

## **REGULATIONS RELATING TO Ph.D. PROGRAMME**

### **1. GENERAL**

1.1 The Institute provides facilities for research leading to the Degree of Doctor of Philosophy (Ph.D.).

1.2 The award of the Ph.D. degree is made on the basis of satisfactory performance of a registered candidate in

- (i) prescribed course work & seminar and
- (ii) the thesis submitted by the candidate and a final viva voce.

The thesis shall be the report of research work characterized by either discovery of new facts or a new interpretation of known facts and theory, or an independent design and development, or development of new instrument/technology.

1.3

(a) Minimum qualification required for admission to the Ph.D. program is a degree in any one of the areas given below

M. Tech (Master of Technology)	M. S.
M. C. P. (Master of City planning)	M. E.
M. R. P. (Master of Regional Planning)	M. Sc. (Engg.,)
M. Arch. (Master of Architecture)	M. Phil
M.B.A. (after B. Tech./M.Sc./M.A./M.Com.)	2 year M.B.M.

or an equivalent of the aforesaid degrees

OR

(b)

Bachelor of Technology (B.Tech.) Master of Science (M.Sc.)

Master of Business Administration

(done after B.A./B.Sc./B.Com.) Master of Arts (M.A.)

PG Diploma in Management of 2-year

duration (done after B.A./B.Sc./B.Com.) B. Sc. (Engg)

M.B.B.S. degree with compulsory one Bachelor of Architecture  
year internship completed (B.Arch.)

or a degree equivalent to any of them.

All candidates seeking admission to the Ph. D. program shall have to possess requisite marks/grades in qualifying examination as shown below:

- (i) 60% marks (or a CGPA of 6.5 in 10 point scale) in the qualifying examination in Engineering/Science/Commerce/ Management or
- (ii) 55% in Humanities or Social Sciences (or a CGPA of 6.0 in 10 point scale).

(c) Candidates for award of Institute Research Assistantship will have to possess a valid GATE score that is above the cut off level (accepted for M.Tech. admission in a particular year) as decided by the senate from time to time. Candidates who have merely qualified in NET examination but have not got a fellowship will not qualify for Institute Research Scholarship.

(d) IIT B.Tech.'s with CGPA  $\geq$  8.00 be given direct admission in Ph.D programme with assistantship.

**NOTE :** When a candidate possesses a professional degree the equivalence of the degree with those listed above shall be solely determined by either the appropriate nationally accredited professional bodies or with the classification followed by Association of Indian Universities guideline (like Indian Medical Council for all medical related degrees etc.)

- 1.4 Normally, a candidate has to devote at least three years for study and research. The period will be counted from the date of his enrolment. However, for a candidate who meets the criteria as laid down in 1.3a above the period shall be a minimum of two years.
- 1.5 The rules for accommodation provided by the Institute are given in **Appendix-I**.
- 1.6 Doctoral Scrutiny Committee (D.S.C.) (composition of which is given in **Appendix-II**) for every candidate admitted to the Ph.D. program will monitor the candidate's progress, conduct the open seminars with DAC(PG&R) and recommend the names of the examiners for evaluating the thesis. On receiving satisfactory reports on the thesis from the examiners, the D.S.C. along with an additional examiner (internal or external) will conduct the final viva voce and recommend to the Senate for the award of the degree. Normally the additional examiner shall be the external Indian thesis examiner.
- 1.7 All candidates enrolled for the Research Program under any of the categories (Institute Scholar/Sponsored/Individual-CSIR,UGC/Scheme/QIP/Self-financing etc.) shall be governed by all the provisions of this and of such other regulations as are applicable to them and they shall also obey any direction/instruction concerning them issued by the Institute from time to time.
- 1.8 Research Scholars are admitted to the academic Department/Centres of the Institute. Students can also be admitted to R & D Centres/Schools. However, their research program shall be monitored by the D.A.C. (PG&R) formed by the Head/Chairman with faculty from other Departments/Centres who are allied to the area of research of the Centre/school. The composition of the D.A.C. (PG&R) shall have to be approved by the Chairman, Senate and reported to the senate.

## 2. **ADMISSION**

- 2.1 The admission of a candidate to the Ph.D. program is recommended by the Departmental Academic Committee (Post-Graduate and Research), abbreviated as DAC (PG&R), of the Department/Centre concerned.
- 2.2 Candidates who possess qualification as laid down in 1.3a or 1.3b above are eligible for admission to the Ph.D. program on the basis of –
  - (a) Overall academic career AND
  - (b) Test and Interview conducted by the Department/Centre with the weightage given in **Appendix-III**.

A candidate who has obtained research scholarship on the basis of NET fellowship examination will be evaluated on the basis of (a) and (b) above only.

### 2.3

- 2.3.1 Foreign nationals possessing the requisite qualifications and sponsored by the Govt. of India (ICCR, HRD etc.) with Scholarship are admitted on the basis of grades or marks obtained in the qualifying examination. A minimum of 60% marks or a CGPA of 6.5 (out of 10) at the qualifying examination is required in such cases.

- 2.3.2 Sponsored college teachers awarded Teacher Fellowship of UGC, candidates selected under Quality Improvement Program (QIP), and personnel deputed by R&D Organizations and Industry and self supporting candidates are admitted on the basis of
- (a) Grades or marks obtained in the qualifying examination as per clause 1.3a or 1.3b as applicable AND
  - (b) Interview conducted by the Department/Centre concerned.
- Detailed rules regarding admission and enrolment of sponsored and self-financing candidates are given in **Appendix-IV**.
- 2.4 Staff members of the Institute may be allowed to enrol themselves for the – Ph.D. program subject to (i) prior permission obtained from the Director and (ii) fulfilment of the minimum prescribed qualifications as per para- 1.3a or 1.3b. Members of staff, including teachers, intending to apply for enrolment for the program will, however, be required to satisfy a Selection Committee to be appointed by the Head of the Department/Centre concerned. The other conditions governing such permission to be granted for enrolment of staff members are given in **Appendix-V**.
- 2.5 Research fellows (JRFs and SRFs) and other research staff (SRA, JSO, SSO) in various schemes in the Institute and individual research scholars qualified at NET, with fellowship, conducted jointly by UGC & CSIR who are desirous of enrolling for the Ph.D. program must fulfil the qualifications for admission laid down in para 1.3a or 1.3b above as the case may be.
- 2.6 Candidates admitted to the Ph.D. program of the Institute shall be entitled for award of Research Assistantships under conditions mentioned in **Appendix-VI**. However, sponsored, self-financing candidates, CSIR/UGC/ICAR/Govt. of India sponsored scholars, scholars with NET fellowship and the staff members of the Institute, shall not be entitled to award of Research Assistantship
- 2.7 Candidates who are JRFs/SRFs or of an equivalent position attached to CSIR/DST/Defence Laboratories/Government R & D organization/IIMs are admitted to the Ph.D. program on the basis of qualification as laid down in **Appendix-VII**.
- 2.8 Scholars admitted to the Ph. D. program under any of the categories shall conduct themselves within and out side the precincts of the Institute in a manner befitting the scholars of an Institute of National importance. Detailed rules regarding conduct and discipline are given in **Appendix – VIII**.
- 2.9 A candidate should fulfil the appropriate standards of medical fitness. The Institute Medical Board's opinion in regard to the medical fitness of a candidate shall be final.

