NATIONAL INSTITUTE OF TECHNOLOGY WARANGAL



RULES AND REGULATIONS

Ph.D. PROGRAM

(with effect from 2021 - 2022)

Rules and Regulations of Ph.D. Programs effective from 2021-22

1. INTRODUCTION:

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

a) Civil Engineering
b) Electrical Engineering
c) Mechanical Engineering
d) Electronics and Communication Engineering
e) Metallurgical and Materials Engineering
f) Chemical Engineering
g) Computer Science and Engineering
h) Biotechnology
i) Mathematics
j) Physics
k) Chemistry
l) School of Management
m) Humanities and Social Sciences

2. ADMISSION:

2.1 Admission categories: There are two types of admission categories for Ph.D. Degree Program; Full time and Part time

Full time: There are eight categories in the full time Ph.D. Degree program

a) Full-time student on institute fellowship.
b) Full-time Government/Semi-Government Fellowship awardees / QIP / FIP (UGC) /CSIR / UGC / DOE / DST / DBT / NBHM/ INSPIRE 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.
e) Indian Council for Cultural Relations (ICCR) fellowship awardees (Foreign students).
f) Full-time External (CSIR/ JRF/ SRF Fellows) working in National Research Laboratories/ R&D Organization having necessary facilities
g) Full-time Self-financing Program (Sponsored by Industry)
h) Full-time Self-finance (Rules of reservation not applicable. Master's degree is compulsory whereas GATE/ UGC/ CSIR/ Inspire/ NET/ CAT is not mandatory)

Part time: There are five categories in the part time Ph.D. Degree program

i) Permanent faculty and other permanent staff of NIT, Warangal
j) Permanent faculty of Private Academic Institutions with NIRF ranking below 200 at least once in last five years
k) Permanent faculty from Educational Institutions fully funded by Government or Maintained by Public-Private Partnership (PPP) Mode
l) Permanent Employees from Private Industries with R & D facilities having three years of experience in an industry of five years standing with membership in CII/ASSOCHEM or any other similar membership

m) Permanent employees working in Government R & D laboratories/Government organizations/Government industry/PSUs/State Undertakings

NOTE:

i) A student of category (a and c) will receive the institute scholarship for a duration of three years, which may be extendable by two more years based on the recommendations of Doctoral Scrutiny Committee (See Appendix-I for more information and Appendix- VI for the constitution of DSC). One journal publication (acceptance) as prescribed in point 4.4.2 within 3 years from the date of registration is mandatory for continuing the enhanced scholarship after 3 years. The enhanced scholarship will be restored from the date of publication (acceptance). However, no arrears shall be paid for the intervening period.

ii) Student of Category (d) shall be sponsored and financed by the sponsoring organization: (See Appendix-II, for more information)

iii) Student of category (f) shall produce a no objection certificate from the organization where he/ she has got a fellowship and also acceptance from a possible supervisor along with biodata from the organization. There will not be any financial commitment from NITW for students under category (f) (See Appendix-III, for more information)

iv) Student of category (g) shall produce a no objection and sponsorship certificate from the organization where he/ she is working

v) A part-time student of category (i) shall produce a sponsorship-cum-clearance certificate from the Director, NITW. (See Appendix - IV, for more information)

vi) A part-time student of category (j) shall produce a No Objection certificate from the present institute which should be AICTE recognized along with the proof of the best NIRF ranking proof within the last five years.

vii) A part-time student of category (k, l, m) shall produce a No Objection Certificate from the present employer

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

ix) No student can receive scholarship/fellowship from more than one source, either Government or Private.

2.2 ELIGIBILITY:

2.2.1 First class with 60% aggregate marks or 6.5 CGPA at both UG and PG for UR/OBC/EWS category and minimum 55% aggregate marks or 6.0 CGPA for candidates under SC/ST/PWD category.

Engineering Departments:
Master's/M.S. (by Research) degree in Engineering / Technology in the appropriate branch of study.

(OR)

Bachelor's in Engineering / Technology with valid GATE score and at least CGPA of 8.0/10 or 75% aggregate of marks under UR/OBC/EWS category and at least CGPA of 7.5/10 or 70% aggregate for candidates under SC/ST/PWD category.

Science Departments:
Master's degree in the relevant discipline of Science (Maths/ Physics/ Chemistry)/ B.Tech or equivalent degree/ M.Tech or equivalent degree.

Humanities:
Master's degree in the relevant discipline of English.

School of Management:
Master's degree in Business Administration.

2.2.2 As per AICTE / UGC norms, students of category (a) must have passed GATE. In case of students with M.Sc / M.Sc (Tech) / MBA / MA qualification, GATE / UGC - CSIR NET / INSPIRE qualification is necessary.

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

2.2.4 Students of category (c) have to undergo the regular selection process in order to enroll for Ph.D program. Such students are eligible for conversion from JRF/SRF to Institute fellowship only after working for a period of 1 year in case of 2-year project or 2 years in case of a 3-year project. The institute fellowship will be provided up to a maximum period of 5 years from the date of his/her registration of Ph.D.

2.2.5 Written test is exempted to a permanent faculty /staff member of NITW who wish to register for Ph.D. in the department where he/she is working. If the permanent faculty/ staff member wishes to work for his Ph.D. in some other department, then the written test and/ or interview is necessary.

2.2.6 Admission under the category (l and m) is open to:

i) Permanent Employees from Private Industries with R & D facilities having three years of experience in an industry of five years standing with ME/ M.Tech. as per eligibility

ii) Permanent employees working in Government R & D laboratories/ Government organizations / Government industry / PSUs / State Undertakings with ME / M.Tech. as per eligibility

iii) Permanent Employees from Private Industries with R & D facilities, Government R & D laboratories / Government organizations / Government industry / PSUs / State Undertakings with B.Tech. who have put in at least 10 years of experience and having at least four research publications in journals of repute. See Appendix-V for more information. The selection of candidates under this category is based on interview.

2.2.7 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
iii) Comprehensive Examination
iv) Periodic assessment of research progress
v) Pre-synopsis seminar and synopsis submission
vi) Ph.D. thesis Submission and adjudication

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

Minimum Qualification	Credit
M.E. / M.Tech. / M.Phil. / M.S. / M.Sc. (Tech.) of 3 years	12
M.Sc. / M.A. / MBA / M.Sc. (Tech.) of 2 years	15
B.E./ B.Tech	18

If the Doctoral Scrutiny Committee (DSC) recommends more courses of study, then the candidate has to do those courses as per the directions of the DSC.

