

Regulations of Ph. D. Programs

Dean (Academic)
National Institute of Technology
Warangal - 508 004 (A.P)

1. Ph.D. DEGREE PROGRAMS

1.1 The Institute provides facilities for research leading to the degree of Doctor of Philosophy (Ph.D.). Ph.D. Degree Programs are offered in the various departments as listed below:

- (i) Department of Civil Engineering
- (ii) Department of Electrical Engineering
- (iii) Department of Mechanical Engineering
- (iv) Department of Electronics and Communication Engineering
- (v) Department of Metallurgical and Materials Engineering
- (vi) Department of Chemical Engineering
- (vii) Department of Computer Science and Engineering
- (viii) Department of Mathematics and Humanities
- (ix) Department of Physics
- (x) Department of Chemistry

2. ADMISSIONS

2.1 **Student Categories:** There are eight types of student categories in the Ph.D. Degree Program:

Full time

- (a) Full-time student on institute fellowship
- (b) Full-time Govt./Semi-Govt. Fellowship awardees /QIP/FIP(UGC)/CSIR/UGC/DAE/DST/DBT/NBHM etc.
- (c) Full-time project fellows /JRF/SRF appointed in R&D projects being carried out in NITW
- (d) Full-time sponsored student from Industry / R&D organizations / Educational Institutions.
- (e) Full-time self supporting student
- (f) Indian Council for Cultural Relations (ICCR) fellowship Awardees (Foreign students)

Part-time

- (g) Permanent faculty and other permanent staff of NIT, Warangal.
- (h) External scholars from Industry / R&D organizations / Educational institutions, having necessary and required research facilities.

NOTE

- (i) A student of category (a) will receive the institute scholarship for duration of Three years, which may be extendable by one more year, based on the recommendations of Doctoral Scrutiny Committee. (See Appendix - I for more information and Appendix - VI for the constitution of DSC)
- (ii) Student of the Category (d) shall be sponsored and financed by the sponsoring organization. (See Appendix - II, for more information)
- (iii) A non-sponsored non-scholarship (self-financed) student of category (e) will not receive any financial assistance from the institute. (See Appendix - II, for more information)
- (iv) A part-time student of category (g) shall produce a sponsorship-cum-clearance certificate from the Director, NITW. (See Appendix - IV, for more information)

(v) Change of status from one category to another category or from full-time to part-time and vice versa, will be subjected to approval of the senate based on recommendations of DSC and DAC PG & R. (See Appendix - VII for the constitution of DAC PG & R)

(vi) No student can receive scholarship/fellowship from more than one source.

2.2 Eligibility

2.2.1 The prescribed minimum qualification for admission into Ph.D. program is M.Tech/ME/MS/M.Phil. or equivalent degree, or B.Tech./BE/ M.Sc./M.Sc (Tech)/MA or equivalent degree. Admission to a Ph.D. program shall be open to candidates who passed the prescribed qualifying examination in first class with a Cumulative Grade Point Average (CGPA) of at least 6.5 in the 0 - 10 scale grading system (6.0 in the case of SC/ST candidates), or not less than 60% marks in the aggregate (55% marks in the case of SC/ST candidates)

2.2.2 As per AICTE/UGC norms, students of category (a) must have passed GATE/UGC-CSIR exam / DAE-JEST. In the case of B.Tech/BE/M.Tech/ME/MS/M Phil. students seeking admission into Ph.D. program, GATE qualification is needed. In the case of students with M.Sc./M.Sc(Tech)/MA qualification, GATE/UGC-CSIR NET qualification is needed.

2.2.3 In case of students of category (d), (e), (f), (g) and (h), GATE/UGC-CSIR NET qualification is relaxed. However, they will be selected through an institute entrance test and/or an interview, as per the discretion of the department.

2.2.4 Written test is exempted to a permanent faculty member who wishes to work for his Ph.D. in his own department. If the permanent faculty member wishes to work for his Ph.D. in some other department, then the written test and/or interview are necessary.

2.2.5 Admission under the category (h) is open to:

(i) JRF's / SRF's in CSIR / DST / Defence laboratories / Govt. R&D Organizations.

(ii) Scientists / Engineers working in Industries / R&D Organizations who have put-in at least two years of experience.

(iii) Faculty members working in educational institutions who have put in at least two years experience.

See Appendix-V for more information. The selection of candidates under this category is based on the interview.

