



NATIONAL INSTITUTE OF TECHNOLOGY  
RAIPUR

*Ph.D. Ordinance  
Rules & Regulation*

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## **ORDINANCES & REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY**

### **PREAMBLE**

*National Institute of Technology (NIT) Raipur offers research programs leading to the award of Ph.D. degree. The award of Ph.D. degree is in recognition of high academic achievements, independent research and application of knowledge to the solution of technical and scientific problems in Science, Technology, Architecture and Humanities & Social Sciences. Promotion to creativity and productivity is the basic concept underlying the research work.*

*The academic program leading to the Ph.D. degree is broad-based and involves a minimum course credit requirement and a research thesis. The Institute also encourages research in interdisciplinary areas through a system of joint supervision and provides excellent opportunities for such programs. The Institute undertakes sponsored research and development projects from industries and other organizations of the public as well as private sectors.*

*The degree of Doctor of Philosophy shall be abbreviated as Ph.D. The degree of Doctor of Philosophy is granted for research work in areas recognized by the academic departments of the Institute subject to the conditions and regulations contained hereinafter.*

*The research work shall be an original work characterized either by the discovery of facts, or by a fresh approach towards the interpretation and application of facts, or development of equipment making a distinct advancement in instrument technology. It shall evince the candidate's capacity for critical examination and sound judgment and shall represent original contribution to the existing knowledge.*

*The degree of Doctor of Philosophy (Ph.D.) of the National Institute of Technology Raipur shall be conferred on a candidate who fulfills all the requirements specified in the Ordinances and Regulations. The degree of Doctor of Philosophy (Ph.D.) will be awarded in the topic of his/her work along with the discipline concerned as decided by the supervisor.*

## **0.1 DEFINITIONS**

- (a) "**Applicant**" shall mean an individual who applies for admission to the Ph. D. program of the National Institute of Technology Raipur on a prescribed Application Form.
- (b) "**Candidate**" shall mean a person registered for the Ph.D. Degree and who has successfully completed the course requirement, the comprehensive examination and submitted an approved research plan; as per Regulations.
- (c) "**Caretaker Supervisor**" shall mean a member of the academic staff appointed to look after the candidate's research interests in the absence of the Supervisor.
- (d) "**Course Advisor**" shall mean a faculty member nominated by the Department to chalk out the program of study of a student registered for the Ph.D. degree and to advise him on the courses to be taken by him. If a Supervisor(s) has already been appointed, he/she shall be the Course Advisor for that student.
- (e) "**Course Work**" shall mean courses of study prescribed by the Department through the Course Advisor to be undertaken by a student registered for the Ph.D. Degree.
- (f) "**Dean AA**" shall mean the Dean, Academic Affairs.
- (g) "**Degree**" shall mean the Degree of Doctor of Philosophy (Ph.D.) of the National Institute of Technology, Raipur.
- (h) "**DFB**" shall mean Department Faculty Board of the respective Department.
- (i) "**DGC**" shall mean Doctoral Guidance Committee for the student/candidate in the Department.
- (j) "**DRC**" shall mean Doctoral Research Committee of the Department.
- (k) "**Educational Institution**" shall mean those colleges which offer Bachelor's Degrees or higher.
- (l) "**Full Time Research Student/Candidate**" shall mean a person registered for the Ph.D. Degree devoting full time for completing the degree requirements.
- (m) "**Institute**" shall mean the National Institute of Technology Raipur.
- (n) "**Institute Student/Candidate**" shall mean a person registered for the Institute Ph.D. Degree as a full time research student/candidate.
- (o) "**ISC**" shall mean Institute Start-up Committee
- (p) "**Joint Supervisor**" shall mean an additional supervisor approved by the Dean AA on the recommendation of Department to help the supervisor in the accomplishment of the research work of the student/candidate, as per the Regulations. An external supervisor is a joint supervisor external to NIT Raipur.
- (q) "**Minimum Registration Period**" shall mean the minimum period for which a candidate must be registered, including the time spent as student before becoming a candidate, prior to submission of the thesis.
- (r) "**Part time Research Student/Candidate**" shall mean a person who is registered for the Ph.D. degree and will devote part of his/her time towards this pursuit and devote part of his/her time towards the discharge of his/her official obligations.
- (s) "**PG Board**" shall mean the Board of Postgraduate Studies of the National Institute of Technology Raipur as defined in the Senate Manual.
- (t) "**Registration Period**" shall mean the length of time span commencing from the date of initial registration at the Institute till the completion of the program.
- (u) "**Residency**" shall mean the minimum period for which a student/candidate must attend the institute on full time basis.
- (v) "**Sponsored Research Student/Candidate**" shall mean a full time research student/candidate except that he/she receives complete financial support from the sponsoring organization/his/her employer.
- (w) "**Student**" shall mean a person registered for the Ph.D. degree prior to becoming a candidate.
- (x) "**Supervisor/Guide**" shall mean a member of the academic staff of the Institute approved by PG board on the recommendation of Department to guide/supervise the research/academic work of the student/candidate.

Note: 'He' & 'She' imply 'he' 'she' and 'his' 'her' respectively.

## **0.2 ORDINANCES**

O.2.1. The minimum qualifications for admission to the Ph.D. program shall be:

A Master's degree in Engineering/Technology/Science/Management/Architecture/Planning/ Humanities and Social Sciences or any other equivalent qualification recognized by the institute.

O.2.2. A candidate registered for the Ph.D. program shall be required to satisfy a minimum registration period requirement, as laid down in the Regulations.

O.2.3. A student/candidate shall be required to earn prescribed credits through courses and/or carry out his/her research work at the Institute, under the guidance of approved supervisor(s). In special circumstances, a full-time student/candidate may be permitted to carry out part of his/her research outside the Institute, within India or abroad, with no financial liability on the part of the institute.

O.2.4. A candidate will be required to complete all requirements for the award of the degree within a period specified in the Regulations.

O.2.5. The date of initial registration shall normally be the date on which the student formally registers for the first time in the beginning of a Semester for the Ph.D. Program, which shall also be the date of his/her joining the program for all intents and purposes. However, in exceptional cases, the date of registration may be advanced by a maximum of six calendar months if it is proved that the student/candidate has spent adequate amount of time on relevant research earlier by way of having publications in journal/conference proceedings etc.

O.2.6. For a student to become a candidate of the degree, he/she shall have to satisfy the requirements laid down in the Regulations. O.2.7.

- (i) A full-time candidate may be allowed to convert his/her registration into part time registration on the recommendation of the DRC of the concerned department – only after completion of course work/comprehensive examination or after submission of synopsis. The candidates thus converting to part-time will have to produce a NOC from their employer (in the format of "form II" given at page 27 of this ordinance)/undertaking to produce such NOC within six months from the date of conversion.
- (ii) If full time Ph.D. scholars get employed in the Sponsored Projects at the Institute, they can be permitted to convert their registration from full time to part time after one year or after completion of the course work, whichever is later. Such conversion will be permissible only if he or she works in the Projects at the Institute, not for employment outside the institute.

O.2.8. If a part-time Ph.D. registrant applies for conversion of his/her registration into full time registration, the Dean (Academic Affairs) on the recommendation of the DGC/DRC may allow him for the same with or without assistantship/scholarship based on the individual merits of each case provided: (a) The student had already completed the comprehensive examination and

- (b) On the date of application, the student has satisfied all conditions prescribed for admission as a full-time student.

O.2.9. If a student/candidate withdraws from his/her Ph.D. program or his/her registration is terminated, his/her student/candidate status shall cease. If such a candidate is readmitted, he/she may be given weightage to the credits acquired during the previous registration on the recommendation of the DGC/DRC except in the case of termination on disciplinary grounds.

O.2.10. The award of the Ph.D. degree to an eligible candidate shall be made in accordance with the Regulations of the Institute.

## **R. REGULATIONS**

### **R.0 STUDENTS' STATUS**

Students enrolled to the Ph.D. program shall be categorized under any one of the following categories and subcategories, which will be decided and recommended by Departmental DRC.

#### **R.0.1 Full Time Research Student/Candidate**

**R.0.1.1.** Institute Research Student/Candidate: getting institutional fellowship/ scholarship.

**R.0.1.2.** Government/Semi-Government Fellowship awardee: by QIP/CSIR/DST/UGC/DRDO/ AICTE/DAE etc.

**R.0.1.3.** Sponsored Students/Candidates: being an employee of a public sector undertaking, Government department, Defense organization, Research and development organization, a private industry/institution (approved by the concerned faculty) or an educational institution ( sponsored by his/her employee with their normal salary and allowances and are relieved for a period of not less than three years for pursuing Ph.D. Program). In case, the sponsorship is withdrawn, the candidates can continue his Ph.D. Program provided he/she has passed the comprehensive examination. The candidates under sponsored category should have minimum working experience of two years in the relevant field.

