

**REGULATIONS
FOR**

M.Tech (R), Ph.D., D.Sc. Degrees

**Research Associateship
Intellectual Property Policy**

(EFFECTIVE FROM ACADEMIC SESSION 2007-08)



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

Every faculty, staff and student of NIT Rourkela is passionately committed to the mission of making India a world leader in technology and science, and nurtures this commitment with honesty, hard work and team spirit.



NATIONAL INSTITUTE OF TECHNOLOGY
Rourkela
Message from the Director

For nearly half a century, our Institute has been counted among the leading technical institutes of the country. It has produced quality engineers for industry and Government, who have reached leadership positions in countless organizations. The industry of our country is undergoing a transformation. Design and R&D activities are gaining importance over manufacturing, marketing and management. This segment of the engineering process is boosting the demand for superior science and engineering professionals with postgraduate qualifications. Our institute has responded to this national need by augmenting our postgraduate and research programme, opening new courses and strengthening existing courses. This changed environment is attracting some of the brightest students of the country to our Research programmes.

The faculty and staff of our Institute are continuously striving to guide these gifted individuals in their studies and to create an atmosphere that is conducive to scholastic thinking. That makes all of us a special class of professionals in the society. Our Institute has a dream, the dream of being a part of the mission to make India a world leader in technology and science. We can do it through hard work, honesty, perseverance and mutual cooperation. It is my honour and pride to hand over to you – the students, staff and faculty of NIT Rourkela this booklet containing the complete regulations of the M.Tech.(R), Ph.D., D.Sc, Research Associateship programmes and the Intellectual Property Policy. I hope, with a copy in the hand of every student and every teacher, there will be little chance of error or conflict.

There are universities and institutions that lay their primary emphasis on evaluation rather than on instruction. An open university or a professional society is essentially an examining entity that limits itself to checking a student's knowledge of the field before awarding a degree or certificate. In contrast, at NIT Rourkela, we exist for imparting instruction and for creating an environment that is conducive to learning by self-study or discussion with peers. Therefore, attendance in all classes is far more important for us than for many of your friends in other institutions. Whether you are a student or a teacher, never miss a class. That is the fundamental recipe for success. These regulations are very harsh with those who do not honour this basic foundation of our academic programme.

Continuous evaluation is another hallmark of our academic system. Your learning will be proper and your academic experience will be complete, only if you take the home assignments and class tests seriously. Needless to say, you will be fully prepared for the semester examinations without struggling during those last few days.

NIT Rourkela is an institute with a difference. Learning of professional subjects is the basic foundation of any engineering programme. We do that; but we also go far beyond, far in terms of the quality of our project work, in terms of entrepreneurship and in terms of our breadth of knowledge. We are correctly poised for creating technology rather than assimilating it, for creating intellectual property rather than simply using some one else's invention. Our Institute has adopted one of the best intellectual property policies of the country. Let us take advantage of it. Let each one of us try to work towards realization of a patentable technology; I am sure, some day soon we shall make an indelible mark in the technological history of mankind.

With my very best wishes,

Sunil Kr Sarangi

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**REGULATIONS
FOR
M. TECH DEGREE BY RESEARCH IN ENGINEERING, SCIENCE,
&
HUMANITIES AND SOCIAL SCIENCES
(EFFECTIVE FROM ACADEMIC SESSION 2007-08)**



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

I N D E X

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1. Introduction

- 1.1. The Institute provides facilities for research leading to the Degree of Master of Technology by Research [M. Tech. (R)] in Engineering, Science, Humanities and Social Sciences in various disciplines as mentioned in Appendix—I.
- 1.2. The M. Tech. (R) thesis shall be the report of the research work characterized by either discovery of new facts, new interpretation of known facts and theories, an independent design or development, development of a new instrument or technology, an exhaustive study and criticism of published work, or any applied research work that can be exploited for creation of wealth or for human well being.

2. Eligibility

- 2.1. The minimum qualification required for admission to M. Tech. (R) programme in Engineering, Science or Social Science is one of the following:
 - 2.1.1. B.E./B.Tech./B.Pharm/MCA or equivalent in relevant discipline with 60 percent marks in aggregate (or 6.5 CGPA).
 - 2.1.2. M.Sc. in Basic Sciences with 60 percent marks in aggregate (or 6.5 CGPA) in relevant disciplines.
 - 2.1.3. M.B.B.S. with 60 percent marks in aggregate (or 6.5 CGPA).
 - 2.1.4. M. Sc. /M.A. / MBA / M.Com. in Humanities, Social Sciences or Management with 60 per cent marks or 6.5 CGPA.
- 2.2. In computing the percentage of marks (or CGPA), all papers of a B.Tech.or M.Sc. / M.A. programme will be considered both in numerator and denominator.
- 2.3. Universities some time record their own conversion of marks to grade or vice versa on their grade sheets. Under such circumstances NIT Rourkela will accept only the original mode of evaluation ignoring the conversion.
- 2.4. In exceptional cases, where the candidate has proven research experience, evidenced by published papers and/or unpublished documents, the Senate, or Chairman Senate on its behalf can relax the mark requirement by 5 percent (or 0.5 in CGPA). Copies of the documents considered for the purpose must be presented to the Senate.

A further concession of 5% in B.Tech/M.Sc. marks or 0.5 in CGPA may be given by the Senate to candidates sponsored by Government departments or autonomous bodies under the Government who have put in at least 5 years of service in a relevant assignment. Such candidates will be required to complete at least 8 credits of undergraduate courses with minimum B grade in each, in addition to the normal course requirements.

- 2.5. Students with degrees in one discipline of Science or Engineering can enroll for M. Tech. (R) in another discipline of Humanities, Science or Engineering, if such migration is considered

relevant by the Departmental Academic Committee (PG & R). The Senate will announce, from time to time, a list of relevant departments and specializations for admission to M. Tech. (R) programme in each discipline. In all other cases, the decision must be made on case to case basis depending on the fields involved, proposed research programme and academic preparation of the candidate. A list of required specializations for various departments is given in Appendix – II. The constitution and functions of DAC (PG & R) are given in Appendix – VII.

- 2.6. Qualification in GATE or NET is not essential for admission to M. Tech. (R) programme. Students applying for Institute or Government scholarships / fellowships, however, shall need a valid NET (Lectureship or JRF) or GATE score, if required by the Government or Institute regulations.
- 2.7. The various categories of students (with or without financial support) mentioned below are eligible for admission to M. Tech. (R) and Ph.D. programmes provided they satisfy the qualification requirements as given in sections 2.1 & 2.2.
 1. Full time student with Institute Fellowship /Assistantship (Institute Scholar)
 2. Full time student with External Fellowship (UGC/CSIR etc.)
 3. Full time student without Fellowship (self financed/self supported)
 4. NIT faculty (Ph.D. only)
 5. NIT regular employees (Non teaching)
 6. Project Scholars (JRF/SRF/RA etc.) or project staff members
 7. QIP Scholars (Ph.D. only, until approval is received from AICTE)
 8. Sponsored student (Institute/Research Organisation/Industry)
 9. Sponsored student from Rourkela and vicinity [part time]
- 2.7 Unlike other academic programmes, mere possession of required degrees and a superior academic record do not guarantee admission to a student to the M. Tech. (R) programme. Apart from academic record, the DAC will take into consideration the research aptitude, subject interest, availability of supervisors, facilities in the department and the department's research focus while selecting candidates to the M. Tech. (R) programme.

3. Admission

- 3.1 All categories of candidates except the members of the Institute faculty, QIP scholars and scholars nominated by the Central Government have to be selected by Departmental Academic Committee (PG&R) on the basis of overall academic performance, written test and/or interview.
- 3.2 Candidates employed as SRFs/JRFs or as Full time Research engineers in sponsored projects may be admitted to the M. Tech (R) Programme under category 6. They need to obtain

permission of the Principal Investigator and Dean (SRICCE) for admission. The project should have tenure of at least 12 months beyond the date of admission of the candidate to the M. Tech. (R) programme. They also have to satisfy the qualifying marks requirement and will undergo selection procedure like other students. On termination of the project, their status will be full time student without scholarship (Category 3), unless offered another type of scholarship. Students who have earned a GATE/NET score and have availed at least 12 months of fellowship under a project will get first priority in award of Institute fellowship, irrespective of number of fellowship holders under the same supervisor or in the same department, if Institute fellowship is available for the purpose.

3.3 Non-teaching staff of the Institute may be permitted to join the M. Tech. (R) programme under following terms and conditions:

- (i) A member of non-teaching staff seeking permission to join the research programme must hold a permanent post in the Institute and must have a standing of at least 3 years service in the Institute in the same cadre.
- (ii) The employee must be engaged in research as a part of his normal duty, so that his work output can qualify for the degree of M. Tech. (R). Study towards M. Tech. (R) cannot be done on a part time basis outside the working hours of the Institute.
- (iii) The application for administrative permission to join a research programme by a member of non-teaching staff must be submitted to the Director through the Head of the Department/Centre or the section in-charge, as the case may be where the candidate is employed. While submitting the application he/she must give an undertaking to the effect that he/she will abide by all rules and regulations.
- (iv) Administrative permission by the Director does not constitute academic approval of the Senate for admission.
- (v) The application will be examined by the Departmental Academic Committee (PG & R) of the department where the candidate wants to be enrolled. The committee will interview the candidate to ascertain his suitability in the programme.
- (vi) Regular Non teaching staff appointed in sponsored research projects for carrying out research work may be given leave without pay from the Institute to work in the project and pursue M. Tech. (R) programme at the same time. In deserving cases, Director, at his discretion, may approve payment of partial salary (up to 50%) and waive lien charges, against services rendered to the Institute.
- (vii) Every application for admission under this category shall be examined by the Research Programme Evaluation Committee(RPEC) taking into account whether the proposal for joining the programme for which permission is sought for arises out of genuine interest and ability, and whether the normal job assignment of the applicant sufficiently overlaps with the proposed research programme. Final permission will be accorded by the Senate.

(viii) The members of the non-teaching staff applying for M. Tech. (R) programme must satisfy the minimum qualification requirement as mentioned in para 2.1 or 2.2.

- 3.4 Candidates sponsored by major public and private sector employers are given concessions in admission and subsequent requirements. The norms for admission of sponsored candidate are given in Appendix - X.
- 3.5 Students enrolled in the Ph.D. programme may shift to M.Tech.(Res) on recommendation of the Doctoral Scrutiny Committee and approval of the Senate. All such proposals will be examined by the RPEC before presentation to the Senate.

Similarly, in case of M. Tech. (Res.) students with superior performance in courses as well as in research, the M. S. C. may recommend conversion of the programme to Ph.D. The proposal will be examined by RPEC before being presented to the Senate. The student will be required to satisfy all requirements of Ph.D. degree before submitting the thesis for Ph.D.

- 3.6 Candidates desirous of pursuing M. Tech. (R) programme must apply in prescribed form (Form AC/301) to the Deputy/Assistant Registrar (Academic) either on their own or against an official advertisement. These applications will be scrutinized by the Departmental Academic Committee (Form AC/302) of the concerned department. The recommended candidates, on approval of Dean(AA), will be called for personal interview with the Departmental Academic Committee.

The Committee, through written or oral examination, or a combination of both components, shall ascertain suitability of the candidates to the M. Tech. (R) programme and give its recommendation to the Dean (AA) for approval (Form AC/303).

While selecting a candidate for studentship with or without scholarship, Departmental Academic Committee will consider not only the merit (career, depth and breadth of knowledge in chosen and allied fields) of the candidate, but also the research aptitude and ability to complete the programme. The Committee shall also ascertain that at least one faculty member of the Department is available and willing to supervise the candidate if selected in his/her chosen field. [The faculty member will not have the option to refuse, if the candidate opts to work under him after joining.] A candidate should not be selected if the Department does not have physical resources and supervising faculty to do justice to the candidate's academic interest.

If a candidate recommended for admission has a close relative serving in the Institute as an Officer or a member of the faculty, the application should be so identified and sent to Director for approval. The Director may, at his discretion, approve the recommendation or refer to a committee on conflict of interest.

- 3.7 The admission letter (Form AC/304) will be issued by the Deputy/Assistant Registrar (Academic) to a successful candidate on the basis of recommendation of the Department and approval of Dean (AA)/Director.

- 3.8 On joining the Institute, submitting the enrolment form (Form AC/305) duly forwarded by the Department and after paying the prescribed fees, the candidate will be assigned a Roll number by the Academic Section.
- 3.9 The Academic Section will allot the candidate to a hall of residence. Students not desirous of staying in a hall must seek permission from the Dean (AA) to stay outside. A student permitted to stay outside the halls shall be attached to a hall and will be required to pay appropriate seat rent and other hall fees.
- 3.10 Admission to the programme may be given at any time of the year. The fees, however will be for a full semester. Summer is included in the Spring semester.

4. Supervisors

- 4.1 All candidates for M. Tech. (R) degree are required to carry out their research work under the guidance of ONE/TWO supervisors, to be appointed by the Senate or Director/Dean(AA) on its behalf on recommendation of the Departmental Academic Committee (PG & R) and HOD. Ordinarily the DAC will recommend one Supervisor. However in case of inter-disciplinary research (within the same department, across two departments or across two Institutes) a second supervisor may be appointed.
- 4.2 When there are two supervisors, one of them will be called the Principal Supervisor. Ordinarily the Principal Supervisor will be a faculty member of the registering department. However in deserving cases the DAC (PG & R) may recommend a faculty member of another department of the Institute as Principal Supervisor.
- 4.3
 - (a) The supervisor may be in the rank of Professor/Asst. Professor with or without Ph.D. degree or Lecturer with Ph.D. degree.
 - (b) A sponsored student desiring to work in his/her place of employment should have a supervisor from his/her organisation. The joint supervisor so proposed must have a Ph.D. Degree or at least 10 years of relevant professional experience. In case of Academic Institutes a Ph.D. Degree is necessary to become a joint supervisor. In deserving cases, the Senate may accept a supervisor from the sponsoring College/University without a Ph.D. degree.
 - (c) In special cases, where persons of adequate academic standing are not available in the sponsoring organization, and adequate physical facilities are available to ensure frequent contact between the student and his/her supervisor at NIT, Rourkela, the Senate may accept only one supervisor, who is a faculty member of NIT. The student will then be enrolled under category 9. Such proposals should be specifically approved by the Senate.
 - (d) In special cases, if it is felt to be beneficial to the project because of special expertise, the second supervisor may be from another Institute, Industry or other organization. Such cases shall be approved by the Senate on the recommendation of the DAC (PG & R) and RPEC.

