

**OFFICE OF DEAN ACADEMIC AFFAIRS**



**RULES AND REGULATIONS**

**DOCTOR OF PHILOSOPHY**

**(PhD)**

**(Updated up to 11<sup>th</sup> SPGC, and 31<sup>st</sup> Senate)**

**NATIONAL INSTITUTE OF TECHNOLOGY SRINAGAR J&K INDIA – 190 006**

**September 2022**

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## INTRODUCTION:

National Institute of Technology (NIT) Srinagar, J&K Srinagar offers postgraduate programme leading to the award of PhD Degree. The award of PhD Degree is in recognition of high academic achievements, quality research, and application of knowledge to the solution of technical and scientific problems in Science, Technology, Humanities, Social Sciences, & Management.

The Institute also encourages research in interdisciplinary areas through a system of co-supervision and provides excellent opportunities for such programmes. The Institute undertakes, sponsored research and development projects from government, industrial and other organisations in the public as well as private sectors. It is desired that the research work be an original work characterized either by the discovery of facts or by a fresh approach towards the interpretation and application of facts, or development of equipment making distinct advance in Science and Technology. It shall evince the candidate's capacity for critical examination and sound judgment and shall represent original contribution to the existing knowledge.

## 1. DEFINITIONS

- 1.1 **"Applicant"** shall mean an individual who applied for admission to the PhD Programme of the National Institute of Technology, Srinagar on a prescribed application form through online or offline mode.
- 1.2 **"Co-Supervisor"** shall mean an additional supervisor approved by the Senate Post Graduate Committee (SPGC) on the recommendations of the Departmental Post Graduate Committee (DPGC) to help in the accomplishment of the research work of the candidate. Co-Supervisor need not be a permanent faculty member of the Institute, and may also be from other Institutions / Organizations. A superannuated researcher may also act as co-supervisor.
- 1.3 **"CSIR"**: Council of Scientific and Industrial Research.
- 1.4 **"CVVE"** shall mean Comprehensive Viva Voce Examination
- 1.5 **"DAA"** shall mean the Dean Academic Affairs of the Institute.
- 1.6 **"DAC"** shall mean Departmental Admission Committee.
- 1.7 There are two Associate Deans, **AD (AA)** shall mean Associate Dean Academic Affairs, and **AD (E)** shall mean Associate Dean Examinations. Both the Associate Deans shall work independently under the supervision of Dean (AA).
- 1.8 **"DOE"**: Department of Engineering.
- 1.9 **"DST"**: Department of Science and Technology.
- 1.10 **"DC"** shall mean Doctoral Committee.
- 1.11 **"DR (A)"** shall mean Deputy Registrar Academics.

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- 1.12 **“Degree”** shall mean the Degree of Doctor of Philosophy (PhD) of the National Institute of Technology, Srinagar.
- 1.13 **“Educational Institution”** shall mean those colleges/Institutions which offer Bachelor’s Degree or Higher.
- 1.14 **“Full-Time Research Scholar”** shall mean a Student registered for PhD Degree devoting full time for completing the degree requirements.
- 1.15 **“Full Time Sponsored Research Scholar”** shall mean a full time research Student except that he/she receives complete financial support from the sponsoring organisation / (him / her) employer during the research period.
- 1.16 **“FIP”**: Faculty Improvement Programme.
- 1.17 **“HOD”** shall mean Head of the Department.
- 1.18 **“Institute”** shall mean the National Institute of Technology, Srinagar.
- 1.19 **“Institute Research Scholar”** shall mean a Student registered in the Institute for PhD Degree as a full time research Scholar, with Scholarship and / or any other financial support under rules funded by the NIT Srinagar.
- 1.20 **“JRF”**: Junior Research Fellow.
- 1.21 **“Minimum Registration Period”** shall mean the minimum period for which a Scholar must be registered.
- 1.22 **“NBHM”**: National Board for Higher Mathematics.
- 1.23 **“NET”**: National Eligibility Test.
- 1.24 **“NPIU”**: National Project Implementation Unit.
- 1.25 **“Part time Research Scholar”** shall mean a Sponsored candidate who is registered for the PhD degree and will devote part of his / her time towards the research pursuit and devote part of time towards the discharge of his/her official (Sponsored Organization) obligations.
- 1.26 **“PI”**: Principal Investigator.
- 1.27 **“QIP”**: Quality Improvement Programme.
- 1.28 **“R & D”**: Research and Development.
- 1.29 **“Registration Period”** shall mean the length of time span commencing with the date of initial registration at the Institute.
- 1.30 **“SERB”**: Science & Engineering Research Board.
- 1.31 **“SUGC”** shall mean Senate Under Graduate Committee.
- 1.32 **“SPGC”** shall mean Senate Post Graduate Committee.

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- 1.33 **“SRF”**: Senior Research Fellow.
- 1.34 **“Supervisor”** shall necessarily mean a permanent faculty member of the academic staff of the Institute approved by the SPGC on the recommendation of the Department to guide /supervise the research / academic work of the candidate.
- 1.35 **“TEQIP”**: Technical Education Quality improvement Programme.
- 1.36 **“UGC”**: University Grants Commission.
- 1.37 **“VVE”** shall mean Viva Voce Examination.
- 1.38 **“VVEB”** shall mean Viva Voce Examination Board.

## **2. FACULTIES**

The Institute provides facilities for research leading to the degree of Doctor of Philosophy (PhD) in the following Faculties

- 2.1 Faculty of Engineering
- 2.2 Faculty of Science
- 2.3 Faculty of Humanities, Social Science, and Management.
- 2.4 Under these faculties the different Departments offering PhD program are listed as under:
  - 2.1.1 Chemical Engineering
  - 2.1.2 Chemistry
  - 2.1.3 Civil Engineering
  - 2.1.4 Computer Science and Engineering
  - 2.1.5 Electrical Engineering
  - 2.1.6 Electronics and Communication Engineering
  - 2.1.7 Humanities , Social Sciences, and Management
  - 2.1.8 Information Technology
  - 2.1.9 Mathematics
  - 2.1.10 Mechanical Engineering
  - 2.1.11 Metallurgical and Materials Engineering
  - 2.1.12 Physics

## **3. PhD ADMISSIONS**

**Student Categories:** There are different types of student categories in the PhD Program under which admission can be sought and are as follows:

- 3.1 **Full Time:**
  - 3.1.1 PhD (Regular): Full-Time research Scholar on Institute fellowship.



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- 3.1.2 PhD (Regular): Full-time Government TEQIP Fellowship awardees.
  - 3.1.3 PhD (Regular): Full-time Government QIP Fellowship awardees.
  - 3.1.4 PhD Full-Time (Regular): Fellowship (JRF / SRF) awardees by Government / Semi-Government / Faculty Induction Programme / UGC / CSIR / SERB / DOE / DST / DBT / NBHM / NPIU / CFTI / INSPIRE / RAMANUJAN / NGO/ or any other funding Agency in NIT Srinagar.
  - 3.1.5 PhD Full-Time (Regular): Research Assistants (JRF / SRF) appointed in sponsored research projects which have been awarded to any Faculty at NIT Srinagar. The targeted research projects are financially sponsored by recognized Government / Semi-Government / CSIR / SERB / DOE / DST / NGO/ R&D Organizations / Industry / National /International / or any other funding agencies. (The financial support is for Research Assistant, equipment, and other contingencies)
  - 3.1.6 Full-time Sponsored student from Universities / Institutions / Colleges / Industry / R&D / or any other recognized organizations.

### 3.2 **Direct PhD:**

- 3.2.1 Full-time Regular student on Institute fellowship after B Tech.

### 3.3 **Part Time (Sponsored)**

- 3.3.1 Internal permanent staff of NIT Srinagar.
- 3.3.2 External permanent employees of Government / Semi-Government Organisations / Institutions / Industry / National laboratories / NGO's, Recognized by Govt of India / or any other recognized Institution / organizations.
- 3.3.3 Tenure based Project Fellows / Research Assistants / JRF / SRF already appointed in (and sponsored by) R&D / other recognized Institutions / organizations.
- 3.3.4 Foreign candidate category.

### 3.4 **Self Sponsored Full Time PhD:**

Institute can also offer a self sponsored PhD programme to the candidates who have qualified the entrance test, but could not join due to non-availability of the Institute scholarships. However the candidate has to justify convincingly why he /she is keen to join the PhD programme without any financial support being offered. This offer be given or circulated only after the regular admission process has completed and all the seats as per seat matrix have been filled. They will not be eligible for any Institute scholarship in consecutive years. If selected, they have to submit an affidavit duly attested by first class magistrate that they will not claim any fellowship or any other financial support from the Institute authorities during the entire

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PhD programme. However they can submit the proposals to external Scientific / R & D / Governmental / Non-Governmental / or any other agencies for any financial support. They can also convert their Full time to part time as per the rules and statutes of the Institute.

#### **4. ELIGIBILITY:**

- 4.1 The eligibility criterion is given in ANNEXURE I.
- 4.2 The eligibility criterion will / may be different for different Faculties / Departments.
- 4.3 Any Department proposing to modify / change the eligibility criterion, should approve it from their concerned DPGC's, and inform the same to DAA before the issuance of advertisement. The modification / change will only be regarding the addition or deletion of qualifying degrees. No further approval will be needed for the same.
- 4.4 The DPGC can't approve the changes in the minimum percentage / CGPA in the qualifying degrees or other qualifying criteria. This rests with the Senate, and only senate can modify or change it.
- 4.5 DPGC can forward the changes in minimum percentage / CGPA / or other qualifying criteria to SPGC with full justification. SPGC can recommend the same to Senate.
- 4.6 Self-attested Photocopies of Certificates to be attached at the time of submitting application for admission to PhD programme is given in ANNEXURE II

#### **5. Admission Procedure**

- 5.1 Institute will invite applications for admission in PhD Program once a year.
- 5.2 Advertisement notice will be issued in the month of April / May (Every year) for registration of candidates for the Autumn Session. A wide publicity will be given to the advertisement through different media.
- 5.3 If sufficient numbers of vacant seats are available, then an advertisement notice can also be issued in the month of January for registration of candidates for the spring session.
- 5.4 The last date for the submission of applications will be the 20<sup>th</sup> day from the date of issue of advertisement.
- 5.5 The applications once received are to be screened by at least 3 faculty members of the Department, nominated by Head of the Department / Chairman DPGC of the Department.
- 5.6 List of eligible candidates for writing entrance examination will be uploaded by the respective Departments on Institute website within 10 days from the last date of submission of applications.
- 5.7 The list of all the screened candidates should also be forwarded to Institute PhD Evaluation committee. The Institute PhD Evaluation committee is valid for one particular admission session only.