**R.0.1.4.** Sponsored from industries under bilateral agreement with the institute.

**R.0.1.5.** Self-financed (Indian/Foreign)/Study leave/college teacher.

- Indian: This category refers to the persons with experience and good academic record to join the doctoral program in their personal capacity.
- Foreign: These students are admitted through embassy of the foreign government after getting approval from the Ministry of External Affairs and NOC from Ministry of Human Resource Development or Department of Education, Government of India or admitted under MoU with NIT Raipur.
- Casual: External candidates who wish to avail the research and infrastructural facilities of NIT Raipur will register as casual student for a period not exceeding six months.

#### **R.0.2 Part time research student/candidate**

**R.0.2.1.** Institute Faculty/ Staff: who are permanent employees of the Institute.

**R.0.2.2.** Project Staff: who are working on various projects undertaken by the institute where Ph.D. registration is not a requirement but are admitted to Ph.D. program.

**R.0.2.3.** Research Scholar of other institution/organization: working on a part-time basis shall normally carry out research work at NIT Raipur under the supervision of a guide and not co-guide at NIT Raipur. The feasibility of doing this with sufficient intensity will be an important consideration in admitting the scholar in this category.

**R.0.2.4.** External Candidates: Who are working in other public/private sector organizations or research laboratories having R&D facilities and will normally carry out part or all of one's research work there only under supervision of a co-guide employed in the same organization and a guide/Supervisor at NIT Raipur.

### **R.1 EDUCATIONAL QUALIFICATIONS**

The minimum qualification for admission to Ph.D. programme is as given in 0.2.1. However, minimum 60% marks or 6.5/10 CGPA/ CPI at Master's degree is essential for admission in Ph.D. programme of the institute. The concerned department will judge suitability of the candidate for pursuing Ph.D. in particular discipline based on his/her specialization in Master's Degree.

However, a relaxation of 5% marks from 60% to 55% and from 6.5/10 CPI(CGPA) to 6.0/10 CPI(CGPA) may be allowed for those candidates belonging to SC, ST, OBC (Non Creamy Layer), Differently abled and those who had obtained their master's degree prior to 19.09.1991.

### **R.2 ADMISSION ELIGIBILITY**

- A candidate should apply for full/part-time candidate on the prescribed form on or before due date fixed for the same.
- There is no age limit for the applicant.

- The senate should approve the scheme of academic activities for Ph.D. degree research program including the date of registration.

### **R.3 RESERVATION/ RELAXATION**

This will be for SC/ST/OBC/PH and other categories and shall be as per the Government of India norms in force from time to time.

### **R.4 SELECTION PROCEDURE**

- R.4.1. Candidates recommended by Department Selection Committee will be called by the Heads of Department to appear for an interview and presentation before the Departmental Selection Committee or Doctoral Research Committee.
- R.4.2. Based on the academic records and the performance of the candidates in the interview and test, the departmental selection committee will recommend to the Chairman of the senate the names of candidates found suitable for admission to Ph.D. program in accordance with the criteria approved for each semester/year which may vary from year to year after due approval by Dean (Academic Affairs).
- R.4.3. Departmental Selection Committee may be Doctoral Research Committee.

### **R.5 ADMISSION**

- R.5.1. Candidates, whose selection is approved by the Chairman of Senate, will be admitted to Ph.D. program after payment of prescribed fees. List of selected candidates will be sent to Dean (Academic Affairs) who will check all the documents prior to sending it to Chairman of Senate.
- R.5.2. Ordinarily, a candidate is not eligible for re-registration for Ph.D. after cancellation of his/her earlier registration for any reason. However, depending on the merits and considering any special circumstance of the individual case, a candidate may be considered for re-registration.

### **R.6 MINIMUM & MAXIMUM DURATION OF Ph.D. PROGRAM**

- R.6.1. The minimum period from the date of initialization or registration for Ph.D. Program to the date of submission of Ph.D. thesis shall be 24 (36) months for full (part) time research scholars with Master's degree in Engineering/Technology/Computer Applications/Architecture/ Planning/any other relevant discipline of Architecture and Master's Degree in Science/Humanities/Art with M. Phil in Science/Humanities/Art.  
However, time of 6 months can be reduced in above periods if the research scholar gives evidence of having done prior research work in the field by way of publishing research papers in journals/conference proceedings in the area of research work which shall be decided by DRC for which the student should make specific request.
- R.6.2. All part time candidates/students have to spend minimum 30 contact days per semester till thesis submission in the institute with the supervisor. Such candidates have to obtain permission to this effect from their parent organization.

#### **R.6.3. Maximum Duration of Ph.D. Program**

Research Scholars under full time (Part time and external registration) schemes should submit Ph.D. thesis within 4(6) years from the date of registration. However, Chairman of Senate may extend the period of submission of thesis by not more than 1 year for full time (part time and external registration) after due recommendations of DRC. However, the Senate of the institute may allow a further relaxation of 1 year to women candidate and persons with disabilities (more than 40% disability) on the grounds justified by the DGC and recommended by DRC of the candidate on a case-to-case basis.

**[Updated as per 47<sup>th</sup> Senate dated 10.10.2022]**

### **R.7 APPOINTMENT OF GUIDE(S)/SUPERVISOR(S)**

- R.7.1. Every admitted student as per his/her preference shall be assigned research supervisor(s) by the Head of Department on recommendation of DRC subject to approval of Dean (Academic Affairs). For this purpose, a form given in Annexure-A will have to be completed and processed during the first semester of student's joining.

**R.7.2.** Supervisor(s) can be any regular faculty member of the Institute or scientific/design staff or programmer/system analyst/scholar with a Ph.D. degree and having a minimum of 2 papers in refereed journals and 4 papers in conferences/symposia/seminars/workshops etc. **R.7.3.**

(i). The Dean (Academic Affairs), on the recommendation of the DRC, may appoint joint supervisor(s), not exceeding a total of three to supervise the candidate. These may be from inside or outside the institute and normally, there can be two supervisors at the most from within the institute and one can be from outside the institute, within India or abroad.

The main supervisor will be from the Institute. Appointment of any joint supervisor(s) would NOT be made after 6 months from the date student/candidate apply for candidature.

(ii). An external supervisor should belong to academic/research/industrial organization or others actively engaged in research and development activities. Retired professors, scientists, engineers and scholars from industries with research experience may also become external supervisors.

**R.7.4.** The following shall be minimum qualifications of external joint supervisor

1. B. E./B. Tech./B. Arch. and
2. 10 years industrial experience if from industry along with established research credentials in the form of publications in research journals or patents; otherwise, Ph.D. in relevant field.

**R.7.5. Appointment of Supervisor(s)/Joint Supervisor(s)/Caretaker Supervisor (When original supervisor is not available)**

A faculty member appointed as a Ph.D. supervisor is normally expected to be available to a research student/candidate in the Institute till the thesis is submitted. However, under unavoidable circumstances, such as long leave; resignation; retirement; or death; a supervisor may not be available to the student/scholar. In such special cases, appointment of supervisor(s) will be regulated as under.

**(A) Supervisor proceeds on long leave for less than 12 months**

The supervisor proceeding on long leave for less than 12 months can continue to be supervisor/joint supervisor. However, on his/her recommendation, DRC may appoint a caretaker/joint-supervisor, if needed.

**(B) Supervisor proceeds on long leave/lien/deputation of more than 12 months**

**(I). Where joint-supervisor does not exist:**

The DRC of the department in consultation with Dean (Academic Affairs) may appoint a new supervisor considering the status of work of the concerned research scholar at that point of time. If the DRC is convinced that the Supervisor proceeding on leave/lien/deputation will still be able to supervise the scholar then a joint Supervisor may be appointed by the DRC.

**(II). Where joint-supervisor (internal) exists**

The supervisor proceeding on long leave for more than 12 months can continue to be a supervisor/joint-supervisor provided the DRC is convinced of effective supervision by him. DRC may appoint a new supervisor/joint supervisor, if needed, in consultation with Dean (Academic Affairs).

**(III). Synopsis of the thesis/thesis is submitted**

- (a). Provided, if the synopsis of the thesis has been submitted before the supervisor proceeds on leave, he/she will continue to be the supervisor and only a caretaker supervisor will be appointed by the DRC.
- (b). The thesis has been submitted before the supervisor proceeds on leave, he/she will continue to be the supervisor and only a caretaker supervisor will be appointed by DRC.
- (c). Further, if a major revision becomes necessary, and the sole supervisor is on leave, he/she should be asked to specifically state whether he/she would effectively help the student carrying out the major revisions within a reasonable time. In case the sole supervisor expresses his/her inability due to one reason or the other, the caretaker supervisor, if he/she provides the required help in carrying out the major revision, will automatically be treated as joint-supervisor of the candidate.

**(IV). Supervisor extends Leave**

Provided further, if a supervisor proceeds on leave for a period less than 12 months initially, but later extends his/her leave beyond 12 months, the above procedure will be followed. The extension granting authority will inform the Dean (Academic Affairs) accordingly.