- 4.4 A teacher with less than 1 year service left before superannuation may not be recommended as sole supervisor or principal supervisor. After superannuation a teacher will continue to be the sole supervisor if the thesis is submitted within 6 months; if it takes more than 6 months a substitute supervisor has to be appointed by DAC(PG&R). If no faculty member is willing to take up the assignment, the Director, as Chairman, Senate, will appoint the supervisor in consultation with the HOD. This selection will be binding on the student and the supervisor.
- 4.5 After superannuation from service if a person joins the Institute on re-employment or as Emeritus Scientist or on some scheme of UGC/AICTE, he will continue to be the sole supervisor or as Joint supervisor as he was before superannuation.
- 4.6 Persons from outside the Institute joining as Chair Professors/Emeritus Scientists can be appointed as supervisors for new scholars only jointly with a regular teacher, but not as sole supervisors.
- 4.7 A substitute supervisor can be appointed by DAC(PG & R) if a sole supervisor leaves the Institute. If the sole supervisor proceeds on long leave for a period exceeding one year, the DAC (PG & R) shall appoint a second supervisor, who will serve as co-supervisor when the original supervisor returns.
- 4.8 During the course of a M. Tech. (R) programme, if the supervisor, the MSC, the HOD or the Departmental Academic Committee feels the necessity of a second supervisor, an appropriate proposal must be prepared and placed with full justification before the MSC. The recommendation of MSC will be further considered by the Departmental Academic Committee. If agreed by the DAC, the proposal may be placed to the Senate through the RPEC.
- 4.9 A student's preference of subject and supervisor must be taken into consideration by the HOD and DAC while assigning a supervisor to him. There should not be any undue restriction on faculty or students in choice of students or supervisors, particularly under categories not involving institute fellowship. The DAC should record the reasons for not honouring the request of a student. The DAC may, however restrict the number of Institute fellowships (including those from QIP and special projects) allocated to a supervisor or research group.
- 4.10 There shall be no limit on maximum number of research scholars a faculty member can guide. The department may, however, regulate the number of students with Institute fellowship (including QIP and other fellowships allotted to the Institute) that will be assigned to each faculty. For example, a faculty member can get a second student with Institute fellowship only when there is no other eligible and willing faculty member to accept a student in the same major area (specialization) within the department. Students with individual fellowship, project fellowship, without fellowship and those current Institute scholars who have completed three years after admission will not be counted for the purpose.

5. Masters Scrutiny Committee (MSC)

5.1 A Masters Scrutiny Committee shall be constituted by the Senate for each candidate admitted to the Research Programme leading to M. Tech. (R) degree on recommendation of the DAC(PG&R) of the Department.

It shall consist of the following members:

1. Head of the Department (ex officio)* – Chairman
2. Principal Supervisor – Convener
3. Second Supervisor (if applicable) – Member
4. One faculty member from the department where the candidate is enrolled to be nominated by DAC (PG&R) – Member
5. One faculty member from a related department nominated By DAC (PG & R) – Member
6. One faculty member from another department to be nominated by Dean(AA). – Member

*If the Head of the Department is a supervisor, the Chairman of the MSC will be nominated by Dean(AA) as long as the supervisor serves as the HOD. Similarly, when a supervisor assumes charge of HOD, the Dean (AA) will nominate a senior Professor to serve as Chairman of MSC.

5.2 No teacher who is enrolled for any degree in the Institute or outside shall be a member of MSC till completion of his/her degree.

5.3 The composition of the MSC shall be proposed by the DAC (except for the member from outside the department) when a student joins the Department and the recommendation shall be sent to the academic section. The academic section shall obtain approval of Dean (AA) and bring out an office order stating the constitution of the MSC. The Committee will hold its first meeting immediately on formation to process the formalities of "Provisional Registration". This process will be completed within a month of a student joining.

5.4 The Principal Supervisor, acting as the convener of the MSC, will normally organize the meetings of the MSC after obtaining suitable dates from the Chairman and the members. Ordinarily, MSCs should meet within two working days of initiating the process. In case of difficulties in finding time convenient to all, or when a MSC is unable to reach a consensus, the Dean (AA) may be approached by either the Chairman or the Convener to organize the meeting for making appropriate recommendations to the Senate. The Dean (AA) may, at his discretion, nominate additional members with relevant expertise from the same or other departments to assist in the specific task.

- 5.5 The MSC shall always record its recommendations with appropriate reasoning and enclosures, and formal minutes should be drawn and signed during the meeting. There shall be no provision for delayed preparation of minutes nor for confirmation of minutes.
- 5.6 Decisions of MSC shall normally be arrived at by consensus among members. In case of serious disagreement among members, the Chairman of MSC shall record the different viewpoints and put up to Chairman Senate through Dean (AA) for a decision. The Chairman's decision shall be binding on all concerned.

6. Enrolment and Provisional Registration

- 6.1 On receiving a letter of admission, every student joining the M. Tech. (R) programme shall meet the Head of the Department and submit an application for enrolment in Form AC/305. The HOD will call the DAC (PG & R) and assign the student to one or two supervisor(s), and will recommend the structure of the MSC. The student will present the recommendation of the Department to the Academic Section who will permit him to pay the fees and assign a roll number. During this period, (not to exceed one week) the student will get free accommodation in the student hostel, but will pay for the meals.
- 6.2 All the candidates admitted to the M. Tech. (R) programme are required to enroll in the programme on payment of the prescribed fees as given in Appendix - V and to carry out research work under a supervisor (or two supervisors) as mentioned in Clause 4. The enrolment will be with effect from the date on which a student is assigned a roll number [Form AC/306].
- 6.3 Within two weeks of enrolment, the student shall submit an application [Form AC/307] for provisional registration, in consultation with the supervisor. The application shall contain details of a student's career and his broad area of research.
- 6.4 The Masters Scrutiny Committee will examine the application and recommend "Provisional Registration". The provisional registration will record the area of research and the course work assigned. The Academic Section will bring out an office order on Form AC/308. The process should normally be completed within one month of a student's joining the department.
- 6.5 The effective date of provisional registration shall normally be the date of admission. The MSC may extend the date if a student does not initiate his course or research work immediately on admission.

7. Residential requirement

Normally all candidates admitted to the M. Tech. (R) programme will be required to stay in the Institute till they complete all assigned work and submit thesis. However, for sponsored candidates, the MSC may recommend to reduce the minimum residential requirement to one semester or higher (for completing the course work and formulating the research problem). Normally residential requirement shall be six months for Central Government R&D organizations and major industry with established R&D facilities, and one year for colleges and similar organizations.

If a sponsored candidate intends to carry out a major part of his research work in his place of employment, he must convince the Departmental Academic Committee (PG&R) at the time of selection that adequate research facilities and research tradition exist in his institution. While taking the decision DAC (PG&R) will examine all the documents presented to it regarding adequacy of the R & D facilities available in the sponsoring organisation. These documents have to be furnished by the candidate during the time of interview. In general major Central Govt. (CSIR, DRDO, DAE, ISRO, CDAC etc.) labs, research organisations, industries (public or private) with established R&D facilities are taken as organisations with adequate facilities. Regarding recognition of other organisations the DAC (PG&R) has to make a recommendation on the basis of the material available to it to the Director/Dean (AA) for approval. In every case, the Senate will decide the residential requirement.

Candidates employed in teaching or R&D Institutions within or in the vicinity the city of Rourkela and permitted by the employer to spend sufficient time on research at NIT may be exempted from the compulsory residential requirement. In special cases, the Senate may extend the same facilities to employees of industry engaged in R&D or related (e.g. management) activities. In all cases of Category-9 students, the duration of the programme shall be at least 3 years.

8. Attendance and Leave

- 8.1 A research student, except when granted withdrawal by the Institute must attend to his work on a whole time basis. The department will maintain attendance record of the student, irrespective of whether the student is getting a scholarship or not. The DSC will examine the attendance record of students, and if it is found unsatisfactory, will recommend extension of minimum duration for submission of thesis, deregistration or termination of studentship, as it thinks fit.
- 8.2 A teacher of a course may debar a student from appearing in examination on ground of unsatisfactory attendance.
- 8.3 The working hours of Ph.D. and M.Tech(R) students is generally permitted to be flexible, but not lower than that of a full time employee. It is the supervisor's legal and moral responsibility to ensure that proper work environment is made available to the student. The students are encouraged to discuss such issues with their supervisors, with HOD and higher authorities.
- 8.4 A research scholar other than Institute staff is eligible for following leave per academic year to be permitted by the Head of the Dept. on recommendation of the supervisor (s).
 - i) For incidental purposes, CASUAL LEAVE – 15 working days.
 - ii) For treatment on illness, MEDICAL LEAVE – 15 days including intervening holidays.

If a student falls ill outside the Institute (only if he is out on approved leave or deputation), the Medical Certificates must be seconded by an Institute Medical Officer. The student must prove the genuineness of the illness by submitting medical attendance slips, referrals, diagnostic reports, medicine purchase receipts and all other medical papers in original before the Institute medical officer and/or Dean(AA) / Director.

There is no summer or winter vacation for research students.

In matter of course work, leave rules applicable to M. Tech. courses will also be applicable to Ph. D. and M. Tech. (R) students.

A student may be granted mess rebate for authorized absence (on leave or travel on duty) of 5 days or more, provided the hall office/caterer is informed in advance.

Forms NITR/AC/110 and AC/111 may be used by students while applying for leave of absence from course or research work on leave, academic or student activity.

9. Semester Registration

- 9.1 A student enrolled in the M. Tech. (R) programme will be required to register every semester using Form AC/311 by paying Institute dues and other fees. [The semester registration is to be distinguished from Academic Registration, discussed in Section 11]. A full time student must be registered for 26 credits of academic load including courses and research credits. Part time students, including those who have taken withdrawal from the Institute and students of Category-9 can be registered for no more than 18 credits, including Seminar and Technical Writing and comprehensive viva voce.
- 9.2 Students who have been sanctioned withdrawal also need to do semester registration. They may, however, be permitted, in alternative semesters, to send registration form by post to their supervisors, who will present them to the Academic Section through the HOD. Thus a student taking withdrawal must register in person at least once every academic year.
- 9.3 Failure to do semester registration for two consecutive semesters will result in termination of studentship, which can be restored by the Senate on consideration of all circumstances, payment of arrear fees and extension of thesis submission date.
- 9.4 It shall be the responsibility of the student to bring any deviation in his status in matters of course of work, registration, withdrawal etc. to the attention of Dean (AA) at the time of semester registration, if he has not done so earlier.
- 9.5 A student may be exempted from semester registration by Dean (AA)/Director if he submits thesis within 30 days of scheduled semester registration. If he fails to submit thesis within 30 days, he must do semester registration before the thesis is accepted for evaluation.

10. Course Work and Academic Credits

- 10.1 Every full time student of M. Tech. (R) programme must be registered for 26 credits of academic load per semester. The credit load will contain some regular courses and a two-credit course on "Seminar and Technical Writing", the balance being research credits. A student must acquire at least 104 credits including research credits registered for during the semester of thesis submission before being awarded the M. Tech. (R) degree.

10.2 A part time student may register for less credits depending on his involvement in other activities. While students engaged in full time research in R&D institutions whose job assignments match exactly with his thesis work may register for 24 credits of research per semester, others including college teachers and industry personnel may take maximum 16 credits of research load. The 2 credit course on "Seminar and Technical Writing" in addition to research credits is compulsory for all students in every semester.

10.3 In the final semester, a student should register for 4 credits of comprehensive viva voce in addition to research credits and seminar course.

10.4 In order to qualify for the degree a student is required to complete the following curricular requirements:

Part – A : Day to day work	
(a) Course work	12 credits
(b) Seminar & Technical Writing	8 credits
(c) Comprehensive Viva-voce	4 credits
(d) Registration Seminar	2 credits
(e) Synopsis Seminar	2 credits
(f) Research	84 credits
Sub total	112 credits
Part – B : Dissertation	
(a) Internal Evaluation of dissertation (by Supervisors)	8 credits
(b) Evaluation of dissertation by experts from institute	16 credits
(c) Evaluation of dissertation by external expert	16 credits
(d) Final Viva-voce by MSC, internal experts and supervisors (In special cases, at the discretion of the Chairman of the Senate, an external expert may be co-opted)	8 credits
Sub total	48 credits
Part – A & Part – B	Total
	160 credits

A student with B.Tech. degree registering in another discipline of engineering or science or a student with M.Sc./MBBS/MBA/MCA/B.Pharm degree registering any discipline of engineering has to successfully complete additional B.Tech./M.Sc. course credits of at least 08. Depending on the subject area, additional course work may be recommended by the MSC as deemed fit.

10.5 The coursework may be chosen from the existing PG (M.Tech.) programmes of the registering Dept. or from those of other departments. If a student joins the M. Tech. (R) programme in the middle of a semester, he must take courses in the following semester. Delay of maximum 10 working days can be condoned in joining a course. If a student needing course work does not get two full semesters to complete the courses, he may take one or more semesters to complete the courses.