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- 5.8 The constitution of Institute PhD Evaluation committee will be
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|-------|-------------------------------------|-------------|
| 5.8.1 | Dean (AA)                           | Chairperson |
| 5.8.2 | AD (AA)                             | Member      |
| 5.8.3 | AD (E)                              | Member      |
| 5.8.4 | Nominee of the Director (Professor) | Member      |
- 5.9 Categories exempted from entrance test are given in clause 6.
- 5.10 Institute will conduct entrance examination under the supervision of AD (E).
- 5.11 The entrance examination consists of MCQ type question paper comprising of 60 questions. The syllabus for entrance test is provided by the Department, and should also be uploaded on the Institute website well before the scheduled date of test. Every correct answer will be awarded +4 marks whereas –1 mark will be deducted for every incorrect / wrong answer. A blank or no answer will be given 0 mark. If a candidate has marked or answered 2 or more options, he / she will be given 0 mark for that question. The Entrance examination carries 100% weightage.
- 5.12 Minimum qualifying score will be positive score greater than (Zero “0”), below which the candidate (s) will be declared ineligible.
- 5.13 On the basis of written test, final merit list will be prepared by the Chairperson Institute PhD Evaluation Committee. A separate merit list will be formulated for the sponsored candidates. The list will be specifically in the order of their Roll Numbers which was allotted to the applicant before the entrance examination, and under no circumstances the list in the order of merit will be made available to the concerned Department or to the Candidates at this stage.
- 5.14 Merit List in the order of Roll Numbers will be forwarded to the concerned Heads of the Department’s by the Chairperson Institute PhD Evaluation Committee.
- 5.15 The list of candidates who were exempted from written test will also be made available to the Departments.
- 5.16 Merit List in the order of Roll Numbers will be made available to the eligible candidates also, through notices and Institute Website.
- 5.17 After the list is made available to the Department and eligible candidates; the candidates will be necessarily required to have an informal interaction / discussion individually with the faculty for possible supervision in the field of mutual interest. The Department will facilitate the informal interaction / discussion by distributing a hand out documenting the names of “only” available supervisors and their specializations to the candidates.

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- 5.18 One (1) working day will be given to the eligible candidates for this individual interaction. The entire faculty available for supervision has to be present in the Department on this day of interaction with potential research scholars.
- 5.19 Under special circumstances and if need arises the interaction between a prospective supervisor and candidate can also be through on-line mode. It will be responsibility of the Faculty member to generate the link, and publicize it.
- 5.20 By 5 PM on the same day (of interaction) the eligible candidates will submit the choice form duly signed and dated by them; in the office of DAA against proper receipt. The Choice form can also be mailed to DAA in case of 5.19, if candidate is not physically present in the Institute.
- 5.21 Choice form submitted by the candidate should clearly mention the name of the supervisors and field of specializations in the order of preference. There should not be any overwriting or correction or use of any white fluid on the choice form.
- 5.22 Internal Institute candidates (3.3.1) and category (3.1.4, 3.3.3), exempted from written test will also submit the Choice forms in the office of DAA after interaction with faculty.
- 5.23 Choice form once submitted in DAA office cannot be modified or changed.
- 5.24 Any candidate not submitting the choice form in the DAA office will not be considered for further admission process and foregoes his / her candidature for admission and cannot claim it later at any stage or instant of time.
- 5.25 Original choice forms are to be retained by DAA office.
- 5.26 Immediately the photocopy of choice forms of all eligible candidates and the list of eligible candidates as per the merit will be made available to the concerned Department for allotment of supervisor.
- 5.27 Every Department will be having DAC as per the statutes including a member nominated by Director. DAC constituted is valid for one particular admission session only. The constitution of DAC is as under:
- |        |                                       |                 |
|--------|---------------------------------------|-----------------|
| 5.27.1 | Head of the Department                | Chairperson DAC |
| 5.27.2 | One Professor (by rotation)           | Member          |
| 5.27.3 | One Associate Professor (by rotation) | Member          |
| 5.27.4 | Prospective Supervisors               | Members         |
| 5.27.5 | Directors Nominee                     | Member          |
- 5.28 Eligible candidates who have filled the choice form will have a formal counselling / interaction with the DAC in the concerned Departments as per the date notified by the DAA office.

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- 5.29 DAC shall screen the original documents of eligible candidates and shall verify all the credentials and their requisite certificates as produced by candidate.
- 5.30 If it is not possible for the candidate to be physically present in the Institute on the specified date; then under special circumstances the interaction between the DAC and candidate can be through on-line mode. It will be responsibility of the Department to generate the link, and inform the candidate. In such cases the authenticity of documents will be verified at the time of admission.
- 5.31 Allotment of supervisors by the DAC will be made on the basis of:
- 5.31.1 Choice forms filled by the candidate and
  - 5.31.2 Merit obtained by the candidate in the entrance examination conducted by the Institute and
  - 5.31.3 Slots available in the Department and
  - 5.31.4 Slot / s available with the supervisor.
- 5.32 DAC will submit the recommended list of candidates' along with their allotted supervisors for PhD program through Convenor and Head of the Department / Chairperson DPGC to the DAA.
- 5.33 In case of any disagreement among the DAC members regarding the allotment of supervisor /s, not resolved by consensus; the Directors nominee's decision will be final and binding on all the members of DAC. Directors nominee if desires can send such recommendation /s in a sealed envelope cover to DAA for implementation and approval by competent authority.
- 5.34 The approved list of recommended candidates by the competent authority shall be provisional and will be uploaded on Institute website for the information of concerned.
- 5.35 The admission of the candidates will be confirmed subject to production of original certificates & documents in DAA office for verification and fulfilment of other statutory requirements as in vogue during the days of registration.
- 5.36 The duration for the completion of registration formalities in the Academic section will be 07 (Seven) working days from the date of issuance of the selection list by DAA. For Sponsored (Full time / Part Time) cognizance of clause 5.39 will also be taken into consideration.
- 5.37 Original certificates and documents will not be retained by the Institute except Migration certificate, Character Certificate, and Category Certificate (if admitted under category) which are to be retained in original by the Academic section. The Category certificate if any will be given back to the student after the submission of Thesis and NDC.
- 5.38 Sponsored category candidates have to produce following additional Documents at the time of registration and are as:

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- 5.38.1 No Objection Certificate (NOC) / Sponsorship Certificate from the employer
  - 5.38.2 Proof of 02 (two) years regular services, except for candidates in the category of 3.3.3
  - 5.38.3 Deputation order from employer for completing the PhD Programme from the start of enrolment for full time sponsored candidates.
  - 5.38.4 Deputation order from employer for 06 months / 1 year (depending on course credits) as residency period for completing course work for part time sponsored candidates, except for In-station candidates in the category of 3.3.3.
  - 5.38.5 Internal Institute candidates will be exempted from deputation order by this Institute.
  - 5.39 Sponsored (Full Time / Part Time) candidates will be given a maximum time limit of 6 (Six) months for submitting the required documents from the date of issuance of selection notification by the Institute. The sponsored candidates will be enrolled only after the submission of all documents as mentioned in (5.38) apart from producing academic certificates. Sponsored candidates submitting the official documents within a period of 1 month from the date of issuance of selection list will be allowed to join the current semester in progress, otherwise the candidate will be enrolled for PhD programme in the immediate next semester.
  - 5.40 Admission to a student (except sponsored) will be cancelled in case he / she fails to register within the stipulated time as mentioned in (5.36).
  - 5.41 After the stipulated time of registration, the vacant seats left if any, will be filled with the candidates in waiting.
  - 5.42 In case the waiting list becoming operative, the process for selection of candidates (wait listed) should be completed in the minimum possible time. The process will continue till all the seats as per the approved seat matrix and as per the above mentioned procedure are filled. This process should be completed swiftly.
  - 5.43 Reservation (and dereservation) policy as prescribed by Govt. of India/ Ministry of Higher Education (previously MHRD) from time to time shall be applicable.

## **6. Categories Exempted from Entrance Examinations, and Hereafter Admission Procedure**

- 6.1 **Internal Candidates from the Institute** and the admission procedure will be as follows:
  - 6.1.1 They should be the permanent employees of the Institute.
  - 6.1.2 They will apply against proper advertisement issued by the Institute.

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- 6.1.3 The candidate must fulfil the minimum qualification and other eligibility criterion for admission to PhD as per the statutes of the Institute.
  - 6.1.4 They will not appear in the written test.
  - 6.1.5 There selection will be based on Interview by the DAC, who will determine the suitability of the internal candidates for the PhD Programme.
  - 6.1.6 The cognizance and decision of the DPGC shall also be taken into consideration for admission of internal employees of the Institute.
  - 6.1.7 They will be enrolled as sponsored part time candidates.
  - 6.2 **Candidates falling in the category of 3.1.3** and the admission procedure will be as follows:
    - 6.2.1 This category of QIP (3.1.3) is a centralized admission process, whereby list of candidates for possible selection in the Institute is forwarded by the centralized QIP Centre (Usually an IIT). A DAC will be formed for admission, who will recommend the selection of candidates after Interview. The constitution of DAC will be same as 5.26. DPGC of the Department will also endorse the selection list, before sending it to DAA for approval process. The approved list is subsequently forwarded to Centralized QIP Centre.
    - 6.2.2 They will be enrolled as Full time candidates.
    - 6.2.3 At the time of admission they also have to produce sponsorship certificate for the stipulated duration from the parent Institution in addition to academic qualification certificates.
  - 6.3 **Candidates falling in the category of 3.1.4** and the admission procedure will be as follows:
    - 6.3.1 Except written test, all other selection procedure of the Institute will be followed.
    - 6.3.2 The candidate must fulfil the minimum qualification and other eligibility criterion as per the statutes of the Institute.
    - 6.3.3 The admission procedure will be through DAC if they apply against the advertisement.
    - 6.3.4 They can also apply for the PhD programme any time during the year on a proper format. The application should be submitted to DAA, who will forward it to the Concerned Department. The admission procedure will be through DPGC of the Department and DPGC along with proposed supervisor will evaluate the suitability of the candidate, before recommending selection of the candidate for approval.
    - 6.3.5 They will be enrolled as Full time candidates.

6.3.6 There are certain categories of fellowships (Like INSPIRE or any other), where the fellowship is initially awarded provisionally. The financial approval / final award is subject to admission in a host Institute, submission of research proposal etc within a specified period of time. In such cases if financial approval is not awarded to the candidate (who is already admitted in the PhD programme of the Institute); the candidate will not lay any claim to Institute fellowship. He / She can continue the PhD programme without Institute Scholarship. However in ensuing session he / she can compete for the Institute fellowship as per clause 5, and will be given only 1 (one) chance to sit in the admission process and earn the Institute fellowship through merit. If earned, the fellowship will be given prospectively, from the date of approval. In case a candidate does not succeed in this first attempt for Institute fellowship; either he / she has to leave the PhD programme or continue PhD programme without any fellowship voluntarily. The candidate will be asked to submit a judicial document in this regard at the time of admission (ANNEXURE III).

6.4 **Candidates falling in the category of 3.1.5** and the admission procedure will be as follows:

6.4.1 These are the candidates who have been appointed in the research projects awarded to the faculty of the Institute by different agencies.

6.4.2 The advertisement for the appointment of such fellows is issued by the concerned Principal Investigator of the project after getting a proper approval by competent authority.

6.4.3 Apart from fulfilling the criterion for the specific project, advertisement (ANNEXURE IV) should be made such that the candidate fulfils the minimum qualification and other eligibility criterion so as to make them eligible for PhD registration as per the statutes of the Institute. Applications need to be submitted on a proper format.

6.4.4 The screening / short listing of the candidates will be undertaken by the PI, also to ensure the basic eligibility criterion for admission to PhD is fulfilled.

6.4.5 The selection should be based on interview and on this basis the candidate will be selected to work for project as well as for subsequent registration to PhD.