2.2.5 Candidates of all categories must appear for interview.

3. PROGRAM STRUCTURE

3.1 The Ph.D. Degree Program Structure consists of the following stages.

- (i) Ph.D. Course work and evaluation
- (ii) Research proposal submission and assessment
- (iii) Periodic assessment of research progress
- (iv) Pre-synopsis seminar and synopsis submission
- (v) Submission of Ph.D. thesis and adjudication

3.2 The minimum course credit requirement for candidates getting admitted with different qualifications is as follows.

Qualification	Requirement of course credits
M.E. / M. Tech. / M. Phil. / M.S. / M.Sc. (Tech) of 3 years	8
M.Sc. / M.A. / M.Sc. (Tech) of 2 years	12
B.E. / B. Tech.	20

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If the DSC feels more courses are to be done, then the candidate has to do more courses as per the directions of the DSC

- 3.3 A candidate is required to enrol for the appropriate PG course(s). If the required course is not available in the existing curricula, instructions in the subject will be imparted in *Self-Study* mode, following all the steps like assignments, examination etc. as prescribed for a regular course.

Candidates assigned course work must complete all the courses, in the seven-grade system (*Ex, A, B, C, D, F, P*), with a grade not lower than *C* in each of the courses.

* In addition to the course work requirement, a candidate is also required to complete, one of the following subjects, in the self study mode, before he submits the synopsis.

- (i) History of Science and Technology
- (ii) Society, Science and Technology
- (iii) English for Technical Communication.

- 3.4 The course work must be completed in the First Two years.

4. EVALUATION SYSTEM

4.1 Ph.D. Course Work and Evaluation: The Ph.D. course work evaluation shall be similar to that of other PG courses.

4.2 Research Proposal Submission and Assessment: Every Ph.D. student is required to submit his/her research proposal, within 6 months after the completion of the course work. The research proposal must contain details including problem identification, state of the art of technology, plan of research work etc. The DSC will assess the proposal through a seminar and communicate the recommendation for approval, to the Dean Academic Affairs.

4.3 Research Progress Assessment

4.3.1 After the approval of the research work proposal, assessments are made periodically, through seminars, to ensure satisfactory progress. The research scholar shall submit through his guide(s), a progress report of his research work, to the concerned DSC twice a year. The DSC will communicate to the Dean Academic Affairs, through DAC PG & R, about the periodic progress. The continuance of registration of all research scholars is subject to satisfactory progress made by them.

4.3.2 Prior to pre-synopsis seminar, the scholar is required to give at least one seminar on the topic of his research, and have at least one paper published or accepted for publication, in a standard and reputed journal or a conference proceedings of the National / International Conferences.

4.4 Pre-Synopsis Seminar and Synopsis Submission

4.4.1 Prior to the submission of the synopsis of the thesis, a comprehensive assessment of the research work should be made by DSC by a Pre-Synopsis Seminar. The candidate can submit the synopsis only if DSC is satisfied about the adequacy of work for submission as a Ph.D. Thesis.

4.4.2 Details of the Pre-Synopsis Seminar shall be notified well in advance, so as to enable the interested staff members and students to attend the same.

* If a candidate gets a grade less than *C*, he may be permitted to do the same course in self study mode in the subsequent semester. (3rd Sem. at)

4.4.3 The chairman of the DSC shall send the assessment report on the Pre-Synopsis Seminar to the Dean Academic Affairs.

4.4.4 The synopsis must be submitted at least one month before submitting the thesis. At least six printed copies and one soft copy of the synopsis shall be submitted to the Dean Academic Affairs, through the DSC. The synopsis must be of a maximum of 15 pages, including bibliography of research work, with the following certificates. (See Schedules C and D in Appendix - X)

- (a) Certificate from the Chairman, DSC that the Pre-Synopsis Seminar has been completed satisfactorily.
- (b) Declaration by the Research Guide in a prescribed proforma stating:
 - (i) the bonafide nature of the work
 - (ii) that the thesis does not contain any work which has been previously submitted for the award of any degree, and
 - (iii) the extent of collaboration, if any.

4.5 Ph.D. Thesis Submission and Adjudication

4.5.1 The Ph.D. Thesis must be submitted within six months after the submission of the synopsis. 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. The thesis must contain, besides the text and common matters like bibliography / references and summary / conclusions, the following:

- (i) a certificate from the supervisor(s) stating that
 - (a) the work has been carried out under his / their supervision,
 - (b) the candidate has fulfilled all prescribed requirements and
 - (c) the thesis is based on candidate's own work and has not been submitted elsewhere for a degree / diploma.
- (ii) an abstract of the thesis (about 500 words) with at least six key words.
- (iii) bio-data of the candidate (that is, name, date of birth, educational qualification, research experience, professional experience (if any), and permanent home address, email ID), not exceeding one page.

4.5.2 On successful completion of the Pre-Synopsis Seminar the DSC will recommend to the Chairman, Senate a panel of ten experts, five from India and five from abroad, to examine the thesis. Two experts from the panel shall be appointed by the Chairman, Senate, as external examiners. The supervisor(s) will be the internal examiners. The thesis shall be forwarded to, these examiners who shall report separately on the thesis and forward their recommendation to the Dean Academic Affairs.