- 10.6 The specific subjects of study will be decided by the MSC on recommendation of the supervisor(s). When a student joins at the beginning of a semester, he may be advised by his supervisor (s) to attend classes of recommended courses even before the provisional registration process is officially complete. In case the courses approved by the Senate are different from the courses being taken by the student, the student may at his choice discontinue or complete the courses recommended by the supervisor(s).
- 10.7 If recommended courses are not offered by the departments, the MSC can propose amendment of the list up to 02 courses (maximum) at the request of the supervisor(s). The change, if approved by Dean (AA), will be reported to Senate in its next meeting. Such amendment must be requested at least two weeks prior to the starting of a semester.
- 10.8 The candidate has to obtain an average grade point of not less than 7.5 in course credits and 8.00 in research and other credits with individual grade not less than C in each subject in the seven scale grading system. A course can be repeated to improve the grade if necessary.
- Research credits lower than C will be ignored in calculation of credits completed.
- 10.9 In addition to courses of the M.Tech programme, a Department may offer special courses for M. Tech. (R) and Ph.D. students during the semesters or during summer vacation. If a course is offered in summer vacation, the total number of contact hours and the pattern of examination shall be the same as other courses taught during the normal semesters.
- 10.10 There is no provision for “guided self study” or “courses taken in other universities” under the M.Tech (R) programme. Institute employees including persons employed in sponsored projects may enroll in courses of their choice before enrolment in M.Tech(R) or Ph.D. programme under intimation to the Academic Section. When they join a Ph.D. or M.Tech(R) programme, the course and the credit earned may be counted towards course requirement at the discretion of the M.S.C. or D.S.C.
- 10.11 All M.Tech (R) students must register for the two-credit course named “Seminar and Technical Writing” in every semester. Resident students will satisfy the course requirement by attending Institute and Departmental Seminars, presenting seminars and poster presentations to departmental audience and submitting technical writings on assigned topics. Non-resident students will submit equivalent amount of technical writing and reports on seminars attended at their own places of work. If a student does not accumulate the required credits with at least C grade, he will not be permitted to submit his thesis. In special cases, if a student is ready with his thesis but has not cleared the required credits, the Director may, at his discretion, give him special assignments and appoint an examiner to evaluate the output.
- 10.12 The Seminar: The two seminars, each of about 45 minutes duration and each carrying two credits, should be so programmed that one is delivered at the completion of the course work (Registration) and the other at the time of submission of synopsis. The topic of the seminar shall be related to the area of his research work. Performance of students at the seminar will be assessed by the Masters Scrutiny Committee.

- 10.13 The comprehensive Viva-voce : The oral examination carrying four credits which will be conducted by the Masters Scrutiny Committee, will cover the course work completed by the student. This should be held preferably within one month of completion of course work, before the registration seminar.
- 10.14 Ph.D. and M.Tech(R) students enrolled in PG and UG courses are subject to the same regulations as applicable to other students in the courses with regard to attendance, discipline, assessment and grading.

11. Registration for M.Tech (R) degree

- 11.1 Each candidate enrolled for the M. Tech. (R) degree is given provisional registration on applying in prescribed form(See Section 6). This application shall be considered by the MSC in its first meeting, which will be held within one month of a student's date of admission. The MSC, on suggestions of the supervisor(s), shall recommend:
- a) the area of research,
 - b) the course work to be carried out by the student.

The application for provisional registration will be sent by the HOD to Dean(AA) for placing before the Senate through RPEC.

- 11.2 An M.Tech (R) student, provisionally registered, will be formally registered for the degree of M. Tech. (R) on completion of certain steps. The registration can be done only after (a) the candidate has successfully completed all assigned course work (See Section 10), (b) worked out a road map of his Masters programme (c) successfully cleared the comprehensive viva-voce and (d) delivered an open seminar.

On completion of the course work (if any) a student will appear in a comprehensive oral examination to assess his depth and breadth of knowledge in the intended field of specialisation. The Masters Scrutiny Committee will become the examination board. One additional member may be inducted by the H.O.D. from the department or outside with specialization close to the area of research.

After satisfactory clearance of this examination, the student has to present his progress and plan of work to all members of the MSC in the form of a written document [Approximately 5 pages]. After a few days of handing over the report, the Department shall arrange a seminar by the student in the presence of the MSC. It should be an open seminar in the department, with invitation extended to students and faculty of all departments.

The written document and the seminar should outline the planned research work and identify the milestones. Both excessive vagueness, as well as exact description of the work to be done are discouraged at this stage to facilitate focused research work without being constrained. The broad objective stated in provisional registration order may be further focused at the time of registration.

Normally this should be done after elapse of 6 - 9 months from date of admission, but not later than 12 months. When a student fails to clear the course work within 12 months, or his seminar performance is unsatisfactory, he may be re-evaluated after a lapse of 3 months or more. If he cannot clear the course work and seminar within 2 years from the date of admission, he will be required to leave the M. Tech. (R) programme. In special cases with mitigating circumstances, the Senate can grant extra time without scholarship.

The MSC will recommend the effective date of registration depending on the progress of the student, but not prior to the effective date of provisional registration. If found unsatisfactory, the presentation can be given after 3 months, in which case the effective date of registration also shifts. The effective date of registration cannot be earlier to the date of seminar by more than one year except when the course work has taken 3 or more semesters. In such cases the effective date can be up to 18 months prior to the date of the seminar, but not before the date of enrolment.

- 11.3 The Head of the Department will send the application for registration [Form AC/309] to Dean(AA) along with a copy of the student's written report and recommendation of the MSC. The matter will be placed before the Senate through RPEC for approval.
- 11.4 The Academic Section shall bring out an office order [Form AC/310] confirming the registration after it is passed by the Senate.
- 11.5 At the end of every semester, the Academic section will issue an unsigned "grade card" on Form AC/325 listing all the courses and the grades obtained including research credits and Seminar and Technical Writing courses. At the end of the academic programme, a signed grade sheet will be issued by the Academic Section. A signed grade card may also be issued on a student's request and payment of prescribed fees after completion of 3 semesters.

12. Fellowship

An M.Tech (R) student may be self-financed or can get a scholarship. In case of students awarded a scholarship by an external agency or from a research project operating in the Institute, the rules shall be governed by the provisions specified by the sponsor. Institute fellowships shall be governed by the rules of Institute.

Institute fellowships, if any, may not be awarded to candidates above 28 years of age [31 years for SC/ST and women candidates] on the date of selection. The restriction shall not apply to scholarships awarded by external agencies or sponsored projects.

13. Withdrawal

A student, pursuing the M. Tech. (R) programme by staying on campus, can become non-resident by taking withdrawal from the programme. Such withdrawal can be granted on one of the following grounds :

- (a) When a sponsored student wishes to return to his place of work on completion of at least

one semester of residence requirement, provided that such a scenario was mentioned in his application for admission.

- (b) When, on the certification by the supervisors, the MSC is satisfied that most of the experimental/computational work has been completed, and that the student can finish the rest of the project from outside. In this case the student shall submit a long report for scrutiny by the MSC along with the application.
- (c) When a regular student returns to his original place of employment or secures new employment, and the M.S.C. is satisfied that adequate facility exists in his place of work to carry out the project. The employer's sponsorship and a second supervisor must be ensured before such requests are considered by the MSC.
- (d) When a student, for personal or financial reasons, intends to take a temporary break and return to the Institute for completion of the work, or
- (e) Any other circumstances, which in the opinion of the Senate, justifies withdrawal.

For withdrawal under clause (b) or (c) above, a student should have completed at least 3 semesters of study in the Institute. In cases of submission of thesis from outside under provision (a), the minimum period of work shall be 5 semesters including the period spent in the Institute.*/

The following rules shall govern the withdrawal process:

- (a) The student shall do semester registration regularly, personally visiting the Institute at least once a year.
- (b) He shall pay all applicable fees every semester.
- (c) He completes the programme within the stipulated period (4 years) including the withdrawal period.
- (d) He will be entitled to a room in the hostel with all related facilities during his visits to the Institute, at approved rates of seat rent for short stay.
- (e) After withdrawal, a student may register for a maximum 16 credits of Research per semester plus two credits of Seminar and Technical Writing. When his job assignment matches exactly with his thesis work, the Director or Dean(AA) may permit him to register for 24 + 2 credits.

A student must apply to Dean (AA) through his supervisor(s) and HOD for withdrawal in prescribed form [Form AC/204] along with a report on the work done so far and plan of activities in future. The Supervisor will state the status of the project and the M.S.C. will examine the proposal. Withdrawal can be granted provisionally by Director if satisfied, and be presented to Senate for final approval. The Assistant / Deputy Registrar (Acad) will issue an withdrawal order on Form AC/205.

14. Submission of Thesis

- 14.1 A candidate for the M.Tech (R) degree can submit his thesis after elapse of at least 2 years from the effective date of registration. The maximum period for submission of thesis is 4 years from the effective date of registration for all candidates. In all cases, the Masters Scrutiny Committee must be satisfied that adequate work has been done by the candidate.

Prior to submission, the candidate will submit the synopsis of the thesis [typically 10 pages including tables, graphs and references] and present a seminar to an open audience, which will include members of MSC. Copies of the synopsis should be handed over to the members of the MSC well before the date of the seminar. If the MSC is satisfied with the extent of work done, the candidate will be allowed to submit the thesis. The MSC should confirm that the student has earned the required number of course and research credits including the courses registered for in current semester and has cleared two credits of Seminar and Technical Writing per semester. If the MSC is not satisfied with the progress of work, the candidate has to appear again after a lapse of 3 months or more.

If the MSC feels appropriate, it may, at its discretion examine the full draft thesis before a student is permitted to submit it for evaluation. The thesis must be submitted within 2 months after the MSC approves the synopsis. Extension of the period beyond 4 years from the date of registration is not permitted. A student will be required to apply for fresh registration.

14.2 A candidate shall submit four copies of the thesis in case of single supervisor and five copies in case of two supervisors, neatly typed or printed and bound in a manner notified separately. The thesis must contain, besides the text and common matters like bibliography/references and summary/conclusions:

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

The candidate will also submit two copies of the thesis in electronic form and permit the Institute to use it in any manner that the Institute thinks fit. For the present, the electronic text should be submitted as two folders: one containing MS-WORD files and another PDF files. On completion of oral examination, a fresh CD may be submitted if any changes are made. One printed copy and one electronic copy shall be archived in Institute's Central Library, while another set shall be kept in the Department.

14.3 Format of submitting of thesis should be uniform across all departments.

15 Evaluation of Thesis

15.1 The MSC will suggest [Form AC/317] a list of 8 examiners (three from within the Institute and

five from outside). After successful completion of the synopsis seminar by the candidate the examiners' list along with a copy of the synopsis will be placed to the Chairman, Senate to select the External Examiners under both categories in order of preference. The Chairman, Senate may add any name to or delete any name from the list suggested by MSC. The supervisor(s) will also serve as examiner(s) in addition to the two external examiners.

- 15.2 The Dean (AA) will send a formal letter to the examiners along with a copy of the synopsis requesting for acceptance of Examinership. After receiving the consent, the thesis will be mailed along with proforma of Examiner's report. In case of refusal, the second examiner in order as ticked by the Chairman Senate will be contacted and so on. If in this process, the list is exhausted, the Dean (AA) may ask the MSC to submit another list. The internal examiners (supervisors) will also be sent copies of the thesis along with the proforma of examiner's report.
- 15.3 The reports of the examiners shall be summarised by Dean (AA) and placed before the Director. After obtaining Director's approval, the reports are forwarded to the MSC. There may be four possible situations arising out of the nature of the reports. The steps to be taken, appropriate to the circumstances, are laid down below:
- (i) The examiners are unanimous in recommending the award of the degree without any modification of the thesis. This is a clear case for going for the final requirement of viva- voce.
 - (ii) The examiners are unanimous in recommending the award of the degree but at least one of the examiners has suggested modification and/or has asked for clarifications. The candidate in that case shall make modifications and provide the clarifications as suggested within a time to be fixed by the MSC. These may be sent to the examiners, if so desired by them.
 - (iii) One of the examiners does not recommend the award of the degree and rejects the thesis whereas the other external examiner recommends the award. The MSC 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, Senate the appointment of another external examiner and send the thesis to him in its original form. The third examiner will be provided with copies of the evaluation reports of all examiners, external and internal, with the names of the examiners deleted. The recommendation of this 'third' examiner, at this stage, shall be taken as final.
 - (iv) Both the examiners reject the thesis, and then the student is declared, "failed".
- 15.4 In the event of a thesis being rejected by both the examiners the Senate may, on the recommendation of the MSC, permit submission of a revised thesis on an additional payment of the prescribed fee, after a suitable time to be fixed by the Senate (Not less than one year from the date of the intimation to the student and within 4 years from the date of enrolment). The observations and comments of the examiners, if any, may be copied and given to the

candidate on request. In no case should a resubmission of the thesis without modification along the lines of criticism made by the earlier examiners be allowed. The revised thesis shall be referred for assessment to two examiners selected from a new panel of ten experts recommended by the MSC. The new examiners will be provided with copies of earlier thesis, examiners' reports and details of changes made, in addition to the revised thesis.

The examiners need to respond specifically to the observations of the earlier examiners and the changes made by the student before re-submission.

15.5 After the recommendations of the MSC (either for acceptance of the thesis for the M. Tech. (R) degree or for its rejection/modification) have been accepted by the Senate (or its Chairman on its behalf) a copy of the reports of the examiners may be issued to the candidate at his request. However, the names of the examiners are not to be disclosed.

15.6 Once the reports of the examiners have been accepted as satisfactory, the candidate will have to defend the thesis before a viva voce board consisting of all MSC members and an examiner other than the supervisor. The defense will be open where faculty members and students of the parent as well as other departments will be invited. The evaluation, however, will be done by the MSC along with the external examiner. The 'external' examiner may either be one of the experts who have already adjudicated the thesis or be another expert appointed for the purpose. The viva voce board may recommend changes in the thesis.