3.3 Ph.D. scholars shall necessarily do at least one course from the institute level courses and other required courses from the department level courses, as suggested by the DSC. All the courses shall be of 3 credits only.

- Institute Level courses: Applied Mathematical Methods, Modelling and Simulation, Soft Computing Techniques, Experimental Techniques, Design and Analysis of Experiments, AI & ML, Data Mining, IPR, Research Methodology, Scientific Communication, or any other course approved by the senate.
- Department Level courses: few common courses must be designed by the department at higher level for all the scholars.
- If recommended by the DSC, student can also do a course under Self Study / MOOCs.
- The candidates can also enroll for any appropriate PG course (provided he/ she has not undergone that course during his/her PG program).
- Research Scholars may enroll for the Department level courses on self- study mode. For self-study courses, the DAC(PG&R) will allot a teacher to evaluate the candidate in the course.
- It is advisable that the supervisor(s) of the candidate are not allotted as teacher for self-study courses for more than one course.

3.4 The syllabi for all the courses to be offered to a Ph.D. scholar must be approved by the DSC.

4. EVALUATION SYSTEM:

4.1 Ph.D. Course Work and Evaluation:

4.1.1 The Ph.D. course work evaluation shall be similar to that of other PG courses.

4.1.2 If a course is offered exclusively for PhD students, the following absolute grading may be followed for awarding grades. (Ref. 120th senate meeting)

Grade	S	A	B	C	D	E	P	F
Marks	≥ 90	80-89	70-79	60-69	50-59	40-49	40*	<40

Scoring 40% or more in the end exam is mandatory for awarding “S to E” Grades.

*Scholars securing less than 40% marks in end semester examination may be awarded “P” grade, if they secure total marks greater than 40. Writing end exam is mandatory.

4.1.3 Candidates must complete all the assigned course work with a grade not lower than C in each of the courses. If candidate gets a grade less than C, he/ she may be permitted to do the same course in self-study mode in the subsequent semester or

he/she may register for another course based on the recommendations of DSC.

4.1.4 The course work should be completed in the first two semesters after admission. If a candidate fails to complete the course work in the first two semesters, the DSC may recommend for an extension of one more semester with proper justification.

4.2 Research Proposal Submission: Every research scholar is required to submit his research proposal by the time of Comprehensive Examination. The research proposal must contain details including problem identification, state of the art literature, plan of research work etc. The DSC will assess the proposal at the time of Comprehensive Examination and communicate the recommendations for approval to the Dean-Academic.

4.3 Comprehensive Examination:

4.3.1 Every Ph.D. scholar shall take a Comprehensive Examination in his/ her Department. Comprehensive Exam shall be in two parts:

i) Part-1: Written Test: Written exam in a subject (self-study) where syllabus is written comprehensively by including all the topics relevant to his PhD including methods and tools. DSC members shall frame the syllabus and contribute in setting the Question Paper. The DSC can co-opt, if required, other faculty for setting the question paper. Student has to score at least 50 percent in this comprehensive written exam. Only after successful completion of Part-1, the scholar will be allowed to appear for Part-2

ii) Part-2: A seminar presentation by the scholar on the state of art in the proposed research area along with the objectives and methodology to the Comprehensive Examination Committee. The committee has to evaluate whether the performance is satisfactory or not. If the performance is not satisfactory, the scholar may be given one more opportunity with a minimum gap of one month

The Comprehensive Examination Committee should consist of DSC members and two other faculty members, either Associate Professor or Professor level of the Institute nominated by the Chairman, DSC. One member should be from allied Department.

4.3.2 If the performance of the candidate in the comprehensive examination is not satisfactory in the first attempt, he/ she may be given another opportunity. There must be a minimum gap of one month between two successive attempts of Comprehensive Examination. However, Comprehensive Exam for PhD may be completed within 1½ year (with a maximum number of 2 attempts).

4.3.3 If the candidate fails to complete comprehensive exam within 1½ years and with the 2 attempts, he may be given an option to convert to MS or quit the institute without any degree.

4.4 Period of Assessment of Research Progress

4.4.1 After the approval of the research work proposal, assessments are made periodically, through seminars (at least one seminar per semester before DSC), to ensure satisfactory progress. The research scholar shall submit through his/her supervisor(s), a progress report of his/her research work, to the concerned DSC twice a year. The DSC will communicate to the Dean-Academic, through DAC- PG&R, about the periodic progress. The continuance of registration of all research scholars is subject to satisfactory progress made by them.

4.4.2 Prior to pre-synopsis seminar, the scholar is required to have at least two research

papers published or accepted for publication *with the scholar as the first author (Ref. 119th senate meeting)*, in SCI / SCIE / ESCI / SCOPUS / Open Access journals of SCI, with at least one publication in SCI. Scholars from SoM shall publish TWO papers *with the scholar as the first author* in SCI / SCIE / ESCI / SCOPUS / Open Access journals of SCI / *ABDC journals*, with at least one publication in *ABDC journal.* In the case of research scholars from Humanities and Social Sciences Department 3 National and 2 International publications *with the scholar as the first author* in peer reviewed journals are required.

4.5 Pre-Synopsis Seminar and Synopsis Submission

4.5.1 Prior to 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.

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

4.5.3 The Chairman of the DSC shall send the assessment report on the Pre-Synopsis Seminar to the Dean-Academic.

4.5.4

Soft copy of the synopsis shall be submitted to the Academic section through the DSC and DAC-PG&R. The synopsis must be a maximum of 15 pages, including references of research work, with the following certificates:

i) Certificate from the Chairman, DSC that the Pre-Synopsis Seminar has been completed satisfactorily (Schedule C).

ii) Declaration by the Research Supervisor in a prescribed proforma (schedule-D) stating
- the bonafide nature of the work
- that the thesis does not contain any work which has been previously submitted for the award of any degree, and
- the extent of collaboration, if any.

4.5.5 On successful completion of the Pre-Synopsis Seminar, the DSC will recommend to the Chairman of the Senate a panel of ten experts along with their CVs including their journal publications in the last 3 years, five from India and five from abroad, to examine the thesis. Two experts from the panel (one from India and one from abroad) will be appointed by the Chairman of the Senate as external examiners. The supervisor(s) will be the internal examiner(s). The thesis shall be forwarded to, these examiners who shall report separately on the thesis and forward their recommendation to the Dean-Academic.