4.5.3 The reports of the examiners shall be examined by the Dean (Academic Affairs) and the Chairman, Senate. 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 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 prescribed by the DSC, which in no case shall exceed

six months from the date of communication to the candidate. These may be sent to the examiners, if so desired by them. Otherwise, the DSC would evaluate the clarifications and recommend for conducting the viva voce examination.

(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 of the degree. The DSC 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 Chairman of the Senate, the appointment of another external examiner and send the thesis to him/her in its original form. If the examiner who rejected the thesis is an Indian examiner then the third examiner shall be Indian examiner. If the examiner who rejected the thesis is a foreign examiner then the third examiner shall be foreign examiner. The recommendation of this third examiner, at this stage, shall be taken as final and binding.

(iv) Both the external examiners reject the thesis.

4.5.4 In the event of a thesis being rejected by both the external examiners, the Senate may, on the recommendation of the DSC, permit submission of a revised thesis on an additional payment of the prescribed fee, after a suitable time to be fixed by the Senate. Copies of the observations and comments of the examiners, if any, may be given to the candidate on request. However, the names of the examiners are not to be disclosed. 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 (five from India and five from abroad) recommended by the DSC.

4.5.5 Once the reports of the examiners have been accepted as satisfactory, the candidate will have to defend his thesis before a viva voce board consisting of at least three DSC members including the guide(s), and an *external examiner*. Copies of the reports of the examiners are to be shown to the candidate through the DSC without disclosing the names of the examiners. The *external examiner* may either be one of the experts who have already adjudicated upon the thesis or be another expert appointed for the purpose. The Chairman of the senate, at his/her discretion may advise that a faculty from an allied Department / Centre of the institute be appointed as the additional examiner to conduct the viva voce examination. In such a case, the DSC recommends 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. If the viva voce is satisfactory and all other requirements have been fulfilled, the viva voce board shall recommend to the Senate the award of the Ph.D. degree.

4.5.6 After the recommendations of the viva voce board, either for acceptance of the thesis for the award of Ph.D. degree or for its rejection, a copy of the reports of the examiners may issued to the candidate at his request. However, the names of the examiners are not to be disclosed.

4.5.7 Nothing contained in these regulations shall preclude a candidate from publishing / patenting with the supervisor and/or others, the results of the work incorporated in the thesis, at any time.

5. RESEARCH GUIDE

- 5.1 In each department, applicants will be given at the time of selection, the details of research areas proposed by various faculty members for Ph.D. programs, so that they will have an opportunity to discuss regarding those areas with the respective faculty members and thereafter, indicate their choice in the order of preference. A committee constituted by the Director shall then interview the applicants.
- * 5.2 A permanent faculty member of the institute possessing Ph.D. degree shall be recognised as the Research Guide.
- 5.3 Each research student shall be allotted one faculty member of the department, as research guide, on the recommendations of the DAC PG & R.
- 5.4 Depending on the research requirements, additional research guides, either from the same department, or other departments of the institute, or outside the institute, may be considered as co-guides.
- 5.5 Change of research guide(s), under exceptional circumstances shall be permitted on recommendation of DAC PG & R, after consulting (i) the research scholar (ii) the allotted guide(s) and (iii) the proposed guide(s).
- 5.6 At any given time, the number of research students registered with a faculty member shall not exceed *four*. This number excludes the Ph.D. scholars, who had already submitted the synopsis of the Ph.D. thesis.
- 5.7 The individual department will formulate the guidelines for the allotment of guide for the students with institute fellowship.
- 5.8 In case of part-time external Ph.D. candidates (Category h in 2.1), one guide from NITW and another guide from the parent organisation of the candidate, are mandatory.

6. RESIDENTIAL REQUIREMENT

- 6.1 Unless there is an explicit permission from the Director to any candidate to stay outside the campus, all candidates admitted to the Ph.D. program will be required to stay in the institute till they complete all assigned work and submit thesis.
- 6.2 In the case of part-time external candidates from organizations having R&D facilities the residential requirement may be reduced to one semester which is to be completed at a stretch, preferably immediately after joining.
- 6.3 In case of part-time external candidates with at least 10 years of research experience in R&D Organizations, with the special permission of the DSC and approval of the senate, the residential requirement may be waived completely. Nevertheless, it is mandatory for such candidates also to complete the course work for the prescribed number of credits on self-study mode, following all steps like assignments, examinations etc., as prescribed for any regular course at NIT, Warangal, subject to his fulfilling all conditions prescribed in sections 3.2, 4.2 and 4.3.2 above, and also such other conditions as are applicable.