6.4.6 The following broad-based committee will interview the candidates for selection:

6.4.6.1	Head of the Department	Chairman
6.4.6.2	Dean R&C	Member
6.4.6.3	Dean (AA)	Member
6.4.6.4	Senior Faculty from the concerned Department	Member
6.4.6.5	Principal Investigator	Member



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6.4.6.6 Co–Principal Investigator (If Any) Member

6.4.6.7 Directors Nominee Member

6.4.6.8 External expert Member

6.4.6.8.1 From outside the Institute; if enjoined by the Sponsoring agency

6.4.7 After the approval from competent authority and issuance of the order in favour of recommended candidate, the appointed fellow will be immediately registered for PhD programme from the date of his / her joining. He / She will be registered under the supervision of PI / Co – PI.

**6.5 Candidates falling in the category of 3.3.3** and the admission procedure will be as follows:

6.5.1 They must be tenure based JRF / SRF / Research Assistant or of equivalent position appointed in / or attached to Government / Semi-Governmental / CSIR / DST / SERB / Defence Laboratories / R&D / IIMs / Recognized Institutions / Organization / NGO etc.

6.5.2 The tenure should be certainly and necessarily accustomed to research.

6.5.3 They will have to be permitted by the organizations; they are working in, for admission to this Institute for pursuing PhD program.

6.5.4 Except written test, all other selection procedure of the Institute will be followed.

6.5.5 The candidate must fulfil the minimum qualification and other eligibility criterion as per the statutes of the Institute.

6.5.6 The admission procedure will be through DAC if they apply against the advertisement.

6.5.7 They can also apply for the PhD programme any time during the year. The application should be submitted to DAA, who will forward it to the Concerned Department. The admission procedure will be through DPGC of the Department and DPGC along with proposed supervisor will evaluate the suitability of the candidate, before recommending selection of the candidate for approval.

6.5.8 They will precisely work in the field of specialization for which they have been appointed in their parent organization and this Institute will endeavour to allot a supervisor of the same or related specialization.

6.5.9 They can also take a Co-Supervisor (preferably PI of the project) from their parent organization, if available.

6.5.10 Under no circumstances Supervisor or Department will compel this category of research scholar to work in a specialization, which he /she intends not. (It is advisable for such candidates to explore the specializations of available supervisors before seeking admission).

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- 6.5.11 No scholarship or any other financial assistance will be provided to such candidates.
  - 6.5.12 A certificate from the Head of that Organization will be required, confirming that candidate has not / will not register for any other full-time academic programs of any Institute while pursuing PhD program at NIT Srinagar.
  - 6.5.13 They will be enrolled as sponsored part time candidates.
  - 6.6 Candidates from Other Reputed Educational Institutions can transfer their Ph D programme to NIT Srinagar. Such candidates have to justify and defend the transfer to this Institute. Then only they can be admitted to this Institute. No Institute fellowship will be offered to such candidates. However if the transferee is a UGC-CSIR-JRF Scholar (or any other fellow awardee); they will continue to draw their scholarship subject the completion of applicable UGC-CSIR (other funding agency) procedure for such cases. Recommending such cases will be the prerogative of DPGC and recommendations should be on case-to-case basis. These candidates will be exempted from appearing in the entrance test.

## **7. Departmental Joining and Release of Scholarship.**

- 7.1 After successful registration the list of the candidates enrolled will be sent to respective Departments by DAA office.
- 7.2 Candidates enrolled will report to the Head of the Department through Supervisor concerned by submitting a proper Joining report in the Department.
- 7.3 Joining reports of all the PhD research scholars will be forwarded to DAA and will be recorded in their personal file.
- 7.4 The fellowship of the Institute research scholars / or under UGC-CSIR-JRF will be released from the date of joining in their respective Departments.

## **8. Residential Requirements:**

- 8.1 In the case of sponsored part-time external candidates from organizations, the residential requirement is the completion of 6 months residency period.
- 8.2 In case the sponsored research scholar has to complete 20 /24 credits, the minimum residential requirement has to be 2 academic semester sessions.
- 8.3 For the Part-time Project fellows / JRF / SRF (3.3.3) tenure based appointments in R&D / other organizations, there will not be any compulsive residential requirement for In-Station candidates. However they have to complete the entire course and other academic requirements as per the rules and statutes of the Institute. Out-Station scholars under this category have to complete the residency period as per the Institute rules.

## 9. Semester Registration:

- 9.1 **Research Scholars (all categories except 9.2):** A research scholar is mandatorily required to register in person every semester as per schedule mentioned in the approved academic calendar in the registration process (in subsequent semesters) involving the following steps.
  - 9.1.1 Payment of fees of that semester.
  - 9.1.2 Submission of a satisfactory progress report duly signed by supervisor.
- 9.2 **Foreign sponsored category:**
  - 9.2.1 It is mandatory for the candidate to complete registration in person at least once in an academic year.

## 10. Doctoral Committee

- 10.1 DC for each student will be proposed by the HOD. HOD can consult supervisor also. DC should be proposed within a period of 6 months from the date of joining of the research scholar.
- 10.2 All the proposed DC's for all the research scholars who have joined in a particular session in a Department should be consolidated as a single list recommended by the Convenor and Chairman of DPGC.
- 10.3 The DC list of all the research scholars should be forwarded to DAA.
- 10.4 The consolidated DC list will be forwarded to Director for Directors nominees' and subsequent approval.
- 10.5 The approved list of DC's will be sent to the Department for implementation.
- 10.6 Constitution of DC: It consists of following:

10.6.1 Head of the Department	Chairperson
10.6.2 Supervisor	Member
10.6.3 Co-Supervisor (If any)	Member
10.6.4 Faculty from Department	Member
10.6.5 Directors Nominee	Member
- 10.7 DC once constituted shall remain valid for a particular research scholar till the completion of Degree.
- 10.8 Due to the rotation of HOD in a Department following changes will apply in DC, and no further approval is needed for these updates.

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- 10.8.1 If supervisor or Co-Supervisor takes the position of Head of the Department, Previous Head of the Department, who was also the Chairperson of DC, will continue as Chairperson of DC. Thus DC remaining intact.
- 10.8.2 If Departmental faculty member in the approved DC takes over as Head of the Department, The previous (relieved) Head of the Department will be the Departmental faculty Member of the DC. Again as a persona the DC remains intact.
- 10.8.3 If any other faculty member of the Department takes the position of Head of the Department, He / She assume the Chairperson of the DC, Other members of DC remaining the same.
- 10.9 If supervisor or Co-Supervisor is Head of the Department, at the time of nomination and approval of DC, Previous Head of the Department, should be nominated as Chairperson of DC.
- 10.10 The approved members of DC will always have precedence in case of any conflict.
- 10.11 Director vests the authority to nominate the Chairperson of DC where Departments don't have senior faculty or Supervisor is also the HOD.
- 10.12 In case of superannuation of a DC member or HOD, a fresh approval for DC is needed.
- 10.13 In case of superannuation of Supervisor, procedure as per clause 11.12 will be adopted.
- 10.14 The Departmental faculty member will be nominated by the concerned Head of the Department. The nominee should be of Professor / Associate Professor Level. If a Department doesn't have Professor / Associate Professor, then HOD may nominate / include a senior faculty from the Sister Department.
- 10.15 The Director's nominee is nominated by the Director and is a senior faculty from Sister /Other Department. The nominee may or may not be able to give research advice to the scholar. However the Director's nominee has to be impartial and his / her role is to conform that there is no negligence either on the part of research scholar or other members of the DC.
- 10.16 FUNCTIONS of DC:**
- 10.16.1 To review the research progress of the candidate and send the progress report to the DAA.
- 10.16.2 To assess and approve the research proposal of the candidate. The research proposal will also be signed by convenor and Chairman DPGC.
- 10.16.3 To assess and approve the adequacy of the work in the Pre-synopsis presentation and communicate the same to DAA.
- 10.16.4 Inclusion of Co-Supervisor.
- 10.16.5 To recommend any other issue during the PhD tenure.

10.16.6 All recommendations in respect of research scholar during the PhD programme should be routed through DC.

10.16.7 However regarding the content of the research, the onus lies on the Supervisor.

## **11. Research Supervisor**

11.1 A PhD Research Scholar works under the guidance of a Supervisor. The supervisor is required to provide academic guidance and practical support from the genesis of concept to the submission of the thesis. The supervisor has to be a faculty in Institute and from the Department in which research scholar is registered.

11.2 In addition to supervisor a scholar can have maximum of 2 (two) co-supervisors. Co-Supervisor /s can be from other Department /s of the Institute or from outside the Institute.

11.3 Depending on the research requirements, internal co-supervisor (s) can also be recommended in favour of research scholar at a later stage, but not later than the submission of research proposal. The co-supervisors within the Institute can be recommended by respective DCs through DPGC to DAA for approval in the SPGC / Senate.

11.4 Co-supervisors outside Institute need to get registered with the Institute after recommendation from the Department after fulfilling the requirements. The candidature of external Co-supervisors (for a research scholar) can be submitted through DC and DPGC to DAA for approval in SPGC/Senate. External co-supervisors can be recommended in favour of scholar within a time span of 2 years, from the date of enrolment. A proper justification has to be given for the inclusion of an external Co-supervisor. Under no circumstances external Co-supervisor will be recommended or approved beyond 2 years from the date of enrolment.

11.5 Co-supervisor (s) outside the Institute need to be permanent faculty / research scientist / or equivalent in an Institute / R&D / other recognized organization with requisite PhD degree and appropriate expertise and experience in the field of specialization.

11.6 Participation of co-supervisor outside Institute in progress report evaluation can be sought once in a year in person or through on line mode.

11.7 Change of research supervisor (s), under exceptional circumstances shall be permitted on recommendation of DC and DPGC after consulting (a) the research scholar (b) the allotted supervisor (s), and (c) the proposed supervisor (s). Recommendations are to be put before SPGC for discussion and approval. If approved by SPGC can be ratified by the Senate. A proper justification by the concerned has to be submitted for the change of Supervisor.

11.8 At any given time, the maximum number of research scholars registered with a faculty member at Associate Professor or at Professor Level having expressive teaching and

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significant research experience shall not exceed eight. This number excludes the PhD scholars, who have submitted the synopsis of the PhD thesis.

- 11.9 Newly recruited faculty members at Assistant Professor Level or tenure based faculty will be allowed to take only one candidate for the first time. They can supervise a maximum of 4 Research candidates inclusive of all the categories (Regular, Sponsored, Internal, External, INSPIRE, Sponsored (PT), Sponsored (FT), JRF / SRF, etc) in subsequent years up to Assistant Professor Level. Newly recruited faculty members at Associate Professor or at Professor level will be allowed to take only one candidate for the first time, and can supervise a maximum of 4 Research candidates inclusive of all the categories (Regular, Sponsored, Internal, External, INSPIRE, Sponsored (PT), Sponsored (FT), JRF / SRF, etc) in subsequent (at least 4) years.
- 11.10 A joint supervision of a research scholar will constitute only 0.5 toward the computation of total number of slot positions for a faculty.
- 11.11 A supervisor should have a minimum service of 3 years up to the date of superannuation or up to the end of tenure; so as to supervise a research scholar. Department and DAA will ensure that no candidate is allotted to a faculty (Permanent or Tenure) for supervision having less than 3 years of service. However a faculty having less than 3 years of service can be a co-supervisor, which he / she can be, even after superannuation or end of tenure.
- 11.12 In case research scholar under the supervision of now superannuated or tenure cessation supervisor has not been able to complete the research in 3 years; in that case following procedure will be adopted for the smooth conduct of research of the scholar:
- 11.12.1 After superannuation or tenure cessation, the Supervisor will be designated as Co-supervisor.
- 11.12.2 The Department should designate a new Supervisor in consultation with the existing (superannuating) supervisor, and proposed Supervisor.
- 11.12.3 As this corresponds to change of Supervisor, Proper approval needs to be obtained from competent authority. The Change of Supervisor should be recommended by DC, DPGC, and SPGC before ratification by the Senate.
- 11.12.4 However if the Research scholar has a Co-Supervisor within the Institute, the same will be designated as Supervisor, and no fresh approvals will be needed in such cases, except information to DAA for record.
- 11.12.5 The PhD scholars who have completed more than 85% ~ 90% of research with their supervisor and for which supervisor happens to superannuate, then the Supervisor continues to remain as the primary supervisor. A Care-Taker Supervisor from the Department is to be made mandatory by the DC of the candidate when the original supervisor superannuates. The

quantum of Research work validation under the primary supervision in case of superannuation must come from, and be recommended by DC & DPGC. The Care-Taker will sign all the official documents (as Supervisor) of the research scholar till the award of PhD degree. The candidate will be required to submit the thesis within a period of 6 months from the date of superannuation of his / her main Supervisor otherwise 11.12.1 will apply. The name of care-taker supervisor duly signed by DC and DPGC should be forwarded to DAA for information and record; and no further approval will be needed for the same. The care-taker supervision will not add to the total number of slots which are available to a faculty for supervision.

