act, 1991;

2. This certificate is issued on the basis of the Scheduled Castes/Scheduled Tribes\* Certificate issued to Shri/Shrimati\* \_\_\_\_\_ father/mother\* of Shri/Shrimati/Kumari\* \_\_\_\_\_ of Village/Town\* \_\_\_\_\_ in District/Division\* \_\_\_\_\_ of the State/Union Territory\* \_\_\_\_\_ who belong to the Caste/Tribe\* which is recognized as a Scheduled Caste/Scheduled Tribe\* in the State/Union Territory\* \_\_\_\_\_ issued by the \_\_\_\_\_ dated \_\_\_\_\_.

3. Shri/Shrimati/Kumari\* \_\_\_\_\_ and/or\* his/her\* family ordinarily reside(s)\*\* in village/town\* \_\_\_\_\_ of \_\_\_\_\_ District/Division\* of the State/Union Territory\* of \_\_\_\_\_.

Signature \_\_\_\_\_

Designation \_\_\_\_\_

(with seal of Office)

Place \_\_\_\_\_ State/Union Territory\* \_\_\_\_\_

Date \_\_\_\_\_

**\*Please delete the word(s) which are not applicable.**

### IMPORTANT NOTES

1. The term “ordinarily reside(s)\*\* used here will have the same meaning as in Section 20 of the Representation of the People Act, 1950.
2. Officers competent to issue Caste/Tribe certificates:
  - (i) District Magistrate/Additional District Magistrate/Collector/Deputy Commissioner/Additional Deputy Commissioner/Deputy Collector/1st Class Stipendiary Magistrate/City Magistrate/Sub-Divisional Magistrate/Taluka Magistrate/Executive Magistrate/Extra Assistant Commissioner.
  - (ii) Chief Presidency Magistrate/Additional Chief Presidency Magistrate/Presidency Magistrate.
  - (iii) Revenue Officers not below the rank of Tehsildar.
  - (iv) Sub-Divisional Officer of the area where the candidate and/or his family normally reside(s).
  - (v) Administrator/Secretary to Administrator/Development Officer (Lakshdweep Island).
3. Certificate issued by any other authority will be rejected.

**FORM OF CERTIFICATE TO BE PRODUCED BY OTHER BACKWARD CLASSES  
APPLYING FOR ADMISSION TO CENTRAL EDUCATION INSTITUTES UNDER THE  
GOVERNMENT OF INDIA**

This is to certify that Shri/Smt./Kum. \_\_\_\_\_ Son/Daughter of Shri/Smt.  
\_\_\_\_\_ of Village/Town \_\_\_\_\_  
District/Division \_\_\_\_\_ in the \_\_\_\_\_ State belongs to the  
\_\_\_\_\_ Community which is recognized as a backward class under:

- (i) Resolution No. 12011/68/93-BCC(C) dated 10/09/93 published in the Gazette of India Extraordinary Part I Section I No. 186 dated 13/09/93.
- (ii) Resolution No. 12011/9/94-BCC dated 19/10/94 published in the Gazette of India Extraordinary Part I Section I No. 163 dated 20/10/94.
- (iii) Resolution No. 12011/7/95-BCC dated 24/05/95 published in the Gazette of India Extraordinary Part I Section I No. 88 dated 25/05/95.
- (iv) Resolution No. 12011/96/94-BCC dated 9/03/96.
- (v) Resolution No. 12011/44/96-BCC dated 6/12/96 published in the Gazette of India Extraordinary Part I Section I No. 210 dated 11/12/96.
- (vi) Resolution No. 12011/13/97-BCC dated 03/12/97.
- (vii) Resolution No. 12011/99/94-BCC dated 11/12/97.
- (viii) Resolution No. 12011/68/98-BCC dated 27/10/99.
- (ix) Resolution No. 12011/88/98-BCC dated 6/12/99 published in the Gazette of India Extraordinary Part I Section I No. 270 dated 06/12/99.
- (x) Resolution No. 12011/36/99-BCC dated 04/04/2000 published in the Gazette of India Extraordinary Part I Section I No. 71 dated 04/04/2000.
- (xi) Resolution No. 12011/44/99-BCC dated 21/09/2000 published in the Gazette of India Extraordinary Part I Section I No. 210 dated 21/09/2000.
- (xii) Resolution No. 12015/9/2000-BCC dated 06/09/2001.
- (xiii) Resolution No. 12011/1/2001-BCC dated 19/06/2003.
- (xiv) Resolution No. 12011/4/2002-BCC dated 13/01/2004.
- (xv) Resolution No. 12011/9/2004-BCC dated 16/01/2006 published in the Gazette of India Extraordinary Part I Section I No. 210 dated 16/01/2006.

Shri/Smt./Kum. \_\_\_\_\_ and/or his family ordinarily reside(s) in the  
\_\_\_\_\_ District/Division of \_\_\_\_\_ State. This is also to  
certify that he/she does not belong to the persons/sections (Creamy Layer) mentioned in Column 3 of the  
Schedule to the Government of India, Department of Personnel & Training O.M. No. 36012/22/93-  
Estt.(SCT) dated 08/09/93 which is modified vide OM No. 36033/3/2004 Estt.(Res.) dated 09/03/2004.