4.6 Ph.D. Thesis Submission and Adjudication

4.6.1 A soft copy of the Ph.D. thesis must be submitted within three months after the submission of the synopsis. The scholar may be required to submit hard copy of the thesis, if demanded by the examiner(s). Guidelines for preparation of the Thesis may be downloaded from (https://www.nitw.ac.in/main/phd./nitw/ Form-13). The copy of the thesis should be accompanied by originality report generated by any Plagiarism checking software suggested by the Institute. The similarity should not exceed 20% excluding the papers published by the candidate.

4.6.2 The examiners can recommend that

i) the thesis is accepted
ii) the thesis is accepted with minor modifications suggested, without need for resubmission
iii) the thesis is to be resubmitted with suggested modifications, for reassessment
iv) the thesis is rejected

4.6.3 The reports of the examiners shall be examined by the Dean-Academic and the Chairman of the 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 for 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 for 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 3 months. 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 for 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, for 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 an Indian examiner. If the examiner who rejected the thesis is a foreign examiner then the third examiner shall be a 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.

4.6.4 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.

4.6.5 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 supervisor(s), and an external examiner.

Copies of the reports of the examiners are to be shown to the candidate through the DSC. 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 for the award of the Ph.D. degree.

4.6.6 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 be issued to the candidate at his request.

4.6.7 The scholar shall submit hard copies of the final thesis to the supervisor(s) and the department.

4.6.8 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 SUPERVISOR:

The candidates selected for PhD program in a Department have to report to the Head of the Department two weeks before the date of the registration. During this time the candidates will be given an opportunity to discuss with the faculty members on proposed research areas and indicate their choice of the supervisor in the order of preference. DAC-PG&R will allot one faculty member of the Department as research supervisor. The Head of the Department in consultation with the research supervisor will constitute the DSC and finalize the course work before the registration and commencement of the semester.

5.1 A permanent faculty member of the Institute possessing Ph.D. degree shall be recognized as Research Supervisor.

5.2 Each research scholar shall be allotted one faculty member of the department, as research supervisor, on the recommendations of the DAC-PG & R. Depending on the research requirements, additional research supervisor either from the same department or other departments of the institute if the problem is of inter-departmental nature, or from industry may be considered as co-supervisor(s). The recommendation for a co-guide shall be made with valid reasons and justification by DAC-PG&R of the Department.

5.3 *A scholar (Full-time or Part-time) shall be allotted a maximum of two supervisors (including internal and external supervisors). (Ref. 119th senate meeting)*

5.4 Change of research supervisor(s)/ withdrawal of co-supervisor (if any), under exceptional circumstances shall be permitted by the senate, on recommendation of DAC-PG&R after consulting (i) the research scholar (ii) the allotted supervisor(s) and (iii) the proposed supervisor(s).

5.5 At any given time, the total number of research scholars with Institute Fellowship registered with a faculty member (either as a supervisor or co-supervisor) including the scholars converted from projects to institute fellowship shall not exceed **FOUR**. DAC- PG&R shall ensure the number of scholars with institute fellowship with any supervisor does not exceed four. However, there is no limit for the number of scholars without institute scholarship.

5.6 The individual department will formulate the guidelines for the allotment of supervisor(s) for

the scholar with institute fellowship. However, the following guidelines are to be followed while allotting the supervisor.

(i) First priority should be given to the faculty having less number of research scholars with institute fellowship.

(ii) If any two or more faculty are with same number of PhD students, preference is to be given to the faculty with older allotment of scholar.

(iii) Faculty who are related to the candidate need not be considered to act either a guide or co-guide. Further, the faculty need not be considered for inclusion in the DSC.

5.7 When a faculty member, who has guided a candidate for at least 3 years, retires, he will continue to be a supervisor. However, a faculty who is in service will be appointed as co-supervisor.

5.8 After the Comprehensive Examination of the student, if the supervisor (in case of a single supervisor) proceeds on leave/deputation/ lien for a period of

- Less than 6 months, a care-taker supervisor will be appointed by the Department.
- More than 6 months and less than 2 years, a co-supervisor will be appointed by the Department.
- More than 2 years, a new supervisor will be appointed by the Department. However, the original supervisor may continue as co-supervisor.
- In case of more than one supervisor, the co-supervisor will take the role of main supervisor

5.9 If the supervisor (in case of a single supervisor) is leaving the institute before the comprehensive viva of the enrolled candidate for Ph.D. program, he/ she will cease to be a supervisor. In this case, the Department has to allot a new supervisor.

5.10 If the supervisor is leaving the Institute after submission of synopsis, he/she can continue to be supervisor till the award of Ph.D. degree.

6. RESIDENTIAL REQUIREMENT

6.1 All candidates admitted to the full time Ph.D. program (except categories (d) and (f)) will be required to stay in the institute till they complete all assigned work and submit thesis. (See Appendix-XI for rules related to residential requirement)

6.2 The part-time external candidates under categories (j) to (m) and full-time candidates admitted under category (d) and (f) will have to undergo a mandatory residential requirement of one semester, either in one stretch or with a break of maximum three times (i.e. two months each time) in case the candidate registers for course work on self-study basis.

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. However at least one seminar per semester before DSC is mandatory to review his/her progress.

7. MINIMUM AND MAXIMUM PERIODS OF THESIS SUBMISSION

7.1 The minimum period for submission of thesis is as given below:

Qualification at the time of admission into Ph.D. program	Min. Period for thesis Submission from the date of enrolment
Full time candidates with M.E. / M.Tech. / M.Phil.	2 Years
Full time candidates with M.Sc. / M.A. / MBA / B.Tech.	3 Years
Part time candidates	4 Years

7.2 Registration of a candidate for the PhD 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/she will be required to submit the thesis. In the event of a candidate failing to submit his/her thesis within the period, his/ her registration shall lapse automatically.

7.3 **Irregularities in Registration:** If any scholar (internal / external / FT / PT) doesn't register for two semesters regularly for any reason, his / her registration shall deem to be cancelled.

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 Viva-Voce Board. Any action taken by the Chairman under the provisions of this section shall be reported to the Senate at its subsequent meeting.

9. TEMPORARY WITHDRAWAL

9.1 A student who has been admitted to PhD program may be permitted to withdraw temporarily for a period of one semester from the Institute on account of prolonged illness/acute problem in the family provided that:

(a) the student applies to the Institute through the DSC and DAC (PG&R)

(b) The institute is satisfied that, inclusive of the period of withdrawal, the student is likely to complete all the requirements for the degree within 8 years of admission to the Program.