### 3. **ENROLMENT**

- 3.1(a) A candidate is required to enrol for the Ph.D. program within 1 month of joining on payment of prescribed fees as shown in **Appendix – IX** and to carry out research work under a supervisor (**Appendix – X**) from amongst the faculty of the Institute.
- (b) A Research Scholar, including a Faculty member enrolled for Ph.D programme, must have a Supervisor, though he/she may be from exceptionally good academic background having research exposure.
  - (c) When a research scholar is permitted by the RPEC on the recommendation of the D. S. C. to carry out a substantial part of the research work in an industry or in an organization with adequate R & D facilities, appointment of a joint supervisor from the industry/organization may be allowed provided that such permission shall not violate the condition for continuity of research scholarship of an Institute Research

Scholar. The qualification of the joint supervisor from the industry/organization shall have to be approved by RPEC.

3.2.1 Normally a candidate admitted to the Ph. D. program will be required to stay in the Institute till he/she completes all assigned course work and submits his/her thesis. The minimum residential requirement shall, however be one year for a candidate who has completed the course work (vide para 3.4 below) and at least a part of the research work and has been registered for the Ph. D. degree.

3.2.2 After enrolment for the Ph.D. program a Research Scholar under any category may be permitted to be on leave from the Department/Centre for a limited number of days per year of stay, as stated below:

(i) for incidental purposes, CASUAL LEAVE --- 15 days

(ii) for treatment on illness, MEDICAL LEAVE --- 15 days

The leave will be granted by the Head of the Department/Centre on the recommendation of the Supervisor and any leave not availed of in a year shall not accumulate.

3.3 In the case of sponsored candidates from organizations having R&D facilities the residential requirement may be, subject to other conditions, reduced to one semester to be completed at a stretch preferably immediately after joining.

3.4 All candidates enrolled for the Ph.D. program are required to complete the course work as prescribed below:

(a) Ordinarily a candidate possessing the qualification as laid down in para-1.3a of the regulation may not be required to do any course work. However, if the candidate has desired to work in an area not directly connected with his/her M.Tech./M.Arch./MCP/MRP/MS/M.Phil./MBA. degree or if he/she has completed concerned degree program more than 8 years ago, the Doctoral Scrutiny Committee may recommend 12-16 credits of course work of which a maximum of 4 credits can be for laboratory course. The course work will be from the appropriate M.Tech./M.Arch. course or for courses of equivalent level. The lowest acceptable grade is 'C' in individual subjects so assigned.

(b) A candidate possessing qualification as laid down in 1.3b above is required to enroll for the appropriate M.Tech./M.Arch. course or courses of equivalent level and complete a minimum of 12 credits and a maximum of 20 credits, of which a maximum of 4 credits can be for laboratory course. If a required course is not available in the existing curricula, instructions in the subject will be imparted in 'Self-study' style following all steps like assignments, examination etc., as prescribed for a regular course.

(c) Candidates assigned course work must obtain, in the 7-scale grading system, a grade not lower than 'C' in each of the subjects.

If the grade obtained by a candidate in any subject is below 'C', the candidate is required to repeat that subject and clear it with a grade not lower than 'C'. Should the candidate fail to clear the course work within 1 year of enrolment, the DSC may review the performance of the student and recommend a change of course work.

In addition to the assigned course work requirement a candidate is also required to show, before he/she submits the synopsis, proficiency in one of the subjects offered by the Department of Humanities and Social Sciences, or IEM or VGSOM as approved by the Senate.

#### **4. REGISTRATION**

- 4.1 A candidate is required to give a seminar talk on the topic of his research within one year of enrolment or within one year of completion of the course work as the case may be. The seminar talk will be delivered to an open audience with members of the D.S.C. and D.A.C. (PG&R) present. If the seminar is satisfactory the candidate will be allowed to register for the degree. However, if the D.S.C. and D.A.C.(PG & R) is not satisfied by the seminar talk, the candidate will be required to deliver another talk with suitable modification or improvement within the next 3 months. The registration seminar should normally be held within 1 calendar year of enrolment of a student who has been admitted on the basis of qualification as given in 1.3a above or within 2 calendar years for a student on the basis of possessing qualification as given in 1.3b above. Should the candidate fail to clear the registration seminar even on second attempt the enrolment shall be cancelled and the student shall be asked to leave.
- 4.2 Registration of a candidate for the Ph.D. degree shall be effective, normally, from the date of enrolment and shall remain valid for a period of 08 (eight) years. The registration of a candidate may be deferred by the D.S.C. and D.A.C.(PG&R) on account of unsatisfactory progress. A candidate will be required to submit the thesis before the expiry of the registration period. In the event of a candidate failing to submit his thesis within the period, the registration shall lapse automatically.
- 4.3 A candidate who has been registered for the Ph.D. program can be permitted to become non-resident on the specific recommendation of the D.S.C. provided the candidate has stayed in the Institute for a minimum period of one year. The thesis for the Ph.D. degree must, however, be submitted within 8 years of enrolment.
- 4.4 (a) A candidate sponsored by an industry, an R&D Organization, an educational institution or a Government Organization equipped with R&D facilities, may be allowed to work externally subject to his fulfilling all conditions prescribed by sub-para 3.3 and 3.4 above and also such other conditions as are applicable. Permission to carry out the research work at the Organization shall be granted only if necessary research facilities exist there and the D.S.C. is satisfied about the requirement and recommends accordingly.
- (b) In such a case a joint supervisor may be appointed from that Organization in addition to the supervisor from the Institute. The Joint Supervisor so appointed from the sponsoring Organization should have adequate research experience.
- (c) When a sponsored candidate has been granted permission for carrying out research work externally at the parent Organization he will be required to maintain close contact to the satisfaction of the supervisor in the department.