* Amended in 31st Senate Sec its minutes

7. MINIMUM AND MAXIMUM PERIODS OF THESIS SUBMISSION

7.1 Normally, a candidate devotes at least three years for study and research and then only becomes eligible to submit the thesis. The period will be counted from the date of enrolment. However, for a candidate who has a degree of Master of Technology, Master of Architecture, Master of Regional Planning, Master of City Planning, M. Phil. or an equivalent qualification, this period shall be a minimum of **two** years.

Qualification at the time of admission into Ph. D. program	Minimum Period for thesis submission
Full time candidates with M.E. / M. Tech. / M. Phil. / M.S. / M.Sc. (Tech) of 3 years	2 Years
Full time candidates with B.E. / B. Tech. / M.Sc. / M.A. / M.Sc. (Tech) of 2 years	3 Years
Part time external registration candidates with M.E. / M. Tech. / M. Phil. / M.S. / M.Sc. (Tech) of 3 years	3 Years
Part time external registration candidates with B.E. / B. Tech. / M.Sc. / M.A. / M.Sc. (Tech) of 2 years	4 Years

7.2 Registration of a candidate for the Ph.D. degree shall be effective, normally, from the date of joining unless on account of unsatisfactory progress in work deferred for a later date and shall remain valid for a period of **eight** years before the expiry of which he will be required to submit the thesis. In the event of a candidate failing to submit his thesis within the period, his registration shall lapse automatically.

8 AWARD OF THE DEGREE

- 8.1 On the recommendation of the Viva Voce Board, the Senate shall decide whether the candidate should be recommended to the Board of Governors for the award of the degree of Doctor of Philosophy.
- 8.2 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 Doctoral Scrutiny Committee. Any action taken by the Chairman under the provisions of this section shall be reported to the Senate at its subsequent meeting.

modified in 31st senate.

Max. period = 2 x Minimum period.
see the minutes.

APPENDIX - I

TERMS AND CONDITIONS FOR AWARD OF INSTITUTE RESEARCH SCHOLARSHIP

(For candidates belonging to category (a), described in section 2.1)

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 for the award of institute scholarship subject to the terms and conditions laid down in sections 2 to 5 below.

1.2 A person who is employed in the institute temporarily under a project or a scheme or who enjoys an outside scholarship other than QIP/TF, and who has been registered for the Ph.D. degree may be granted, the Institute Research Scholarship on the recommendation of the DSC and DAC PG & R, subject to the conditions of the rules. However, the period of the fellowship in the project/scheme together with the period of institute scholarship should not exceed 5 years. Transfer from CSIR/UGC etc., individual fellowships and research projects, to the 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 etc. must have completed at least 3 years as individual fellows.
- (iii) The candidates will present their work done so far for their Ph.D. at an open seminar with the DSC and DAC PG & R. The DAC PG & R must satisfy that the case is deserving.
- (iv) The candidate must be GATE/NET qualified.
- (v) All other rules applicable for selection of regular institute scholars would apply.

2. VALUE OF SCHOLARSHIP

2.1 The value of the Institute Research Scholarship shall be as follows:

For scholars possessing, at the time of admission to the research program

(a) a Master's degree in, Engineering/Technology or a degree recognized as equivalent thereto,

Rs. 9,500/- p.m. fixed, for the first two years

Rs. 10,000/- p.m. fixed from the third year.

(b) a Bachelor's degree in Engineering, Technology or Architecture (or a Master's degree in Science, Arts or Social Science or M.Com or a degree recognized as equivalent to any of them,

Rs. 8,000/- p.m. fixed for the first two years

Rs. 9,000/- p.m. fixed from the third year.

Under instructions of the Ministry of Human Resource Development, Government of India, the Board of Governors may revise the rates of Scholarship from time to time.

2.2 For a registered candidate, on completion of two continuous years of research work, there will be an evaluation by the DSC, for considering the question of enhancement of the value of scholarship.

2.3 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 scholarship for such period, as it deems appropriate. The committee will reassess the

*See the Amendment
in 30th serial
(page 2 in the book)*

candidate's work after the period so fixed. If satisfied, the committee will recommend the enhancement of the scholarship. The committee should also indicate the date from which the enhanced value will be effective.

3. TENURE

- 3.1 The Scholarship shall be payable from the date the scholar joins the Institute. At the initial stage the order for payment of scholarship shall, however, be issued when the scholar is enrolled formally.
- 3.2 The tenure of a research Scholarship shall be three 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 satisfactory performance of the scholar, at seminar lecture delivered embodying the progress of the work. Grant of a six-monthly instalment of the tenure is subject to actual requirement of the scholar's work to be certified by the DSC, after assessing the progress of the work presented through Seminar lectures.
- 3.3 Normally the tenure of the scholarship 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 scholarship for a further period of 3 months with the end in view to complete any unfinished part of experiment undertaken relating to his research work, subject to the overall limit of 3 years, on the recommendation of the supervisor.
- 3.4 The scholarship 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 scholarship shall be made, on production of a *No Dues Certificate*, from the hostels, library and the Department/Centre.
- 3.5 Notwithstanding anything contained in the foregoing sub-paragraphs, continuation of scholarship 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. CONCESSION OF LEAVE

- 4.1 An Institute Research Scholar is required to carry out his research work regularly under the guidance of the Supervisor(s), without any interruption during the period he enjoys the scholarship.
- 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. 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 rules of the Government of India, if the request for the leave is supported by a medical certificate from a registered medical practitioner.