## **12. PhD Course work and Evaluation**

12.1 A candidate is required to enrol for the appropriate PG course (s) or PhD Courses.

12.2 The minimum course credit requirement will be as follows:

12.3 Faculty of Engineering:

12.3.1 M Tech Qualified: 10 credits

12.3.2 B Tech Qualified: 24 credits

12.3.3 M.Sc. or any other equivalent degree: 20 Credits

12.4 Faculty of Science:

12.4.1 M.Sc. or any other equivalent degree: 10 Credits

12.5 Faculty of Social Science, Humanities, and Management:

12.5.1 MA / MBA or any other equivalent degree 10 Credits

12.6 PG Courses are recommended by DPGC and approved by SPGC. In case there is no PG programme, separate course (s) and its syllabus for PhD should be approved by concerned DPGC. However course (s) need to be approved by DPGC before the start of course. The approval by DPGC should be communicated to Examination section, with information to Academic section well before the start of semester in which scholar registers for this course. After the semester registration no such approvals will be entertained by the examination section.

12.7 If a required course is not available in the existing (PG) curricula, instructions in the proposed subject will be imparted in Self-Study mode under the guidance of Supervisor or Co-Supervisor (if any), following all the steps like assignments, examination etc. as prescribed for a regular course. The subject to be undertaken in self study mode needs to be approved by DPGC of the Department well before the course registration as mentioned in 12.6.

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- 12.8 Candidate is required to complete the credit requirements as the case may be, among which a course in Research Methodology (3 credits) is a compulsory course for all the research scholars of the Institute.
- 12.9 Candidates must complete all the assigned course work, in the seven-grade system (A<sup>+</sup>, A, B<sup>+</sup>, B, C<sup>+</sup>, C, FAIL), with a grade not lower than C in each of the courses.
- 12.10 For the continuation of fellowship under all the categories, CGPA of 7.0 is essential.
- 12.11 If the student gets a grade less than C in a subject /s, he may be permitted to do the same course / s in self study mode in the immediate subsequent semester.
- 12.12 In case student has a grade of C in a subject/s and CGPA falls less than 7, Scholar will be allowed to do the course /s in self study mode in the immediate subsequent semester
- 12.13 The maximum duration for course work completion is:
- 12.13.1 2 (Two) academic semesters for 10 credits.
- 12.13.2 3 (Three) academic semesters for 20 / 24 credits.
- 12.14 A research scholar may drop course(s) for which he/she may have registered if the academic credits for a given semester is found to be too tedious, but before the midterm examination of that course (s) is / are held. After the completion of midterm examination, such requests will not be accepted. However the complete course work has to be finished within the maximum prescribed time limit as prescribed in 12.13
- 12.15 If any research scholar from another Institute transfers his /her research programme to NIT Srinagar (e.g. in case if JRF /SRF of UGC / CSIR, the scholar can do so once in fellowship tenure) and has completed the relevant courses at that Institute; the scholar can be exempted from the course work at this Institute, subject to recommendations from DPGC.
- 12.16 In 12.15, the research scholar may be asked to take research methodology course at NIT Srinagar, if it has not been credited at the transferee Institute.
- 12.17 Internal Institute part-time research scholars will not be given any official leave to complete the course requirement.

### **13.Oral Comprehensive Examination**

- 13.1 Oral comprehensive examination shall be conducted by respective DCs of the candidate.
- 13.2 Comprehensive Examination should be evaluated under satisfactory and unsatisfactory grade
- 13.3 In case unsatisfactory comprehensive Evaluation remarks, comprehensive examination will be held again after a gap of 3 months, but not later than 6 months.



13.4 Oral comprehensive examination of the PhD scholar shall be completed within 6 months after the completion of course work.

13.5 Oral comprehensive examination should be held immediately after the end of course work.

## **14. Research proposal submission and assessment**

14.1 Every PhD student is required to submit his/her research proposal after the completion of the course work. The research proposal must contain details including problem identification, state of the art technology, plan of research work etc. The DC will assess the proposal through a seminar/presentation and communicate the recommendation for approval to the DAA. The research proposal should be vetted by DPGC, will be put to SPGC / Senate for approval. Submission of research proposal by research scholar shall be under rules and within stipulated maximum time as shown in table as follows:

14.2 The maximum Time Limit for the submission of research proposal is as follows:

14.2.1 Regular	18 months from the date of enrolment
14.2.2 Direct (Regular)	24 months from the date of enrolment
14.2.3 Sponsored (FT)	18 months from the date of enrolment
14.2.4 Sponsored (PT)	24 months from the date of enrolment

14.3 It is advisable to submit the research proposal under the broad area of the research; however research scholars can also submit the work under the final research title of the work.

14.4 Research proposal can also be combined with the periodic regular progress, if proposal is submitted during the same schedule.

14.5 After the submission of the research proposal, if there is a broad or enough variation from the submitted research proposal; the DC needs to take cognizance and forward the same to SPGC through DPGC for the endorsement. The research scholar and Supervisor should properly justify any change.

## **15. Institute Fellowship**

15.1 Only full time scholars admitted under Institute fellowship are eligible for scholarship as per the Government of India rules and regulations.

15.2 The fellowship amount will be disbursed as per guidelines from MHRD, now Ministry of Higher Education.

15.3 Tenure of fellowship will be as per Institute guidelines (5 years at present) or up to 3 months from the date of presentation of synopsis pre-PhD submission presentation of Thesis in the Department; whichever is earlier.

15.4 The amount of the Institute Research Scholarship for scholars possessing the required qualification at the time of admission to the research program shall be as per the guidelines of

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MHRD Ministry of Higher Education, Govt. of India. For scholarship See MHRD guide lines (ANNEXURE V)

- 15.5 In the first instance, the assistantship will be awarded up to the completion of course work. For this purpose CGPA of 7.00 at the end completion of course work will be considered as satisfactory performance. If a scholar falls in the clause of 12.11 and 12.12; and his CGPA is less than 7. His scholarship will not be released, until CGPA of 7 is obtained. The scholarship will be released retrospectively after obtaining the CGPA of 7.
- 15.6 Continuation of the assistantship during the subsequent semesters is akin to satisfactory research and academic performance of the Research Scholar in the discharge of research and academic responsibilities assigned under the assistantship scheme.
- 15.7 For a registered scholar, on completion of two continuous years of research work, there will be an evaluation by the DC and an external subject expert from outside the Institute, for considering and recommending an enhancement in scholarship. The expert shall be appointed by the Director from the panel of 3 (three) Subject experts submitted by supervisor and HOD through DAA. The committee of external subject expert and DC will assess the scholars' work. If satisfied, the committee will recommend the enhancement of the scholarship (JRF to SRF) from the date of eligibility. Recommendation should be endorsed by the DPGC.
- 15.8 A research scholar will be assigned academic responsibilities for 6–8 (Six–Eight) hours per week (like tutorial classes, laboratory demonstration work, conduct of seminar/symposia, running and maintenance of equipment, Web Incharge, or any other Institute work, etc.) as may be decided by the Supervisor / DPGC / Head of the Department. Any dereliction can lead to discontinuation of Institute fellowship.

## **16.Periodic assessment of research progress**

The Assessment of the research scholar by the DC will start as follows

- 16.1 Research Scholars Having successfully completed 10 credits, the first progress assessment will be held after 1 (one) year from the Date of enrolment / registration, and afterwards also once a year as per the academic calendar.
- 16.2 Research Scholars Having successfully completed 20 / 24 credits, the first progress assessment will be held after 1 ½ year from the Date of enrolment / registration, afterwards once a year as per academic calendar.
- 16.3 Participation of Co-supervisor outside Institute in progress report evaluation of a candidate can be sought in person or through on line mode.

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**16.4 Unsatisfactory Performance:**

- 16.4.1 The research scholar presenting his/her yearly progress has unsatisfactory performance; will be given another chance for the improvement in the next presentation which will be scheduled after 3 months. If the said scholar shows the satisfactory performance then only PhD student will be allowed to register for next semester.
- 16.4.2 If the PhD student fails to improve in 16.4.1 (Two consecutive unsatisfactory performances), The DAA will request the Director to nominate a committee headed by a Senior Professor from a Department other than the Department to which research scholar belongs to. The committee will also have an internal subject expert. The committee may also include the Doctoral Committee members except the Supervisor /Co-Supervisor. The Committee will look into the unsatisfactory performance of the research scholar. The committee can also ask for a report from the Supervisor (s) about the unsatisfactory performance of the scholar. The PhD student will also be asked to present himself / herself before the said committee for his / her unsatisfactory performance. The research scholar is under the guidance of a pedagogue, and it is the joint responsibility of the Supervisor and the Scholar to nourish and promote the research. The committee will recommend either for continuation or discontinuation (cancellation) of the registration, based on circumstances and on case to case basis. In case of continuation of the registration, committee will specifically recommend the remedial measures to be taken in order to avoid the further unsatisfactory performance by the scholar. Change of supervisor can also be recommended by this committee under exceptional circumstances.
- 16.4.3 If the committee decided to recommend the continuation of the registration of the research scholar; and consequently if the scholar repeats the unsatisfactory performance for another 2 (two) progresses (as per 16.4.1), the PhD registration of the scholar shall stand cancelled without any approval from the competent authority.

**17.Cancellation of Registration:**

Cancellation of Registration in respect of any enrolled candidate is allowed under the following condition

- 17.1 Break in registration for two consecutive semesters without approval or leave or any other communication. No further communication to be entertained in this case by the DAA office and the file will be send to the Director for the approval of cancellation of PhD registration.
- 17.2 CGPA less than 7 after the completion of entire course work can follow to cancellation of admission / registration of the candidate. However cognizance of clause 12.11 and 12.12 has to be taken in to consideration. The supervisor will have to give specific report regarding the unsatisfactory performance of the PhD scholar in obtaining a CGPA of less than 7.

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- 17.3 Two consecutive unsatisfactory progress reports (Within 1 year) recommended by DC are received by DAA office. The case will be dealt as per the decision taken under clause 16.4.
- 17.4 A research scholar shall maintain, besides satisfactory academic progress, good conduct, behaviour and discipline in the Institute. In the event of a scholar being found to be involved in any act of misconduct, misbehaviour, indiscipline or use of unfair means at any examination, recommendations of Institute disciplinary committee for cancellation of admission approved by the Director will be implemented.