If the viva voce board is not satisfied, the candidate has to appear again before the board after elapse of three months. The MSC shall recommend to the Senate the award of the M. Tech. (R) degree if the viva voce is satisfactory and all other requirements have been fulfilled.

15.7 On completion of the viva voce, the student will submit two copies of the revised thesis and two copies in electronic media, which, will be archived in Institute and Departmental Libraries. All available copies of the original version will be returned to the student. The copies available with the student and his supervisor(s) must also be corrected.

15.8 The departments shall use Forms AC/318, AC/319 and AC/321 – AC/325 for recording various recommendations of the committees and decisions of academic authorities.

16. Award of Degree

16.1 On the recommendation of the Masters Scrutiny Committee, the Senate or the Chairman, Senate (when the Senate is not sitting early) shall decide whether the candidate should be awarded the degree of Master of Technology (by Research). If the Chairman, Senate has approved the award of degree the award must be confirmed by the Senate.

16.2 Normally a student will be awarded M. Tech. (R) degree in the branch of study in which he is enrolled. But in exceptional cases, the MSC may recommend to the Senate to award the degree in another branch depending on the contents of the thesis. This can be done at the time of provisional-registration (preferred), Registration or even after the thesis is submitted.

16.3 A provisional certificate may be issued to the student on approval of the Director. The final degree certificate will be issued in the convocation or by any other mode approved by the Senate.

17. Conduct and Discipline

17.1 Students shall conduct themselves within and outside the campus of the Institute in a manner befitting the students of an Institution of National standing.

17.2 Detailed rules regarding conduct and discipline are given in Appendices–IV and VI.

18. Progress of Research Programme

The progress of the research programme of a student shall be continuously monitored by the Doctoral / Masters Scrutiny Committee. In practice, the committee will depend on inputs from the supervisors, HOD and the student. It will be the responsibility of the student to ensure that his papers remain up to date in matters of registration, course work, extension of fellowship, withdrawal and other formalities. In case of any deficiency, he should draw attention of his supervisor(s) and HOD, and if unsuccessful, that of the Dean (AA) and Director.

Although rare, sometimes there may be a breakdown of communication between a student and his supervisor due to physical distance or due to personal reasons. It shall be the responsibility of the student to bring such matters to the attention of HOD, Dean (AA) and Director. The Institute shall do the needful to establish communication or to make alternative arrangement.

19. Termination of Studentship

The studentship of a M. Tech. (R) student may be terminated by the Senate on exceptional grounds. They are:

1. Recommendation of Institute's Disciplinary Committee.
2. Poor progress as noted by the Masters Scrutiny Committee and Departmental Academic Committee (PG&R). Such a decision may be implemented only after approval of the Senate.
3. Failure to do semester registration for two consecutive semesters.
4. Prolonged absence (exceeding three months) from the Institute without sanctioned leave or withdrawal.

20. Transition issues

These regulations shall come into effect from AY 2007-08 Autumn Semester. Students enrolled prior to this date shall also be covered under these regulations, except when the implementation of these regulations leads to obvious anomalies and serious hardship to the students. The final decision on each specific issue will be taken by the Senate (or Chairman Senate on its behalf) on case-to-case basis.

21. Dissemination of information

- 20.1 A copy of this document shall ordinarily be given in print or electronic form to every M.Tech student on admission to NIT Rourkela. It will also be made available on the Institute's web site. Not possessing a copy, however, shall not exempt a student from complying with these regulations.
- 20.2 The Assistant/Deputy Registrar (Acad) is authorized by the Institute to issue formal certificates of studentship [Form AC/115] and Expenditure Certificate [Form AC/116]. Dean (AA) will sign all certificates of studentship on behalf of the Director when external agencies seek such certificates from Head of Institution.
- 20.3 On publication of final results a student will be issued a provisional certificate on Form AC/127 and a Institute leaving cum migration cum conduct certificate on Form AC/126. Form AC/127 will be signed by Dean (AA) on behalf of the Director, while Form AC/126 will be signed by Dean (SA). The final degree certificate will be signed by Registrar, Director and Chairman, Board of Governors.

22. Exceptions

Notwithstanding anything stated in the rules, the Senate can make special provisions and exceptions depending on the merit of a case. Such cases shall not be cited as precedence in future occasions of similar nature, because two situations though similar may not be identical.

In emergency situations, the Director in capacity of the Chairman Senate, can exercise powers of the Senate and discharge the functions of the Senate. Such decisions must be reported to the Senate at its next meeting.



**REGULATIONS
FOR
PH.D. DEGREE IN ENGINEERING, SCIENCE,
&
HUMANITIES AND SOCIAL SCIENCES
(EFFECTIVE FROM ACADEMIC SESSION 2007-08)**



NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA

I N D E X

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1. Introduction

- 1.1 The Institute provides facilities for research leading to the Degree of Doctor of Philosophy (Ph.D.) in Engineering, Science, Humanities and Social Sciences in various disciplines as mentioned in Appendix—I.
- 1.2 The Ph.D. thesis shall be the report of the research work characterized by either discovery of new facts, new interpretation of known facts and theories, an independent design or development, development of a new instrument or technology, an exhaustive study and criticism of published work, or any applied research work that can be exploited for creation of wealth of for human well being.

2. Eligibility

- 2.1. The minimum qualification required for admission to Ph.D. programme in Engineering, Science, Humanities or Social Science is one of the following:
 - 2.1.1. M.E./M.Tech./M.Pharm in relevant discipline with at least 6.5 CGPA or 60 percent marks in aggregate in both B.Tech. (or M.Sc./M.Pharm/MCA) and M.Tech. levels from a recognized technical Institute or University.
 - 2.1.2. B.E./B.Tech./B.Pharm/MCA or equivalent in relevant discipline with CGPA of 7.0 or 65 percent marks in aggregate.
 - 2.1.3. M.Sc. in Basic Sciences with CGPA 7.0 or 65 percent marks in aggregate in relevant disciplines.
 - 2.1.4. M.B.B.S. with CGPA 6.5 or 60 percent marks in aggregate.
 - 2.1.5. M. Sc. /M.A. / MBA / M.Com. in Humanities or Social Sciences or Management with CGPA 6.5 or 60 per cent marks.
- 2.2. In computing the CGPA or percentage of marks, all papers of a B.Tech., M.Sc., M.Tech or any other programme will be considered both in numerator and denominator.
- 2.3. Universities some time record their own conversion of marks to grade or vice versa on their grade sheets. Under such circumstances NIT Rourkela will accept only the original mode of evaluation ignoring the conversion.
- 2.4. In exceptional cases, where the candidate has proven research experience, evidenced by published papers and/or unpublished documents, the Senate, or Chairman Senate on its behalf, can relax the mark requirement by 5 percent (or 0.5 in CGPA). Copies of the documents considered for the purpose must be presented to the Senate.

A further concession of 5% in B.Tech/M.Sc. marks or 0.5 in CGPA may be given by the Senate to candidates sponsored by Government departments or autonomous bodies under the Government who have put in at least 5 years of service in a relevant assignment. Such candidates will be required to complete at least 8 credits of undergraduate courses with minimum B grade in each, in addition to the normal course requirements.

- 2.5. Students with degrees in one discipline of Science or Engineering can enroll for Ph.D. in another discipline of Humanities, Science or Engineering, if such migration is considered relevant by the Departmental Academic Committee (PG & R). The constitution and functions of DAC (PG & R) are given in Appendix – VII. The Senate will announce, from time to time, a list of relevant departments and specializations for admission to Ph. D. programme in each discipline. In all other cases, the decision must be made by the Senate (or Chairman Senate on its behalf) on case to case basis depending on the fields involved, proposed research programme and academic preparation of the candidate. A list of required specializations for various departments is given in Appendix – II. Students without adequate background in the primary discipline (listed in Appendix – II) will be required to have 10% extra marks (1.0 in CGPA) to qualify over students with specialization in a primary discipline, unless explicitly exempted by the Senate.
- 2.6. Qualification in GATE or NET is not essential for admission to Ph.D. programmes. Students applying for Institute or Government scholarships / fellowships, however, shall need an M.Tech. degree or a valid NET (Lectureship or JRF) or GATE score, if required by the Government regulations.
- 2.7. The various categories of students (with or without financial support) mentioned below are eligible for admission to Ph.D. programme provided they satisfy the qualification requirements as given in section 2.1.
1. Full time student with Institute Fellowship /Assistantship (Institute Scholar)
 2. Full time student with External Fellowship (UGC/CSIR etc.)
 3. Full time student without Fellowship (self financed/self supported)
 4. NIT faculty
 5. NIT regular employees (Non teaching)
 6. Project Scholars (JRF/SRF/RA etc.) or project staff members
 7. QIP Scholars
 8. Sponsored student (Institute/Research Organisation/Industry)
 9. Sponsored student from Rourkela and vicinity [part time]
- 2.7 Unlike other academic programmes, mere possession of required degrees and a superior academic record do not guarantee admission to a student to the Ph.D. programme. Apart from academic record, the DAC will take into consideration the research aptitude, ability to work in a team, subject interest, availability of supervisors, facilities in the department and the department's research focus while selecting candidates to the Ph.D. programme.

3. Admission

- 3.1 All categories of candidates except the members of the Institute faculty, QIP scholars and scholars nominated by the Central Government have to be selected by Departmental Academic Committee (PG&R) on the basis of overall academic performance, written test and/or interview.
- 3.2 Candidates employed as SRFs/JRFs or as Full time Research engineers/officers in sponsored projects may be admitted to the Ph.D Programme under category 6. They need to obtain permission of the Principal Investigator and Dean (SRICCE) for admission. The project should have tenure of at least 18 months beyond the date of admission of the candidate to the Ph.D. programme. They also have to satisfy the qualifying marks requirement and will undergo selection procedure like other students. On termination of the project, their status will be full time student without scholarship (Category 3), unless offered another type of scholarship. Students who have earned a GATE/NET score or have M.Tech. degree and have availed at least 18 months of fellowship under a project will get first priority in award of Institute fellowship, irrespective of number of fellowship holders under the same supervisor or in the same department.
- 3.3 Members of teaching staff desirous of enrolment in Ph.D. programme can do so without any selection formality. No administrative permission is necessary. They will be guided by all other norms for Ph.D. registration and thesis submission as per regulation. They will apply to the Institute for admission in the standard application and enrolment forms. If the faculty member applies for admission to his own department, selection is automatic. But if he/she applies for admission in another department, the DAC of the destination department will examine the proposal. No formal interview is necessary. Admission will be given if DAC recommends.
- 3.4 Non-teaching staff of the Institute may be permitted to join the Ph.D. programme under following terms and conditions:
 - (i) A member of non-teaching staff seeking permission to join the research programme must hold a permanent post in the Institute and must have a standing of at least 3 years service in the Institute in the same cadre.
 - (ii) The employee must be engaged in research as a part of his normal duty, so that his work output can qualify for the degree of Ph.D. Study towards Ph.D. cannot be done on a part time basis outside the working hours of the Institute.
 - (iii) The application for administrative permission to join a research programme by a member of non-teaching staff must be submitted to the Director through the Head of the Department/Centre or the section in-charge, as the case may be where the candidate is employed. While submitting the application he/she must give an undertaking to the effect that he/she will abide by all rules and regulations.
 - (iv) Administrative permission by the Director does not constitute academic approval of the Senate for admission.

- (v) The application will be examined by the Departmental Academic Committee (PG & R) of the department where the candidate wants to be enrolled. The committee will interview the candidate to ascertain his suitability in the programme.
 - (vi) Regular non teaching staff appointed in sponsored research projects for carrying out research work may be given leave without pay from the Institute to work in the project and pursue Ph.D. programme simultaneously. In deserving cases, Director, at his discretion, may approve payment of partial salary (up to 50%) and waive lien charges, against services rendered to the Institute.
 - (vii) Every application for admission under this category shall be examined by the Research Programme Evaluation Committee(RPEC) taking into account whether the proposal for joining the programme for which permission is sought for arises out of genuine interest and ability, and whether the normal job assignment of the applicant sufficiently overlaps with the proposed research programme. Final permission will be accorded by the Senate.
 - (viii) The members of the non-teaching staff applying for Ph.D programme must satisfy the minimum qualification requirement as mentioned in para 2.1.
- 3.5 Candidates sponsored by major public and private sector employers are given concessions in admission and subsequent requirements. The norms for admission of sponsored candidate are given in Appendix - X.
- 3.6 Students enrolled in the M.Tech (Res) programme may shift to the Ph.D. programme on recommendation of the Masters Scrutiny Committee and approval of the Senate. All such proposals will be examined by the RPEC before presentation to the Senate. In such a case the Senate will appoint a DSC and work out course requirement, and the student can submit Ph.D. thesis only after satisfying all requirements of the Ph.D. programme.
- 3.7 Candidates desirous of pursuing Ph.D. programme must apply in prescribed form (Form AC/301) to the Deputy/Assistant Registrar (Academic) either on their own or against an official advertisement. These applications will be scrutinized by the Departmental Academic Committee (Form AC/302) of the concerned department. The recommended candidates, on approval of Dean(AA), will be called for personal interview with the Departmental Academic Committee.

The Committee, through written or oral examination, or a combination of both components, shall ascertain suitability of the candidates to the Ph.D. programme and give its recommendation to the Dean (AA) for approval (Form AC/303).

While selecting a candidate for studentship with or without scholarship, Departmental Academic Committee will consider not only the merit (career, depth and breadth of knowledge in chosen and allied fields) of the candidate, but also the research aptitude and ability to work in a team and motivation to complete the programme. The Committee shall also ascertain

that at least one faculty member of the Department is available and willing to supervise the candidate if selected in his/her chosen field. [The faculty member will not have the option to refuse, if the candidate opts to work under him after joining.] A candidate should not be selected if the Department does not have physical resources and supervising faculty to do justice to the candidate's academic interest.