(c) There are no outstanding dues or demand from the Institute/ Department/ Centre/ Hall of Residence / Library.

9.2 A student who has been granted temporary withdrawal for a complete semester need not be required to pay tuition fee for the leave period.

9.3 A student shall be granted only one such temporary withdrawal during the program.

10. EXIT POLICY

10.1 The scholars have to present the progress of the research work to the DSC at the end of each semester. The DSC has to award a 'Satisfactory' or 'Un-Satisfactory' in the progress report at the end of each semester.

10.2 The scholar is allowed to exit with a lower degree than admitted in the event of the following:

- based on the student's request
- if the concerned DSC and DAC (PG&R) recommends termination of studentship on the grounds of unsatisfactory progress in research (two Un-Satisfactory reports in the consecutive progress reports)
- if the scholar could not clear Comprehensive exam within 1½years

10.3 The lower degree allowed for such scholars is M.S. by Research.

10.4 The M.S. by Research degree will be awarded to the above students only on completion of required course credits for Ph.D. as prescribed by the DSC and on successful viva-voce examination after submission of dissertation work.

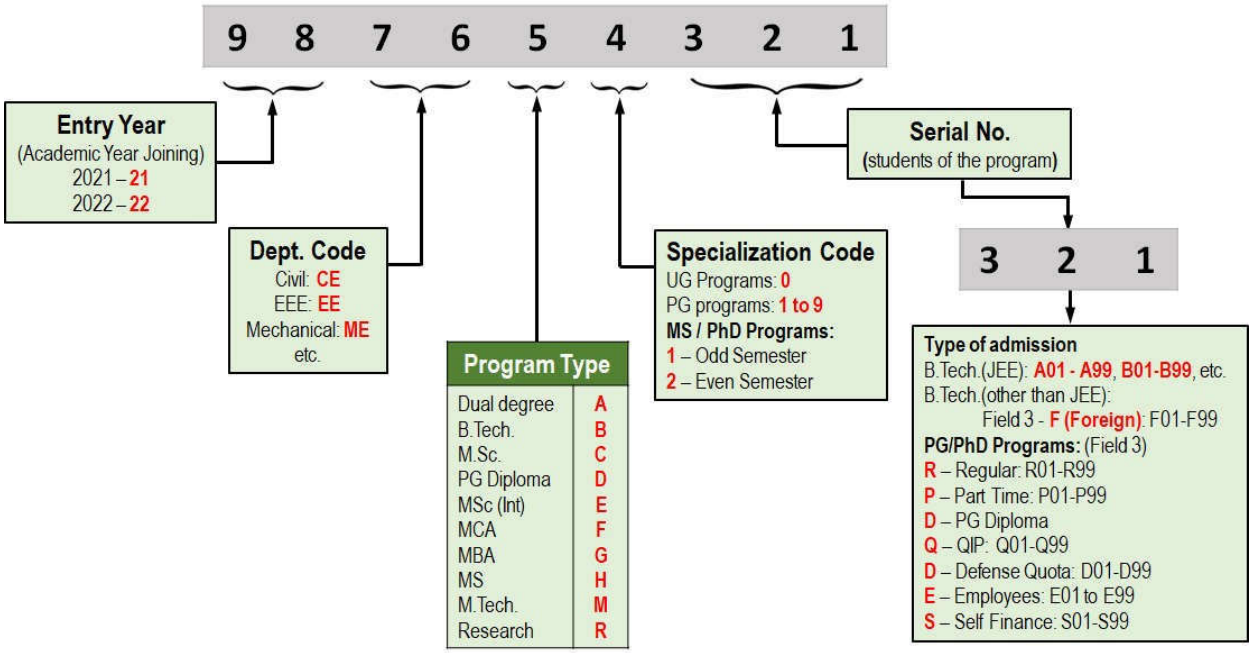
10.5 These students are also required to publish ONE paper in SCI/SCIE/ESCI/SCOPUS/ Open Access Journals of SCI.

10.6 The registration of the student from Ph.D. program shall be terminated immediately on the approval of the Senate for exit and the student shall be deemed as registered for M.S. by Research for submission of dissertation/thesis.

10.7 The stipend shall also be reduced from FULL to HALF from the date of conversion. However, the total period of stipend is only for 3 years from the date of registration for all such candidates.

11. ROLL NUMBER FORMAT:

The Roll (entry) number of a student consists of nine alpha-numerals, as described below:



APPENDIX - I

1. INSTITUTE FELLOWSHIP

(For candidates belonging to category (a), described in section 2.1)
All full-time scholars admitted under Institute fellowship are eligible for scholarship. Part-time candidates and full-time faculty members of the Institute admitted as part- time scholars shall not be eligible for any kind of fellowship.

2. SCHOLARSHIP

2.1 The amount of the Institute Research Scholarship for scholars possessing the stipulated qualification at the time of admission to the research program shall be as per the AICTE guidelines under instructions of MoE, Govt. of India. The Board of Governors may revise the rates of Scholarship from time to time.

2.2 The scholar has to present his/her progress to the DSC and submit its recommendations through DAC-PG&R. Scholar is eligible for enhancement of scholarship after two years of registration to PhD program. Scholarship will be given only for three years. However, based on the Supervisor(s), DSC and DAC-PG&R recommendations, the scholarship will be extended every semester up to a maximum period of 5 years from the date of registration.

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 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. CONVERSION OF PROJECT TO INSTITUTE FELLOWSHIP

The following procedure is recommended for converting JRF/SRF under different schemes to Institute fellowship:

3.1 The scholar must have been selected through a regular advertisement at the time of PhD admissions satisfying the eligibility criteria. He/she will be paid scholarship from the project funds of the PI. His / Her admission at this point of time will be an addition to the number of seats allotted to the Department/Institute.

3.2 The scholar is eligible for conversion from JRF to Institute fellowship only after working for a period of 1 year in case of 2-year project or 2 years in case of a 3-year project.

3.3 If the project is getting completed in the beginning or in between the next semester, the following guidelines are applicable:

(i) Scholar need to apply for PhD admission against the advertisement during the period in which the scholar wants to get his/her project fellowship converted to Institute fellowship.

(ii) No need to attend written test or interview, if his/her first selection as JRF/SRF was against an advertisement for PhD admissions. Otherwise, he/she has to attend the selection process.