## **18. Conferences and Leave**

### **18.1 Conferences**

- 18.1.1 A research scholar will only be allowed to attend conferences / workshops / training Programmes for a period of 2 (two) weeks subject to the condition that their end semester examination of course work is not disturbed.
- 18.1.2 Financial sponsorship will be given to a research scholar (on Institute fellowship), if he / she is presenting the conference paper in a conference of repute within India, and financial obligation will be only once per year.
- 18.1.3 PhD scholars will be allowed to attend the conference papers outside India, but without any financial obligation to the Institute. However they can approach to other agencies for financial sponsorship.

### **18.2 Leave**

- 18.2.1 As per Ministry of Education, GOI guide lines leave as per (ANNEXUREV) is permissible. No other leave is permissible to the research students.
- 18.3 However, a research scholar under Institute scholarship can take a break for a maximum period of 6 months during the entire PhD programme, citing genuine reasons, and also obtaining a proper prior approval from Institute Authorities.
- 18.4 During this absentia period the research scholar will not be given any monthly scholarship. However his total scholarship period (at present 5 years) will not get affected, and will be given scholarship for the period of absentia beyond 5 years. In case of proper approval for the break, research scholar will be exempted to pay the registration fee for one semester falling in these 6 months.
- 18.5 A research scholar can apply for the break, only after the completion of entire course work. Break beyond 6 months can be approved only in case of severe health issue or any other unforeseen circumstances or natural calamities.
- 18.6 For sponsored research scholars, the leave rules of the parent organization will be applicable.
- 18.7 Maternity leave will be given to the female research scholars as per the rules and regulations in vogue.

18.8 There will not be any paternity leave to male research scholars.

## **19. Conversion of Full Time to Part Time Research Programme**

19.1 When a research scholar under Institute fellowship gets a job and as such he /she wants to leave the Institute; but simultaneously wants to continue with the PhD registration, conversion of Full time to Part Time is allowed under following conditions:

19.1.1 Research Scholar should have completed the residency period of six months.

19.1.2 Research Scholar should have completed the course work.

19.1.3 Conversion should be endorsed and recommended by DC and DPGC

19.1.4 NOC from the employer to continue with the PhD programme (Part–Time) at NIT Srinagar should be submitted.

19.1.5 NOC is to be submitted within 12 months from the date the Research scholar is relieved for joining the job.

19.1.6 Till the candidate submits the NOC from employer, the registration will be kept in abeyance.

19.1.7 During the abeyance of registration period, Semester fee will not be paid by the candidate.

19.2 Sponsored full time research scholars admitted under different categories, after spending 2 / 3 years (or duration as was permitted by their parent organization) at Institute, and have to join back their parent organization.

19.2.1 In cases a full time sponsored research scholar has not been able to complete the PhD within the stipulated duration; their registration will be spontaneously converted from full time to part time from the date of relieving from this Institute without any permission or any other document from the parent organization. Full time to part time conversion will also be mentioned in the relieving order, after which they can join the parent organization.

19.2.2 However Full time to part time cognizance will only be given, after producing a copy of joining report / or acceptance of joining report from their parent organization.

19.2.3 In case a sponsored research scholar has given pre-PhD submission presentation; the sponsored research scholar should be relieved entirely after the completion of NDC.

## **20. Withdrawal of PhD Registration**

20.1 Complete withdrawal of registration can be processed on the request of the candidates, duly endorsed by the concerned supervisor and HOD. The candidate will have to submit an affidavit attested by First class Magistrate mentioning that withdrawal of registration is requested on his / her own wish and will; and in future he / she shall not claim for renewal or continuation of registration in this PhD programme. The PhD programme of the candidate will be entirely terminated.

20.2 For candidate who withdraws PhD registration immediately after having completed residency period and their entire course work under rules; credits of the course work can be saved. These credits will be counted in case the candidate comes back for re-admission in future. Such

candidates can be considered for re-admission upon applying afresh under different categories, and if recommended for selection; will be exempted from course work. The candidate may be allotted same or different supervisor. The credits can be saved for a maximum period of 4 years from the date of withdrawal of registration. If the candidate is admitted afresh under sponsored part time category, the residency period will also be waived off.

- 20.3 For candidate who withdraws PhD registration due to any reason; after spending a significant amount of time and completing maximum number of requisite academic activities / assignments of the PhD Program like Research proposal submission, and publication of results etc, can keep his / her PhD programme in abeyance for a period of 3 years. Within a gap of 3 years the candidate can join back the PhD programme. If he/she has joined any organization; they have to produce an NOC / sponsorship from the employer. They can join as sponsored part time or full time if permitted by their employer. Gap in between will not be counted towards the maximum registration period. They will be under the supervision of the same supervisor, even if a slot is not available with him / her. However If supervisor is / has been superannuated by the time candidate joins back, the clause (11.12) will be applicable.

## **21. Minimum and Maximum period of Thesis submission**

- 21.1 Minimum duration for full time research scholars is 2 ½ (two and a half) years  
21.2 Minimum duration for Direct PhD full time research scholars is 3 ½ (Three and a half) years  
21.3 Minimum duration for part time research scholars is 3 (three) years  
21.4 Maximum duration for full time research scholars is 7 (Seven) years  
21.5 Maximum duration for Direct PhD full time research scholars is 8 (Eight) years  
21.6 Maximum duration for part time research scholars is 8 (Eight) years

## **22. Publications:**

- 22.1 At the time of submission of synopsis for PhD degree there should be 2 (two) mandatory non-paid peer reviewed SCI / SCOPUS / SCIE / ESCI indexed Journal publications.  
22.2 The research papers can also be published in SCI / SCOPUS / SCIE / ESCI indexed Open Access peer reviewed Journals. There will be no financial obligation on the Institute.  
22.3 The published research papers should necessarily be authored by the research Scholar and registered supervisor /s only.  
22.4 Part time scholars of the Institute are supposed to communicate the research work for publications under the name of the Department and Institute. They may acknowledge their parent organization / sponsoring Organization.  
22.5 After award of the degree, if the scholar is publishing any journal articles / book (s) / book chapter (s) from his PhD work, the affiliation needs to be that of this Institute.

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- 22.6 Institute holds the Intellectual property rights (IPR) of all the Publications published out of the research work of the research scholar, whether during the PhD programme, or after the PhD degree has been awarded.
- 22.7 In case of any collaborative or additional work from other organization, co-author can be added from those organizations in published work, However IPR will be held by the Institute. This / These publication /s will be over and above the 2 mandatory publications. The research scholar has to report to the Department, regarding the quantum of work carried by the research scholar in collaboration with other organization, before the publication of this research work.
- 22.8 The Sponsored / QIP scholars can include the affiliation of their parent (sponsoring) Institute in the research papers published by them.
- 22.9 If at any instant of time it is observed that rules (22.1 to 22.6) of publications have been violated, stringent action will be initiated against the concerned.

### **23.Pre-PhD Viva voce examination and submission of synopsis**

- 23.1 Prior to submission of the synopsis of the thesis, an assessment of the research work should be made by DC by a Pre-PhD Viva voce examination.
- 23.2 The candidate can submit the synopsis only if DC is satisfied about the adequacy of work for submission as a PhD Thesis.
- 23.3 The Chairman of the DC shall send the assessment report on the Pre-PhD Viva voce examination.
- 23.4 A (One) soft bound hard copy of synopsis and a soft copy in pdf format, along with other documents must be submitted to DAA along with all related documents duly forwarded by DC.
- 23.5 The synopsis must be in continuum text with important results and inferences. The synopsis is sent to the approved examiners for possible evaluation of the thesis. Hence it should be brief highlighting the important results and discussions. A brief synopsis also helps in obtaining an earliest consent from the approved and interested examiners. The Optimum page length of an excellent synopsis is typically 10 ~ 15 Pages. Synopsis should be written in the approved format
- 23.6 On successful completion of the Pre-PhD Viva voce examination, a panel of eight subject experts (four from India and four from foreign), prepared by Supervisor and forwarded by Chairman DC, to examine the thesis will also be forwarded.
- 23.7 The documents submitted to the DAA along with synopsis should be as per the check list (ANNEXURE VI)



- 23.8 The Synopsis, thesis, Plagiarism report, and all other related documents to be submitted and forwarded to DAA simultaneously within a maximum period of one month from the date of Pre–PhD viva voce presentation. If not submitted within this stipulated 1 month, Pre–PhD viva has to be again conducted after 2 months. The process of approval for the thesis submission will also be started afresh.

## 24. Plagiarism

- 24.1 All submitted PhD thesis are to be scanned for similarity Index before forwarding the same to examiners for evaluation.
- 24.2 Documents / Thesis to be screened for similarities index will initially be scanned by candidate him/herself by obtaining login and password from Coordinator Automation, Library Information and Resource Centre.
- 24.3 After scanning, research scholar will submit the document to supervisor concerned.
- 24.4 All supervisors shall also be assigned login and password on demand and will screen the dissertation / Thesis to their best satisfaction.
- 24.5 Main parameters which will determine the similarity Index for the submitted documents shall comprise of following:
- |        |                             |   |
|--------|-----------------------------|---|
| 24.5.1 | Exclude Matches             | $\leq 10$ words                                 |
| 24.5.2 | Exclude Bibliography        | On  |
| 24.5.3 | Exclude Quotes              | On  |
| 24.5.4 | Exclude Index               | On  |
| 24.5.5 | Exclude self published work | On  |
| 24.5.6 | Similarities Index          | $\leq 25\%$ (excluding the Self–published work) |
- 24.6 Final similarity Index certificate will be signed by Research scholar and Supervisor /s. Format is given in. They will be responsible for the similarity index report generated from Plagiarism check.
- 24.7 Concerned Supervisor will also give the certificate for exclusion of self published work.

## 25. PhD Thesis Submission

- 25.1 The PhD Thesis must be submitted within one month from the date of presentation of the synopsis, along with all other related documents.
- 25.2 The synopsis & thesis should be written in the approved format
- 25.3 Research scholar shall submit 1 (one) soft bound hard copy of the thesis.
- 25.4 A soft copy of the thesis in pdf format is also to be submitted.



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- 25.5 Scanned copy of duly signed similarity Index certificate will be attached with thesis at the time of thesis submission.
- 25.6 Hard copy of the Similarity index report, exclusion of self published work, and the plagiarism report showing the similarity with different sources should be submitted to DAA along with the soft bound hard copy of the thesis.
- 25.7 DAA office will issue a certificate to the research scholar certifying the submission of thesis.
- 25.8 PhD scholar can join any Research / Academic or any organization after submission of PhD Thesis for evaluation.