If a candidate recommended for admission has a close relative serving in the Institute as an Officer or a member of the faculty, the application should be so identified and sent to Director for approval. The Director may, at his discretion, approve the recommendation or refer to a committee on conflict of interest.

- 3.8 The admission letter (Form AC/304) will be issued by the Deputy/Assistant Registrar (Academic) to a successful candidate on the basis of recommendation of the Department and approval of Dean (AA)/Director.
- 3.9 On joining the Institute, submitting the enrolment form (Form AC/305) duly forwarded by the Department and after paying the prescribed fees, the candidate will be assigned a Roll number by the Academic Section.
- 3.10 The Academic Section will allot the candidate to a hall of residence. Students not desirous of staying in a hall must seek permission from the Dean (AA) to stay outside. A student permitted to stay outside the halls shall be attached to a hall and will be required to pay appropriate hall fees.
- 3.11 Admission to the programme may be given at any time of the year. The fees, however will be for a full semester. Summer is included in the Spring semester.

4. Supervisors

- 4.1 All candidates for Ph.D. degree are required to carry out their research work under the guidance of ONE/TWO supervisors, to be appointed by the Senate, or Dean(AA)/Director on its behalf, on recommendation of the Departmental Academic Committee (PG & R). Ordinarily the DAC will recommend one Supervisor. However in case of inter-disciplinary research (within the same department, across two departments or across two Institutes) a second supervisor may be appointed.
- 4.2 When there are two supervisors, one of them will be called the Principal Supervisor. Ordinarily the Principal Supervisor will be a faculty member of the registering department. However in deserving cases the DAC (PG & R) may recommend a faculty member of another department of the Institute as Principal Supervisor.
- 4.3
 - (a) The supervisor may be in the rank of Asst. Professor or above with or without Ph.D. degree or Lecturer with Ph.D. degree.
 - (b) A sponsored student desiring to work in his/her place of employment should have a supervisor from his/her organisation. The joint supervisor so proposed must have a

Ph.D. Degree or at least 10 years of relevant professional experience. In case of Academic Institutes a Ph.D. Degree is necessary to become a joint supervisor. In deserving cases, the Senate may accept a supervisor from the sponsoring College/University without a Ph.D. degree.

- (c) In special cases, where persons of adequate academic standing are not available in the sponsoring organization, and adequate physical facilities are available to ensure frequent contact between the student and his/her supervisor at NIT, Rourkela, the Senate may accept only one supervisor, who is a faculty member of NIT. The student will then be enrolled under category 9. Such proposals should be specifically approved by the Senate.
 - (d) In special cases, if it is felt to be beneficial to the project because of special expertise, the second supervisor may be from another Institute, Industry or other organization. Such cases shall be approved by the Senate on the recommendation of the DAC (PG & R) and RPEC.
- 4.4 Regular faculty members of the Institute enrolling in Ph.D. programme may be self- guided. Such cases should be examined by RPEC and put up to the Senate for approval.
 - 4.5 A teacher with less than 2 years service left before superannuation may not be recommended as sole supervisor or principal supervisor. After superannuation a teacher will continue to be the sole supervisor if the thesis is submitted within 6 months; if it takes more than 6 months a substitute supervisor has to be appointed by DAC(PG&R). If no faculty member is willing to take up the assignment, the Director, as Chairman, Senate, will appoint the supervisor in consultation with the HOD. This selection will be binding on the student and the supervisor.
 - 4.6 After superannuation from service if a person joins the Institute on re-employment or as Emeritus Scientist or on some scheme of UGC/AICTE, he will continue to be the sole supervisor or as Joint supervisor as he was before superannuation.
 - 4.7 Persons from outside the Institute joining as Chair Professors/Emeritus Scientists can be appointed as supervisors for new scholars only jointly with a regular teacher, but not as sole supervisors.
 - 4.8 A substitute supervisor can be appointed by DAC(PG & R) if a sole supervisor leaves the Institute. If the sole supervisor proceeds on long leave for a period exceeding one year, the DAC (PG & R) shall appoint a second supervisor, who will serve as co-supervisor when the original supervisor returns.
 - 4.9 During the course of a Ph.D. programme, if the supervisor, the DSC, the HOD or the Departmental Academic Committee feels the necessity of a second supervisor, an appropriate proposal must be prepared and placed with full justification before the DSC. The recommendation of DSC will be further considered by the Departmental Academic Committee. If agreed by the DAC, the proposal may be placed to the Senate through the RPEC.

- 4.10 A student's preference of subject and supervisor must be taken into consideration by the HOD and DAC while assigning a supervisor to him. There should not be any undue restriction on faculty or students in choice of students or supervisors, particularly under categories not involving institute fellowship. The DAC should record the reasons for not honouring the request of a student. The DAC may, however restrict the number of Institute fellowships (including those from QIP and special projects) allocated to a supervisor or research group.
- 4.11 There shall be no limit on maximum number of research scholars a faculty member can guide. The department may, however, regulate the number of students with Institute fellowship (including QIP and other fellowships allotted to the Institute) that will be assigned to each faculty. For example, a faculty member can get a second student with Institute fellowship only when there is no other eligible and willing faculty member to accept a student in the same major area (specialization) within the department. Students with individual fellowship, project fellowship, without fellowship and those current Institute scholars who have completed three years after admission will not be counted for the purpose.

5. Doctoral Scrutiny Committee (DSC):

- 5.1 A Doctoral Scrutiny Committee shall be constituted by the Senate for each candidate admitted to the Research Programme leading to Ph.D. degree on recommendation of the DAC(PG&R) of the Department.

It shall consist of the following members:

- | | | |
|----|--|------------|
| 1. | Head of the Department (ex officio) | - Chairman |
| 2. | Principal Supervisor | - Convener |
| 3. | Second Supervisor (if applicable) | - Member |
| 4. | One faculty member from the department where the candidate is enrolled to be nominated by DAC (PG&R) | - Member |
| 5. | One faculty member from a related department nominated by DAC (PG & R) | - Member |
| 6. | One faculty member from another department nominated by Dean(AA). | - Member |

If the Head of the Department is a supervisor, the Chairman of the DSC will be nominated by Dean(AA) from within or outside the department, who will serve as Chairman of DSC as long as the supervisor is HOD. When a supervisor assumes the charge of a HOD, he will request Dean (AA) to nominate the Chairman of DSC in his place.

- 5.2 No teacher who is enrolled for any M. Tech. or Ph. D. degree in the Institute or outside shall be a member of DSC till completion of his/her degree.

- 5.3 The composition of the DSC shall be proposed by the DAC (except for the member from outside the department) when a student joins the Department and the recommendation shall be sent to the academic section. The academic section shall obtain approval of Dean (AA) and bring out an office order on Form AC/306 stating the constitution of the DSC. The Committee will hold its first meeting immediately on formation to process the formalities of "Provisional Registration". This process will be completed within a month of a student joining.
- 5.4 The Principal Supervisor, acting as the convenor of the DSC, will normally organize the meetings of the DSC after obtaining suitable dates from the Chairman and the members. Ordinarily, DSCs should meet within two working days of initiating the process. In case of difficulties in finding time convenient to all, or when a DSC is unable to reach a consensus, the Dean (AA) may be approached by either the Chairman or the Convenor to organize the meeting for making appropriate recommendations to the Senate. The Dean (AA) may, at his discretion, nominate additional members with relevant expertise from the same or other departments to assist in the specific task.
- 5.5 The DSC shall always record its recommendations with appropriate reasoning and enclosures, and formal minutes should be drawn and signed during the meeting. There shall be no provision for delayed preparation of minutes nor for confirmation of minutes.
- 5.6 Decisions of MSC shall normally be arrived at by consensus among members. In case of serious disagreement among members, the Chairman of MSC shall record the different viewpoints and put up to Chairman Senate through Dean (AA) for a decision. The Chairman's decision shall be binding on all concerned

6 Enrolment and Provisional Registration

- 6.1 On receiving a letter of admission, every student joining the Ph. D. programme shall meet the Head of the Department and submit an application for enrolment in Form AC/305. The HOD will call the DAC (PG & R) and assign the student to one or two supervisor(s), and will recommend the structure of the DSC. The student will present the recommendation of the Department to the Academic Section who will permit him to pay the fees and assign a roll number. During this period, (not to exceed one week) the student will get free accommodation in the student hostel, but will pay for the meals.
- 6.2 All the candidates admitted to the Ph.D. programme are required to enroll in the programme on payment of the prescribed fees as given in Appendix - V and to carry out research work under a supervisor (or two supervisors) as mentioned in Clause 4. The enrolment will be with effect from the date on which a student is assigned a roll number [Form AC/306].
- 6.3 Within two weeks of enrolment, the student shall submit an application [Form AC/307] for provisional registration, in consultation with the supervisor. The application shall contain details of a student's career and his broad area of research.
- 6.4 The Doctoral Scrutiny Committee will examine the application and recommend "Provisional Registration". The provisional registration will record [Form AC/308] the area of research and the course work assigned. The process should normally be completed within one month of the

student's joining the department.

- 6.5 The effective date of provisional registration shall normally be the date of admission. The DSC may extend the date if a student does not initiate his course or research work immediately on admission.
- 6.6 The DSC shall also record any previous research work (relevant to proposed topic) done and express it as equivalent research credits, not to exceed 48 credits of research. The evaluation will cover all written documents (e.g. published papers, original research records, unpublished in-house documents etc.), submitted by the student. Merely holding a position of research will not qualify for these credits. The DSC will record and present all documents to RPEC / Senate. These credits will be used in calculation of months of early submission if so requested by the student.

7 Residential requirement

- 7.1. Normally all candidates admitted to the Ph.D. programme will be required to stay in the Institute till they complete all assigned work and submit thesis. However, for sponsored candidates who do not have to complete any course work, the DSC may recommend to reduce the minimum residential requirement to either six months at a stretch in the beginning or to at least six months in combination, with each segment not less than two months, spread over a period of two years. The facility for splitting the residence requirement to 2 or 3 segments is available only to employees of national R & D organizations, R&D houses of major industries and Government officials who need to work in a team and whose absence seriously affects their projects at the place of employment. It is not available to candidates from educational institutions. Candidates who need to attend courses must stay on campus for the time required to complete the courses, but not less than 6 months. Students desirous of attending course work in other institutes (See Section 10.9) need to spend at least 6 months on campus of NITR.
- 7.2. If the candidate intends to carry out a major part of his research work in his place of employment, he must convince the Departmental Academic Committee (PG&R) at the time of selection that adequate research facilities and research tradition exist in his institution. While taking the decision DAC (PG&R) will examine all the documents presented to it regarding adequacy of the R & D facilities available in the sponsoring organisation. These documents have to be furnished by the candidate during the time of interview. In general major Central Govt. (CSIR, DRDO, DAE, ISRO, CDAC etc.) labs, research organisations, industries (public or private) with established R&D facilities are taken as organisations with adequate facilities. Regarding recognition of other organisations the DAC (PG&R) has to make a recommendation on the basis of the material available to it, to the Director/Dean (AA) for approval. In every case, the Senate will decide the residential requirement and whether it can be split into segments.
- 7.3. Candidates employed in teaching or R&D Institutions within or in the vicinity the city of Rourkela and permitted by the employer to spend sufficient time on research at NIT may be exempted wholly or partially from the compulsory residential requirement. In special cases, the Senate may extend the same facilities to employees of industry engaged in R&D or related (e.g.

management) activities. In such cases the minimum duration of research shall be 3 years for students with M.Tech. degree and 4 years for others.

- 7.4. Form AC/312 should be used to report residence record of a student to the academic section for records.

8. Attendance and Leave

- 8.1 A research student, except when granted withdrawal by the Institute must attend to his work on a whole time basis. The department will maintain attendance record of the student, irrespective of whether the student is getting a scholarship or not. The DSC will examine the attendance record of students, and if it is found unsatisfactory, will recommend extension of minimum duration for submission of thesis, deregistration or termination of studentship as it thinks fit.
- 8.2 A teacher of a course may debar a student from appearing in examination on ground of unsatisfactory attendance.
- 8.3 The working hours of Ph.D. and M.Tech(R) students is generally permitted to be flexible, but not lower than that of a full time employee. It is the supervisor's legal and moral responsibility to ensure that proper work environment is made available to the student. The students are encouraged to discuss such issues with their supervisors, with HOD and higher authorities.
- 8.4 A research scholar other than Institute staff is eligible for following leave per academic year to be permitted by the Head of the Dept. on recommendation of the supervisor (s).
- i) For incidental purposes, CASUAL LEAVE – 15 working days.
 - ii) For treatment on illness, MEDICAL LEAVE – 15 days including intervening holidays.

If a student falls ill outside the Institute (only if he is out on approved leave or deputation), the Medical Certificates must be seconded by an Institute Medical Officer. The student must prove the genuineness of the illness by submitting medical attendance slips, referrals, diagnostic reports, medicine purchase receipts and all other medical papers in original before the Institute medical officer and/or Dean(AA) / Director.

There is no summer or winter vacation for research students.

In matter of course work, leave rules applicable to M. Tech. courses will also be applicable to Ph. D. and M. Tech. (R) students.

A student may be granted mess rebate for authorized absence (on leave or travel on duty) of 5 days or more, provided the hall office/caterer is informed in advance.

Forms NITR/AC/110 and AC/111 may be used by students while applying for leave of absence from course or research work on leave, academic or student activity.

9. Semester Registration

- 9.1 A student enrolled in the Ph.D. programme will be required to register [Form AC/311] every

semester by paying Institute dues and other fees. [The semester registration is to be distinguished from Academic Registration, discussed in Section 11]. A full time student must be registered for 26 credits of academic load including courses and research credits. Part time students, including those who have taken withdrawal from the Institute and students of Category-9 can be registered for no more than 18 credits.