#### **5. SEMINAR AND SYNOPSIS OF RESEARCH WORK**

Prior to submission of the thesis the candidate will submit the synopsis of the thesis and present a seminar to an open audience in which besides others the D.S.C. and D.A.C. (PG&R) members will be present. The seminar lecture will test the candidate's depth of knowledge and progress in his/her research. The candidate shall be allowed to submit his/her thesis for the Ph.D. degree only when the D.S.C. is satisfied about the work. If the D.S.C. is not satisfied with the quality of the work or the general preparation of the candidate, the candidate will have to appear again for the seminar within a maximum period of six months. The thesis must be submitted within two months after the D.S.C. approves the submission on the basis of this seminar.

## 6. THESIS

6.1 Besides a soft copy (CD), a candidate shall submit five copies of the thesis in case of single supervisor and six copies if there is a joint supervisor, neatly typed or printed and bound in a manner notified separately. The thesis, must contain, besides the text and common matters like bibliography/references and summary/conclusions:

- (i) a preface/introduction in which the candidate shall state whether the thesis is based on discovery of new facts or new interpretation of established facts by others, or based on exhaustive study and critical analysis of published work of others, or design, or development work undertaken;
- (ii) bio-data of the candidate within one page (i.e. name, date of birth, educational qualification, research experience, professional experience, if any, and permanent home address);
- (iii) an abstract of the thesis (about 500 words) with key words (about 20);
- (iv) a certificate (in standard format) from the supervisor(s) that (a) the work has been carried out under his/her/their supervision, (b) the candidate has fulfilled all prescribed requirements and (c) the thesis which is based on candidate's own work has not been submitted elsewhere for a degree/diploma.

6.2 On successful completion of the seminar the D.S.C. will recommend to the Senate a panel of ten experts, from India and/or abroad, to examine the thesis (not more than 5 persons in the list shall be from India). Two experts from the panel shall be appointed as 'external' examiners and the supervisor(s) will be the internal examiner(s). The thesis shall be forwarded to all the examiners who shall report separately on the thesis and forward their recommendation to the Registry.

6.3 The Dean (P G S) will examine the reports of the thesis examiners and send it to the Director as Chairman, Senate. The reports shall thereafter be sent to the D.S.C. for their perusal and necessary action. There may be four – possible situations arising out of the nature of the reports, and the steps to be taken appropriate to the circumstances shall be as laid down below:

- (i) The examiners are unanimous in recommending the award of the degree on the basis of the thesis without any modification. This is a clear case for going in for the final requirement of viva voce.
- (ii) The external examiners are unanimous in recommending the award of the degree but have suggested modification and/or have asked for clarifications. The candidate in that case shall make modifications and provide the clarifications as suggested within a time to be fixed by the DSC which in no case shall exceed six months from the date the communication is sent to the candidate. These may be sent to the examiners, if so desired by them.
- (iii) One of the external examiners does not recommend the award of the degree and rejects the thesis while the other external examiner recommends the award. The D.S.C. in such a case may either ask the candidate to modify the thesis as suggested within a given time not exceeding six months and send the modified thesis to the same examiner again, or, recommend to the Senate the appointment of another external examiner and send the thesis to him in its original form. The recommendation of this 'third' examiner, at this stage, shall be taken as final.
- (iv) Both the external examiners reject the thesis.

6.4 In the event of a thesis being rejected by both the external examiners the Senate may, on the recommendation of the D.S.C., permit submission of a revised thesis on an additional payment of the prescribed fee, after a suitable time to be fixed by the Senate. The

observations and comments of the examiners, if any, may be copied and given to the candidate on request. In no case should a resubmission of the thesis without modification along the lines of criticism made by the earlier examiners be allowed. The revised thesis shall be referred for assessment to two external examiners selected from a new panel of ten experts recommended by the D.S.C. In case both the experts reject the revised thesis again the thesis will stand rejected.

- 6.5 Once the reports of the examiners have been accepted as satisfactory the candidate will have to defend his/her thesis before a viva voce board consisting of all D.S.C. members and the Indian 'external' examiner (vide clause 1.6). In case the Indian 'external' examiner is not available to conduct the viva voce the Director at his discretion, may appoint another examiner either from the original panel of thesis examiners recommended by the D.S.C. or advise that a faculty from an allied Department/ Centre of the Institute be appointed as the additional examiner to conduct the viva voce. In such cases the DSC shall recommend a faculty member of the Institute having knowledge in the area of the thesis topic to be appointed as the additional examiner.

If the viva voce board is not satisfied, the candidate has to appear again before the board within the next three months. The DSC shall recommend to the Senate the award of the Ph.D. degree if the viva voce is satisfactory and all other requirements have been fulfilled.

- 6.6 After the recommendations of the D.S.C. either for acceptance of the thesis for the Ph.D. degree or for its rejection/modification have been accepted by the Senate and the Board of Governors or by their Chairman as the case may be, a copy of the reports of the examiners may be issued to the candidate at his request. However, the names of the examiners are not to be disclosed.
- 6.7 Nothing contained in these Regulations shall preclude a candidate from publishing/patenting either independently or jointly with the supervisor the results of the work incorporated in the thesis, at any time before or after submitting the thesis for examination.

## **7. AWARD OF THE DEGREE**

A student who has completed satisfactorily all prescribed requirements and has cleared all fees and dues payable to the Institute and the Hall of Residence shall be eligible for the award of Ph. D. degree of the Institute by the Board of Governors on the recommendation of the Senate. The degree shall be awarded at the annual convocation for the academic session in which the student completes the requirements satisfactorily.

## **APPENDIX- I**

### **RULES RELATING TO RESIDENTIAL ACCOMMODATION**

(Vide para 1.5 of the Regulations)

The following are the rules governing the conduct of research scholars during their stay in the residential accommodation in the Institute.