(C) A Supervisor retires

A faculty member who is due to retire within the next two years can be appointed as a Joint Supervisor and can continue to be the Joint-Supervisor even after his/her retirement provided the DRC is convinced of his/her availability/continued guidance to the student. In other cases, a faculty member on retirement may continue as (i) a supervisor, if reemployed or appointed Emeritus Fellow; (ii) a Joint-Supervisor, if the synopsis of the thesis has been submitted. Appointment of another Supervisor, if necessary, will be as per R.7.5 (B).

(D) A Supervisor Resigns

A Supervisor/joint-supervisor/caretaker supervisor will be appointed, if necessary, as per R.7.5 (B).

(E) A Supervisor Dies

A new Supervisor will be appointed, if necessary, on the recommendation of DRC.

**R.7.6.** The Chairman DRC/Head of the Department should send the recommendation for the appointment a new Supervisor/Joint-Supervisor/Caretaker supervisor to Dean (Academic Affairs) for approval within maximum period of two months after the supervisor proceeds on leave.

**R.7.7.** If the supervisor cancels his/her long leave before his/her candidate(s) has been assigned to new supervisor, he/she will continue to be the supervisor.

## R.8 CONSTITUTION OF DRC & DGC

### R.8.1. Constitution of DRC

Each Department will constitute the DRC as per following:

(a)	HoD or a senior faculty member	Chairperson
(b)	HoD, if not Chairman	Member
(c)	All Supervisors within the Department	Members
(d)	Institute faculty expert(s) from outside the Department, if necessary.	Member(s)

### R.8.2. Constitution of DGC

For each student, a Doctoral Guidance Committee (DGC) will be formed by DRC on the recommendation of supervisor(s), which will be constituted as follows.

(a)	Supervisor	Convener
(b)	Joint-Supervisor# (s) (if any) Or One expert in the field from the Department	Member(s)
(c)	One Institute faculty expert, preferably in the concerned area, from outside the Department to which the student belongs	Member
(d)	A DRC nominee	Member
(e)	ISC Nominee*	Member

# A joint supervisor external to NIT Raipur would be an observer member of DGC.

\* For start-up-related PhD candidates, only. A joint supervisor can be added with the recommendation of ISC.

#### **R.9 NUMBER OF Ph.D. RESEARCH SCHOLARS UNDER A FACULTY MEMBER**

The maximum of scholars supervised by a faculty member at any time shall not be more than Eight (8) jointly or five (5) singly or a combination of both, the aggregate not exceeding eight (including internal/outside scholars) as per table given below:

	Number of students under supervision	
	Singly	Jointly
(a)	5	0
(b)	4	2
(c)	3	4
(d)	2	6
(e)	1	7
(f)	0	8

Joint supervision of a Ph.D. scholar will be treated as 0.5 per faculty member.

#### **R.10 CHANGE OF SUPERVISOR**

The DRC may permit a research scholar to change supervisor(s) on valid reasons.

#### **R.11 REGISTRATION**

**R.11.1.** Every student/candidate will be required to renew his/her registration every semester till the submission of the thesis. The renewal of registration every semester shall be subjected to the completion of the specified number of credits/courses and/or satisfactory progress of his/her research work certified by the supervisor and as recommended by the DGC/DRC.

**R.11.2.** A student/candidate who fails to register or renew his/her registration as the case may be, will cease to be a student/candidate with immediate effect.

#### **R.12 COURSEWORK/CREDIT REQUIREMENTS**

**R.12.1.** All students of Ph.D. program are required to earn course-credits as prescribed by the supervisor(s) and approved by the DGC/DRC. All students shall complete credit requirements through course work as specified in the table below.

S. no.	Candidates having qualifications	Credit requirement
1	M. Tech. or Equivalent; M Arch/ M Plan or Masters in any relevant discipline of Architecture  OR MBA with B. Tech. (for management only);	12 credits
2a	M.Sc./MCA/MA or equivalent	16 credits
2b	M.Sc./MCA/MA with M. Phil.	12 credits

**R.12.2.** It is expected that full time and part time students will complete their course credit requirements in initial two and three semesters respectively. It is further expected that they will qualify the comprehensive examination soon after completing the course/credit requirements but in no case beyond the time as stipulated in R.13.4.

**R.12.3.** Each student will be required to take course work as prescribed by the Supervisor(s) and approved by the DGC/DRC to complete the credit requirements as given in R.12.1. The courses shall be identified at the beginning of the first semester.

#### **R.12.4. Pattern of Courses and Credits**

The courses offered for the Ph.D. Programs may be Lecture Courses, Laboratory Courses, Design Courses, Self-Study Courses, Minor Project(s) and Seminar(s).

- (a) The credits for all the available courses are indicated in the Courses of Study Bulletin.
- (b) Students registered for Ph.D. programs in departments not offering/running Postgraduate programs or relevant courses are not available as per his/her research area, shall be allowed to complete the course/credit requirements, through one of the following methods on the recommendation of supervisor.
  - (i) Relevant courses at pre-Ph.D. /M. Tech. level available outside the department in the Institute
  - (ii) Self-study courses
  - (iii) Relevant Final-year U.G. courses.
- (c) Self-study Courses shall satisfy the following conditions:
  - (i) A self-study course should be preferably outside the courses listed in the Courses of Study.
  - (ii) A course listed in Courses of Study but not offered in a semester may be offered as a self-study course in that semester.
  - (iii) A course already running in a semester shall not be offered as a self-study course.
  - (iv) The DGC shall examine such proposals for self-study courses along with the course contents, textbooks, mode of assessment and name(s) of the instructor(s) and shall intimate to Dean (Academic Affairs).
  - (v) All self-study courses shall carry a maximum of four credits.
  - (vi) A student shall not take more than one self-study course per semester and not more than two during the entire Ph.D. program. However any compulsory course (like Research Methodology) shall be excluded.
- (d) Minor project(s) shall satisfy the following conditions:
  - (i) Each minor project shall carry four credits.
  - (ii) The topic/area, project coordinator (if supervisor is not willing to act as project coordinator), and panel of examiners shall be approved by the DGC/DRC on the recommendation of the supervisor. The panel of examiner would consist of (i) Supervisor and (ii) project coordinator/one faculty member.
- (e) Seminar(s): Each shall carry 04 credits. A candidate shall not take more than two during the entire Ph.D. program.
- (f) A candidate may take one laboratory course for maximum 4 credits during the PhD programme.

**R.12.5.** The minimum CGPA requirement shall be 5.5 on a 10-point scale for admission to the candidacy of Ph.D. degree. If the CGPA of any student is below 5.00 at the end of course work completion, his/her registration will be terminated with immediate effect. However, if his/her CGPA is 5.00 or above but less than 5.50, he/she may be asked to take more courses in order to enhance his/her CGPA to 5.50 or above, subject to the condition that this should be achieved within one semester.

#### **R.13 COMPREHENSIVE EXAMINATION**

**R.13.1.** Each student will be required to take a comprehensive examination, which will test students' comprehension of his/her broad field of research and his/her academic preparation and potential to carry out the proposed research plan. The comprehensive examination should be a combination of oral examination and presentation and should be separately conducted before evaluation of the research proposal. The examination will be conducted by concerned DGC.

**R.13.2.** The DGC on the basis of the performance of the student in the comprehensive examination will make one of the following recommendations to the concerned DRC Chairman in the approved form (Annexure-B):

- (a). The Examination
  - (i) Passed

(ii) To reappear in the examination after a defined period of time specified by the DGC. (iii)

Failed

Result of the examination will be declared within 15 days. (b).

#### Research Plan

(i) Approved

(ii) Not approved

(iii) To re-submit the research plan keeping in view suggestions of the Committee and to be evaluated after a defined period of time.

The above recommendations shall be forwarded to the Dean (Academic Affairs) by the Chairman DRC.

**R.13.3.** A student will be provided a maximum of two attempts to pass the comprehensive examination.

**R.13.4.** A Full-time and part-time student must clear the comprehensive examination within 18 and 30 months respectively from his/her date of joining the program, failing which his/her registration will be cancelled.

### **R14 ELIGIBILITY FOR THE CANDIDACY OF THE DEGREE**

**R.14.1.** Application for the candidacy of the Ph.D. Degree shall be made by the student to the Dean (Academic Affairs) on the approved form (Annexure-C) soon after having passed the comprehensive examination.

**R.14.2.** A student shall be formally registered as a candidate for the Ph.D. Degree after he/she has complied with the following:

(i) Has completed his/her course work with a minimum CGPA as stipulated in R.12.5.

(ii) Has passed the comprehensive examination, and

(iii) Has submitted a research plan duly recommended by supervisor(s) and approved by DGC.

### **R.15 PERFORMANCE MONITORING & PROGRESS REPORT**

**R.15.1.** The academic/research progress of each student/candidate will be monitored by DGC. For this purpose, each student/candidate will be asked to submit a progress report at the end of each semester to his supervisor(s). On receipt of the progress report, the supervisor(s) shall arrange with DGC for a review.