- 9.2 Students who have been sanctioned withdrawal also need to do semester registration. They may, however, be permitted, in alternative semesters, to send registration form by post to their supervisors, who will present them to the Academic Section through the HOD. Thus a student taking withdrawal must register in person at least once every academic year.
- 9.3 Failure to do semester registration for two consecutive semesters will result in termination of studentship, which can be restored by the Senate on consideration of all circumstances, payment of arrear fees and extension of thesis submission date.
- 9.4 It shall be the responsibility of the student to bring any deviation in his status in matters of course of work, registration, withdrawal etc. to the attention of Dean (AA) at the time of semester registration, if he has not done so earlier.
- 9.5 A student may be exempted from semester registration by Dean (AA)/Director if he submits thesis within 30 days of scheduled semester registration. If he fails to submit thesis within 30 days, he must do semester registration before the thesis is accepted for evaluation.

10. Course Work and Academic Credits

- 10.1 Every full time student of Ph.D. programme must be registered for 26 credits of academic load per semester. The credit load will contain some regular courses and a two-credit course on "Seminar and Technical Writing", the balance being research credits. A student must acquire at least 104 credits after M.Tech. and 156 credits after other degrees (B.Tech., M.Sc., MCA etc) including research credits registered for during the semester of thesis submission before being awarded a Ph.D. degree.

A part time student may register for less credits depending on his involvement in other activities. While students engaged in full time research in R&D institutions whose job assignments match exactly with his thesis work may register for 24 credits of research per semester, others including college teachers and industry personnel may take maximum 16 credits of research load. The 2 credit course on "Seminar and Technical Writing" in addition to research credits is compulsory for all students in every semester.

- 10.2 Course work is compulsory for all students enrolled for Ph.D. except for those with M.Tech. degree in the same discipline obtained within 8 years prior to the date of enrollment.

The table below summarizes the minimum course requirement for different categories of students. Only postgraduate (600 or higher level) courses will count towards Ph.D. course requirement. The DSC, at its discretion, may recommend additional courses.

Present qualification of Candidate	Enrolled for Ph.D. in branch	Minimum number of course credits required
M.Tech.(Not earlier than 8 years ago)	Same discipline	None
M.Tech.(Earlier than 8 years ago)	Same discipline	08
M.Tech./M.Pharm	Another discipline	12
B.Tech./B.Pharm/M.Tech(R)* / M.S.*	Same or Different discipline of Engineering, Science or Humanities	20**
M.Sc./MCA/MA/MBBS/MBA/B.Pharm/M.Phil*	Any discipline of Science/ Humanities	12
M.Sc./MCA/MBBS/MBA/B.Pharm	Any discipline of Engineering	20**

* After assigning the course work, the DSC will examine the courses taken by the student as a part of his M. S., M.Phil or M.Tech.(Res) programme and grant exemption to the student for those courses which he has already studied.

**A student with B.Tech. degree registering in another discipline of engineering or a student with M.Sc./MBBS/MBA/MCA/B.Pharm degree registering any discipline of engineering has to successfully complete additional B.Tech. course credits of at least 06 covering the fundamental papers of his new discipline. Depending on the subject area, additional course work may be recommended by the DSC.

10.3 The coursework may be chosen from the existing PG (M.Tech.) programmes of the registering Dept. or from those of other departments. If a student joins the Ph.D. programme in the middle of a semester, he must take courses in the following semester. Delay of maximum 10 working days can be condoned in joining a course. If a student needing course work does not get two full semesters to complete the courses, he may take one or more semesters to complete the courses.

10.4 The specific subjects of study will be decided by the DSC on recommendation of the supervisor(s). When a student joins at the beginning of a semester, he may be advised by his supervisor (s) to attend classes of recommended courses even before the provisional registration process is officially complete. In case the courses approved by the Senate are different from the courses being taken by the student, the student may at his choice discontinue or complete the courses recommended by the supervisor(s).

10.5 If recommended courses are not offered by the departments, the DSC can amend the list at the request of the supervisor(s) at least 2 weeks prior to the starting of a semester. Any such change needs approval of Chairman Senate after recommendation by Dean (AA). The change will be reported to Senate in its next meeting.

10.6 The candidate has to obtain an average grade point of not less than 8.00 (in research and course credits) and individual grade not less than C in each subject in the seven scale grading

system. A course can be repeated to improve the grade if necessary. If the average course CGPA exceeds 8.50, the DSC may accept one course with grade lower than C.

Research credits lower than C will be ignored in calculation of credits completed.

- 10.7 In addition to courses of the M.Tech programme, a Department may offer special courses for Ph.D. and M.Tech (R) students during the semesters or during summer vacation. If a course is offered in summer vacation, the total number of contact hours and the pattern of examination shall be the same as other courses taught during the normal semesters.
- 10.8 In special circumstances if no appropriate course is offered under formal instruction, existing courses may be taken in "guided self study" mode, where a student studies the course from approved text and reference books under the guidance of a faculty member, works on assignments and/or examinations. Formal classes will not be required in such courses. The system of evaluation and grade calculation will be same as that existing in M.Tech. programmes. Ordinarily, a student should not be registered in more than two courses in self-study mode. It should be appreciated that the objective of course work is to enhance the breadth of knowledge. They should be relevant to the research area, but need not be repetition of the research subject. Courses under "guided self study" mode will not be taught by a student's supervisors.
- 10.9 It will be possible for a student to enroll in a course not offered by NIT, Rourkela, in another Institute(NIT/IIT/IISc) or University of repute (not an affiliated college) for a course and transfer the credits to NIT Rourkela to satisfy the requirements of Ph.D. degree. A proposal for such transfer must be submitted by the supervisor to the DSC along with all details (syllabus, duration of instruction, name and details of instructor). The DSC's recommendation will be placed before the Senate through RPEC. In case of urgency, the Chairman, Senate may approve enrollment in the course in consultation with Dean(AA).

On completion of the course, the student shall submit to the academic section the grade certificate from the instructor countersigned by the Director/Vice Chancellor Registrar/Deputy Registrar (Academic) of the Institute or University. A photocopy may be submitted to the HOD for departmental record.

- 10.10 All doctoral students must register for the two-credit course named "Seminar and Technical Writing" in every semester. Resident students will satisfy the course requirement by attending Institute and Departmental Seminars, presenting seminars and poster presentations to departmental audience and submitting technical writings on assigned topics. Non-resident students will submit equivalent amount of technical writing and reports on seminars attended at their own places of work. If a student does not accumulate the required credits with at least C grade, he will not be permitted to submit his thesis. In special cases, if a student is ready with his thesis but has not cleared the required credits, the Director may, at his discretion, give him special assignments and appoint an examiner to evaluate the output.
- 10.11 Institute employees including persons employed in sponsored projects may enroll in courses of their choice before enrolment in M.Tech(R) or Ph.D. programme under intimation to the Academic Section. When they join a Ph.D. or M.Tech(R) programme, the course and the credit earned may be counted towards course requirement at the discretion of the M.S.C. or D.S.C.

- 10.12 Ph.D. and M.Tech(R) students enrolled in PG and UG courses are subject to the same regulations as applicable to other students in the courses with regard to attendance, discipline, assessment and grading.

11. Comprehensive Examination And Registration

- 11.1 Each candidate enrolled for the Ph.D. degree is given provisional registration on applying in prescribed form(See Section 6.1). This application shall be considered by the DSC in its first meeting, which will be held within one month of a student's date of admission. The DSC, on suggestions of the supervisor(s), recommend:

- a) the broad area of research,
- b) the course work to be carried out by the student.

- 11.2 A doctoral student, provisionally registered, will be formally registered for the degree of Ph.D. on completion of certain steps. The registration can be done only after (a) the candidate has successfully completed all assigned course work (See Section 10), (b) worked out a road map of his doctoral programme (c) successfully cleared the comprehensive viva-voce and (d) delivered an open seminar. On completion of the course work (if any) a student will appear in a comprehensive oral examination to assess his depth and breadth of knowledge in the intended field of specialisation. The Doctoral Scrutiny Committee will become the examination board. One additional member will be inducted by the H.O.D. from the department or outside with specialization close to the area of research.

After satisfactory clearance of this examination, the student has to present his progress and plan of work to all members of the DSC in the form of a written document [Approximately 5 pages]. Within a week of handing over the report, the Department shall arrange a seminar by the student in the presence of the DSC. It should be an open seminar in the department, with invitation extended to students and faculty of all departments.

The written document and the seminar should outline the planned research work and identify the milestones. Both excessive vagueness, as well as exact description of the work to be done are discouraged at this stage to facilitate focused research work without being constrained. The broad objective stated in provisional registration order may be further focused at the time of registration.

Normally this should be done after elapse of 6 - 9 months from date of admission, but not later than 15 months. When a student fails to clear the course work within 15 months, or his seminar performance is unsatisfactory, he may be re-evaluated after a lapse of 3 months or more. If he cannot clear the course work, comprehensive viva voce and seminar within 2 years from the date of admission, he will be required to leave the Ph.D. programme. In special cases with mitigating circumstances, the Senate can grant extra time with or without scholarship.

The DSC will recommend the effective date of registration depending on the progress of the student, but not prior to the effective date of provisional registration. If found unsatisfactory, the presentation can be given after 3 months, in which case the effective date of registration also shifts. The effective date of registration cannot be earlier to the date of seminar by more

than 15 months except when the course work has taken 3 or more semesters. In such cases one additional semester may be granted by the DSC.

A student may request early submission of thesis at the time of registration. The DSC, at its discretion, may recommend early submission up to one year, but not more than $n/4$ months, n being equal to the number of research credits the student has earned prior to joining the research programme, as recorded in pre-registration order.

- 11.3 The Head of the Department will send the application for registration [Form AC/309] to Dean(AA) along with a copy of the student's written report and recommendation of the DSC. The matter will be placed before the Senate through RPEC for approval.
- 11.4 The Academic Section shall bring out an office order [FormAC/310] confirming the registration after it is passed by the Senate.
- 11.5 At the end of every semester, the Academic section will issue an unsigned "grade card" on Form AC/325 listing all the courses and the grades obtained including research credits and Seminar and Technical Writing courses. At the end of the academic programme, a signed grade sheet will be issued on a student's request and payment of prescribed fees after completion of four semesters.

12. Fellowship

- 12.1 A doctoral student may be self-financed or can get a scholarship. In case of students awarded a scholarship by an external agency or from a research project operating in the Institute, the rules shall be governed by the provisions specified by the sponsor. Institute doctoral fellowships shall be governed by the rules of MHRD.

When the number of Institute fellowships is limited, they will be distributed among different departments by the Director on recommendation of Dean (AA). Generally, the number of fellowships will be proportional to the faculty strength, but changes can be made to ensure that the positions are filled to the extent possible.

- 12.2 Students who join with fellowships from sponsored projects or with external fellowships, and become self financed on termination of the project, will get preference in award of institute fellowship, if their academic performance is satisfactory and they have drawn fellowship from the project for at least 18 months. The total duration of scholarship, however, shall not exceed the limit set by MHRD.
- 12.3 Institute fellowships may not be awarded to candidates above 32 years of age [35 years for SC/ST and women candidates] on the date of selection. The restriction shall not apply to scholarships awarded by external agencies or sponsored projects.

13. Withdrawal

A student, pursuing Ph.D. by staying on campus, can become non-resident by taking withdrawal from the programme. Such programme can be granted on one of the following grounds :

- (a) When a sponsored student wishes to return to his place of work on completion of at least two months of residence requirement, provided that such a scenario was mentioned in his application for admission. He needs to re-visit the Institute and complete residence requirement. The minimum period of work will be extended by one year, except when the student is employed in a superior R&D organization.
- (b) When, on the certification by the supervisors, the DSC is satisfied that most of the experimental/computational work has been completed, and that the student can finish the rest of the project from outside. In this case the student shall submit a long report for scrutiny by the DSC.
- (c) When a regular student returns to his original place of employment or secures new employment, and the D.S.C. is satisfied that adequate facility exists in his place of work to carry out the project. The employer's sponsorship and a second supervisor must be ensured before such requests are considered by the DSC.
- (d) When a student, for personal or financial reasons, intends to take a temporary break and return to the Institute for completion of the work, [The minimum period of work before submission of thesis is extended by the period of absence], or
- (e) Any other circumstances, which in the opinion of the Senate, justifies withdrawal.

For withdrawal under clause (b) or (c) above, a student should have completed 2 years of study after M.Tech or 3 years of study after B.Tech/M.Sc degrees.

The following rules shall govern the withdrawal process:

- (a) The student shall do semester registration regularly, personally visiting the Institute at least once a year.
- (b) He shall pay all applicable fees every semester.
- (c) He completes the programme within the stipulated period (8 years) including the withdrawal period.
- (d) He will be entitled to a room in the hostel with all related facilities during his visits to the Institute, at approved rates of seat rent for short stay.
- (e) After withdrawal, a student may register for a maximum 16 credits of Research per semester plus two credits of Seminar and Technical Writing. When his job assignment matches exactly with his thesis work, the Director or Dean(AA) may permit him to register for 24 + 2 credits.

A student must apply to Dean (AA) through his supervisor(s) and HOD for withdrawal in prescribed form [Form AC/204] along with a report on the work done so far and plan of activities in future. The Supervisor will state the status of the project and the D.S.C. will examine the proposal. Withdrawal can be granted provisionally by Director if satisfied, and be presented to Senate for final approval. The Assistant / Deputy Registrar (Acad) will issue an withdrawal order on Form AC/205.

14. Submission of Thesis

14.1 A candidate with M.Tech. degree registering in the same discipline can submit the Ph.D. thesis after elapse of at least 2 years from the effective date of registration. The minimum period should be 3 years in all other cases. The maximum period for submission of thesis is 8 years from the effective date of registration for all candidates. In all cases, the Doctoral Scrutiny Committee must be satisfied that adequate work has been done by the candidate.