## **26.Evaluation of PhD (thesis) work by National and Foreign Examiners**

- 26.1 On successful completion of the Pre-PhD Viva voce examination, a panel of eight subject experts prepared by Supervisor and forwarded by HOD / Chairperson DC to the DAA. The panel of examiners will have 4 (four) from India and 4 (four) from abroad.
- 26.2 Proposed panel of examiners should be subject experts with designation of Professor / Associate Professor from reputed Educational Institutions.
- 26.3 Experts (Indian / Foreign) from reputed Industries, Government / Semi-Government organisations or eminent R&D facilities may also be proposed with the designations like Directors or Scientist or Researchers or Team Leaders or Group Leaders or Project Leaders of equivalent grade or designations at least equivalent to that of Associate Professor.
- 26.4 The competence of the proposed examiner to evaluate PhD work submitted by candidate should be justified by their recent bio data.
- 26.5 Experts from the panel shall be appointed by the Director as external examiners in the order of preference, Except for 26.6
- 26.6 The Director being Supervisor or Co-supervisor of the Research Scholar, the Director's authority will be vested with DAA and authority of DAA will be vested with ADAA or ADE for the evaluation of thesis, conduct of viva voce, and approval of result notification, etc.
- 26.7 The DAA being Supervisor or Co-supervisor of the Research Scholar; the Director after appointing the panel in the order of preference will forward the file to AD (AA) or AD (E) as Director may deem to fit, for further necessary action. The DAA will not have any access to the file till the outcome of evaluation.
- 26.8 After the synopsis is submitted and the panel of examiners approved, the DAA will send a confidential email to each approved national and foreign examiner enclosing a copy of the synopsis and requesting him / her to serve as an examiner for the thesis. Except for 26.7
- 26.9 For 26.7; 26.8 will be accomplished by AD (AA) or AD (E) as approved by Director.

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- 26.10 If the examiner refuses or no response is received within 15 days, then the examiner approved at preference no. 2 of the panel is approached and his/her consent sought for evaluation of the thesis.
- 26.11 On receipt of the acceptance of the examiner, a copy of the thesis along with the thesis evaluation form (ANNEXURE VII), and remuneration bill form (Indian: ANNEXURE VIII; Foreign: ANNEXURE IX) will be sent to each examiner as softcopy (by email). On the insistence of examiner soft bound hard copy of thesis can also be sent.
- 26.12 An examiner will be given 90 days time to evaluate the thesis and submit the evaluation report.
- 26.13 The remuneration for the thesis evaluation shall be @ USD 400 for foreign examiners and INR 5700 for national examiners.
- 26.14 The evaluation report submitted by the external examiners will be forwarded to the Supervisor through HOD / Chairperson of DC. Both the evaluation reports will be sent together, even if there is a time lag between the receipts of reports by the Dean (AA).
- 26.15 The comments / suggestions if any by the examiners, have to be incorporated in the thesis by the research scholar. After correcting the thesis as per the suggestions / comments (if any) of examiners; Report regarding the same will be submitted by the research Scholar through DC and should be forwarded to DAA for further process.
- 26.16 Unsatisfactory Report of Thesis**
- 26.16.1 External examiner may recommend the major revision (Point No 3 of the evaluation report). Upon the completion of major revision by the research scholar, revised thesis will be submitted back to the examiner. The DC along with Supervisor should ensure that corrections / suggestions given by the examiner have been properly incorporated in the thesis.
- 26.16.2 If an external examiner recommends the major revision (Point No 3 of the evaluation report) of thesis in the second spell of evaluation also, then thesis will be sent to the next approved examiner in the panel. However the examiner in question will be paid the remuneration for the evaluation of thesis as per the rules.
- 26.16.3 In case, second examiner also recommends a major revision in the first spell of evaluation, the case will be referred to Director and will be resolved on the pattern of clause 16.4.2. The examiner in question will be paid the remuneration as per the rules.

## **27. Conduct of final Viva Voce Examination**

- 27.1 On receipt of the satisfactory reports from both the examiners clearly recommending the award of PhD degree, and the submission of report regarding the incorporation of suggestions (if any)

in the thesis, the approval for conduct of Viva-Voce Examination (VVE) examination shall be obtained from the Director.

- 27.2 The PhD VVE examination shall be an open examination.
- 27.3 The chairman of the VVB will fix a date for the oral examination in consultation with the members of the board and intimate the date to the Academic section. The date of PhD VVE will be fixed / confirmed with external examiner only after the approval has been granted by the competent authority, and official order has been issued by ADE.
- 27.4 Information regarding conduct of PhD viva voce should be notified by ADE/HOD to all Departments for participation of interested faculty and students.
- 27.5 The national examiner shall conduct the oral examination of the thesis at the Institute premises, for which a remuneration of INR 5000 shall be paid in addition to TA/DA as admissible under rules. The thesis evaluation remuneration for Indian examiner shall be paid along with the remuneration for oral examination.
- 27.6 In case the national examiner who had evaluated the thesis cannot conduct the oral examination, another examiner as per preference from the approved panel shall be requested for the conduct of oral examination.
- 27.7 The research scholar will have to defend the thesis before VVB consisting of following members as follows. Their presence is obligatory, without which VV cannot be conducted.
- |        |   |                    |
|--------|---|--------------------|
| 27.7.1 | <b>Head of the Department</b>               | <b>Chairperson</b> |
| 27.7.2 | <b>DAA or his nominee [AD(AA) or AD(E)]</b> | <b>Member</b>      |
| 27.7.3 | <b>External Examiner (Indian)</b>           | <b>Member</b>      |
| 27.7.4 | <b>Supervisor</b>                           | <b>Member</b>      |
| 27.7.5 | <b>Co-Supervisor (if any)</b>               | <b>Member</b>      |
- 27.8 Following will be the invitees in the VVB, although their presence is not mandatory
- |        |                                  |                |
|--------|----------------------------------|----------------|
| 27.8.1 | <b>Directors Nominee of DC</b>   | <b>Invitee</b> |
| 27.8.2 | <b>Departmental Member of DC</b> | <b>Invitee</b> |
- 27.9 In case of HOD being Supervisor / Co-supervisor of the research scholar, DAA is the Chairperson of VVB. The Chairperson of DC will represent the HOD / Department.
- 27.10 In case of DAA being Supervisor / Co-supervisor of the research scholar, DAA will be represented by AD (AA) or AD (E).
- 27.11 For the cognizance of 26.6, ADAA or ADE will be the member of VVB instead of DAA.
- 27.12 Viva voce examination of a candidate can be conducted through online mode; in case National Examiner is unable to come to Institute. The other modalities for conduct of examination will remain same.

- 
- 27.13 The PhD scholar shall have to give a presentation of his / her work before the VVB and answer the questions put to him / her during the presentation.
- 27.14 The research scholar should also prepare a hand out in softcopy, whereby he / she has shown to have incorporated all the comments and suggestions recommended by both of the examiners. This should be compulsorily part of presentation.
- 27.15 In case any of examiner's has recommended specific questions to be answered in VVE, the scholar has to prepare the answers and exhibit it as a part of the presentation in front of VVB.
- 27.16 Research scholar is advisable to keep the soft copy of updated thesis ready at the time of VVE. No hard bound copy of the updated thesis should be prepared or submitted at this stage, however if scholar desires, a soft bound hard copy of the thesis is welcome.
- 27.17 If the VVB declares the performance of the student unsatisfactory, the scholar will be asked to present another oral examination in front of VVB at a later date. Date should not be earlier than a (one) month, but not later than 3 (three) months from the date of this oral examination.
- 27.18 VVB should ensure the compliance of 27.14, 27.15, and 27.16 by the research scholar.

## **28.Submission of final thesis:**

- 28.1 After the conduct of successful viva-voce examination (VVE), the final copy of thesis is prepared. In case certain suggestions / comments are put forth at the time of VVE, the same should be incorporated in the final thesis. Hard bound thesis should not be prepared before the conduct of VVE.
- 28.2 One copy of hard bound thesis will be submitted to the concerned Department, and will be preserved by the Department.
- 28.3 Soft copy of the thesis having scanned copies of the approval sheet duly signed by Supervisor and Plagiarism similarity index certificate / report will be submitted to LIRC.
- 28.4 LIRC will issue No Dues certificate only after the submission of soft copy of the Thesis by the Scholar.
- 28.5 LIRC will also upload the thesis on INFLIBNET and NDL.
- 28.6 The hard copy of the thesis will be prepared by the research scholar for submission to Department, Supervisor / s, and for himself / herself.
- 28.7 Concerned Department will issue the No Dues only after the submission of hard bound thesis by the scholar.
- 28.8 The colour code for PhD thesis is strictly **MAROON RED**

## **29.Award of Degree**

- 29.1 The VVB examination board shall give the recommendation for the award of PhD degree in favour of the research scholar.
- 29.2 The report will be communicated by the Chairman VVB to the DAA.

- 
- 29.3 The recommendations of the VVB are forwarded to ADE for the declaration of result notification after obtaining the approval from Director.
- 29.4 The result notification will be uploaded on the Institute website.
- 29.5 The Institute will not publish the result notification in any news paper or magazine etc.
- 29.6 The PhD awardee is at will to get published result notification in any news paper or magazine at his / her own expenses. The contents of the published result notification should be exactly same (word by word) as issued by the Institute. In any case, if it is found that contents of the published notification are different from that issued by the ADE, The Institute reserves the right to take legal action against the awardee or the person responsible for the publication of result notification.
- 29.7 Provisional certificate can be issued in favour of the PhD awardee after submission of a duly signed NDC under rules.
- 29.8 The migration certificate can also be issued if applied for.
- 29.9 The Senate may authorize its Chairman to recommend to the Board of Governors, a candidate for the award of the Degree of Doctor of Philosophy, if he/she has completed all the requirements successfully and has been recommended by the VIVA VOCE EXAM BOARD.

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**ANNEXURE I****Basic Eligibility Criterion**

S. No	Branch	Eligibility Criterion
1.	Chemical Engineering	<p>ME /M. Tech in relevant field of Engineering with a minimum CGPA of 6.5 or not less than 60% for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level or any other equivalent qualification recognized by the Institute.</p> <p>OR</p> <p>BE / B. Tech with valid GATE score above the prescribed cut off level or UGC / CSIR NET in relevant specialization.</p> <p>The candidates shall have a minimum CGPA of 8.0 or not less than 75% for General /OBC/EWS Category and for SC/ST minimum CGPA of 7.5 or not less than 70% at BE/B Tech level</p> <p>OR</p> <p>M. Sc with a minimum of 60 % marks or 6.5 CGPA in the Master's Degree and with a valid GATE Score or UGC / CSIR NET in relevant specialization tenable for the year of registration.</p>
		Relevant degrees
		<p>B.E. / B. Tech M.E. /M. Tech</p> <p>Agricultural Engineering Biochemical Engineering Chemical Engineering Civil Engineering Environmental Engineering Food Engineering Metallurgy or Metallurgical and Materials Engineering Mechanical Engineering Nanotechnology Petroleum Engineering Petrochemical Engineering Pharmaceutical Engineering OR Any other relevant branch / specialization</p>
		<p>M. Sc.</p> <p>Biochemistry Biotechnology Chemistry (Organic/Physical/Inorganic/Analytical/Industrial) Environmental Science Food Science Nanotechnology Pharmaceutical Science Pharmacy OR Any other relevant degree / specialization</p>