(iii) The PI shall submit the recommendations of the DAC - PG&R for considering his application for converting from project to Institute fellowship. This is required as such

conversions will be shown against the number of admissions allotted to the department for that Academic year.

(iv) The Department should include all such candidates in the shortlist for selection process irrespective of the merit among that batch of applicants.

(v) The Head of the concerned department shall take care of including all such names in the final selection list.

(vi) Departments are requested to note that all such selections will be deducted from the number of admissions allotted to the department for that academic year.

3.4 The scholar shall apply to the Director through proper channel (i.e., Supervisor(s), DSC, DAC-PG&R, Dean-R&C, Chairman Admissions and Dean-Academic) requesting for conversion of the scholar from Project funds to the Institute fellowship once the project gets closed. The supervisor (PI) should enclose the following with the application:

(i) UC and SE obtained from Institute accounts section at the time of closing the project

(ii) Proof of the selection at the time of selection of JRF/SRF against a regular advertisement for PhD

(iii) The scholar's application against the PhD admissions and the list of selection for the current semester in which the conversion is requested.

4. TENURE:

4.1 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.

4.2 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 two more years, 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.

4.3 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 after the date of submission in view to complete any unfinished part of experiment undertaken relating to his research work, subject to the overall limit of 5 years, on the recommendation of the Supervisor.

4.4 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.

4.5 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.

5. CONCESSION OF LEAVE

5.1 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.

5.2 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. Research scholars going on medical leave should give prior intimation to the Department within a week.

5.3 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 medicalpractitioner.

5.4 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 suchabsence.

5.5 A research scholar may be granted leave by the Dean-Academic, 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.

5.6 A research scholar may be given special leave to collect data for his research/ carry out part of his research in an Industry/ R&D Lab or to present papers in conferences. The scholar shall submit the Special Casual Leave with necessary and prior approvals to the Academic section before availing.

i) For attending conferences (National/International): The leave shall be recommended by the Supervisor(s) and approved by the concerned HoD. The period of leave shall not be more than the duration of the conference + four days for travel in any case. The total number of Special Casual Leaves for a scholar in an academic year shall not be more than 10 days.

ii) For data collection outside NITW or any research related work*:* This shall be recommended by the Supervisor(s) and approved by the concerned HoD.

6. GENERAL

6.1 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 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- Academic.

6.2 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.

6.3 A research scholar shall maintain, besides satisfactory academic progress, good conduct, behavior and discipline in the institute. In the event of a scholar being found to be involved in any act of misconduct, misbehavior, indiscipline or use of unfair means at an examination, the scholarship is liable to be suspended with immediate effect. (See Appendix-X for students' conduct and disciplinary code)

6.4 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- Academic. 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 CANDIDATES TO Ph.D. PROGRAM

[For categories (b) and (d) described in section 2.1]

1. 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 *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 NIT Warangal, for the purpose, from time to time, shall be eligible for admission to the Ph.D. program as sponsored scholars:
      i) Defense or other Ministries of the Government of India or any other government organizations.
      ii) Established industrial research and development organizations.
      iii) Autonomous bodies/industries.

2. The prescribed minimum qualification for admission to the Ph.D. program is:
   i) M.Tech. / M.E. / M.S. / M.Phil. or equivalent degree or M.Sc./ M.Sc. (Tech)/ M.A. / MBA or equivalent degree.
   ii) 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 / 10 (6.0 / 10 in the case of SC/ST/PWD candidates), or not less than 60% marks in the aggregate (55% marks in the case of SC/ST/PWD candidates).

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 employer to the effect
      i) that he/she has been officially relieved from his/her duties for purpose of joining the program and has been granted the leave for the required period
      ii) that his/her services shall be retained with the employer. The proforma for Sponsorship cum clearance certificate from the employer, is given in Schedule B in Appendix-IX.

5. Sponsored candidate (category (d)) admitted to the Ph.D:
   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 Sec. 3.4 of the Regulations as well as the following sub sections (b), (c) and (d).
   b) A candidate sponsored by an industry, an R&D Organization, 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 of 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/she will be required to maintain frequent contact with the supervisor in the institute.

APPENDIX - III

GUIDELINES FOR ADMISSION OF SRFs JRFs IN CSIR / DST / DEFFENCE LABORATORIES / GOVERMENT R&D ORGANZATIONS / IIMs

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 newspaper(s).
3. Selection will be made as per the normal procedure of the institute.
4. The candidate must have qualified in GATE / NET as the case may be.
5. They must be SRF's / JRF's or of equivalent position attached to CSIR / DST / Defense Laboratories / Government R&D Organizations / IIMs.
6. No scholarship or financial assistance will 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.
9. 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 (i) 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, NIT Warangal before applying for admission to the program.
2. For admission to the Ph.D. program, staff member must fulfill the prescribed norms at the qualifying examination (See section 2).
3. All common rules laid down in the Ph.D. regulations relating to the 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. The staff members, who are permitted to join research program, must pay the prescribed admission cum registration fee.
5. The staff members enrolled for Ph.D. Degree shall be exempted from payment of tuition and any other fee except admission fee.
6. 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 (inclusive of contractual appointments) in the Institute.

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 PhD 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 / Centre / 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-IX) to the effect that he will abide by all the rules andregulations.
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 considering 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/she will submit his/her 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. 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 –PART TIME REGISTRATION

(For category (j, k, l, m) described in section 2.1)

1. ELIGIBILITY CRITERIA

i) Permanent Employees from Private Industries with R & D facilities having three years of experience in an industry of five years standing with ME / M. Tech. as per eligibility

ii) Permanent employees working in Government R & D laboratories/Government organizations/Government industry/PSUs/State Undertakings with ME / M. Tech. as per eligibility

iii) Permanent Employees from Private Industries with R & D facilities, Government R & D laboratories/Government organizations/Government industry/PSUs/State Undertakings with B. Tech. who have put in at least 10 years of experience and having at least four research publications in journals of repute. The selection of candidates under this category is based on interview.

iv) Permanent faculty of Private Academic Institutions with NIRF ranking below 200 at least once in last five years

v) Permanent faculty from Educational Institutions fully funded by Government or Maintained by Public-Private Partnership (PPP) Mode

2. RESIDENTIAL REQUIREMENTS

i) The part-time external candidates will have to undergo a mandatory residential requirement of one semester, either in one stretch or with a break of maximum three times (i.e. two months each time), in case the candidate registers for course work on self-study basis.

ii) 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. However at least one seminar per semester before DSC is mandatory to review his/her progress.