In exceptional cases, if a student completes his Ph. D. work in a period less than that suggested above, the date of thesis submission of this student can be advanced if such a proposal originating from the supervisor of the student is forwarded by DSC and recommended by RPEC (Appendix- VIII) and finally approved by the Senate. While recommending a student for early submission, the DSC must clearly state the circumstances leading to early completion of the work. The reasons for early completion may be (i) work done by the candidate in the topic of interest prior to registration which have not been submitted to any other Institute or University for award of another degree or diploma, (ii) an exceptionally brilliant idea or experimental success, or (iii) any other reason not ordinarily expected from a full time research student. In case reason (i), it is mandatory that this work is recorded by the DSC at the time of provisional registration.

Prior to submission, the candidate will submit [Form AC/315] the synopsis of the thesis [typically 10 pages including tables, graphs and references] and present a seminar to an open audience, which will include members of DSC. Copies of the synopsis should be handed over to the members of the DSC well before the date of the seminar. If the DSC is satisfied with the extent of work done, the candidate will be allowed to submit the thesis. The DSC should confirm that the student has earned the required number of course and research credits including the courses registered for in current semester and has cleared two credits of Seminar and Technical Writing per semester. If the DSC is not satisfied with the progress of work, the candidate has to appear again after the lapse of 3 months or more.

If the DSC feels appropriate, it may, at its discretion examine the full draft thesis before a student is permitted to submit it for evaluation. The thesis must be submitted within 2 months after the DSC approves the synopsis unless extra time is granted by Dean(AA). Extension of the period beyond 8 years from the date of registration is not permitted. A student will be required to apply for fresh registration.

In extreme cases, if the DSC feels that the candidate cannot complete the thesis leading to Ph.D.degree, it can recommend to the Senate for award of M.Tech (Res) degree subject to satisfying all requirements of the latter programme.

14.2 A candidate shall submit [Forms AC/317 and AC/318] four copies of the thesis in case of single supervisor and five copies in case of two supervisors, neatly typed or printed and bound in a manner notified separately. The thesis must contain, besides the text and common matters like bibliography/references and summary/conclusions:

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

The candidate will also submit two copies of the thesis in electronic form and permit the Institute to use it in any manner that the Institute thinks fit. For the present, the electronic text should be submitted as two folders: one containing MS-WORD files and another PDF files. On completion of oral examination, a fresh CD may be submitted if any changes are made. One printed copy and one electronic copy shall be archived in Institute's Central Library, while another set shall be kept in the Department.

14.3 Format of the thesis should be uniform across all departments.

15 Evaluation of Thesis

- 15.1 The DSC will suggest [Form AC/316] a list of 10 examiners (five from the country and five foreign). After successful completion of the synopsis seminar by the candidate the examiners' list along with a copy of the synopsis will be placed to the Chairman, Senate to select the External Examiners under both categories (Indian and Foreign) in order of preference. The Chairman, Senate may add any name to or delete any name from the list suggested by DSC. The supervisor(s) will also serve as examiner(s) in addition to the two external examiners.
- 15.2 The Dean (AA) will send a formal letter to the examiners along with a copy of the synopsis requesting for acceptance of Examinership. After receiving the consent, the thesis will be mailed along with proforma of Examiner's report. In case of refusal, the second examiner in order as ticked by the Chairman Senate will be contacted and so on. If in this process, the list is exhausted, the Dean (AA) may ask the DSC to submit another list. The internal examiners (supervisors) will also be sent copies of the thesis along with the proforma of examiner's report.
- 15.3 The reports of the examiners shall be summarised by Dean (AA) and placed before the Director. After obtaining Director's approval, the reports are forwarded to the DSC. There may be four possible situations arising out of the nature of the reports. The steps to be taken, appropriate to the circumstances, are laid down below:

- (i) The examiners are unanimous in recommending the award of the degree without any modification of the thesis. This is a clear case for going for the final requirement of viva- voce.
- (ii) The external examiners are unanimous in recommending the award of the degree but at least one of the examiners has suggested modification and/or has asked for clarifications. The candidate in that case shall make modifications and provide the clarifications as suggested within a time to be fixed by the DSC. These may be sent to the examiners, if so desired by them.
- (iii) One of the external examiners does not recommend the award of the degree and rejects the thesis whereas the other external examiner recommends the award. 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, Senate the appointment of another external examiner and send the thesis to him in its original form. The third examiner will be provided with copies of the evaluation reports of all examiners, external and internal, with the names of the examiners deleted. The recommendation of this 'third' examiner, at this stage, shall be taken as final.
- (iv) Both the external examiners reject the thesis, and then the student is declared, "failed".

15.4 In the event of a thesis being rejected by both the external examiners the Senate may, on the recommendation of the D.S.C., permit submission of a revised thesis on an additional payment of the prescribed fee, after a suitable time to be fixed by the Senate (Not less than one year from the date of the intimation to the student and within 8 years from the date of enrolment). The observations and comments of the examiners, if any, may be copied and given to the candidate on request. In no case should a resubmission of the thesis without modification along the lines of criticism made by the earlier examiners be allowed. The revised thesis shall be referred for assessment to two external examiners selected from a new panel of ten experts recommended by the D.S.C. (one foreign and one Indian). The new examiners will be provided with copies of earlier thesis, examiners' reports and details of changes made, in addition to the revised thesis.

The examiners need to respond specifically to the observations of the earlier examiners and the changes made by the student before re-submission.

15.5 After the recommendations of the D.S.C.(either for acceptance of the thesis for the Ph.D. degree or for its rejection/modification) have been accepted by the Senate (or its Chairman on its behalf) a copy of the reports of the examiners may be issued to the candidate at his request. However, the names of the examiners are not to be disclosed.

15.6 Once the reports of the examiners have been accepted as satisfactory, the candidate will have to defend the thesis before a viva voce board consisting of all D.S.C. members and an 'external' examiner. The defense will be open where faculty members and students of the parent as well as other departments will be invited. The evaluation, however, will be done by the DSC along with the external examiner. The 'external' examiner may either be one of the experts who have already adjudicated the thesis or be another expert appointed for the purpose. The viva voce board may recommend changes in the thesis.

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

15.7 On completion of the viva voce, the student will submit two copies of the revised thesis and two copies in electronic media, which, will be archived in Institute and Departmental Libraries. All available copies of the original version will be returned to the student. The copies available with the student and his supervisor(s) must also be corrected.

15.8 Forms AC/318 – 320 and AC/322 - 325 shall be used by the departments for recording various recommendations of the committees and decisions of academic authorities.

16. Award of Degree

16.1 On the recommendation of the Doctoral Scrutiny Committee, the Senate or the Chairman, Senate (when the Senate is not sitting early) shall decide whether the candidate should be awarded the degree of Doctor of Philosophy. If the Chairman, Senate has approved the award of degree the award must be confirmed by the Senate.

16.2 Normally a student will be awarded Ph.D. degree in the branch of study in which he is enrolled. But in exceptional cases, the DSC may recommend to the Senate to award the degree in another branch depending on the contents of the thesis. This can be done at the time of provisional-registration (preferred), Registration or even after the thesis is submitted.

16.3 A provisional certificate may be issued to the student on approval of the Director. The final degree certificate will be issued in the convocation or by any other mode approved by the Senate.

17. QUALITY IMPROVEMENT PROGRAMME (QIP)

The QIP is a programme of the Government of India administered through the All India Council for Technical Education. The programme covers education of engineering college teachers for M. Tech and Ph.D degrees.

17.1 The studentship programme under the QIP will be administered as per the rules set by the AICTE.

17.2 The students admitted under the QIP will be treated at par with the regular students of the Institute as far as their academic programme is concerned. It will be administered by the Academic Section of the Institute. The Academic section will also look after their admission, stipend and release.

- 17.3 The research expenses of QIP students will be met from departmental grants. 50 % of the contingency grant will be transferred to the Departmental Operating grant for maintenance of equipment and computing facilities provided to QIP students, and for research consumables. In addition, the students will use the contingency grant provided by AICTE towards travel for data collection and attending conferences, conference registration fees, procurement of books, stationery, printer cartridges, compute consumables, Xeroxing etc.
- 17.4 Contingency expenses incurred in one academic year must be claimed within the same year, unless approved by Dean (AA) in advance.
- 17.5 The travel and daily allowances of QIP students will be same as that of other sponsored students of the Institute.
- 17.6 All travel for data collection or presentation of papers must be approved by Dean(AA). The TA claims are to be approved by the respective Heads of the Departments/Centers and attached to contingency bills of the students.
- 17.7 QIP students will be entitled to casual and medical leave at par with regular students of the Institute. Casual leave will be sanctioned by the Heads of the Departments and the records will be maintained by the Departments. Medical leave will be sanctioned by Dean (AA) on the basis of recommendation of Head, Institute Medical facility and records will be maintained by the Academic Section. Leave is not transferable to or from their parent institutions.
- 17.8 QIP students on the Ph.D. contact Programme will not be considered as regular students. They will, however, be permitted to use institute Library (without borrowing facilities) and departmental facilities. Academic Section will issue a temporary Identity card to these students.
- 17.9 If a QIP student cannot complete his academic programme before the end of his period of deputation (from his parent institution), he is required to seek withdrawal from the Institute to join his parent institution, prior to the expiry of his deputation. His request for withdrawal will be examined by his DAC and its recommendations will be forwarded to the Academic Section. The student should make arrangement for completion of his academic programme.
- 17.10 A QIP student will be given release order by the Asst/Deputy Registrar (AC) on completion of or taking withdrawal from the academic programme, surrendering accommodation, and clearing all dues to the Institute.
- 17.11 In addition to the forms used by other students, a QIP student shall use forms AC/351-360 for various activities related to QIP.

18. Conduct and Discipline

- 18.1 Students shall conduct themselves within and outside the campus of the Institute in a manner befitting the students of an Institution of National standing.
- 18.2 Detailed rules regarding conduct and discipline are given in Appendices–IV and VI.

19. Progress of Research Programme

The progress of the research programme of a student shall be continuously monitored by the Doctoral / Masters Scrutiny Committee. In practice, the committee will depend on inputs from the supervisors, HOD and the student. It will be the responsibility of the student to ensure that his papers remain up to date in matters of registration, course work, extension of fellowship, withdrawal and other formalities. In case of any deficiency, he should draw attention of his supervisor(s) and HOD, and if unsuccessful, that of the Dean (AA) and Director.

Although rare, sometimes there may be a breakdown of communication between a student and his supervisor due to physical distance or due to personal reasons. It shall be the responsibility of the student to bring such matters to the attention of HOD, Dean (AA) and Director. The Institute shall do the needful to establish communication or to make alternative arrangement.

20. Termination of Studentship

The studentship of a Ph.D. student may be terminated by the Senate on exceptional grounds. They are:

1. Recommendation of Institute's Disciplinary Committee.
2. Poor progress as noted by the Doctoral Scrutiny Committee and Departmental Academic Committee (PG&R). Such a decision may be implemented only after approval of the Senate.
3. Failure to do semester registration for two consecutive semesters.
4. Prolonged absence (exceeding three months) from the Institute without sanctioned leave or withdrawal.

21. Transition issues

These regulations shall come into effect from AY 2007-08 Autumn Semester. Students enrolled prior to this date shall also be covered under these regulations, except when the implementation of these regulations leads to obvious anomalies and serious hardship to the students. The final decision on each specific issue will be taken by the Senate (or Chairman Senate on its behalf) on case-to-case basis.

21. Dissemination of information

- 21.1 A copy of this document shall ordinarily be given in print or electronic form to every M.Tech student on admission to NIT Rourkela. It will also be made available on the Institute's web site. Not possessing a copy, however, shall not exempt a student from complying with these regulations.
- 21.2 The Assistant/Deputy Registrar (Acad) is authorized by the Institute to issue formal certificates of studentship [Form AC/115] and Expenditure Certificate [Form AC/116]. Dean (AA) will sign all certificates of studentship on behalf of the Director when external agencies seek such certificates from Head of Institution.

21.3 On publication of final results a student will be issued a provisional certificate on Form AC/127 and a Institute leaving cum migration cum conduct certificate on Form AC/126. Form AC/127 will be signed by Dean (AA) on behalf of the Director, while Form AC/126 will be signed by Dean (SA). The final degree certificate will be signed by Registrar, Director and Chairman, Board of Governors.

22. Exceptions

Notwithstanding anything stated in the rules, the Senate can make special provisions and exceptions depending on the merit of a case. Such cases shall not be cited as precedence in future occasions of similar nature, because two situations appearing similar may not be identical.

In emergency situations, the Director in capacity of the Chairman Senate, can exercise powers of the Senate and discharge the functions of the Senate. Such decisions must be reported to the Senate at its next meeting.



**REGULATIONS
FOR
DEGREE OF DOCTOR OF SCIENCE
(D.Sc.)
(EFFECTIVE FROM ACADEMIC SESSION 2007-08)**



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

I N D E X

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1. General

- 1.1 The Institute shall have provision for award of the degree of Doctor of Science (D.Sc.). This degree will be awarded in recognition of original scholastic work at a level far above that of a Ph.D. degree.
- 1.2 The D.Sc. degree will be awarded to a candidate who is found eligible on the basis of a thesis or published papers based on his own original research work in an appropriate field. The award shall be made by the Board of Governors on the recommendation of the Senate.

2. Eligibility

- 2.1 Ordinarily a candidate who has obtained a Ph.D. or an equivalent degree from a recognised institution shall be eligible to apply for registration for the D.Sc. degree. The Senate may also permit a candidate possessing either a Master of Technology degree or an equivalent degree, Bachelor of Technology or Master of Science degree or a degree equivalent to anyone of them, to register for the degree of Doctor of Science, if the candidate has demonstrated exceptional academic achievement.
- 2.2 An applicant for registration must either be at present a member of faculty of the Institute, must have been in service in the Institute as a faculty member, or must have performed the major portion of his work in the Institute's laboratories.