1. The mess of each Hall of Residence shall function as a single integrated unit and shall not, under any circumstance, be sub-divided into any kind of group or sub-group.
2. In special cases, the Director/Dean of Postgraduate Studies may permit a scholar to reside with his parent/guardian in the Institute campus or within a reasonable distance from the Institute. Such a scholar shall, however, be attached to a Hall of Residence and be

required to pay seat rent and Hall establishment charges according to rules. However, this permission may be withdrawn at the discretion of the Institute, without assigning any reason.

3. Limited accommodation is available for married Research Scholars.
4. A scholar shall reside in a room allotted to him and may be permitted to shift to another room only under the direction of the Warden.
5. No student shall be allowed to reside in or leave a Hall of Residence without prior permission of the Warden.
6. Scholars shall be required to make their room available for inspection, repairs, maintenance and disinfection whenever required. They shall be required to vacate the rooms when leaving for long holidays and discontinuing stay in the Institute.
7. Scholars shall be responsible for the proper care of the furniture, fan and other fittings in their rooms. They are and shall assist the Warden in ensuring proper use, care and security of the furnishings (TV set etc.) provided in the Halls for the common use of all students.
8. Scholars will be responsible for the safe keeping of their own property. In the event of loss of any personal property of a student due to theft, fire or any other cause, the Institute shall accept no responsibility and shall not be liable for payment of any compensation.
9. Use of electrical appliances such as heaters, and cooking inside the rooms are strictly prohibited.
10. No scholar is allowed to engage personal attendant or keep pets in the Hall of Residence.
11. A scholar who has been permitted under the provisions of paras 4.3 and 4.4 of the Regulations to withdraw temporarily from the program must vacate for the time being the Hall accommodation, on the date of his leaving. He will be allotted accommodation again when he re-joins.
12. All scholars must abide by the rules and regulations of the Halls of Residence as may be framed from time to time.

## **APPENDIX-II**

### **COMPOSITION OF THE DOCTORAL SCRUTINY COMMITTEE**

(Vide para 1.6 of the Regulations)

The Head of the Department/Centre in consultation with the Supervisor shall constitute a Doctoral Scrutiny Committee for each candidate admitted to the Research Program leading to Ph.D. degree.

It shall consist of the following members :

1. \_\_\_\_\_ Head of the Department/Centre/School \* :  
Chairman (ex-officio)
2. Supervisor(s) \_\_\_\_\_ : Convenor
3. Three members of the Faculty to be nominated  
in consultation with the Supervisor(s) : Members

\* A Professor in the Department/Centre/School can be the Chairman of the DSC, subject to such nomination and suitability.



The DSC should be constituted within two weeks of candidate's joining.

A member of the Faculty who himself/herself is enrolled for the Ph.D. degree of the Institute or does not have adequate experience in the relevant field shall not be appointed as Chairman or Supervisor or a member of the Doctoral Scrutiny Committee for any other candidate for the Ph.D. degree.

### **APPENDIX-III**

#### **ADMISSION REQUIREMENTS FOR Ph.D. PROGRAM**

(Vide para 2.2 and 2.3 of the Regulations)

1. Candidates possessing qualification as given in para-1.3a or 1.3b are to be selected for admission to the program on the basis the following weightage:
  - (a) Overall academic performance ... 70 per cent  
and
  - (b) Test and Interview conducted by the  
Department/Centre ... 30 per cent

### **APPENDIX-IV**

#### **ADMISSION OF SPONSORED AND SELF-FINANCING CANDIDATES TO Ph.D. PROGRAM**

(Vide para 2.3 of the Regulations)

The Institute may admit Self-supporting candidates and persons who are in gainful employment as 'Sponsored Scholars' to the research program subject to the following conditions:

- 1.1 Persons who possess the minimum prescribed qualifications and are in service in any of the following establishments shall be eligible for admission to the Ph.D. program as sponsored scholars:
  - (a) defence or other ministries of the Government of India or any other government organizations;
  - (b) established industrial research and development organizations;
  - (c) autonomous bodies and public undertakings;
  - (d) universities/colleges;
  - (e) such industries as may be recognized by the Institute for the purpose from time to time.
- 1.2 Besides the sponsored candidates from the above organizations, qualified teachers from recognized Engineering Colleges selected under the Quality Improvement Program (QIP) of the Govt. of India and of Science Colleges who are awarded Teacher Fellowship of the University Grants Commission shall be eligible for admission to the program.
- 1.3 Besides sponsored candidates as in 1.1 and 1.2 above, self-supporting candidates who may or may not be in gainful employment are also eligible for admission subject to possessing minimum prescribed qualifications.

2. The prescribed minimum qualification for admission to the Ph.D. program are given in para-1.3a and 1.3b of the regulation. The Chairman of the Senate may, on the recommendation of the Departmental Academic Committee (PG&R) and RPEC, relax the above norm to the extent deemed reasonable in the case of a sponsored candidate having long experience and/or additional professional qualification.
3. An intending sponsored candidate must submit his application in prescribed form for admission through his employer, who will forward the same to the Institute with suitable endorsement so as to reach the Institute by the date stipulated in the notification for the semester.
4. A sponsored scholar selected for admission shall be required, at the time of joining the Institute:
  - (a) to submit evidence of having passed the qualifying examination and such other documents as the Institute may require,
  - (b) to produce certificate from the employers to the effect
    - (i) that he has been officially released from his duties for purpose of joining the program and has been granted the leave for the required period,
    - (ii) that his services shall be retained with the employers.
  - (c) A self-supporting candidate in service shall produce a release certificate from his/her employer at the time of admission.
5. Subsequent to his joining the Institute as a sponsored research scholar and during his tenure here, if the sponsoring authority puts him on leave without pay or half pay, he/she will be treated as self-supporting candidate and he/she will not be eligible for any scholarship.
6.
  - (a) In the case of a sponsored candidate admitted as such to the Ph.D. program, the minimum residential requirement is one year. However, it may be reduced to one semester to be completed at a stretch, preferably immediately after joining, if the Organization he is employed in has R&D facilities, and subject to conditions laid down in para 3.4 of the Regulations as well as the following sub-paras (b), (c) & (d).
  - (b) A candidate sponsored by an industry, an R&D Organization, educational institution or a Government Organization having adequate research facilities may be allowed to work externally subject to his fulfilling all such conditions prescribed by these Regulations as are applicable. Permission to carry out the research work partially or entirely at the Organization shall be granted only if the D.S.C. is satisfied about availability of research facilities there and fulfillment of all requirements.
  - (c) Such permission is to be obtained in advance.
  - (d) In such a case a joint supervisor from the sponsoring Organization with adequate research experience may be appointed with the approval of DSC. When a sponsored candidate has been granted permission under these provisions to work externally at the parent Organization he will be required to maintain frequent contact with the supervisor in the Institute.
7. No candidate shall normally be allowed to change the category under which he/she is enrolled.
8. However, if enrolled self-supporting candidate obtains :
  - (i) NET fellowship