(Appendix – I Contd.)

- 4.4 Any absence over and above the admissible leave as prescribed above shall be without scholarship, which shall be deducted on pro rata basis for the days of such absence.
- 4.5 A research scholar may be granted leave by the Dean of Academic Affairs, on the recommendation of the supervisor and the Head of the Department, without scholarship for a total period not exceeding three months, during the entire tenure of Scholarship.

5. GENERAL

- 5.1 No Research scholar shall be permitted to accept or hold any appointment, paid or otherwise or receive any emoluments, salary, stipend or any other scholarship during the tenure of the award. In the event of a scholar being awarded another scholarship of the institute or of any external organization/institution, he will have the option to retain any one of the awards, according to his choice, which he will communicate immediately in writing to the Dean of Academic Affairs.
- 5.2 A research scholar may be assigned academic responsibilities up to six hours per week (like tutorial classes, laboratory demonstration work, conduct of seminar/symposia, running and maintenance of equipment/ computer etc.) as may be decided by the Head of the Department.
- 5.3 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.
- 5.4 If a research scholar wishes to relinquish the fellowship during the tenure, it should be done with the prior approval of the supervisor(s), the Head of the Department and the Dean of Academic Affairs. He should also obtain prior permission from the same authority for appearing in any examination conducted by any institution, university or public body.

APPENDIX - II

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

(For categories b, d and e described in section 2.1)

1. The institute may admit self-supporting candidates and persons who are in gainful employment as 'Sponsored Scholars' or 'Self-financing Research Scholars' to the research program subject to the following conditions:
 - 1.1 (Category b) Qualified teachers of 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.
 - 1.2 (Category d) Persons who possess the minimum prescribed qualifications and are in service in any of the following establishments, as may be recognized by NITW, for the purpose, from time to time, shall be eligible for admission to the Ph.D. program as sponsored scholars:
 - (i) Defence or other ministries of the Government of India or any other government organizations.
 - (ii) Established industrial research and development organizations.
 - (iii) Autonomous bodies / colleges / industries.
 - 1.3 (Category e) Self-supporting candidates are also eligible for admission subject to possessing minimum prescribed qualifications.
2. The prescribed minimum qualification for admission to the Ph.D. program is: M Tech/ME/MS/M Phil or equivalent degree, Or, B.Tech/BE/MSc/MSc(Tech)/MA or equivalent degree.
Admission to a Ph.D. program shall be open to candidates who passed the prescribed qualifying examination in first class with a Cumulative Grade Point Average (CGPA) of at least 6.5 in the 0 – 10 scale grading system (6.0 in the case of SC/ST candidates), or not less than 60% marks in the aggregate (55% marks in the case of SC/ST candidates)
3. An intending sponsored candidate must submit his application in prescribed form for admission through his employers, 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.

The proforma for *Sponsorship cum clearance certificate from the employer*, is given in Schedule B in Appendix - X.

 - (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 (not applicable to a part-time 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 [Category (d)] 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 in which he/she is employed has R&D facilities, and subject to conditions laid down in Section 3.4 of the Regulations as well as the following sub sections (b), (c) & (d).
 - (b) A candidate sponsored by an industry, an R&D Organization, educational institution or a Government Organization [Category (d)] 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 by the chairman senate, only if the DSC recommends after it is satisfied about availability of research facilities there and fulfilment of all requirements. Such permission is to be obtained in advance.
 - (c) In such a case a joint supervisor from the sponsoring organization with adequate research experience may be appointed. 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.

APPENDIX - III

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

~~(For categories described in section 2.1)~~

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 a year, against advertisements in the news paper(s).
3. Selection will be made as per the normal procedure of the institute.
4. The candidates must have qualified in GATE or NET as the case may be.
5. They must be SRF's/JRF's or of equivalent position attached to CSIR/DST/Defence Laboratories/Government R&D Organizations/IIMs
6. No scholarship or financial assistance be provided to such candidates.
7. Minimum residential requirement for such candidates for course work etc. shall be one semester.
8. In case of candidates from such institutions, certificate from the Director of the Institute will be required confirming that such candidates, have not / will not, register for any other academic programs of any Institute while pursuing Ph.D. program at NIT Warangal.