**R.15.2.** The supervisor(s)/DGC will evaluate the progress report of the student every semester.

**R.15.3.** The DRC Chairman in the department will be coordinating collection of progress reports written and signed by the scholars and forwarded by the supervisor(s)/DGC every semester. The progress report will be sent to Dean (Academic Affairs) at the end of each semester.

**R.15.4.** 'S' grade is to be awarded during that semester if the progress is 'satisfactory'.

**R.15.5.** If progress is 'unsatisfactory', 'U' grade are to be awarded and appropriate action will be taken. For the first appearance of 'U' grade, a warning would be issued to the candidate. Subsequently, the fellowship (in case of regular scholar) of the candidate would be withheld. **R.15.6.** If there are two consecutive 'U's, the registration will stand terminated.

**R.15.7.** Submission of progress report should continue till submission of thesis.

**R.15.8.** The terms for the research work be as follows:

Term I: July to December; and

Term II: January to June

**R.15.9.** The academic calendar will include the following dates for the submission of progress reports.

I Semester: (Odd Semester)

1<sup>st</sup> November (issue of blank progress forms by Academic section to respective departments).

15<sup>th</sup> December (submission of progress reports by students to departments concerned).

## II Semester: (Even Semester)

10<sup>th</sup> June (submission of progress reports by students to departments concerned).

### R.16 PRE-SYNOPSIS SEMINAR/SYNOPSIS/PANEL OF EXAMINERS

**R.16.1.** Holding of Pre-Synopsis (Ph.D.) seminar is an essential requirement before the DGC considers the synopsis of a Ph.D. scholar. On completion of the research work, the candidate shall submit to DGC through supervisors, one hard copy (along with one digital copy and one signed-scanned soft copy) of the synopsis including bibliography of her/his research work along with duly filled Annexure F. The synopsis must include main text, bibliography and must also include the list of publications (with digital object identifier, preferably) arising out of the PhD work with clear mention of the journal indices, as per the requirements mentioned under R 18.4 of this ordinance. The DGC shall assess the work, if satisfied about the quality of the work for submission as a Ph.D. thesis, may ask the candidate to submit the same or revise synopsis and submit to DGC, if otherwise. If and once satisfied, the DGC shall send the hard copy of the duly signed (every page) of the synopsis, with its recommendations to the Office of Dean, Academic Affairs, through Chairperson, DRC. The digital copy of synopsis, along with signed-scanned copy of the synopsis and Annexure F shall be e-mailed to Dean, Academic Affairs by Chairperson DRC/Supervisor. (*Amended vide 56<sup>th</sup> Senate resolution*)

#### R.16.2. Synopsis of the Thesis

- (a) The synopsis of the thesis should be submitted normally within one month after the presentation of pre-synopsis seminar. In case the synopsis is not submitted in the specified period, the student may be asked to present another pre- synopsis seminar.
- (b) The students have to submit the thesis within six months after submitting the synopsis.
- (c) The name of supervisor(s) and list of publications arising out of the work done must be included.

**R.16.3.** In case a candidate fails to submit his/her thesis within the stipulated time and has suitable justification for the same, the Dean (Academic Affairs) may on the recommendations made by the DGC through Chairman DRC and on individual merits of each case grant him extension in time by not more than one month. The Chairperson, Senate can grant a further extension of two months to the genuine cases on the recommendations of DRC and Dean (Academic Affairs), i.e., the candidate may be allowed to submit his/her thesis within a period not exceeding 9 months from the date of the submission of the synopsis. After 9 months, candidate has to submit a fresh synopsis.

**R.16.4.** A panel of at least eight experts in the area of the Ph.D. thesis would be suggested by the supervisor(s) and recommended by DRC while forwarding the title and synopsis of the thesis to Dean (Academic Affairs). The panel must include examiner from NIT/IIT/IISC and other renowned institute.

### R.17 BOARD OF EXAMINERS

**R.17.1.** On receipt of the title and synopsis of the thesis, the Dean (Academic Affairs) will forward the list to the Chairperson (Senate) who will appoint the examiners out of the list submitted thus making Board of Examiners for each candidate. The Board will consist of internal examiners, normally the supervisor(s) and two external examiners; who shall be experts in the subject of the thesis. These external examiners shall be chosen normally from the panel of examiners recommended by the DGC through Chairman DRC as stipulated in R.16.4. Chairperson (Senate) may include/add/delete names of any other examiner if so felt necessary. A person working in the same laboratory (ies)/institution(s) where research scholar is employed cannot, however, be appointed as External Examiner for evaluating the thesis of that research scholar. Further, no person can be appointed as external Examiner from Laboratory/Institution to which the Joint supervisor(s) of the Research Scholar belongs.

**R.17.2.** There is no bar to the appointment of ex-student of the guide on the Board of Examiners provided the concerned ex-student had received Ph.D. Degree of the Institute under his/her guidance at least 5 years earlier.

## **R.18 THESIS SUBMISSION**

The thesis should bear evidence of the candidate's capacity for analysis and judgment as well as his/her ability to carry out independent investigation, design or development. A thesis may be supplemented by published work, if necessary. No part of the thesis or supplementary published work shall have been submitted for the award of any other degree or diploma. The thesis must be prepared in total compliance with the Institute plagiarism policy (Annexure G). [Updated as per 49th Senate dated 27.06.2023]

**R.18.1.** The thesis shall be written in English in the specific format (Annexure-D) and shall contain a critical account of the candidate's research. It should be characterized by discovery of facts or fresh approach towards interpretation of fact and theories or significant contribution to knowledge of development or a combination of these. Thesis should bear the evidence of the candidate's capacity for analysis and judgment as well as his/her ability to carry out independent investigation, design or development.

**R.18.2.** A candidate may submit his/her thesis within the time period as stipulated in R.6 provided that:

- (i) He/she completed the minimum period of registration as provided in R.6.1.
- (ii) He/she has become a candidate for the award of Ph.D. degree as provided in R.6.2.
- (iii) He/she has submitted the title and synopsis of the thesis maximum six months prior to the submission of the thesis

**R.18.3.** The candidate for the degree shall submit three copies of the thesis with a soft cover. In case of joint supervision, four/five copies of thesis shall be submitted by the candidate. At the time of thesis submission, the candidate must submit similarity report with similarity indices in total compliance with those declared in the Institute plagiarism policy along with the self-plagiarism certificate duly signed by the candidate/scholar and certified by the supervisor(s). [Updated as per 49th Senate dated 27.06.2023] **R.18.4.**

- (i). There should be at least two full paper publications or acceptance thereof in Web of Science/SCI/Scopus indexed referred journal based on candidate's Ph.D. work jointly with the Supervisor(s) mentioning affiliation of the institute at the time of thesis submission. The said papers must be in Web of Science/ SCI/Scopus indexed referred journals on the date of publication. All the publications of the candidate must be verified by DGC.
- (ii). In case of start-up related PhD, one patent granted in the names of Scholar and Supervisor(s) having the affiliation of NIT Raipur from start-up arising from the PhD research work and duly recommended by DGC may be considered in lieu of one Web of Science/SCI/Scopus indexed referred journal. However, in addition to this, there should be at-least one full paper publications or acceptance thereof in Web of Science/SCI/Scopus indexed referred journal based on candidate's Ph.D. work jointly with the Supervisor(s) mentioning affiliation of the institute at the time of thesis submission. The said paper must be in Web of Science/ SCI/Scopus indexed referred journals on the date of publication. All the publications of the candidate must be verified by DGC.
- (iii). For a scholar to claim a research paper publication/patent arising out of the thesis towards the requirement mentioned in R.18.4 (i) and (ii) then his/her name must be present either as the first author/inventor OR second author/inventor in the event of supervisor being the first author/inventor. In case, a Journal has the policy to cite the author's name in alphabetical order, then the DGC of the candidate shall identify the original contributor to claim the said publication. In such case, a certificate from the Supervisor and DGC should be enclosed along with the synopsis and PhD thesis.

[Updated as per 49th Senate dated 27.06.2023]

## **R.19 THESIS EVALUATION**

**R.19.1.** Each examiner will be requested to submit a detailed assessment report and his/her recommendations on the prescribed proforma to the Dean (Academic Affairs) within six weeks from the date of receiving the thesis.