- (ii) Qualify in GATE examination with a score above the cut off percentile for candidates admitted as Institute Research scholars with assistantship [Appendix VI, 1.1]
- (iii) Obtains a scholarship (JRF/SRF) in a scheme/project after having qualified in GATE/NET

subsequent to his/her enrolment, if the scholar wishes to change his/her enrolment status he/she will have to cancel his/her enrolment and obtain re-admission to the Ph. D. program as Institute Research Scholar/Individual research fellow/Scheme scholar. The D.S.C. shall however have the liberty to waive the requirement for the course work as already completed and passed with grade "C" or above when he/she changes his/her enrolment status. The enrolment shall however remain valid for a maximum period of 8 years from the date he/she has been admitted to the Ph. D. program originally as self-supporting candidate.

## **APPENDIX-V**

### **RULES RELATING TO ENROLMENT OF MEMBERS OF TEACHING AND NON-TEACHING STAFF**

(Vide para 2.4 of the Regulation)

1. Members of teaching and non-teaching staff (working in permanent capacity, including technical and non-technical) may be permitted to join the Ph.D. program of the Institute provided, that prior permission has been obtained from competent authority before applying for admission to the program.
2. For admission to the program a member of staff must fulfill the prescribed norms and at the qualifying examination he/she must have obtained at least the percentage of marks/grade/CGPA as prescribed in 1.3a or 1.3b as applicable. The prescribed minimum qualification for admission to the Ph.D. program are given in para-1.3a and 1.3b of the regulations. The Chairman of the Senate may, on the recommendation of the Departmental Academic Committee (PG&R) and RPEC, relax the above norm to the extent deemed reasonable in the case of a staff member of the Institute having long experience and/or additional professional qualification.
3. All common rules laid down in the Ph.D. Regulations relating to course work, prosecution of research work under the supervision of a member of faculty, etc. shall be applicable to all members of staff when being enrolled.
4. All members of staff permitted to join research program must pay the prescribed enrolment-cum-registration fee and also the thesis evaluation fee before submission of the thesis on completion of the work.
5. A member of staff enrolled for the Ph.D. degree shall be exempted from payment of any tuition and other fees except the following, which all Ph.D. candidates are required to pay (a) Admission fee, and (b) Thesis fee. Members of staff permitted and enrolled for the degree shall not be entitled to any Scholarship.

The other conditions for permission to the two categories of staff shall be as follows:-

#### **A. For Members of Teaching and Academic Staff:**

- (i) A faculty member enrolled for the Ph.D. degree may, depending upon his/her teaching/research experience carry out his/her research work under the supervision

of a senior faculty of the Institute. The Chairman of the DSC shall however be the HOD/HOC of the faculty member's own department/centre.

- (ii) The Doctoral Scrutiny Committee constituted in respect of a member of teaching staff applying for registration may recommend exemption from doing the necessary course work in view of the qualification he possesses or his /her teaching experience.
- (iii) A member of a faculty who has put in at least 2 years of continuous service in the Institute may, on the recommendation of the Doctoral Scrutiny Committee, be permitted to submit his thesis on completion of a minimum period of six months from the date of enrolment. He/she will however, be required to go through the formalities of course work (if necessary) and seminars before submission of the thesis.

**B. For Members of Non-Teaching and Non-Academic Staff:**

- (i) A member of non-teaching or non-academic staff seeking permission to join the research program must hold a permanent post in the Institute.
- (ii) The application for administrative permission to join a research program by a member of non-teaching staff must be submitted through the Head of the Department/Centre or the Section In-charge, as the case may be. While submitting the application he/she must give an undertaking in the form appended hereto **(Schedule-A)** to the effect that he/she will abide by all rules and regulations.
- (iii) If the exigencies of Institute work so require, the permission granted to a member of non-teaching staff under these rules can be withdrawn by the Institute at any time.
- (iv) Every application for permission under these rules shall be examined by the Research Program and Evaluation Committee taking into account whether the proposal for joining the program for which permission is sought for arises out of genuine interest and ability.
- (v) After the permission is granted he/she will submit his application on prescribed form together with the prescribed enrolment-cum-registration fee. On receipt of this application the Head of the Department/Centre concerned will place the same before DAC (PG&R) for composition of the Doctoral Scrutiny Committee.
- (vi) The minimum period to be spent in the research work by a member of non-teaching staff registered for the Ph.D. degree shall be 5 years. The maximum period admissible for completion of the work and submission of the thesis shall, however, remain to be the same as in the case of regular candidates (vide para number 4.2 of the regulation), i.e., 8 years.

**SCHEDULE – A**

**UNDERTAKING**

I, Mr./Ms. .... member of the teaching/non-teaching staff holding a permanent post of ..... in the Department/Centre/School of ..... at the Indian Institute of Technology, Kharagpur, to hereby give the undertaking that I shall abide by the rules and regulations as may be laid down by the Senate of the Institute from time to time for undergoing the Ph.D. program.

I also undertake hereby that since I shall be on duty while undergoing the program of studies/research I shall ensure that all normal official duties assigned to me are executed without any handicap.

I further understand that the permission granted to me for joining the program can be withdrawn at any time if the exigencies of official duties so require or if I cause breach of any of the provisions of rules and regulations.

Date: .....

.....  
(Signature)

## **APPENDIX-VI**

### **TERMS AND CONDITIONS FOR AWARD OF INSTITUTE RESEARCH ASSISTANTSHIP**

(Vide para 2.6 of the Regulation)

- 1.1 All Research Scholars admitted to the research program, except the sponsored scholars, self-supporting candidates and members of staff of the Institute, shall be entitled to award of Institute research assistantship subject to the terms and conditions laid down in para 2 to 6 below. All Institute Research Scholars will have to possess a GATE score that is above the cut off level as decided by the senate from time to time.