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 - IV

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

(For category g, described in section 2.1)

1. Members of teaching and non-teaching staff of NIT, Warangal, may be permitted to join the Ph.D. program of the institute provided, prior permission has been obtained from the Director, NITW, before applying for admission to the program.
2. For admission to the Ph.D. program, staff member must fulfil the prescribed norms and at the qualifying examination he/she must have obtained at least the percentage of marks/grade/CGPA, as prescribed to be the minimum requirement (See section 2).
3. All common rules laid down in the Ph.D. regulations relating to course work, execution of research work under the supervision of a faculty member (guide), etc. shall be applicable to all the staff members, when being enrolled.
- ~~4. All staff members, who are permitted to join research program, must pay the prescribed admission cum registration fee and also the thesis evaluation fee before submission of the thesis on completion of the work.~~
- ~~5. The staff members enrolled for the Ph.D. degree shall be exempted from payment of any tuition and other fees. Staff members permitted and enrolled for the Ph. D 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 Staff

- (i) A faculty member must hold a permanent post in the institute and must have a standing of at least 2 years service in the post.
- (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 teaching experience.

B. For members of Non-teaching Staff

- (i) A member of non-teaching staff seeking permission to join the research program must hold a permanent post in the institute and must have a standing of at least three years service in the post.
- (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 or Centre or the section in-charge, as the case may be. While submitting the application, he must give an undertaking in the form appended hereto (Schedule-A in Appendix - X) to the effect that he will abide by all the rules and regulations.
If the exigencies of the 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.
- (iii) Every application for permission under these rules, shall be examined by the DAC PG & R, taking into account whether the proposal for joining the program for which permission is sought, is out of genuine interest and ability.

- (iv) After the permission is granted he will submit his application on prescribed form together with the prescribed admission-cum-registration fee. On the receipt of this application, the Head of the Department/Centre concerned will place the same before the DAC PG & R, for composition of the Doctoral Scrutiny Committee.
- (v) 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 *eight* years, as in the case of regular candidates.

APPENDIX - V**Ph. D. PROGRAM – EXTERNAL REGISTRATION**

(For category h, described in section 2.1)

1. RESEARCH GUIDES

In the case of part time external Ph.D Candidates, one guide from NITW and another guide from the parent organization, are mandatory.

2. RESIDENTIAL REQUIREMENTS

- (a) In the case of part-time external candidates (category h in Section 2.1) from industry/ R&D organizations/educational institutes of higher learning 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.
- (b) In case of part-time external candidates with 10 years (or more) research experience in R&D Organizations, with the special permission of the DSC and approval of the senate, the residential requirement may be waived completely. Nevertheless, it is mandatory for such candidates also to complete the course work for the prescribed number of credits on self-study mode, following all steps like assignments, examinations etc., as prescribed for any regular course at NIT, Warangal, subject to his fulfilling all conditions prescribed in sections 3.2, 4.2 and 4.3.2 above, and also such other conditions as are applicable.

3. MINIMUM AND MAXIMUM PERIODS OF THESIS SUBMISSION

- (a) Normally, a candidate has to devote at least three years for study and research and then only he/she is eligible to submit the thesis. The period will be counted from the date of enrolment. However, for a candidate who has a degree of Master of Technology, Master of Architecture, Master of Regional Planning, Master of City Planning, M. Phil. or an equivalent qualification, this period shall be a minimum of two years.
- (b) Registration of a candidate for the Ph.D. degree shall be effective, normally, from the date of joining unless on account of unsatisfactory progress in work deferred for a later date and shall remain valid for a period of *eight* years before expiry of which he will be required to submit the thesis. In the event of a candidate failing to submit his thesis within the period, his registration shall lapse automatically.

All other rules and regulations including the evaluation of Ph.D. thesis are same as those applicable for full time Ph.D. Scholars.

APPENDIX - VI

DOCTORAL SCRUTINY COMMITTEE
(DSC)

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

- ✓ 1. Head of the Department ... ~~Chairman~~
2. Research Supervisor ... Member *Convenor*
3. Co-supervisor (if any) ... Member
- ✓ 4. One ~~faculty member~~ ^{*Professor*} of the Department ... Member
- ✓ 5. One ~~faculty member~~ ^{*Professor*} of the allied Department ... Member

NOTE

If the Research Supervisor happens to be the Head of the Department, then the DAC PG & R shall nominate another permanent faculty member of the department as the chairman of DSC.

FUNCTIONS

1. To formulate the course work of the candidate.
2. To scrutinize syllabi of courses of self-study (if any) prepared by the Research Supervisor(s) and send the same to the Dean (Academic Affairs).
3. To ~~finalise and forward~~ ^{*prepare & consolidate*} the grades of the candidate in each of the courses to the Dean (Academic Affairs). *through DAC PG & R*
4. To review the progress of the candidate once in every six months and send the progress report to the Dean (Academic Affairs).
5. To assess and approve the research proposal of the candidate.
6. To assess and approve the adequacy of the work in the Pre-synopsis seminar and communicate the same to the Dean (Academic Affairs).
7. Panel of examiners consisting of 5 national and 5 international examiners, must be sent to the Dean (Academic Affairs).
8. To act as members of the Viva-Voce Board along with the external examiner and submit the viva-voce report.