**R.19.2.**

- (i). The examiner will be required to give his/her opinion about candidate's capacity for critical examination and sound judgment. The internal examiners shall be submitting one report. All examiners will submit the reports on the prescribed form clearly stating that:
  - (a). The thesis is recommended for the award of Ph.D., Or
  - (b). The thesis is recommended for the award of Ph.D. Degree subject to, the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time Viva-voce examination, Or
  - (c). The candidate be allowed to resubmit his/her thesis in the revised form, Or (d) The thesis be rejected.
- (ii)
  - (a). If all the three examiners recommend acceptance of the thesis, their recommendations will be accepted.
  - (b). If two of the three examiners recommend rejection, their decisions would be accepted, and thesis will be rejected.
  - (c). If one of the examiners recommends a rejection, the thesis shall be sent to a fourth examiner for evaluation.
  - (d). In case one or two examiners recommend revision of the thesis, the thesis would be revised normally within one year, if the candidate so desires. The revised version of the thesis would be sent to the concerned examiner (who recommended for revision) for his/her recommendations.
  - (e). The new examiner appointed, shall be Indian or Foreign depending on whether the thesis was asked to be revised by an Indian or a foreign examiner in the first instance. The reports of all the examiners will be sent to him/her without revealing the identity of the examiners, along with the response of the candidate, if any, to these. The thesis shall be deemed to be acceptable, if three out of four examiners recommend acceptance. If the fourth examiner recommends revision, the thesis would be suitably revised and resubmitted normally after 3 months and sent for examination to all the examiners except to the one in whose place the fourth examiner was appointed.
  - (f). The correspondence regarding (c), (d), and (e) above will be done by the Dean (Academic Affairs).
  - (g). If one examiner recommends rejection and other examiner recommends revision of the thesis the candidate may revise the thesis and resubmit it normally within a period of one year, for evaluation by a fourth examiner in place of the examiner who recommended rejection and the original examiners who recommended revision. Clause (e) will be applicable now.
- (iii) Any doubt, arising out of the procedure laid down in R.19.2 (ii) above, shall be referred to the Director for a decision that will be final and binding.
- (iv) In case of ambiguous recommendations by the examiner, Dean (Academic Affairs) will approach the examiner for a clear recommendation. In case clear recommendation is not forthcoming, the matter may be referred to the Director for his/her decision that will be final and binding.

**R.19.3.** In the event that the thesis report is not received from an examiner within a period of three months, the Dean (Academic Affairs) may appoint another examiner in his/her place for evaluating the thesis.

**R.19.4.** In the event of disagreement between the external examiners, the Dean (Academic Affairs) may as a special case, appoint another external examiner, if the merit of the case so demands. This examiner will report independently to the Dean (Academic Affairs).

**R.19.5.** In the event of the candidate being required to submit a revised thesis, he/she shall in the normal circumstances, submit the same within a period of one year from date of communication in this regard from the Dean (Academic Affairs). However, in exceptional circumstances this period may be extended by the DGC/DRC by another one year, the total revision time irrespective of the number of

the revisions allowed, will not exceed a period of two years. In the event of the candidate submitting a revised thesis, he/she shall again submit similarity report for the revised thesis with similarity indices in total compliance with those declared in the Institute plagiarism policy along with the self-plagiarism certificate duly signed by the candidate/scholar and certified by the supervisor(s).

[Updated as per 49th Senate dated 27.06.2023]

#### **R.20 THESIS RE-SUBMISSION**

- (a). In case of resubmission of the thesis, a fresh fee for the examination shall be paid by the candidate.
- (b). No candidate shall be allowed to resubmit the same thesis more than once.

#### **R.21 VIVA-VOCE EXAMINATION**

**R.21.1** If the thesis is recommended for the award of degree, the candidate shall be required to defend his/her work/thesis orally (viva-voce examination) before a duly constituted committee, hereinafter referred to as the Oral Defense Committee (ODC). Details of the viva-voce shall be adequately notified so as to enable interested staff members and students to attend it. Audience will be allowed to ask questions after the examiners. Thus open viva will be held.

**R.21.2** The ODC shall consist of Supervisor(s) (internal examiners), and one Indian external examiner. The internal examiner shall arrange the viva-voce examination of the candidate.

#### **R.21.3**

- (i). In case of non-availability of the Indian External Examiner(s) in conducting the viva voce examination, the Director may appoint another examiner to conduct the viva-voce examination from the existing panel/fresh list/expert in the area.
- (ii). The viva-voce examiners shall be provided with the comments made by the examiners before the viva-voce examination.
- (iii). If there is a difference of opinion among the viva-voce examiners, the recommendations of the Viva-voce Board will be put up to the Director for a decision who may either direct that a fresh viva be held or recommend acceptance or otherwise to the Senate.
- (iv). Internal examiner(s) shall arrange for the viva-voce examination of the candidate as early as possible and normally within two months from the date of communication to the Internal Examiner for holding the viva-voce examination.
- (v). In case of the inability of the internal examiner(s) to have the viva-voce examination conducted due to any reason whatsoever, the Director may appoint another Internal Examiner(s) from amongst the faculty of the department concerned who belongs to the particular field in consultation with Dean (Academic Affairs) and Head of the Department concerned to conduct the viva-voce examination. In such cases also, the Ph.D. work will be deemed to have been carried out under the guidance of the supervisor(s) only.
- (vi). Any other matter not explicitly provided herein or of an exceptional nature, may be referred to the Director for his/her decision and that will be final.

#### **R.22 AWARD OF Ph.D. DEGREE**

**R.22.1** On the completion of all stages of examination, the Oral Defense Committee shall recommend to the Dean (Academic Affairs), one of the following courses of action:

- (a). That the degree be awarded;
- (b). That the candidate be re-examined at a later specified time in a specified manner;
- (c). That the degree shall not be awarded; In case of (a) and (b), the Oral Defense Committee shall also provide to the candidate a list of all corrections and modification in the thesis (if required) including suggestions made by the examiners during the thesis evaluation. The re-examination may usually be held before lapse of one month.

**R.22.2** The Degree shall be awarded by the Senate, provided that:

- (a). The Oral Defense Committee so recommends;
- (b). The candidate produces, along with the report of ODC and no-dues certificate, the certificate of submission of softcopy, metadata, and copy-right transfer issued by the Institute Coordinator, Shodhganga. (In case the candidate opts to put thesis/part of thesis under embargo, then due approval of Director and Chairperson, Senate NITRR has to be taken first and subsequently, the candidate must produce the certificate of submission of softcopy, metadata, and copy-right transfer issued by the Institute Coordinator, Shodhganga, along with the report of ODC and no-dues certificate.) and
- (c). The candidate has submitted two hard cover copies of the thesis; one for the Department's Library and one for the Central Library. Thesis should incorporate all necessary corrections/modifications.
- (d). The hard bound copies of the Ph.D. thesis, submitted after the viva-voce examination, must contain the following copyright certificate in the beginning of the thesis, on the left side of cover page:

© NATIONAL INSTITUTE OF TECHNOLOGY RAIPUR, 20....

ALL RIGHTS RESERVED

[Updated as per 49th Senate dated 27.06.2023]

### **R.23 ATTENDANCE AND LEAVE**

A student/candidate will be entitled to avail of leave as per Leave Rules/Attendance Rules formulated and amended from time to time by the Senate. Presently these Rules are as under:

#### **R.23.1 ATTENDANCE**

A Ph.D. student irrespective of the source of research assistantship including self-financing student not drawing any Assistantship and sponsored student, while pursuing course work must attend at least 75% of classes in each course in which he/she is registered. In case his/her attendance falls below 75% in any course during a month he/she will not be paid Assistantship for the month. Further, if his/her attendance again falls short of 75% in any course in any subsequent month in that semester his/her studentship and assistantship will be terminated. A research scholar after having completed the course work must attend to his/her research work on all the working days and mark attendance except when he/she is on duly sanctioned leave. The requirement of 75% attendance will apply as above on daily attendance except in the cases where longer leave has been duly sanctioned within the leave entitlement of the student. For the above purpose, if 75% works out to be a number, which is not a whole number, the immediate lower whole number will be treated as the required 75% attendance.

#### **R.23.2 LEAVE**

##### **(a) During Course work:**

A full time Ph.D. student, during his/her stay at the Institute will be entitled to leave for 30 days including leave on medical grounds, per academic year. He/She will not be entitled to midsemester breaks, summer and winter vacation at the end of semesters.

##### **(b) After completing the Coursework**

A full time Ph.D. scholar during his/her stay at the Institute, will be entitled to leave for 30 days per academic year. He/She will not be entitled to mid-semester breaks, summer and winter vacations. In addition, a Ph.D. scholar who has completed his/her course work may be granted leave on medical grounds up to 10 days per academic year.

[Updated as per 47<sup>th</sup> Senate dated 10.10.2022]

##### **(c) Leave beyond 30 days in an academic year may be granted to a Research Scholar in exceptional cases, by the Head of the Department on recommendation of the supervisor, subject to the following conditions:**

(i) The leave beyond 30 days will be without Assistantship/Scholarship; and

- (ii) Such an extension of up to additional 30 days will be granted only once during the program of the scholar. (A proper leave account of each scholar shall be maintained by the Department)
- (d) The women research scholars will be eligible for Maternity Leave/ Child Care Leave with Assistantship for a period not exceeding 240 days only once during the entire duration of Ph.D. degree. The duration of Ph.D. program will be extended to the extent of leave period.