S. No	Branch	Eligibility Criterion
2.	Civil Engineering	<p>ME/ M. Tech in relevant field of Engineering with a minimum CGPA of 6.5 or not less than 60% for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level or any other equivalent qualification recognized by the Institute.</p> <p>OR</p> <p>BE/B. Tech (4-year) with valid GATE score above the prescribed cut off level / NET in relevant specialization. The candidates shall have a minimum CGPA of 8.0 or not less than 75% for General /OBC/EWS Category and for SC/ST minimum CGPA of 7.5 or not less than 70% at BE/B Tech level</p> <p>In addition to above, following qualifications are also eligible for Engineering Geology and Geo-Science Specializations only:</p> <p>Master's degree in Applied Geology/ Geology/ Earth Sciences or an allied area satisfying each of the following criteria:</p> <p>A minimum of 65% marks or 6.5 CGPA in the Master's degree, and First division in Bachelor's degree,</p> <p>AND</p> <p>Valid GATE score or UGC / CSIR NET in relevant specialization tenable for the year of registration.</p>
3.	Computer Science & Engineering	<p>BE/ B. Tech (4-year) in Computer Science &amp; Engineering / Information Technology / Electronics &amp; Communication Engineering /or other relevant branch</p> <p>AND</p> <p>ME /M. Tech in Computer Science &amp; Engineering/ Information Technology / Electronics &amp; Communication Engineering or other relevant specialization, with a minimum CGPA of 6.5 or not less than 60% for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level.</p>
4.	Electrical Engineering	<p>ME/ M. Tech in relevant field of Engineering with a minimum CGPA of 6.5 or not less than 60% for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level or any other equivalent qualification recognized by the Institute.</p> <p>OR</p> <p>BE/B. Tech (4 year) with valid GATE score above the prescribed cut off level or NET in relevant specialization. The candidates shall have a minimum CGPA of 8.0 or not less than 75% for General /OBC/EWS Category and for SC/ST minimum CGPA of 7.5 or not less than 70% at BE/B Tech level</p>
5.	Electronics & Communication Engineering	<p>ME/M. Tech in relevant field of Engineering with a minimum CGPA of 6.5 or not less than 60% for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level or any other equivalent qualification recognized by the Institute.</p>

S. No	Branch	Eligibility Criterion
		<p>OR</p> <p>BE/B. Tech (4-year) with valid GATE score above the prescribed cut off level / NET Qualification. The candidates shall have a minimum CGPA of 8.0 or not less than 75% for General /OBC/EWS Category and for SC/ST minimum CGPA of 7.5 or not less than 70% at BE/B Tech level.</p>
6.	Information Technology	<p>BE/B. Tech (4-year) in Computer Science &amp; Engineering / Information Technology/Electronics &amp; Communication Engineering / or other relevant branch</p> <p>AND</p> <p>ME/M. Tech in Computer Science &amp; Engineering/ Information Technology/ Electronics &amp; Communication Engineering / or other relevant specialization with a minimum CGPA of 6.5 or not less than 60% for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level</p>
7.	Mechanical Engineering	<p>ME/M. Tech in relevant field of Engineering with a minimum CGPA of 6.5 or not less than 60% for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level or any other equivalent qualification recognized by the Institute.</p> <p>OR</p> <p>BE/B. Tech (4-year) with valid GATE score above the prescribed cut off level or NET in relevant specialization. The candidates shall have a minimum CGPA of 8.0 or not less than 75% for General /OBC/EWS Category and for SC/ST minimum CGPA of 7.5 or not less than 70% at BE/B Tech level</p>
8.	Metallurgical & Materials Engineering <sup>8</sup> .	<p>ME/ M. Tech in relevant field of Engineering with a minimum CGPA of 6.5 or not less than 60% for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level or any other equivalent qualification recognized by the Institute.</p>
		<p>OR</p>
		<p>M. Sc Nanotechnology with minimum of 60% marks or 6.5 CGPA for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 or not less than 55% marks</p> <p>AND</p> <p>Bachelor's Degree (4 year) or any other equivalent qualification recognized by the Institute in Metallurgical and Materials Engineering/ Metallurgical Engineering/ Materials Science Engineering/ Production Engineering/ Manufacturing Engineering/ Ceramics Engineering/ Industrial Metallurgy/ Chemical Engineering/ Nanotechnology with minimum of 60% marks or 6.5 CGPA for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 or not less than 55% marks</p> <p>AND</p>



S. No	Branch	Eligibility Criterion
		Possessing a valid GATE Score or NET in relevant specialization tenable for the year of registration.
9.	Chemistry	Masters Degree in relevant field of Science with a valid NET or GATE Qualification in relevant specialization and a minimum CGPA of 6.5 or not less than 60% marks for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level or any other equivalent qualification recognized by the Institute.
10.	Mathematics	Masters Degree in relevant field of Science with a valid NET or GATE Qualification in relevant specialization and a minimum CGPA of 6.5 or not less than 60% marks for General /OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level or any other equivalent qualification recognized by the Institute.
11.	Humanities, Social Sciences, and Management	Masters Degree in relevant field with a valid NET or GATE Qualification in relevant specialization with minimum CGPA of 6.5 or not less than 60% marks for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level.
12.	Physics	Masters Degree in relevant field of Science with a valid NET or GATE or JEST Qualification in relevant specialization and a minimum CGPA of 6.5 or not less than 60% marks for General/OBC/EWS Category and for SC/ST minimum CGPA of 6.0 Or not less than 55% marks at Master's level or any other equivalent qualification recognized by the Institute.

## Notes:

1. Only primary mode of evaluation (CGPA or percentage) as mentioned in the qualifying degree certificate/mark sheet shall be considered while verifying eligibility.
2. In case both CGPA and percentage are mentioned, then only CGPA would be considered.

## ANNEXURE II

### Self Attested Photocopies of Certificates to be submitted with application, and subsequently verified at the time of Admission

#### Applicable certificates / Documents to be uploaded or produced

1. Matriculation (DoB) Certificate
2. B. Tech / B. E Degree and Marks Sheet
3. M. Tech. / M.E. Degree and Marks Sheet
4. M Sc / MBA / MA or any other equivalent Degree and Marks sheet
5. GATE / NET / JEST / JRF / INSPIRE /NBHM / JAM / or any other equivalent etc
6. Migration / Transfer Certificate
7. OBC (NCL) / EWS / Schedule Caste / Schedule Tribe / PwD certificate.
8. In case of OBC-NCL/GEN-EWS category, the certificate must have been issued on or after April 01, of the admission year.
9. The authorities competent to issue Category/Caste Certificates are indicated below:  
District Magistrate / Additional Magistrate / Collector / Deputy Commissioner / Additional Deputy Commissioner/ Deputy Collector/ First Class Stipendiary Magistrate / Sub-Divisional magistrate / Taluka Magistrate / Executive Magistrate / Extra Assistant Commissioner (not below the rank of 1<sup>st</sup> Class Stipendiary Magistrate), Chief Presidency Magistrate / Additional Chief Presidency Magistrate / Presidency Magistrate, Sub-Divisional Officer of the area where the candidate and / or his family resides, Revenue Officer not below the rank of Tehsildar
10. No Objection cum Service Certificate from the employer (in case of sponsored candidates) (The format may be downloaded from Institute website)
11. Nature of employment, Research experience, publication or any other related additional detail.
12. Candidates whose final year result is yet to be declared are also eligible to apply, however they have to submit their certificate / marks card at the time of enrolment if selected. They should also upload the complete transcript of marks / grade up to last but one semester / year.

Sponsored Full Time / Part Time candidates have to produce the following documents at the time of Enrolment.

1. No Objection Certificate & Sponsorship Certificate from the employer.
2. Proof of 02 years regular services.
3. Order from employer for 06 months for the completion of residency period

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**ANNEXURE III**

Judicial document for provisionally admitted externally fellowship awardees, whose financial (External) award is subject to fulfilment of certain conditions

AFFIDAVIT TO BE SUBMITTED ON NON-JUDICIAL STAMP PAPER OF RS.50/.

I \_\_\_\_\_  
Son of / Daughter of / Wife of \_\_\_\_\_  
R/o \_\_\_\_\_ do hereby solemnly  
affirm and state as under:

That my above name and address is correct.

That I have been provisionally awarded fellowship from (Name of the awarding agency)  
vide Communication No \_\_\_\_\_, DT: \_\_\_\_\_, and is valid up  
to: \_\_\_\_\_ for applying in an Institution to seek PhD admission.

I am now seeking PhD admission in the National Institute of Technology Srinagar (J&K)  
190006.

I solemnly declare that

1. In case I am not awarded the fellowship from the awarding agency, I will not claim any monthly stipend or scholarship or any other financial benefit from National Institute of Technology Srinagar; and I will continue the PhD programme without Institute Scholarship or any other financial benefit.
2. However in ensuing next session, I may be allowed to compete for the Institute fellowship as per clause 5 (of PhD rules), and I will be given only 1 (one) chance to sit in the admission process and earn the Institute fellowship through merit. If earned, the fellowship will be given to me prospectively, from the date of approval.
3. In case I do not succeed in this first attempt for Institute fellowship; either I will leave the PhD programme or I will continue PhD programme without any fellowship or any other financial benefit from National Institute of Technology.

DEPONENT

**VERIFICATION**

That the above statement is true to the best of my knowledge and belief and nothing has been concealed there from.

DEPONENT

## ANNEXURE IV

### **Advertisement for JRF recruitment under sponsored Projects**

Project title	
Sponsoring agency	
Position title	Junior Research Fellow
Duration	months ( years)
Number of position(s)	1 (One)
Essential Qualification	As per the basic eligibility criteria of the Department for PhD admission
Desirable	
Emoluments	JRF: Rs. Per month for the first 2 years and SRF: Rs. Per Month for the third year.
HRA	As per rules
Registration for PhD	The selected candidate will be registered for PhD programme as per institute rules and statutes.
How to apply?	The Performa of application is attached with this advertisement. Complete application form, Brief CV and scanned copy of certificates (All certificates should be a single file in pdf format) send via email to: _____ Incomplete Application forms will be summarily rejected without any further information
Submission mode	Soft copy / Hard Copy
Last date to apply	
Contact	Name of the PI with Complete credentials

## ANNEXURE V

### MHRD (ME) PhD Guidelines

F.No. 15-2/2019-TC  
Government of India  
Ministry of Human Resource Development  
Department of Higher Education  
Technical Coordination  
\*\*\*\*

Shastri Bhawan, New Delhi,  
Dated: 16<sup>th</sup> July, 2019.

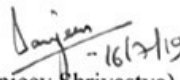
#### OFFICE MEMORANDUM

**Subject: Revision of rates of Ph. D Scholarship in AICTE and Centrally Funded Technical Institutions under the Ministry of Human Resource Development-regarding.**

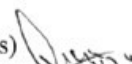
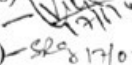
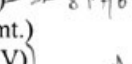

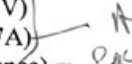
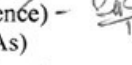


With reference to the above subject, it is informed that an OM No. 12-2/2019-U.I, dated 31.01.2019 (copy enclosed) regarding revision of rates of Ph. D Scholarship in AICTE and Centrally Funded Technical Institutions under the Ministry of Human Resource Development has already been issued by U-I Section of Ministry of HRD, which is in respect of all MHRD funded research and development programmes (including academic programmes).


2. All the Sections/Divisions under TE Bureau are requested to clarify this to institutions seeking clarification in this regard.

Encl: As above.

  
(Sanjeev Shrivastva)  
Under Secretary to the Govt. of India  
Tele: 011-23074199

To,

- US(NITs) 
- US(IIT) 
- US(IIT) 
- US(Mgmt.) 
- US(TS.IV) 
- US(TS.7A) 
- DD(Science) - 
- SO(SPAs) 
- SO CTS-II



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F No: 12-2/2019-U1  
Government of India  
Ministry of Human Resource Development  
Department of Higher Education  
\*\*\*\*\*

Shastri Bhawan, New Delhi  
Dated: 31<sup>st</sup> January, 2019

**OFFICE MEMORANDUM**

**Subject:** Revision of emoluments and guidelines on service conditions for research personnel engaged in R&D programme of the Central Government Departments/ Agencies.