APPENDIX - VII

**DEPARTMENTAL ACADEMIC COMMITTEE – POSTGRADUATE &
RESEARCH (DAC PG & R)**

- | | | |
|--|-----|----------|
| 1. Head of the Department | ... | Chairman |
| 2. All Professors of the Department
having Ph.D. | ... | Members |
| 3. All Assistant Professors of the Department
having Ph.D. | ... | Members |
| 4. Two lecturers of the department possessing
Ph.D. degree (by rotation, for two years) | ... | Members |

NOTE

1. The Head of the Department will nominate one of the members as secretary.
2. There shall be one DAC PG & R for every department, which is involved in offering PG degree program(s).
3. The Chairman may co-opt and / or invite more members including external experts while framing or revising the curriculum.

FUNCTIONS

1. To monitor the conduct of all postgraduate courses and course work of Ph.D. program.
2. To ensure academic standards and excellence of the courses offered by the department.
3. To develop the curriculum for the postgraduate courses offered by the Department and recommend the same to the Board of Studies.
4. To ^{finalize} ~~review~~ and approve the grades.
5. To consolidate the registration of the Post Graduate and Ph.D. students and communicate to the course instructors and Dean (Academic Affairs).
6. To consider any matter related to the postgraduate program(s) and Ph.D. program of the Department and make suitable recommendation to the Board of Studies.
7. To take up any responsibility or function assigned by the Senate or the Chairman of the Senate or Chairman of the Board of Studies.

APPENDIX - VIII

GUIDELINES FOR APPOINTMENT OF JOINT SUPERVISOR

1. All candidates admitted for the Ph.D. program, are required to carry out their research work under the guidance of a supervisor unless otherwise permitted by the Chairman of 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 supervisor 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.

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.

- (b) A supervisor who is superannuating, will continue to be the sole guide, if the thesis is submitted within 6 months. 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 supervisor 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 supervisor who is superannuating, will continue as the guide, if the thesis is submitted within 6 months. If the thesis is not ready for submission within 6 months, a joint supervisor must be appointed by the DSC.

4. After superannuating from service of this institute, if the supervisor joins the institute as an Emeritus Scientist or Professor or in any other capacity, he may continue to be the sole supervisor or as joint supervisor if the DSC so recommends.

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. Persons from out side the Institute, joining as Emeritus Scientists or Professors or as Chair – Professors, can be appointed as guide for new scholars, only jointly with a regular faculty member, and not alone.

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

APPENDIX - IX

RULES REGARDING CONDUCT AND DISCIPLINE

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 hostels, the sports officers and the officers of the National Cadet Corps. Proper courtesy and consideration should be extended to the employees of the Institute and hostels. They shall also pay due attention and courtesy to visitors.
2. Research Scholars are required to develop a friendly nature with fellow students. In particular, they are expected to show kindness and consideration to the new students admitted to the institute every year. Law bans ragging of newcomers in any form. Acts of ragging will be considered, and 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 (correctness or dignity of behaviour); indecent behaviour anywhere within or outside the campus
 - Wilful damage or stealing or removal of any property belongings of the institute or hostels or fellow students
 - Possession, consumption or distribution of alcoholic drinks or any kind of hallucinogenic (causing illusion of seeing or hearing something not actually present) drugs
 - Adoption of unfair means in the examinations
 - Mutilation (injuring or cutting of a part) 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 (expression of condemnation for a fault or offence); fine, expulsion from the hostels, debarment from examination(s) and/or institute placements, rustication for a specified period or even outright expulsion from the institute.
4. For an offence committed in (a) hostels, (b) the Department or in a classroom and (c) elsewhere, the Chief 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.

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

- 5.(a) All major acts of indiscipline, which may have serious implications on the general body of students, and/or which may warrant a uniform and more formalized nature of investigation, shall be handled by the Standing Institute Conduct and Disciplinary Committee, appointed by the Senate.

The Standing Institute Conduct and Disciplinary Committee consist of the following ex-officio and other members:

- Dean Students' Affairs ... Chairman
- Chief Warden ... Member
- Warden of the hostel in which
the student concerned is resident ... Member
- One faculty nominated by the Senate.
by rotation for two years ... Member
- The Deputy Registrar /
Assistant Registrar (Academic) ... Member Secretary

In addition, the Chairman may invite any other person(s) to be associated with the proceedings of a particular case, if his / her participation is considered necessary in disposing of the matter.