[Updated as per 47<sup>th</sup> Senate dated 10.10.2022]

#### **R. 24 WITHDRAWAL FORM SEMESTER /COURSES**

- R.24.1** A student/candidate may be permitted to withdraw by the Dean (Academic Affairs) from all the courses registered by him or the entire semester, on medical grounds supported by a medical certificate from the Institute Medical Officer. The medical certificate issued by registered Medical Practitioner will also be acceptable in those cases where the scholar has valid reasons for his/her absence from the Institute. Withdrawal may also be granted by the Dean AA provided he/she is convinced that the scholar cannot pursue his/her studies for the reason beyond his/her control.
- R.24.2** Under no circumstances will a request for withdrawal be entertained after the end term examinations have begun. Student/Candidate should present the medical certificate in support of his/her absence on health reasons within two days of his/her rejoining the institute, if not produced already. Withdrawal will not be granted retrospectively.
- R.24.3** The period of authorized absence in the semester should be less than eight weeks of contact period for semester withdrawal to be granted. Regularity in attending the classes and satisfactory performance in the midterm examination(s), if any, held prior to the date of application for withdrawal are the factors, which would be taken into account while recommending/granting withdrawal.
- R.24.4** Any semester withdrawal will count towards the maximum limit as stipulated in R.6. However, withdrawal will not count towards the maximum limit of time period to pass the comprehensive examination as stipulated in R.13.4.

#### **R.25 CANCELLATION OF REGISTRATION**

Registration of a student/candidate shall be cancelled in any one of the following eventualities, after due approval of Dean AA.

- (i) If he/she absents himself/herself for a continuous period of four weeks without prior intimation/sanction of leave.
- (ii) If he/she resigns from the Ph.D. Program and the resignation is duly recommended by the DRC.
- (iii) If he/she fails to renew his/her registration in any semester subject to the provisions contained in these Ordinances & Regulations.
- (iv) If he/she does not clear the comprehensive examination as stipulated in R. 13, i.e., 13.3 & 13.4.
- (v) If his/her academic progress is found unsatisfactory in terms of R. 12.5.
- (vi) If two consecutive "U", Unsatisfactory Grades, as in R.15.6 are obtained.
- (vii) If his/her CGPA is below 5.00 at any time while doing course work.
- (viii) If he/she is found involved in an act of misconduct and/or indiscipline and termination is recommended by a competent authority.

#### **R.26 SUPERVISION OF Ph.D. STUDENTS OF OTHER INSTITUTE/UNIVERSITIES**

An NIT Raipur faculty may supervise and guide Ph.D. students of other institutes/universities subject to the following conditions:

- (a) The host institute/University is recognized by MHRD-UGC/AICTE.
- (b) The total number of such externally enrolled Ph.D. students under any faculty of NIT Raipur is as per regulation R.9.

- (c) Due to extension of this facility to the host institute, the work of the NIT Raipur should not suffer.
- (d) If the concerned faculty of NIT Raipur, as co-guide, is required to visit the Institute/Outside, he/she shall seek specific approval for the visit on casual leave/leave as due, by the competent authority and shall not be on duty for the visit. Further, all expenses, facilities etc. in the regard shall be borne by the host institution.
- (e) If the external candidate wishes to avail of the facilities at NIT Raipur, he/she shall register as casual student for a period not exceeding six months as per rules and regulations and paying necessary fee to this effect.

#### **R.27 GENERAL**

1. Not-withstanding anything contained in these Ordinances and Regulations, all categories of the students/candidates shall be governed by the rules and procedures framed by the Senate in this behalf, and in force from time to time.
2. Unfair Means and Plagiarism:
  - (a) In cases a student is found adopting or suspected of adopting unfair means before, during and after the examination or lifting of some other's works(s) and inserting it in his/her project, seminar and dissertation etc. without proper acknowledgement, credit and reference or plagiarizing the dissertation/project report etc. such penal action shall be taken by the institute as may be necessary to uphold the sanctity and integrity of the examination system and creditability of the institute.
  - (b) All such cases may be taken suo-moto cognizance of by the Institute Research Board (IRB) appointed by the Senate for this purpose. Such cases may also be reported by examiners/invigilators to Dean (Research) and/or the IRB for consideration. After giving an opportunity to the concerned student(s) to explain the conduct/defend the charge, the Chairman Senate on the recommendation of IRB shall take action including imposition of appropriate penalty including award of "F" Grade in the concerned course(s) on the concerned student(s)
3. Code of Conduct: Should be befitting to the decorum of the Institute of National importance and students are advised to refrain from ragging, willful damage and/or removal of Institute property or belongings of fellow students, disturbing others, showing disrespect to teachers, administrators, officers, visitors and employees of the Institute.

#### **R.28 INTERPRETATION**

Any doubt or dispute arising about the interpretation of these ordinances and Regulations shall be referred to the Chairman, Senate whose decisions shall be final and binding.

#### **R.29 FEES EXEMPTION FOR INSTITUTE FACULTY/STAFF:**

The Institute faculty/staff pursuing Ph.D. at the Institute will be exempted from all the fees except tuition fee and thesis examination fee, which shall be reimbursed only on successful completion of Ph.D. Programme within 3 years and not otherwise. [Updated as per 51st Senate dated 29.12.2023]

#### **R.30 WITHDRAWAL OF AWARDED PhD DEGREE**

Upon complaint in writing about copying of a major portion of PhD thesis, and upon investigation by a committee duly appointed by the Director, and if found the complaint to be correct, Senate of the institute is authorized to withdraw the PhD degree already awarded. In case of any dispute or discrepancy, the decision of Chairman, Senate will be final and binding.

#### **R.31 POWER TO MODIFY**

Notwithstanding all that has been stated above the Senate has right to modify any of the above regulations from time to time with prospective, retrospective or immediate effect.

## Annexure-A

### NATIONAL INSTITUTE OF TECHNOLOGY RAIPUR Application form for appointment of Supervisor(s)

#### A.

1. Name of the Student: \_\_\_\_\_
2. ID. No.: \_\_\_\_\_
3. Date of joining: \_\_\_\_\_
4. Department: \_\_\_\_\_
5. Status: full/ Part-time: \_\_\_\_\_
6. Total no. of credits to be completed \_\_\_\_\_

Date: \_\_\_\_\_

Signature of Student

#### B.

Proposed area of research: _____	
Particulars of proposed supervisor(s):  _____	
Name & Designation	Head of Department Signature(s)

Date: \_\_\_\_\_

Signature of Supervisor

#### Doctoral guidance committee (DGC)

(a)	Supervisor	Convener
(b)	Supervisor *(s)(if any) OR one expert in the field from the Department	Member(s)
(c)	One Institute faculty expert, preferably in the concerned area, from outside the Department to which the student belongs	Member
(d)	DRC nominee	Member
(e)	ISC Nominee, Only in case of Start-Up PhD	Member

\*External supervisor would be observer member of DGC

#### C. Recommendation of the Departmental Research Committee (DRC)

The DRC recommends the registration of Mr. /Ms. \_\_\_\_\_ as a fulltime/ part time student with effect from \_\_\_\_\_ and also recommends the appointment of supervisor(s) as he/she/they satisfy rule R.7 of PhD ordinance (supervisors' Bio – data with list of publications and experience be enclosed) and formation of DGC as indicated above.

Date:

Signature of Chairman, DRC

AR (Academics)

**(For Use of Academic Section Only)**

Particulars of the student have been verified. Submitted for approval of the Dean, Academic Affairs.

SO/AR (Academics)

Signature of Dean (Academics Affairs)

Annexure-B

NATIONAL INSTITUTE OF TECHNOLOGY RAIPUR

## Comprehensive Examination and Approval of Research Plan

**Department of** \_\_\_\_\_

## Part A

The Doctoral Guidance Committee (DGC) conducted the comprehensive Examination of Mr./Ms. \_\_\_\_\_ ID No. \_\_\_\_\_ as per the details given below.

Date of presentation:

Attempt 1:

Attempt 2 (if applicable): \_\_\_\_\_

**On the basis of the performance of the student in the examination, DGC recommends award of 'PASS/FAIL' grade to the student in the Comprehensive Examination:**

**Part B (Applicable only if 'Pass' grade is recommended in the Comprehensive Examination).**

The student submitted and presented a research plan entitled \_\_\_\_\_

---

Based on his/her presentation, the DGC recommends that:

- (i) The research plan is approved and that the Date of approval of Research Plan be taken as \_\_\_\_\_.
  - (ii) The student be asked to re-submit a research plan latest by \_\_\_\_\_ (date) keeping in view the modifications suggested by DGC (as per details enclosed).
  - (iii) The research plan is not approved.