On the question of cut-off point of GATE percentile in the matter of award of Institute Research Fellowship, particularly when M.Tech. courses may not have been offered by a Department/Centre in a particular year, and in the cases of Science Departments where M.Tech. course is offered in one discipline only, the minimum GATE score shall be as per Senate guidelines.

Candidates with GATE score lower than the minimum cut-off point may be considered by the Dean (PGS) for award of Institute research fellowship on the basis of recommendation of Department/Centre on the merit of each case.

- 1.2 A person who is employed in the Institute temporarily under a project or scheme or who enjoys an outside Scholarship other than QIP/TF, and who has been registered for the Ph.D. degree may be granted, on the recommendation of the D.S.C. and D.A.C.(PG&R) Institute Research assistantship subject to conditions of the rules. However, the total period of the scheme service enjoyed and the Institute assistantship together should not exceed 4 years.

Transfer from CSIR/UGC etc., individual fellowships and from research projects to Institute Scholarship will be guided by the following :

- (i) One must have completed at least 2 years in a research project/scheme.
- (ii) Individual research scholars from external funding agencies like CSIR/UGC/ICAR etc., must have completed 3 years as Individual fellows.
- (iii) The candidates will present their work done so far for his/her Ph.D. at an open Seminar with the DSC and DAC (PG&R) present and the DAC (PG&R) will satisfy itself that the case is deserving.
- (iv) The candidate must be GATE/NET fellowship qualified.
- (v) Such a case can be considered only if the fellow has been registered for the Ph.D.
- (vi) All other rules applicable for selection of regular Institute scholars would apply.

#### **2. Value of Assistantship:**

The value of the Institute Research Assistantship shall be as per MHRD norms.

- 2.1 The value of Research Scholarship of a registered candidate may be recommended for enhancement by the DSC after completion of one/two years of continuous research work based on existing guidelines and on the basis of a written report and a seminar lecture given to an open audience with members of DAC (PG&R) present.
- 2.2 In the event of the DSC being not satisfied with the progress of a Scholar during the preceding two years it may recommend suspension of enhancement in the value of the assistantship for such period, as it deems appropriate. The Committee will reassess the candidate's work after the period so fixed and if the enhancement is recommended, indicate the date from which the enhanced value will be effective.
- 2.3 Contingency Grant will be as per MHRD guidelines

### **3. Tenure**

- 3.1 The assistantship shall be payable from the date the scholar joins the Institute. At the initial stage the order for payment of assistantship shall, however, be issued when the scholar is enrolled formally.
- 3.2 The tenure of a research assistantship shall be four years counted from the date of joining; the initial award shall however, be released for one year and then renewed from year to year up to the third year, subject to satisfactory progress. On the recommendation of the DSC the tenure may be extended for a further period of one year, granting the extension for not more than six months at a time subject to the Scholar's satisfactory performance at seminar lecture delivered to an open audience embodying the progress of the work during the last six months. Grant of a six-monthly instalment of the tenure is subject to actual requirement of the Scholar's work to be certified by the D.S.C. after assessing the progress of the work presented through a written report and seminar lecture.
- 3.3 Normally the tenure of the assistantship awarded to a scholar will terminate with effect from the day following the date of submission of thesis, provided he has not left the Institute earlier and has been working in the Department/Centre till that date. However, a scholar may be allowed to draw assistantship for a further period of 3 months to complete any unfinished part of experiment undertaken relating to his/her research work, subject to the overall limit of 4 years, on the recommendation of the supervisor. The scholar has to be a full time student during this period.
- 3.4 The assistantship for the last month shall be payable subject to foregoing conditions up to the actual date of the scholar's leaving the Institute. The disbursement of last monthly instalment of assistantship shall be made, on production of a 'No Dues' certificate from the Hall of Residence, the Library and the Department/Centre.
- 3.5 Notwithstanding anything contained in the foregoing sub-paragraphs, continuation of assistantship from month to month is subject to candidate's good conduct and continuous progress of research work to the satisfaction of the Supervisor(s), the Head of the Department/Centre and other authorities.

### **4. Leave rules**

- 4.1 An Institute Research Scholar is required to carry out his/her research work regularly under the guidance of the Supervisor(s), without any interruption during the period he enjoys the assistantship.
- 4.2 A scholar shall be entitled to (i) casual leave of 15 days and (ii) medical leave of 15 days in a year counting from the date of joining the program. The Head of the

Department/Centre/School will be the sanctioning authority in such cases. Any leave not availed of shall not accumulate.

- 4.3 Married Research Scholars admitted to the Research program of the Institute shall, in addition to casual leave and medical leave prescribed by foregoing sub-para, be entitled to maternity/paternity leave as per Government of India rules if the request for the leave is supported by a medical certificate from a Registered Medical Practitioner. The Head of the Department/Centre/School will be the sanctioning authority in such cases.
- 4.4 Any absence over and above the admissible leave as prescribed above shall be without assistantship, which shall be deducted on a pro-rata basis for the days of such absence.
- 4.5 A research scholar may, on the recommendation of the Supervisor and the Head of the Department/Centre, be granted leave without assistantship for a total period not exceeding three months, during the entire tenure of assistantship by the Dean of Postgraduate Studies.
- 4.6 In exceptional circumstances the Dean of Postgraduate Studies may, on the recommendation of the D.S.C. grant a Research Scholar leave without assistantship for a period not exceeding 12 months in the entire period of his tenure for purpose of accepting teaching/research assignment on temporary basis provided the post accepted by research scholar is in the same department or in an educational institution, R & D organization or an industry of repute. When a scholar is granted such leave without assistantship the enhancement of the value of assistantship shall be deferred for the appropriate period. In all the cases of leave granted under the para-4, period spent on leave shall be counted for the purpose of termination of the tenure of the assistantship.

## **5. General**

- 5.1 No Research Scholar shall be permitted to receive any emoluments, salary, stipend or any other scholarship/assistantship during the tenure of award. In the event of a scholar being awarded another Scholarship/assistantship of the Institute or of any external organization/Institution, he/she will have the option to retain any of the awards according to his/her choice, which he/she will communicate immediately in writing to the Dean of Postgraduate Studies.
- 5.2 QIP scholars shall however draw fellowship and contingency grant from QIP program of MHRD only as per rules applicable to them. They shall in no case be eligible for award of Institute Research Assistantship.
- 5.3 A Research Scholar may be assigned academic responsibilities up to eight hours per week of tutorial classes, laboratory demonstration work, conduct of Seminar/Symposia, running and maintenance of equipment/computer as may be decided by the Head of the Department/Centre.
- 5.4 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 an examination, the Scholarship is liable to be suspended with immediate effect.
- 5.5 If a Research Scholar wishes to relinquish the assistantship during the tenure, it should be done with the prior approval of the Supervisor, the Head of the Department/Centre and the Dean of Postgraduate Studies. He/she should also obtain prior permission from the same authority for appearing in any examination conducted by any Institution, University or Public Body.