The undersigned is directed to refer to OM No. SR/S9/Z-08/2018 dated 30<sup>th</sup> January 2019 of the Department of Science and Technology, Ministry of Science and Technology, on the subject cited above. The emoluments for research personnel engaged in R&D programmes funded by the MHRD shall be enhanced according to the following provisions:

1) **Emoluments:**

**A. Junior Research Fellow (JRF)/Senior Research Fellow (SRF)**

Sl. No.	Designation & Qualification	Existing Emoluments (per month)	Revised Emoluments (per month)
I	<b>Junior Research Fellow (JRF)</b>  Post Graduate Degree in Basic Science OR Graduate / Post Graduate Degree in Professional Course selected through a process described through any one of the following  a. Scholars who are selected through National Eligibility Tests - UGC NET including lectureship (Assistant Professorship) and GATE.  b. The selection process through National level examinations conducted by MHRD and its Agencies and Institutions such as UGC / IIT / IISc / IISER / IIIT etc.	Rs. 25,000/-	Rs. 31,000/-
II	<b>Senior Research Fellow (SRF)</b>  Qualification prescribed for JRF with two years of research experience	Rs. 28,000/-	Rs. 35,000/-

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A.1 After completion of two years, an external assessment by the Institution where the student is enrolled for Ph.D is mandatory for upgradation from JRF to SRF. The fellow may be awarded SRF after successful assessment.

A.2 Annual Satisfactory Assessment is mandatory to continue the benefit of fellowship during SRF period.

#### B. Research Associate

Research associates may be fixed at a consolidated amount at one of the 3 pay levels given below depending upon the qualification and experience. The Institute/Organization concerned may decide the level in which a particular associate should be placed based on the experience. The Essential Qualification (EQ) for RA is as follows:

Ph.D/MD/MS/MDS or equivalent degree or having 3 years of research, teaching and design and development experience after MVSc/M.Pharm/ME/M.Tech with at least one research paper in Science Citation Indexed (SCI) journal.

Sl. No.	Category	Existing Emoluments (per month)	Revised Emoluments (per month)
I	Research Associate –I	Rs. 36,000/-	Rs. 47,000/-
II	Research Associate –II	Rs. 38,000/-	Rs. 49,000/-
III	Research Associate –III	Rs. 40,000/-	Rs. 54,000/-

#### 2. Service Conditions:

(i) **DA:** JRFs, SRFs and Research Associates will not be entitled to DA.

(ii) **House Rent Allowance (HRA):** All research fellows may be provided hostel accommodation wherever available. Research fellowship holder residing in hostels shall not be entitled for HRA. Wherever provision of hostel accommodation is not possible, HRA may be allowed to all the above categories viz. JRF, SRF and RA as per Central Government norms applicable in the city/location where they are working. The percentage required for calculating HRA will be based on the fellowship amount.

(iii) **Medical Benefits:** The research fellows and research associates (JRF/SRF/RA) will be entitled for medical allowance as applicable in the implementing institution.

(iv) **Leave and other entitlements:** The JRF/SRF are eligible only for casual leave while Research Associates are entitled to leave as per rules of the host institution. Participation of any of these categories (JRF/SRF/RA) in scientific event/workshops held in India or abroad will be treated as "on duty" with due approval of the host institution. The travel entitlement for JRF/SRF/RA for participation in scientific events/workshops in India will continue to be the same as earlier i.e. 2<sup>nd</sup> AC by rail. Maternity leave as per the Govt. of India instructions issued from time to time would be available to female candidates in all categories.

(v) **Bonus & Leave Travel Concession:** JRFs, SRFs and Research Associates will not be entitled to these allowances.

(vi) **Retirement Benefits:** JRFs, SRFs and Research Associates will not be entitled to these benefits.

*Ans*  
21.11.19



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(vii) **Publication/Patent:** The results of JRF/SRF/RA's research work may be published preferably in standard refereed journals with the concurrence of the Fellow and his/her Supervisor / Advisor. It should be ensured by the fellow that the assistance provided by the funding agency of Government of India is acknowledged in all such publications.

(viii) **Obligation of JRF/SRF/RA:**

- a) He/ She shall be governed by the disciplinary regulations of the host Institute where he/she is working.
- b) The JRF/SRF/RA must send a report of the research work done during the period of Fellowship as may be asked by the sponsoring agency.

3. The number of fellowships shall remain the same as is existing, unless modified with the approval of MHRD. The Departments / Agencies are requested to ensure that the above guidelines are followed in regard to the remuneration and other benefits to the research personnel engaged in R&D projects funded by them.

4. Selection for award of fellowship shall ordinarily be through common competitive examinations. However, for subjects where there is no examination presently, Government Departments and their authorized agencies and institutions may start conducting examinations to screen candidates for award of fellowships. This shall not be applied retrospectively and the persons already enrolled shall be exempted.

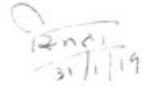
5. In order to further enhance value, quality and experience in doctoral research, the Government has agreed to incentivize the research output for e.g. in the form of publications and patents. The proposals to incentivize research output will be considered separately and modalities for its implementation will be evolved.

6. **Date of Effect:** The revised emoluments will take effect from 01.01.2019. The requirement of funds should be worked out and the additionality should be met from the existing budget of 2018-19 through matching savings.

7. The Chairman UGC, Chairman AICTE and the Bureau Heads of the Department of Higher Education in the Ministry of Human Resource Development responsible for management of the Institutions of National Importance are requested to convey this to all the institutions under their supervision immediately.

8. This issues with the approval of the Minister for Human Resource Development.

Encl: As above

  
(Smita Srivastava)  
Director

1. Chairman UGC
2. Chairman AICTE
3. All Bureau Heads of Department of Higher Education



**ANNEXURE VI****Check List for the submission of PhD Thesis****OFFICE OF THE DEAN ACADEMIC AFFAIRS, NIT SRINGAR**

<b>CHECK LIST</b>		
<b>REQUIREMENTS FOR PH. D SYNOPSIS/ THESIS SUBMISSION</b>		
1	Name of Research Scholar	
2	Date of Registration:	
3	Enrolment No:	
4	Registration No:	
5	Department:	
6	Name of Supervisor	
7	Name of Co-supervisor (if any)	
8	Whether Full Time / Part Time	
9	Minimum Time Completion:	
10	Course Work Notification :	
11	Whether Research Proposal Approved	
12	Copy of Comprehensive Viva-Voce Examination Report / Research Proposal attached: <b>Annexure-A: Comprehensive Examination</b> <b>Annexure-B: Recommendations of DC for Research Proposal Evaluation</b>	
13	Date of Pre-Ph. D Viva Voce:	
14	Pre-Ph. D Viva Voce for submission of synopsis conducted and recommendations thereof duly signed by Doctoral Committee.	
15	Declaration by the Research Scholar / Ph. D Supervisor regarding two (Non-Paid) international journal publications (reputed) SCI – SCOPUS (effective from the batch 2017 onwards)	
16	Re-print of 2 (Two) peer reviewed Journal Papers	
17	Indian / Foreign Panel of Examiner ( 4 examiners to be nominated each) along with Profile of Examiners duly signed by the Supervisor and endorsed by the Chairman D.C	
18	Soft copy of synopsis along with soft bound hard copy (1 No)	
19	Soft copy of Thesis along with soft bound hard copy (1 No)	
20	Plagiarism Report / Certificate attached	
21	Degree fee (Rs 1000.00) paid vide No: _____, DT: _____ (To be paid by the research scholars registered before Autumn 2021)	

**Dealing Assistant****Associate Dean (AA)**

**ANNEXURE VII****Thesis Evaluation form (External examiner)**

NATIONAL INSTITUTE OF TECHNOLOGY SRINAGAR

HAZRATBAL, SRINAGAR-190 006, J&amp;K , INDIA

**EXAMINER'S REPORT ON PH.D. THESIS**

1. Name of the Candidate :
2. Subject / Faculty :
3. Title of the Thesis :

S. No.	Recommendation	Yes	No
01	The thesis is recommended for the award of Ph.D. degree in its present form		
02	The thesis be accepted for the award of Ph.D. degree after minor revision as detailed / suggested in the report.  The supervisor should submit a certificate that all the modifications/ revisions suggested by the examiner are incorporated in the revised version of thesis and no need to send the thesis for re-evaluation. The revised version of thesis be certified by the Doctoral Committee of the candidate. The Doctoral committee of the candidate will certify that revisions/ modifications as desired by the examiner have been incorporated in the revised version of the thesis submitted by the candidate.		
03	The thesis be accepted after major revision requiring rewriting a portion/ chapter of the thesis incorporating some additional work.  If the answer to 03 above is "Yes", the thesis needs re-evaluation by the examiner.		
04	Re-writing of the thesis after further research is recommended		
05	The thesis be rejected outright.		

**DETAILED REPORT**

The examiner is requested to give his/her detailed report. While writing the report the examiner should also keep the following points into consideration.

- a. The Research work has to be original in nature.
- b. The language and presentation of the thesis have to be satisfactory.

(Signature of the Examiner)

**ANNEXURE VIII****Remuneration Bill Form (Indian)**

**National Institute of Technology Srinagar  
Hazratbal, Srinagar-190006**

<b>REMUNERATION BILL (INDIAN) FOR PH.D THESIS EVALUATION</b>
--

The Deputy Registrar (Accounts)  
National Institute of Technology Srinagar  
J&K – 190 006

Sir / Madam,

I submit my bill of remuneration for the PhD thesis evaluation of Research Scholar \_\_\_\_\_, payment of which may be made to me at your earliest convenience.

Honorarium for the evaluation of PhD Thesis	Rs. 7,500/=
Honorarium for the sitting charges in Viva Voce of Scholar	Rs. 5,000/=
Total: (Rs T Twelve thousand Five Only)	Rs 12,500/=

Name .....

IT PAN NO.....

Designation .....

Address .....

.....

Mobile No: .....

**Bank Account Details for National Examiners**

1. Beneficiary Name .....
2. Beneficiary Account No. ....
3. Name of Bank .....
4. Branch Name .....
5. IFSC Code: .....
6. Any other instructions .....

\_\_\_\_\_  
Signature of the Examiner

**Forward To Accounts Section**

**ANNEXURE IX**

**Remuneration Bill Form (Foreign)**  
**National Institute of Technology Srinagar**  
**Hazratbal, Srinagar-190006**

**REMUNERATION BILL (Foreign) FOR PH.D THESIS EVALUATION**

The Deputy Registrar (Accounts)  
 National Institute of Technology Srinagar  
 J&K – 190 006 India

Sir / Madam,  
 I submit my bill of remuneration for the PhD thesis evaluation of Research Scholar  
 \_\_\_\_\_, payment of which may be made to me at your earliest convenience.  
 Honorarium for the evaluation of PhD Thesis US \$ 400 /=  
 Total: US Dollars Four Hundred.

Name .....

Designation .....

Address .....

.....

Mobile No with country code .....

**Bank Account Details for International Examiners**

1. Beneficiary Name.....
2. Beneficiary Account No.....
3. Bank Name.....
4. SWIFT/BIC Code.....
5. IBAN No .....
6. Any other instructions .....

\_\_\_\_\_  
 Signature of the Examiner

**Official use**