NOTE: 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/ Any Senior faculty from the Department/ Allied Department	Chairman
2.	Research Supervisor	Member/ Convener
3.	Co-supervisor (if any)	Member
4.	Two faculty members of the Department	Member
5.	One faculty member of the allied Department	Member

The guidelines to be followed to avoid the frequent changes in DSC constitution:

- Usually the Head of the Department is nominated as the Chairman, DSC. However, a senior professor in the department based on the area of research work of the scholar may also be nominated as Chairman.
- If the Head of the Department is nominated as the Chairman, DSC, the name of the Head of the Department need not be mentioned in the DSC form. This will avoid taking fresh approval every time whenever a change in the Headship.
- If the Research Supervisor happens to be the HoD and Chairman, DSC, another senior faculty member of the Department shall be nominated as the Chairman DSC.
- Proposing the faculty as a member in DSC who is getting retired in the next 3 years may be avoided.

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.
3. To frame syllabus and set the question paper for the written test component of the Comprehensive Examination.
4. To assess and approve the research proposal of the candidate and conduct the Comprehensive Examination.
5. To finalize and forward the grades of the Candidate in each of the courses to the Dean-Academic.
6. To review the progress of the candidate once in every six months and send the progress report to the Dean-Academic.
7. To assess and approve the adequacy of the work in the Pre-synopsis seminar and communicate the same through DAC-PG & R, Dean-Academic.
8. To prepare a panel of examiners consisting of 5 National and 5 International examiners to be sent to the Dean-Academic.
9. 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 Dept. having Ph. D.	Members
3.	All Associate Professors of the Dept. having Ph. D.	Members
4.	Two Assistant Professors of the Dept. having Ph. D. (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 the teaching for any of the PG degree program.

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. Review and approval of the grades.
4. To consolidate the registration of the Postgraduate and Ph.D. students and communicate to the course instructors and Dean-Academic.
5. To consider any matter related to the postgraduate program(s) and Ph.D. program of the Department and make a suitable recommendation to the Senate.
6. To monitor the progress of research of all the candidates of the Department.
7. To forward the recommendations of the Doctoral Scrutiny Committee and the panel of External Examiners as recommended by the DSC to the Dean-Academic.
8. To take up any responsibility or function assigned by the Senate.

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. After the Comprehensive Examination of the student, if the supervisor (in case of a single supervisor) proceeds on leave/deputation/ lien for a period of
   - Less than 6 months, a care-taker supervisor will be appointed by the Department.
   - More than 6 months and less than 2 years, a co-supervisor will be appointed by the Department.
   - More than 2 years, a new supervisor will be appointed by the Department. However, the original supervisor may continue as co-supervisor.
3. If the supervisor (in case of a single supervisor) is leaving the institute before the comprehensive viva of the enrolled candidate for Ph.D. program, he/ she will cease to be a supervisor. In this case, the Department has to allot a new supervisor.
4. If the supervisor is leaving the Institute after submission of synopsis, he/she can continue to be supervisor till the award of Ph.D. degree.
5. 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.
6. After superannuating from service of this institute, if the supervisor joins the institute as an Emeritus Scientist 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.
7. Persons from outside 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 only guidelines. The recommendation of DSC of a candidate will be given due consideration in deciding.

APPENDIX - IX

Schedule A

UNDERTAKING

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 required or if I cause breach of any of the provisions of rules and regulations.

Date:
Station:

(Signature)

Schedule-B

SPONSORSHIP-CUM-CLEARANCE CERTIFICATE FROM EMPLOYER

(For sponsored applicants only)

We certify that Mr./Ms..... Designation ……..…, an 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 there of he/she will continue in service in our organization.

.....……

Station: (Signature of the Competent Authority with seal)

Date Name in full.....……..

Designation ..……...……

(seal)

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

APPENDIX-X

STUDENTS' HONOUR CODE

It is the responsibility and duty of each and every student of the Institute to become acquainted with "Students Conduct and Disciplinary Code". It is presumed that every student from the date of his/her admission to the Institute has read and understood this code. All students are required to strictly adhere to this code as a condition of their admission to the Institute and these rules would be binding on and enforceable against them throughout their course of study.

SECTION 1: RESPONSIBILITIES OF THE STUDENTS

It shall be the responsibility of the students

i. To contribute to making the Institute a Global Knowledge Hub, which is striving continuously in pursuit of excellence in education, research, entrepreneurship and technological services to the society

ii. Strive to develop into an innovative, entrepreneurial and ethical future professionals fit for globally competitive environment.

iii. To work towards product-oriented research for establishing a self-sustaining and wealth creating centers to serve the societal needs.

iv. To complete the program of study in the given time, acquiring knowledge with conceptual clarity, research insights and application of knowledge towards finding solutions to the problems faced by the Society and the Nation.

v. To avail all educational opportunities and benefits available at the Institute and make good use of them to prosper academically and develop scientific temper.

vi. To behave and conduct themselves in the Institute campus, hostels, within the premises and outside the campus in a dignified and courteous manner and show due respect to the authorities, employees, other students and outsiders.

vii. To respect the laws of the country/State, human rights and to conduct in a responsible and dignified manner at all times.

SECTION 2: MISCONDUCTS OF THE STUDENTS:

All students are required to conduct themselves in a manner befitting the reputation of the Institute. The following acts will amount to misconduct:

1. The act or conduct of the student is prejudicial or likely to be prejudicial to the interests of the Institute or to the reputation of the Institute.
2. The act or conduct of the student is inconsistent or incompatible with the peaceful atmosphere in the Institute.
3. The act or conduct of the student makes it unsafe for the Institute to retain him on the rolls of the Institute.
4. The act or conduct of the student is so grossly immoral that all reasonable men will say that the student cannot be trusted.
5. The student is abusive or if he disturbs the peace of the Institute.
6. Willful insubordination or disobedience, whether alone or in combination with other student, to any lawful or reasonable orders of the Institute.
7. Involving in theft, fraud or any dishonest act.
8. Participation in any strike, picketing, gherao, dharna, or other agitations either inside or outside the campus.