## **SCHEDULE – B**

### **LEAVE, CONTINGENCY EXPENSES AND OTHER ADMINISTRATIVE MATTERS OF RESEARCH SCHOLARS ENROLLED UNDER DIFFERENT CATEGORIES**

#### **(A) LEAVE**

##### **(i) Institute Research Scholars**

Research Scholars can avail of the following types of leave in a year counted from the date of joining:

CASUAL LEAVE	:	15 days
MEDICAL LEAVE	:	15 days

In case of serious illness, the research scholar may avail a part of casual leave as medical leave, in addition to 15 days, at the discretion of the H.O.D./H.O.C. They are not entitled to vacation leave (summer & winter). Any leave not availed of shall not accumulate. Married research scholars would be eligible for the maternity/paternity leave as per Govt. of India norms. Such leave will be granted only once during the period of tenure of the award. In cases where extensive field- work is necessary, absence from station upto a period of 12 weeks per year will be considered as on duty on certification of the Head of the Department/Principal Investigator.

##### **(ii) Other categories (scheme research fellows / CSIR / self- supporting etc.):**

Same as Institute Research Scholars.

#### **(B) MODE OF THE CONTINGENCY EXPENSES**

1. Purchase of stationery/xeroxing/typing/printing/consumable items for research purpose and miscellaneous items etc., of non-inventory nature shall be as per MHRD norms.
2. Visit to other places :

##### **2.1 In India**

- (a) for attending Conference/Seminar (of National or International level):
  - (i) permission to attend conference/seminar will be granted once a year
  - (ii) registration fee shall be reimbursable upto the value fixed by the Institute from time to time (say, Rs. 1,000.00 at present) and admissible TA/DA (sleeper class)
- (b) for field work, data collection or approved similar purposes, the admissible duration (for the purpose of TA/DA) shall be 30 days in a year.

##### **2.2 Outside India**

- (a) for presenting paper in International Conference/Seminar, as first authors.
- (b) student registration fee upto US\$ 300 and a lump sum grant of Rs. 10,000.00 for partially covering TA/DA during the period of conference/seminar, to be given only once during the enrolment period to all research scholars.
- (c) Such cases will be monitored by a Committee, headed by the Dean (PGS).

#### **(C) HOUSE RENT ALLOWANCE/DEARNESS ALLOWANCE**

##### **(i) Institute Research Scholars:**

There will be no House Rent Allowance, Dearness Allowance.

##### **(ii) Other categories (scheme research fellows/CSIR etc.) :**

Same principle will be applicable.



#### **(D) TERMINATION OF ENROLMENT**

**(i) Institute Research Scholars/ self-supporting etc.**

On the basis of reports received from Doctoral Scrutiny Committee, the enrolment may be terminated at any time for reasons of unsatisfactory performance and the Institute's decision in this regard shall be final.

**(ii) Other categories (Scheme/Preproject research fellows/CSIR)**

Same as above.

#### **(E) OTHER ASSIGNMENTS**

**(i) Institute Research Scholars**

No one shall accept or hold any appointment, paid or otherwise or receive any emoluments, salary, stipend etc., from any other source during the tenure of the award. However, they may receive honorarium against specific work done for projects (mainly consultancy) from time to time with the prior permission of the Supervisor(s) and Dean (PGS).

**(ii) \_\_\_\_\_Other categories (scheme research fellows/CSIR/self- supporting etc.)**

Same principle will be applicable.

#### **(F) RELINQUISHMENT OF RESEARCH ASSISTANTSHIP, FELLOWSHIPS ETC., AND PERMISSIONS**

**(i) Institute Research Scholar**

If a research fellow wishes to relinquish the assistantship during the tenure, it should be done with the prior approval of the Institute. He should also obtain prior permission of the Institute for appearing in any examination conducted by any Institution, University or Public Body.

**(ii) Other categories (scheme research fellows/CSIR/self-supporting etc.)**

Same principle will be applicable.

#### **APPENDIX – VII**

##### **GUIDELINES FOR ADMISSION OF SRFs/JRFs IN CSIR/DST/DEFENCE LABORATORIES/GOVERNMENT R&D ORGANIZATIONS/IIMs**

(Vide para 2.7 of the Regulation)

1. They will have to be permitted by the organizations they are attached to for admission to this Institute for pursuing Ph.D. program.
2. Applications from such candidates will be received twice in a year against advertisements in the newspaper.
3. Selection will be made as per the normal procedure of the Institute.
4. The candidates must have qualified in GATE or NET or CAT (for IIMs only) as the case may be. They must be SRFs/JRFs or of equivalent position attached to CSIR/DST/Defence Laboratories/Government R&D Organization/IIMs.
5. No scholarship/assistantship or financial assistance be provided to such candidates.

6. Minimum residential requirement for such candidates for course work etc., shall be two semesters.
7. All candidates will have to produce a certificate from the Director of the concerned Institute/Laboratory confirming that such candidates have not/will not register for any other academic program of any other organization simultaneously while pursuing Ph.D. program at IIT Kharagpur.
8. All conditions including minimum qualifications for admission to the Ph.D. program prescribed for other categories of scholars would apply to these candidates as well.

## **APPENDIX – VIII**

### **RULES REGARDING CONDUCT AND DISCIPLINE**

(Vide para 2.8 of the Regulation)

Following rules shall be applicable to all students and research scholars in the matters of conduct and discipline:

1. Research Scholars shall show due respect to the teachers of the Institute, the Wardens of the Halls of Residence, the Sports Officers of the Gymkhana and the Officers of the National Cadet Crops; proper courtesy and consideration should be extended to the employees of the Institute and of the Halls of Residence. They shall also pay due attention and courtesy to visitors.
2. Research Scholars are required to develop a friendly camaraderie with fellow students. In particular, they are expected to show kindness and consideration to the new students admitted to the Institute every year. Ragging of newcomers in any form is banned by law : acts of ragging will be considered as gross indiscipline and will be severely dealt with.
3. The following acts of omission and/or commission shall constitute gross violation of the code of conduct and are liable to invoke disciplinary measures:
  - \*\* Ragging
  - \*\* Lack of courtesy and decorum; indecent behaviour anywhere within or outside the campus
  - \*\* Wilful damage or stealthy removal of any property/belongings of the Institute/Hall or of fellow students
  - \*\* Possession, consumption or disruption of alcoholic drinks or any kind of hallucinogenic drug
  - \*\* Adoption of unfair means in the examinations
  - \*\* Mutilation or unauthorized possession of library books
  - \*\* Noisy and unseemly behaviour, disturbing studies of fellow students.