### Supervisor(s)

Member, DGC

Member, DGC

(DRC nominee)

### ISC Nominee,

Only in case of Start-Up PhD

(Chairman DRC)

## Annexure-C

### NATIONAL INSTITUTE OF TECHNOLOGY RAIPUR

#### Application form for registration as a Ph. D. candidate

**USE CAPITAL LETTERS**

1. Name in full: \_\_\_\_\_
2. ID no.: \_\_\_\_\_
3. Date of initial registration: \_\_\_\_\_
4. Department: \_\_\_\_\_
5. Registration status: Full time/Part-time: \_\_\_\_\_
6. Course work completed: \_\_\_\_\_

Semester	Session	Course code & Title	Credit	Grade

7. Topic of research: \_\_\_\_\_

Date: \_\_\_\_\_

Signature of Student

8. Date of approval of research plan by DGC: \_\_\_\_\_

9. Research plan submitted by the student and duly approved by the DGC is attached here with for DRC approval.

Signature(s) of Supervisor(s): \_\_\_\_\_

10. Recommendations of Departmental Doctoral Research Committee (DRC) (i) Certified that the student has qualified the comprehensive examination.

(ii) The research plan attached herewith is approved.

(iii) It is recommended that Mr./Ms. \_\_\_\_\_ be registered as a candidate for Ph.D. Program.

Date: \_\_\_\_\_

Signature of Chairman, DRC

**(For Use of Academic Section Only)**

Particulars of the student have been verified. The comprehensive examination has been completed within the permissible time limit submitted for approval of the dean. Academic affairs.

SO/AR (Academics)

Signature of Dean (Academic Affairs)

## **Annexure-D**

[Updated as per 49th Senate dated 27.06.2023]

### **Guidelines for Preparation of Ph.D. Thesis**

1. Thesis should be type-written on both sides of good quarto-size/A-4 size paper in double space with sufficient margins with multi-plastic ring binding.
2. Suitable reproduction of Indian-ink diagrams should be used. Photographs should be suitably mounted on the same quality paper as the thesis.
3. Reference should be given in a style in the text consistent with a standard journal in the field.
4. Three copies of thesis in multi-plastic spiral binding must be submitted for evaluation. In case of student being supervised by more than one supervisor, appropriate number of additional copies must be submitted.
5. The cover should have the following printed on it in block letters (Please follow the sample given at page number 22): -
  - (a) The title at the top
  - (b) Author's name in the middle followed by name of the Department
  - (c) Name(s) of the Supervisor(s)
  - (d) "National Institute of Technology Raipur" at the bottom along with Month and Year.
6. After the Viva-Voce Examination, two copies of thesis in hard maroon-color-cover must be submitted. The cover should have the material indicated in item 5 above. Besides, the following should be printed on the spine of the thesis:
  - (a) The year of publication at the top (b) The author's last name in the middle and (c) Ph.D. at the bottom.
7. The contents of the thesis should have the following:
  - (i) The hard bound copies of the thesis must contain the following copyright notice in the beginning of the thesis (left side of the inner cover page):

© National Institute of Technology Raipur 20.....  
All rights reserved.
  - (ii) Inner cover page
  - (iii) Declaration of the candidate
  - (iv) Certificate of the Supervisor(s)
  - (v) Declaration of Plagiarism
  - (vi) Copyright transfer agreement
  - (vii) Acknowledgement signed by the candidate
  - (viii) Abstract
  - (ix) Certificate by the examiners-External & internal
  - (x) Table of contents
  - (xi) List of figures and Tables with page numbers
  - (xii) List of symbols with descriptions
  - (xiii) Body of the thesis
  - (xiv) References
  - (xv) List of publications by the candidate on the basis of his/her present Ph.D. thesis.
  - (xvi) Appendix 1: Similarity report duly signed by the candidate and supervisor(s), Supervisor must put his/her rubber stamp as well and other appendices, if any, and
  - (xvii) Brief Bio-data of the author, and
8. The outer and inner cover page should be as follows:

**TITLE OF THESIS**

**By**

**(NAME OF AUTHOR)**

..... Department

Submitted

In partial fulfillment of the requirements of the degree of Doctor of Philosophy

Under the Guidance of

Name(s) of the Supervisor(s)



NATIONAL INSTITUTE OF TECHNOLOGY RAIPUR

Month & Year

## Annexure-F

**NATIONAL INSTITUTE OF TECHNOLOGY RAIPUR**  
**Format of application for submission of synopsis**

**Academic Section**  
**Format of certificates in connection with submission of synopsis**

Date: \_\_\_\_\_

**Certificate No. 1.**

Certified that Mr./Ms. \_\_\_\_\_ Roll. No/ID \_\_\_\_\_  
Department of \_\_\_\_\_ has been prescribed \_\_\_\_\_ course credits and he/she  
has qualified he prescribed credit requirements.

SO (Academic)

**Certificate No. 2**

Certified that the above mentioned candidate has presented the results of his/her investigations to a panel duly  
constituted (DGC) for the purpose on \_\_\_\_\_ (Copy enclosed).

\_\_\_\_\_  
Signatures of Members, DGC

**Certificate No.3** (To be completed by the Research Supervisor(s))

Certified that the above candidate has carried out the research work under my guidance during the period  
\_\_\_\_\_ to \_\_\_\_\_ (Date of registration).

Further certified that:

1. There is prima facie case for consideration of the thesis.
2. The thesis does not include any work which has at any time previously been submitted for the award of a  
degree and.
3. The work involved the following/on collaboration namely: \_\_\_\_\_

\_\_\_\_\_  
Signature of Supervisor(s)

**Certificate No. 4.** (To be completed by the candidate)

I submit herewith 8 copies of the synopsis of my thesis, together with certificate from the Academic Section, Head  
of the department, the Research supervisor(s), as laid down under the Ph.D. rules.

I have also mailed the PDF file of the Synopsis to [deanacad@nitrr.ac.in](mailto:deanacad@nitrr.ac.in)

My address for communication will be as follows: (I hereby undertake to intimate change of address, if any)  
\_\_\_\_\_  
\_\_\_\_\_

Signature of the candidate

Name of the candidate in full: \_\_\_\_\_ Date.....

To

The Chairman, DRC

Department of \_\_\_\_\_

Dean, Academic affairs, NITRR

**Form I - SPONSORSHIP CERTIFICATE**

The applicant Mr./Ms. \_\_\_\_\_ is employed as \_\_\_\_\_ in our Institute/Organization since \_\_\_\_\_ in a pay scale \_\_\_\_\_. He/She is sponsored to pursue Ph.D. Program in the Department of \_\_\_\_\_ at National Institute of Technology, Raipur as full time student. We shall relieve him/her duties in the organization during the first three years of Ph.D. program.

Name and Address of the Sponsoring Authority

Seal:

Signature of the Head of the Sponsoring Institution / Organization

**(This should be typed on the letter head of the sponsoring organization)**

**Form II – NO-OBJECTION CERTIFICATE FOR PART-TIME STUDENTS**

We have no objection if the applicant, Mr./Ms. \_\_\_\_\_ employed as \_\_\_\_\_ in our Institute Organization since \_\_\_\_\_ in a pay scale \_\_\_\_\_ is admitted in the Ph.D. program in NIT Raipur as part time Ph.D. student.

He/ She will be permitted to spend minimum 30 contact days per semester in the institute with the supervisor till thesis submission.

Name and Address of the Employer  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Seal

Signature of the Head of the Employer Institution / Organization

**(This should be typed on the letterhead of the sponsoring organization)**

**Form III - SPONSORSHIP CERTIFICATE OF EXTERNAL REGISTRATION**

Reference No.:

Date:

1. Name of the sponsoring organization: \_\_\_\_\_

Address: \_\_\_\_\_

2. Designation of the applicant: \_\_\_\_\_

3. Present status of the applicant: \_\_\_\_\_

4. Division/Section where research work is proposed to be done: \_\_\_\_\_

5. Name of the Local Supervisor: \_\_\_\_\_

*(Bio-data of the Local Supervisor to be enclosed giving details of designation, qualification, Research experience etc.)*

6. Details of relevant facilities, which will be made available to the candidate:

\_\_\_\_\_

7. Statement of Local Supervisor:

If Mr. /Ms. \_\_\_\_\_ is admitted to the Ph.D. program at National Institute of Technology, Raipur, I agree to supervise his/her research program jointly with the Supervisor from NIT, Raipur

**Signature of Local Supervisor**

If Mr./Ms. \_\_\_\_\_ is admitted to the Ph.D. Program, we agree to relieve him/her to enable him/her to be in residence at NIT, Raipur during the first semester of his/her Ph.D. Program.

Mr./Ms. \_\_\_\_\_ will be permitted to carry out research leading to the Ph.D. degree at our organization under the guidance of Dr. \_\_\_\_\_. The necessary facilities will be provided for the purpose.

**Signature and Seal of the Sponsoring Authority**

## **PLAGIARISM POLICY OF NIT, RAIPUR FOR ACADEMIC HONESTY AND INTEGRITY**

NIT Raipur acknowledges that nurturing academic honesty and integrity is foremost necessity for ethical dissemination of knowledge and is working towards imbibing academic honesty amongst the students, researchers, and other stakeholders of the Institute.