Dated:

District Magistrate/  
Deputy Commissioner, etc.

Seal

**NOTE:**

- (a) The term 'Ordinarily' used here will have the same meaning as in Section 20 of the Representation of the People Act, 1950.
- (b) The authorities competent to issue Caste Certificates are indicated below:
  - (i) District Magistrate / Additional Magistrate / Collector / Deputy Commissioner / Additional Deputy Commissioner / Deputy Collector / Ist Class Stipendiary Magistrate / Sub-Divisional magistrate / Taluka Magistrate / Executive Magistrate / Extra Assistant Commissioner (not below the rank of Ist Class Stipendiary Magistrate).
  - (ii) Chief Presidency Magistrate / Additional Chief Presidency Magistrate / Presidency Magistrate.
  - (iii) Revenue Officer not below the rank of Tehsildar' and
  - (iv) Sub-Divisional Officer of the area where the candidate and / or his family resides.

**-X-X-X-X-X-X**



**BREAK-UP OF SEATS IN DIFFERENT CATEGORIES FOR THE ACADEMIC YEAR  
2014-2015**

**PhD**

<b>Programs</b>	<b>GN</b>	<b>SC</b>	<b>ST</b>	<b>OBC</b>	<b>Total</b>
AE	10	3	1	6	20
CHE	15	5	2	8	30
CE	20	6	3	11	40
EE	30	9	5	16	60
ME	30	9	5	16	60
MSE	20	6	3	11	40
CSE	9	2	1	4	16
MSP	6	2	1	3	12
IME	10	3	1	6	20
NET	6	2	1	3	12
PSE	4	1	1	2	08
BSBE	15	5	2	8	30
CHM	38	11	6	20	75
MTH	14	4	2	8	28
PHY	15	5	2	8	30
HSS	30	9	5	16	60
DES	10	3	1	6	20
ES	5	1	1	3	10
<b>Total</b>	<b>287</b>	<b>86</b>	<b>43</b>	<b>155</b>	<b>571</b>

**M.Tech./M.Des./MBA**

<b>Programs</b>	<b>GN</b>	<b>SC</b>	<b>ST</b>	<b>OBC</b>	<b>Total</b>
AE	26	8	4	14	52
CHE	23	7	3	13	46
CE	36	11	5	20	72
EE	72	21	11	38	142
ME	61	18	9	32	120
MSE	31	9	5	17	62
CSE	42	13	6	22	83
MSP	13	4	2	7	26
IME (MT)	13	4	2	7	26
IME (MBA)	39	12	6	21	78
NET	8	2	1	4	15
PSE	7	2	1	4	14
EEM	15	4	2	8	29
DES (MDes)	13	4	2	7	26
BSBE	10	3	2	5	20
ES	10	3	2	5	20
<b>Total</b>	<b>419</b>	<b>125</b>	<b>63</b>	<b>224</b>	<b>831</b>

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## ANNEXURE III

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### POSTGRADUATE COURSES

#### Course Number

Each postgraduate course will have a unique number consisting of two parts. The first part will consist of a code to identify the department/programme which will be of 1 to 3 characters of English alphabet and identical for all courses of a particular Department/Programme. In the case of Humanities and Social Sciences separate identification codes will be used for each of the approved disciplines. The second part will be a three-digit number beginning with 6, 7, 8 or 9. To ensure active participation of the identified department to run a IDP, the nomenclature of the individual courses offered under the programme shall reflect the identity of the department offering the course.

#### Course Credits

The credits of postgraduate courses will be arrived at as per the table given below. No course will have credits less than 3 or more than 5.

Contact hours/week for a course	Credits
Two lecture hours	5/6
Three lecture hours	9
Two lecture hours + one tutorial hour	9
Two lecture hours + one lab session	9
Three lecture hours + one tutorial hour	11
Three lecture hours + one lab session	11
Three lecture hours + one tutorial hour + one lab session	11

#### Approval of a New Course

All postgraduate courses require the approval of the SPGC before being offered. A course should be proposed by an interested faculty member in a prescribed format at least six weeks before the pre-registration dates of the semester in which it is proposed to be offered for the first time. The Convenor, DPGC should e-mail the proposal to all faculty members to elicit their comments and suggestions, and should send a hard copy of the proposal to the Chairperson, SPGC. A minimum period of three weeks should be allowed for such comments to be received. After this period, the

Convenor in consultation with the proposer of the course will write to the Chairperson, SPGC for approval with the proposal in its final form after taking into account all comments/suggestions and making suitable modifications. The comments/suggestions received should be enclosed with the letter to the Chairperson, SPGC. If over 20 percent of the contents have been modified, the proposal should be re-circulated to all faculty members. At least one week should be allowed for the receipt of comments on the revised course proposal.

### **Discontinuation of Course**

Any postgraduate course, which is not offered for three consecutive years, may be discontinued. The Academic Section will inform the department concerned about such course(s) and if a recommendation to keep the course in the list of approved courses is not received within one month, the course will be taken off from the list of approved courses. No course will be permitted to remain in the list of approved courses for over five years without being offered. The Head of the Department or Convener, DPGC can request in writing to the Chairperson, SPGC to remove a course from the list of approved courses for the department.