Commensurate with the gravity of the offence, the punishment may be reprimand, fine, stopping of assistantship, expulsion from the Hall, debarment from an examination, rustication for a specified period or even outright expulsion from the Institute.

4. For an offence committed in (a) the Hall of Residence, (b) the Department or in a classroom and (c) elsewhere; the Warden, the Head of the Department and the Dean of

Students' Affairs respectively, shall have the authority to reprimand or impose fine or take any other suitable measure.

5. All cases involving punishment other than reprimand shall be reported to the Chairman of the Standing Institute Conduct & Disciplinary Committee and Senate.

## **APPENDIX – IX**

### **FEES AND OTHER CHARGES PAYABLE BY RESEARCH SCHOLARS**

(Vide para 3.1 of the Regulation)

1. As prescribed by the Statute 24, the following fees are payable by a Research Scholar, at rates as in force for the time being, namely,
  - (a) Tuition Fees
  - (b) Seat Rent for the accommodation in a Hall of Residence
  - (c) Gymkhana Fees
  - (d) HMC Charges
2. If a Research Scholar is permitted to stay outside the Hall of Residence but within the campus of the Institute or at a close proximity to it, the Scholar will be attached to a Hall of Residence and will have to pay the seat rent at the prescribed rate together with such 'establishment charges' as may be levied by the Warden of the Hall concerned. A stay-outside permission be obtained from the Chairman, HMC and Dean (Students' Affairs)
3. Every Research Scholar shall be required to pay at the time of joining the following items of fees, at rates as in force for the time being:
  - (a) **Non-refundable**
    - (i) Admission
    - (ii) Tuition
    - (iii) Seat Rent & Water Charges
    - (iv) Gymkhana, Medical etc.
    - (v) Thesis Fee (payable at the time of submission of thesis)
  - (b) **Refundable**
    - (i) Institution Caution Money
    - (ii) Hall Caution Money
    - (iii) Mess Deposit
    - (iv) Mess Advance
    - (v) Library Caution Money

Note : The fees at item Numbers (a) (ii), (iii) and (iv) are payable recurrently and are to be paid in the manner as directed by separate notifications.

4. For the purpose of tuition fees and seat rent the year shall be counted from the date of joining of the Research Scholar except that the fees shall be charged from the first day of the month irrespective of the actual date of joining. Similarly, at the time of leaving the Institute the tuition fees and seat rent shall be charged for the full month irrespective of the actual date of leaving.
5. Research Scholars under all categories shall pay tuition fee and seat rent ordinarily for the entire duration of their research work till the date of submission of the thesis. Partial exemption may however, be allowed in the following cases:

- (a) A Research Scholar (1) who has been permitted to leave the Institute after the prescribed minimum period of stay, or (2) who has been granted permission to carry out research work at his parent Organization under the provisions of para 4.4 of the Regulations :
  - (i) shall pay tuition fees for the minimum period of 2 or 3 years, as the case may be, prescribed by the Senate to qualify for submission of the thesis under the provisions of para 1.4 of the Regulation.
  - (ii) will not be required to pay any seat rent after he leaves the Institute with prior permission. However, if he rejoins the Program for completing the unfinished part of his work he shall have to pay the seat rent for the period of such subsequent stay. For calculation of the seat rent whole month will be counted as indicated in para 4 above.
- (b) A Research Scholar who has been given under special consideration separate accommodation on rent in one of the premises of the Institute other than a Hall of Residence shall be required to pay only the rent for the accommodation actually occupied by him.

## **APPENDIX – X**

### **GUIDELINES FOR APPOINTMENT OF SUPERVISOR AND JOINT SUPERVISOR**

(Vide para 3.1 of the Regulation)

1. All candidates for the Ph.D. degree are required to carry out his/her research work under the guidance of a supervisor unless otherwise permitted by the Senate. There can be two supervisors, at most, for any Ph.D. student.
2. For cases where the supervisor has guided the candidate for 2 years or more:
  - (a) If the person proceeds on long leave for more than an year a joint supervisor should be appointed and if the leave is for less than a year, a caretaker supervisor is to be appointed by the DSC.
  - (b) However, on the recommendation of the DSC. a supervisor can be allowed to continue as sole supervisor on case-to-case basis depending on the state of progress of the thesis work.
  - (c) A person superannuating will continue to the sole guide if the thesis is submitted within 6 months.
  - (d) If the thesis is not ready for submission within 6 months a joint supervisor must be appointed by the DSC.
3. For a case where guidance has been given for less than 2 years :
  - (a) When a person proceeds on leave for more than 6 months, a joint supervisor be appointed and in case the period of leave is less than 6 months a care-taker supervisor be appointed by the DSC. However if the leave is for 2 years or more the person shall cease to be a supervisor.
  - (b) A person superannuating will continue as the guide if the thesis is submitted within 6 months' time, otherwise another person will have to be appointed as the sole guide in his place.
4. After superannuation from service of this Institute if a person joins the Institute as an Emeritus Professor/Scientist or in any other capacity, he may continue to be the sole supervisor or as Joint supervisor if the DSC so recommends.

**Note :** A person re-employed after superannuation shall continue to hold the same status in the matter till the end of the period of re-employment.

5. No faculty who has less than or equal to 2 years of service left from the end of the academic session in the month of June of the year he/she superannuates can be appointed a thesis supervisor either singly or jointly with another faculty.
6. Persons from outside the Institute, joining as Emeritus Scientists or as Chair Professors and have more than 2 years of service left can be appointed as guide for new scholars only jointly with a regular teacher and not alone.

**Note :** The above points are guidelines. The recommendation of D.S.C. of a candidate will be given due consideration in making a decision in a particular case.