9. Acts subversive of discipline – riotous or disorderly behavior either inside or outside the campus.
10. Conviction by a Criminal Court.
11. Indulging in Groupism of any kind that would distort the harmony of the Institute.
12. Possession or consumption of narcotic drugs and other intoxicating substances or appearing in a state of intoxication in the campus, hostels or outside the campus.
13. Using mobile phones, where their use is prohibited.
14. **Indulging in any activity considered as ragging which is a criminal offence.**
15. Indulging in anti-institutional, anti-national, antisocial, communal, immoral or political expressions and activities within the campus, hostels and outside the Institute premises.
16. Indulging in acts of sexual harassment of faculty, staff or other students. Sexual harassment includes any one or more of the following acts or behavior, whether directly or by implication, namely
    (i) Physical contact and advances; or
    (ii) A demand or request for sexual favors; or
    (iii) Making sexually colored remarks; or
    (iv) Showing pornography; or
    (v) Any other unwelcome physical, verbal, non-verbal conduct of sexual nature.
17. Organizing, attending or participating in any activity or agitation sponsored by any banned organization or political organization.
18. Defacing, disfiguring, damaging or destroying or causing any loss in any manner to all the public, private or Institute properties.
19. Indulging in malpractices in the examinations or assignments.
20. Abusing the faculty or staff of the Institute or hostels.
21. Sending or forwarding damaging or false or wrong information or any unauthorized information to the electronic, print or social media, tarnishing the image of the Institute.
22. Indulging in any trade or commercial activity inside the Institute premises.
23. Subletting the hostel room or not vacating the hostel room, when asked to do so.
24. Lending and borrowing money on interest to and from other students.
25. Visiting the residences of Director, Deans, faculty and officers, uninvited or without permission.
26. Bringing any political or other outside influence pertaining to academic matters.
27. Submission of false claims, including false income certificate, caste/tribe certificate, false medical bills, etc.
28. Violating restrictions imposed by law, on marriage.
29. Indecent dressing manners, including clothing depicting illegal drugs, alcohol, prophane language, racial, sexual and vulgar captions etc.
30. Sheltering outsiders in the Institute or hostels.
31. Bringing, distributing or circulating unauthorized notices, pamphlets, leaflets etc. within the campus or hostels. The possession, distribution or exhibition of any item by any means which is *per se* obscene is prohibited within the campus or on any property owned/ managed by the Institute.
32. No student shall collect money either by request or by coercion from others
33. Possession or usage of weapons, explosives or anything that causes injury/ damage to the life and limb or body of any human being or property is prohibited.
34. Using motorized vehicles within the Institute premises, unauthorizedly.

35. Loitering in the campus beyond the permissible hours.
36. Appearing in secluded places with other students.
37. Littering waste materials within the campus including classrooms, hostels, offices, canteen and messes.
38. Quarrelling or abusing security or housekeeping staff.
39. Bunking of classes or instigating other students to bunk classes, without permission

SECTION 3: DISCIPLINARY SANCTIONS

Any student indulging in acts or conduct, which are treated as misconducts as mentioned in this Code shall, depending upon the gravity of the misconduct or depending on its recurrence, be subjected to any of the following disciplinary sanctions.

I. Minor Sanctions

i. Warning or Reprimand: This is the least sanction envisaged in this Code. The student engaged in any prohibited behavior will be issued a warning letter.

ii. Cancellation of allotment of hostel

iii. Forfeiture of Caution deposit or other deposits

iv. Monetary penalty up to Rs. 50,000/-

A student issued with more than two warnings or the other penalties mentioned above will not be allowed to contest in students' elections or hold any position in any Club or Association.

II. Major Sanctions

i. **Withholding of promotion** to the next Semester/academic year

ii. **Debarring from Examinations:** A student/group of students may be debarred from writing all/any/some of the examinations, which forms part of the academic program for which he/she/they has/ have joined.

iii. **Suspension:** A student may be suspended from the Institute for violation of any of the provisions of this Code. The period of suspension and conditions, if any, shall be clearly indicated in the communication addressed to the student. The student shall lose his/her attendance for the suspended period.

iv. **Restitution:** Restitution implies reimbursement in terms of money and/or services to compensate for personal injury or loss, damage/disfiguration to property of the Institute or any property kept in the premises of the Institute in any manner. The students/group of students may be asked to compensate for the loss that has been caused to any person or property of the Institute or any property kept in the premises of the Institute due to the act of vandalism perpetrated by the students. The students/group of students shall also be liable to put in their service to restore any loss or damage caused to any property and thereby bringing it to its original form if it is possible.

v. **Monetary penalty** exceeding Rs. 50,000/-

vi. **Expulsion:** This is the extreme form of disciplinary action and shall be resorted to in cases where stringent action is warranted, such as but not limited to, possession, consumption and trading of drugs, indulging in ragging either directly or indirectly, sexual harassment of faculty, staff or other students, riotous activities, etc. Expulsion is the permanent dismissal of a student from the Institute. Such a student will not be eligible for readmission to any of the courses of this Institute.

The Disciplinary Authority reserves the right to impose any or more than one penalty, depending on the gravity of the misconduct.

Section 4: Functionaries under the Code:

i) **Heads of the Departments/ Faculty Advisors/Chief Warden/ Wardens of Hostels/Deputy Registrar/Assistant Registrar (Hostels)/Security Officer:** As the persons in charge of the Departments/Hostels, the respective functionaries of all Teaching Departments and Hostels shall have the power and duty to take immediate action to curb any prohibited behavior as envisaged under this code. As these functionaries cannot single handedly manage all the issues, they can assign part of the work to the faculty members and the faculty members of all the departments/wardens have the responsibility to inform any incident of prohibited behavior to the Heads of the Departments/ Chief Warden so that any serious issue can be settled before the same goes out of control. The Head of the Departments/ Chief Warden shall have the power to impose minor sanctions as envisaged under section 3(I) of this Code.