Faculty members, Scholars and Staff of NITRR have been utilizing Turnitin software to check for similarities in research articles, thesis/dissertations and other publications. The shaping of Plagiarism policy of NITRR is a step forward to further strengthen the practice of academic honesty and integrity across all the publications that are published by NITRR for public dissemination and/or for storing in public domain/repository.

It is proposed that NITRR Plagiarism policy be applicable on research papers PG and PhD thesis/dissertation, chapters in books, full-fledged books and any other similar work submitted for assessment or opinion leading to the award of Master and Research level degrees and/or Publications disseminating from NIT Raipur in print or electronic media by its faculty, staff, students and scholars. However, this shall exclude assignments for term papers, project reports, course work reports, essays, and answers scripts, etc., that are not particularly meant for public dissemination or are not meant to be stored in public repositories/domains.

### **Levels of Similarity for different publications/works:**

- A. Levels of similarity to be permitted for PG and PhD thesis and dissertations are as follows:
  1. Abstract and conclusions: zero-tolerance on similarity
  2. Introduction and literature review will allow a similarity of up-to 25%
  3. Overall similarity limit is 20%.

At the time of submission of thesis/dissertation, Scholar must submit an undertaking declaring the publications arising out of her/his bonafide research work and thereby requesting to exclude the same from similarity checks. The same should be duly endorsed by her/his supervisor(s). The format for the undertaking is provided in Page 3 of this document.

- B. For other publications meant for public dissemination, such as monographs, book chapters, articles, etc., overall similarity to be permitted is 15%.
- C. In case of books, conference proceedings etc., wherein the responsibility of peer review and publication solely lies with NITRR, each chapter shall be permitted an overall similarity of 15%.

- D. To avoid self-plagiarism, the authors shall cite and mention their individual works under the “references/bibliography” in their publications.

### **Similarity checks for exclusion from Plagiarism**

It is expected that at the time of carrying out a similarity check, the settings may exclude the small sources and bibliographic materials from similarity index of the document assigned for similarity check. The source selection threshold may be set at word count limit ranging from 5 (default value) to 14 (citation becomes necessary). Authors must ensure that at the time of carrying out the similarity check, the document(s) to be checked must not be submitted to the repository of Turnitin/Urkund, etc. Overall, the similarity checks for plagiarism shall exclude the following:

- a. All quoted work reproduced with all necessary permission and/or attribution.
- b. All references, bibliography, table of content, preface and acknowledgements.
- c. All generic terms, laws, standard symbols and standards equations.
- d. Small sources (i.e., those with similarity index less than 1 percent and/or having similarity of less than 5 contiguous words with source selection).

In case the similarity reports point towards plagiarism arising from similarity indices falling beyond the permissible range defined above, then the document shall be rejected for all purposes for which it is meant to be submitted and shall be returned to the author(s) for necessary amendments leading to acceptable similarity indices as mentioned above. In case of repeated instances of significant plagiarism, the Institute reserves the right for dealing with the same at a formal level, as deemed fit.

### **Procedure for submitting Similarity check**

The author (Student/Researcher/Faculty member/Staff) shall be required to conduct the similarity check based upon the criteria detailed above and shall submit the similarity report along with the document detailing the settings used for similarity check. Both these documents need to be signed/countersigned by the author(s), Supervisors and concerned officials and to be submitted at the time of submission of Thesis/Dissertation.

## **National Institute of Technology Raipur**

### **Self- Plagiarism Report**

(To be submitted at the time of submission of Thesis/Dissertation along with the certified document of similarity check)

Title of Thesis :  
Name of the Scholar :  
Roll No. :  
Supervised by :  
Department :

#### **REPORT**

Following publications of \_\_\_\_\_, Research Scholar of Department \_\_\_\_\_ are part of her/his bonafide work towards PG/Ph.D. and have been included in this thesis and may be shown in similarity check as plagiarized. Hence, these may be excluded.

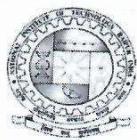
- 1.
- 2.
- 3.
- .
- .

The duly certified document of similarity check performed as per the NITRR's Academic honesty and integrity policy is also attached along with.

Name & Signature of Research Scholar: \_\_\_\_\_

Name & Signature of Supervisor(s): \_\_\_\_\_

**Annexure H of  
PhD Ordinance**



राष्ट्रीय प्रौद्योगिकी संस्थान – रायपुर  
**NATIONAL INSTITUTE OF TECHNOLOGY RAIPUR**  
**(Institute of National Importance)**  
G.E. Road, Raipur – 492010 (C.G.)

**Annexure – I**

**NIT Raipur**

**Tentative Metadata Form**

1	Title	
2	Name of Research Scholar	
3	Roll No.	
4	Date of Registration	
5	Date of Award	
6	Name of Guide/Supervisor(s)	1. 2. 3.
7	Name of Degree	
8	Department/Centre	
9	Date of Submission	
10	Subject Keywords	1. 2. 3. 4. 5.
11	Coverage (for time periods or spatial regions only)	
12	Language of the thesis	<b>ENGLISH</b>
13	File Format of thesis and accompanying material, if any (PDF, MPEG, etc.)	

**Signature of the Scholar**

Place :

Date :

**Signature of Supervisor (Main)**



**राष्ट्रीय प्रौद्योगिकी संस्थान – रायपुर**  
**NATIONAL INSTITUTE OF TECHNOLOGY RAIPUR**  
**(Institute of National Importance)**  
**G.E. Road, Raipur – 492010 (C.G.)**

**Annexure – II**

**NIT Raipur**

**Consent Form for Digital Archiving**

Name of the Author (Research Scholar)	
Roll Number	
Enrolment Number	
Degree	
Department/Centre	
Guide/Supervisor(s)	1. 2. 3.
Thesis/Dissertation Title	
Date of Submission	

- I am the sole owner of copyright on this thesis. The NIT Raipur library is hereby granted, non-exclusive, royalty-free and non-transferable rights to make available, in full or in part without any modifications, this thesis in electronic/printed form for public use at no charge. Any use of material from this thesis/dissertation must be accompanied with appropriate citation.
- I wish to allow open access to my thesis/dissertation.

**Signature of the Scholar**

Place :

Date :

**Signature of Supervisor (Main)**



**राष्ट्रीय प्रौद्योगिकी संस्थान – रायपुर**  
**NATIONAL INSTITUTE OF TECHNOLOGY RAIPUR**  
**(Institute of National Importance)**  
**G.E. Road, Raipur – 492010 (C.G.)**

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Annexure – III

Example of Split files for Upload in “Shodhganga”

- 01.\_title
- 02.\_certificates
- 03.\_acknowledgements
- 04.\_contents
- 05.\_preface
- 06.\_list of tables figures
- 07.\_chapter 1
- 08.\_chapter 2
- 09.\_chapter 3
- 10.\_chapter 4
- 11.\_chapter 5
- 12.\_chapter 6
- 13.\_chapter 7
- . and so on
- ..
- 14.\_reference



**राष्ट्रीय प्रौद्योगिकी संस्थान – रायपुर**  
**NATIONAL INSTITUTE OF TECHNOLOGY RAIPUR**  
**(Institute of National Importance)**  
**G.E. Road, Raipur – 492010 (C.G.)**

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### Annexure IV

Submission of soft copy for archiving in Shodhganga

Name of the scholar: \_\_\_\_\_

Roll Number: \_\_\_\_\_

Title of the thesis:  
\_\_\_\_\_  
\_\_\_\_\_

Name of Supervisor(s):  
\_\_\_\_\_

The above PhD scholar has submitted the soft copy in the required format alongwith the consent (in original) for archiving in Shodhganga at central library.

Date: \_\_\_\_\_

Dy. Librarian

Central Library, NITRR

**Request form for putting embargo  
(On chapter(s)) of the thesis for uploading on ShodhGanga)**

Name of the Author (Research Scholar)	
Roll No.	
Department	
Name of Supervisor(s)	1. 2. 3.
Title of the thesis	
Date of Award	

I, \_\_\_\_\_ (name of the author) wish to file patent from my above mentioned doctoral research work. The said work is contained in the chapter(s) \_\_\_\_\_. I, therefore, request you to kindly put the above mentioned chapter(s) under embargo for (6 months/ one year) while uploading the rest of the chapters of my above titled Ph.D. thesis on ShodhGanga archive.

Justification for requested embargo with documentary proof.

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Add additional page(s), if required.

Signature of Author

Signature of Supervisor(s)

Recommendations of DGC of the research scholar

The embargo requested for chapter(s) \_\_\_\_\_ is hereby recommended on the basis of following reasons:

1. \_\_\_\_\_

2. \_\_\_\_\_  
3. \_\_\_\_\_

Signature of DGC Members

Member-1

Member-2

Member-3

Recommended/Not Recommended

Chairperson DRC  
Department of \_\_\_\_\_

To,

The Director, NIT-Raipur  
Through: - Dean Academics