- (b) Term of office of the members other than the ex-officio members shall be two years.
 - (c) Recommendations of the committee which include the suggested quantum of punishment in cases of proven guilt are communicated to the Director who as Chairman of the Senate, awards any punishment after giving a hearing to the student(s) concerned and subsequently reported to the senate.
6. Cases of adoption of unfair means in examination(s) shall be dealt with, by the Head of the Department concerned, in consultation with the invigilators and the paper setter. The Head of the Department shall recommend appropriate measures in each case to the Director who as Chairman of the Senate shall award the punishment and later report the matter to the senate.

APPENDIX – X

Schedule AUNDERTAKING

I, Mr / Ms member of the teaching/non-teaching staff holding a permanent post of in the Department / Centre of at the National Institute of Technology, Warangal, do 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:
Station:

.....
(Signature)

Office of the Registrar
National Institute of Technology
Warangal

No.NITW/R/2008/5573

Date:5-3-2008
10

CIRCULAR

As per the MHRD letter dated 22-11-2007 the Institute fellowship for the Ph. D students is revised with effect from 1 - 4 - 2007 as follows:

S. No.	Category	1 st year	2 nd year	3 rd year
1.	Ph. D. Student with M. Tech Qualification	Rs. 14,000/- per month	Rs. 14,000/- per month	Rs. 15,000/- per month
2.	Ph. D. Student with M. Sc. Qualification	Rs. 12,000/- per month	Rs.12,000/- per month	Rs.14,000/- per month

This is for the information and necessary action of all the concerned.


REGISTRAR

To:

All Deans
Coordinator, TEQIP
All the Heads of the Depts/Centres/Sections
Deputy Registrars (Accounts/Academic/Establishment)
PA to Director

Office of the Dean, Academic

No. Dean/AA-3/2010/

Dated 11th August 2010

CIRCULAR

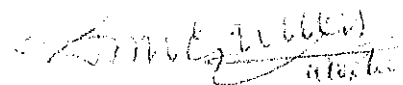
Sub. Formation of the Doctoral Scrutiny Committee (DSC) – Ph.D. Research Scholars (Full Time/ Part Time) – Reg.

--X--

The Head of the Departments are being informed about the formation of Doctoral Scrutiny Committee (DSC) as per the Institute academic rules-2006.

- (1) If the Research supervisor happens to be the Head of the Department, then the DAC PG&R shall nominate another permanent faculty member of the department, as the Chairman of the DSC.
- (2) The DSC of the Part-Time Research Scholar should consist of external supervisor's name as well as the internal supervisor's name.
- (3) The Part-time Research scholars (excluding faculty members of the institute) should obtain the signatures of the Internal Supervisor as well as external supervisor signatures in the thesis at the time of submission of the Ph.D. thesis.
- (4) There can be two supervisors at most for any Ph.D. Research Scholar.

Therefore Head of the departments are requested to modify the DSC of the Ph.D. Research Scholars accordingly.


(D.M. VINOD KUMAR)
Dean, Academic

To
All Head of the Departments (Circulate among the faculty members of the department)

(Appendix - X Contd.)

Schedule B

**SPONSORSHIP-CUM-CLEARANCE CERTIFICATE
FROM EMPLOYER
(for sponsored applicants only)**

We certify that Mr./Ms.
 Designation, on applicant for admission into Ph.D. program of the
 National Institute of Technology Warangal, for the (month and year),
 has been in continuous employment in our organization named

 (give complete address),
 for the last years and that he / she has been sponsored by us for undergoing
 the program.

Certified further that his/her services with the organization will be retained during the period
 carrying out the studies / research work at the National Institute of Technology Warangal,
 and on completion thereof he/she will continue in service in our organization.

.....
 (Signature of the Competent Authority with seal)

Station: Name in full:

Date: Designation:

(SEAL)

NOTE: Application will not be considered without the above sponsorship certificate.

Schedule C

CERTIFICATE

This is to certify that Mr./Ms. has presented satisfactorily, his/her research work entitled in the Pre-Synopsis seminar, held on

Date:

.....
(Signature)

Station:

Chairman, DSC

Schedule D

DECLARATION

This is to certify that the work presented in the thesis entitled is bonafied work done by Mr./Ms. under my/our guidance and was not submitted elsewhere for the award of any degree. It is further stated that the work presented, has no collaboration in any manner⁽¹⁾ / a collaboration with to the extent ⁽²⁾⁽³⁾.....

Date:
Station:

.....
Signature of the thesis supervisor:
Name:
Designation:

Date:
Station:

.....
⁽⁴⁾Signature of the thesis supervisor
Name:
Designation:

Note: (1) retain either ⁽¹⁾ or ⁽²⁾
⁽²⁾ in ⁽³⁾ include collection of data, use of some specific software, etc.
⁽³⁾ ⁽⁴⁾ is only in the case of joint guiding.