The above authorities can also recommend imposition of major sanctions as envisaged under Section 3(II) of this Code to the Director. While taking any action as envisaged in the code the authorities shall do so in an impartial manner and see to it that the sanction imposed/proposed is commensurate with the gravity of the prohibited behavior. The Wardens of Hostels shall be responsible for maintaining strict discipline and decorum in the hostel. He/she shall specifically see to it that the inmates of the hostel do not involve themselves in violation of any clause under Section 2 of this Code.

ii) **Deans:** Any authority of the Institute with delegated powers shall have the power to visit/inspect any premises, buildings or any property of the Institute when there is a genuine doubt that any act of prohibited behavior is taking place and can take any lawful actions to curb such behavior.

iii) **Registrar:** Being the Estate Officer and custodian of Institute Property, the Registrar either by himself or through his representatives can visit/inspect any premises/hostels to check and control any prohibited activities by the students. All communications on behalf of the Institute in all disciplinary matters of students shall be made by the Registrar.

iv) **Director:** The Director shall be the Disciplinary Authority in imposing minor and major sanctions as envisaged under Section 3 against the students for acts of prohibited behavior.

v) **Process of Disciplinary Action on Students:**

(a) The HODs/ Faculty Advisors/Chief Warden/ Wardens/Deputy Registrar / Asst. Registrar (Hostels)/ Security Officer shall report to the Dean (Students Affairs) any instances of prohibited behavior by the students. Based on the recommendations from the HODs/ Chief Warden, Dean (Students Welfare) can impose a minor sanction under Section 3(I) of this Code after noting his observations. The Dean (Student Welfare) can also *suo-moto* impose any minor sanction on any student/students indulging in prohibited behavior which is brought to his/ her notice.

(b) On receipt of complaints/reports/information of student indulging in serious misconduct, Dean (Students Affairs) will forward the same with his tentative observations to the Registrar. The registrar will issue a show-cause notice to the student/students, to explain as to why disciplinary action cannot be taken against the student/students. In case the explanation is not satisfactory or allegations are denied or no response is received, he will refer the same to the Inquiry Committee consisting of the following:

1. Dean (Students Affairs) - Chairman
2. Head of the Dept. or his Representative - Member
3. Chief Warden - Member
4. Associate Dean (SW) - Member
5. Deputy Registrar (Academic) - Member-Secretary

The Committee shall give an opportunity to the student / students to explain the circumstances leading to the complaint/allegation and examine other witnesses/ documents in the presence of the accused student/students. The proceedings of the inquiry shall be completed expeditiously, within one month of the complaint being referred to the Committee. The proceedings shall be video-recorded. The report of the Committee shall be forwarded to the Registrar, who will place the same before the DAR Committee for their recommendations. In case it is recommended to impose any minor penalty, Dean (Students Affairs) will issue orders imposing the minor penalty. If it is decided to impose any major penalty, the Registrar shall issue a show-cause notice to the student/students to submit explanation, within a reasonable time. After consideration of the same the Director shall decide and impose the major penalty, deemed appropriate.

c) All complaints related to ragging shall be considered by the Anti-Ragging Committee of the Institute and the procedure as above in (a) and (b) shall be followed for imposition of penalty/penalties.

d) All complaints involving sexual harassment shall be inquired into by the Internal Complaints Committee and the procedure as above in (a) and (b) shall be followed for imposition of penalty/penalties.

e) **COMMITTEE TO DEAL WITH STUDENT MALPRACTICE:** The following Committee shall inquire into complaints of malpractices by students relating to their examinations, including summer, mid-term and end-semester, whether online or off-line:

1.	Dean (Academic)	-	Chairperson
2.	Associate Dean (Students Welfare)	-	Member
3.	Head of the Department concerned	-	Member
4.	Invigilator(s)	-	Member(s)
5.	Associate Dean (Examinations)	-	Convener

The Committee may examine the documentary and oral evidence of the Invigilator(s). The procedure as above in (a) and (b) shall be followed for imposition of penalty/penalties.

Section 5: Right to Appeal – Appellate Authorities

I. **Director:** The Director can entertain any appeal from any student/students aggrieved by the action of any authority of the Institute under or subordinate to the Director and decide the case on merit.

II. **Senate**: Any student aggrieved by the action of the Director can appeal to the Senate. The decision of the Senate shall be final and binding on the students. Members of the Inquiry Committee and DAR Committee shall not participate in the deliberations of the Senate, when the appeal is being considered. Registrar, being the Secretary of the Senate shall communicate the decision of the Senate to the student/students.

Section 6: Assistance from Law Enforcement Agencies

The Registrar shall have the power and duty to call the Police immediately with the concurrence of the Director when there is a threat of law and order situation in the Campus and also when there is a genuine apprehension that any incident of rioting, vandalism or any other act prohibited by law is likely to take place. The Registrar can also arrange for video recording of the entire situation and take requisite actions through police and other concerned authorities. For all violations of the Indian Penal Code, the Institute reserves the right to file complaints with the Law Enforcement Agencies, in addition to taking disciplinary action in the Institute, as per this Code.

Section 7: Grievance Redressal Committee

The DAR Committee of the Institute shall function as “Grievance Redressal Committee” where the students can air their grievances. The Committee shall also include Chief Warden and HoD concerned, for this purpose.

Section 8: Undertaking by the Students

The students joining any academic program of the Institute will have to give an undertaking to the effect that he/she will comply with the provisions envisaged in this Code in letter and spirit and it is implied that they will be bound by the provisions of this Code at all times during the course of their study in the Institute.

Section 9: Amendments to the Code

The Senate of the Institute shall have the power to amend any of the provisions in this Code. The amendments shall be brought to the notice of the students and faculty of the Institute through notice put on the Institute web site, notice boards of the Institute or through emails.

APPENDIX-XI

RULES RELATING TO RESIDENTIAL REQUIREMENT

1. All the students are normally expected to stay in the hostels and be a boarder of one of the messes.
2. Under special circumstances, the Director/Dean-Academic may permit a student to reside with his parent(s)/near relatives within a reasonable distance from the institute. However, this permission may be withdrawn at the discretion of the Institute at any time considered appropriate without assigning any reason.
3. Married accommodation shall not be provided to any student of the undergraduate courses.
4. No student shall come into or give up the assigned accommodation in any Hall of residence without prior permission of the Chief Warden.
5. A student shall reside in a room allotted to him/her and may shift to any other only under the direction/permission of the Chief Warden.
6. Students shall be required to make their rooms available for inspection, repairs, maintenance or disinfecting and shall vacate the rooms when leaving for the vacation/holidays.
7. Students shall be responsible for the proper care of the furniture; fan and other fittings in the rooms allotted to them and shall generally assist the Wardens in ensuring proper use, care and security of those provided in the Halls for common use of all students.
8. Students 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 to pay any compensation.
9. Engaging personal attendants, keeping pets and use of appliances like electric heater, refrigerator, etc. by a student in Halls of Residence are prohibited.
10. All students must abide by the rules and regulations of the Halls of Residence as may be framed/amended from time to time.