3. Application Procedure

- 3.1 An intending candidate shall submit his application for registration on plain paper enclosing therewith (a) his bio-data complete with qualifications, teaching and research experience (b) list of research papers published and (c) an outline of the research work on the basis of which the permission is sought for. The application should be accompanied by the prescribed fee [Rs. 1000.00] and be addressed to the Director through Dean (AA). The Director will refer it to the Head of the Department which the subject relates to for a preliminary scrutiny and for suggesting names of members for constitution of a Doctoral Scrutiny Committee (D.S.C.) in accordance with provisions of para 3.2 below.
- 3.2 The composition of the Doctoral Scrutiny Committee shall be as follows:
 - 1 The Director ... Chairman(Ex-officio)
 2. The Dean of Academic Affairs.
 3. The Head of the Department to which the research area of the applicant belongs.
 4. Three senior members of faculty from related areas, nominated by the Senate or Chairman Senate on its behalf.
 5. One external expert of high academic standing nominated by the Senate or Chairman Senate on its behalf.

- 3.3 The candidate will present an open seminar on his topic of interest in presence of the doctoral scrutiny committee. The seminar will cover the theme of the research topic, the work already done and the work intended to be carried out. The research methodology and the expected outcome will be enumerated.
- 3.4 The D.S.C., on being satisfied of the candidate's eligibility for the D.Sc. degree shall recommend to the Senate for his registration.
- 3.5 The registration shall be valid for a period of five years from the date it is granted.

4. Synopsis

- 4.1 A candidate who has been registered shall be required to submit five copies of synopsis of his work within the valid period of registration and three months before the expected date of submission of thesis. The synopsis should be furnished in soft- bound form. The synopsis shall contain a list of publications originating from the material to be presented in the thesis, the impact factors of the journals in which the papers were published and list of citations of each of the papers as available from standard international sources.
- 4.2 The Doctoral Scrutiny Committee will examine the synopsis, the papers to be included, the impact factors of the journals where the papers are published and the list of citations. The candidate will be requested to present an open seminar on the subject. Every member of the Committee will give separate written reports on the proposed contents of the thesis. Then sitting together, the committee will decide if the contents satisfy, prima facie, the requirements of the D.Sc degree.
- 4.3 If satisfied, the student will be permitted to prepare the formal thesis. The Doctoral Scrutiny Committee will also recommend a panel of 10 experts of international repute (five from India and five from abroad), for appointment as examiners of the thesis.
- 4.4 If the Committee is not satisfied on the merit of the work, the candidate will be informed in writing. The candidate can re-request and submit a proposal after the lapse of 2 years, but within the five year registration period.
- 4.5 The Director, as Chairman of the Senate will select four examiners from the panel, two from India and two from abroad.

5. Thesis

- 5.1 Within a period of three months of the date of submission of the synopsis the candidate shall submit five soft-bound copies of his thesis together with a thesis evaluation fee [Appendix V]. It is desirable that at least the important parts of the thesis have been published either as a book or as articles in journals of international standard. If the supplication for the degree is based only on already published research papers, copies/reprints thereof should be bound together in the form of a thesis giving appropriate references. The thesis shall be a record of candidate's own

independent and original research in Engineering, Science or Technology. It shall accompany a declaration signed by him that the work has been done and the thesis prepared by him for the D.Sc. degree of the Institute and that it has not been submitted for any degree or diploma either at NIT Rourkela or in any other Institute or University.

The thesis shall also include the following:

- (i) A brief bio-data of the candidate (Name, Age, Educational qualifications, Research Experience and Permanent Address).
- (ii) A summary of the thesis and about 20 key words.
- (iii) A list of published papers with impact factor of the journals and a list of citations of each paper as available from standard international sources.

6. Evaluation

- 6.1 The thesis shall be referred to four experts chosen by the Director from the panel prepared (vide para 4.3 above) to examine the thesis. Each expert will independently forward his report in a prescribed form along with detailed comments.
- 6.2 The report of all the examiners shall be placed before the D.S.C. for consideration. If the examiners are unanimous and unequivocally favorable the committee will recommend to the Senate that the thesis be accepted for the degree.
- 6.3 Ordinarily, a candidate for the D.Sc. degree shall not be required to appear at a viva voce examination unless one of the examiners makes a special recommendation to that effect, like clarifications of some points at the time of viva voce. If there is need of a viva voce, one of the two Indian examiners will be invited to join the D.S.C. in conducting the oral examination.
- 6.4 If the Senate is satisfied with the reports of the examiners and the recommendations of the D.S.C., it will recommend to the Board of Governors for award of the degree.
- 6.5 If two of the examiners recommend for award of the degree of Doctor of Science and the other recommends that the thesis be accepted for a lower degree, the Doctoral Scrutiny Committee may, after obtaining a written consent from the candidate that he is agreeable to be considered for the degree of Doctor of Philosophy, make its own recommendations to the Senate on the proposition. In such a case, it shall be necessary for the candidate to appear at a viva-voce examination by a Board to be constituted for the purpose.
- 6.6 On completion of the evaluation process, the proposal will be put up to the Senate for recommendation and, if the recommendation is favourable, the proposal will be put up to the BOG for approval. The degree shall be awarded in the convocation.
- 6.7 On completion of the evaluation process, the candidate shall submit 2 copies of the thesis in a properly bound form with two more copies in electronic media (PDF files). The thesis will be archived in the Institute's Central Library and concerned departmental library.

7. Exceptions:

- 7.1 Notwithstanding anything stated in the rules, the Senate can make special provisions and exceptions depending on the merit of a case. Such cases shall not be cited as precedence in future occasions of similar nature.
- 7.2 In emergency situations, the Director in capacity of the Chairman Senate, can exercise powers of the Senate and discharge the functions of the Senate. Such decisions must be reported to the Senate at its next meeting.



**REGULATIONS
FOR
POST-DOCTORAL FELLOWSHIP
AND
RESEARCH ASSOCIATESHIP
(EFFECTIVE FROM ACADEMIC SESSION 2007-08)**



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

I N D E X

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1. Introduction

The Institute may award Post-doctoral fellowships with a view to provide an opportunity to competent researchers to do independent research work in an appropriate area. The fellow may have designation of "Post doctoral fellow" or "Research Associate" depending on the nomenclature of the funding authorities.

The rules embodied in this Regulation shall apply to all categories of Post doctoral fellows working in the Institute including those supported by AICTE, UGC, CSIR, other Government /Private agencies and by sponsored research projects.

2. Eligibility

2.1 Post doctoral fellowships are intended for persons ordinarily below the age of 40 years who have obtained a doctorate degree and have had published research work to their credit. In special cases, persons with M.Tech. degree, a superior academic record and at least 3 years of R&D experience may be considered for "Research Associateship", if allowed by funding agencies.

2.2 Post Doctoral fellowship may also be awarded provisionally to candidates who have submitted Ph.D. thesis. In such cases the student may be given fellowship at 50% of normal rate, the balance being paid as arrear on award of the degree. If the candidate does not receive Ph.D. degree within 1 year of joining, the award should be withdrawn. There shall neither be recovery of the fellowship paid, nor payment of stipend beyond the 50% already paid.

3. Selection

3.1 The selection of post doctoral fellows will be made on the recommendations of a Selection Committee consisting of the following members:

1. The Director ... Chairman
2. The Dean of Academic Affairs
3. The Head of the Department in which a candidate intends to carry out research work.
4. Two members of faculty having expertise on the line of research work intended.

3.2 A candidate will be required to appear for an interview before the Selection Committee. The Institute will pay the candidate single sleeper class rail fare each way by the shortest route for the journey in connection with the interview.

4. Tenure

4.1 The fellowship awarded to a research worker shall be, in the first instance, tenable for one year counted from the date of joining.

4.2 The tenure can be extended on consideration of the research work carried out in the preceding year by an Assessment Committee consisting of the following members:

1. Director or his nominee (Chairman)
2. The Dean of Academic Affairs
3. Head of the Department concerned
4. The faculty member with whom the Research Associate is associated.

The extension will be for a total period three years including the year of joining, but not more than one year at a time.

- 4.3 The Institute may terminate the fellowship of a person at any time on the basis of a report from the Head of the Department for reasons of unsatisfactory performance; in the cases of fellows of CSIR/UGC/R&D Projects the report will have to be from the associated faculty/Principal Investigator. A fellow may discontinue the fellowship and leave the Institute before the end of the tenure with prior approval of the appropriate authority.

5. Emoluments

- 5.1 Post doctoral fellowships will be as per the norms set by MHRD or a national agency such as AICTE, DST, CSIR or UGC.
- 5.2 The monthly emolument offered to a candidate shall be fixed for the one year tenure in one of the above groups and there will be no Dearness Allowance or any other allowances like HRA, CCA etc, unless specifically approved by the sponsors.

6. Work Assignments

- 6.1 The post doctoral fellow will be attached to a Senior Faculty member and be required to devote himself to full time research in an area approved by the member of faculty concerned.
- 6.2 He shall not accept or hold any appointment, paid or otherwise or receive any emoluments, salary, stipend etc. from any other sources during the tenure of the award.
- 6.3 The fellow shall present, through the faculty member of the Department with whom he has been working, an annual comprehensive report on the progress of his work for purpose of assessment.
- 6.4 The Head of the Department may assign to a Post doctoral fellow academic responsibilities (like lecture, tutorial or laboratory classes, conduct of seminar / symposia, running and maintenance of equipment/computer etc.), not exceeding 8 hours per week.

7. Other Facilities

- 7.1 (A) Accommodation
 - 7.1.1 Post doctoral fellows may be provided with accommodation subject to availability, in Halls of Residence with monthly rental charges applicable to research scholars.

7.1.2 While residing in a Hall of Residence, the fellow shall abide by the rules relating to Residential accommodation as in force for the Institute Research Scholars, and shall also be liable to pay the Institute water charges and Hall Establishment charges levied by the Warden.

7.2 (B) Leave

7.2.1 A post doctoral fellow may be granted following kinds of leave with full emoluments during each one year tenure:

- i) Casual Leave : 15 days
- ii) Medical Leave, on the recommendation of the Institute doctor. : 15 days

Any leave not availed of shall not accumulate. Unauthorised absence may be treated as leave without emoluments.

7.2.2 The sanctioning authority for the leave shall be the Head of the Department.

7.2.3 In addition to the above, a woman fellow may be allowed maternity leave with full emolument for a period not exceeding three months covering periods both before and after confinement.

7.2.4 In exceptional cases, post doctoral fellows, except those who are with fellowship of CSIR, UGC or under a sponsored scheme, may be allowed leave without emolument for a period not exceeding three months during the total tenure of the award on the recommendation of the Head of the Department.

7.2.5 The period of leave sanctioned under the provisions of para 7.2.4 shall be counted towards the tenure of the fellowship awarded.

7.3 (C) Library books and Journals

7.3.1 The post doctoral fellows shall be entitled to all Library facilities on depositing a Library Caution Money applicable to Research scholars.

7.4 (D) Medical treatment & reimbursement

7.4.1 A post doctoral fellow will be provided with free medical treatment in the Institute Dispensary.

7.4.2 The above mentioned facilities shall cover the members of family of the post doctoral fellow, if permitted to stay with him in the Hall of Residence.

7.5 (E) Traveling Allowances

7.5.1 Post doctoral fellows may be permitted on the recommendation of the Head of the Department to attend an Institutional or a national conference/ seminar in India once a year for which he will be treated on duty and shall be entitled to the payment of

- i) Traveling Allowance - Single AC III tier fare and/or actual bus fare from the Institute each way. If AC III tier is not available AC II tier fare may be approved by Dean(AA).
- ii) Daily Allowance - At the same rate per day as admissible to an Institute employee with same salary as the monthly emolument of the fellow.
- iii) Registration - Actual amount payable.

Post doctoral fellows may be deputed on official duty with the same TA rules as given above.

8. Exceptions:

- 8.1 Notwithstanding anything stated in the rules, the Senate can make special provisions and exceptions depending on the merit of a case. Such cases shall not be cited as precedence in future occasions of similar nature.
- 8.2 In emergency situations, the Director in capacity of the Chairman Senate, can exercise powers of the Senate and discharge the functions of the Senate. Such decisions must be reported to the Senate at its next meeting.



APPENDICES

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APPENDIX-I

List of Departments offering Ph.D. and M.Tech(R) programmes

A. ENGINEERING

1. BM : Biotechnology and Medical Engineering
2. CE : Civil Engineering
3. CH : Chemical Engineering
4. CR : Ceramic Engineering
5. CS : Computer Science & Engineering
6. EC : Electronics and Communication Engineering
7. EE : Electrical Engineering
8. ID : Industrial Design
9. ME : Mechanical Engineering
10. MM : Metallurgical & Materials Engineering
11. MN : Mining Engineering

B. SCIENCE, HUMANITIES AND SOCIAL SCIENCES

1. CY : Chemistry
2. LS : Life Sciences
3. MA : Mathematics
4. MS : Management Studies
5. PH : Physics
6. HS : Humanities and Social Sciences

[Ph.D. in English, Psychology, Economics and Sociology only]

QUALIFYING DEGREES FOR ADMISSION TO Ph.D. and M.Tech (R) PROGRAMMES

Department	Requisite Academic Qualification
Biotechnology and Medical Engineering (BM)	B.Tech in Biotechnology / Chemical / Mechanical / Electrical / Electronics / Chemical / Metallurgical / Polymer Instrumentation Engg., B.Pharm, MBBS or M.Sc in Biotechnology or Life Sciences.
Civil Engineering (CE)	B.Tech. in Civil / Mining Engineering.
Chemical Engineering (CH)	B. Tech. in Chemical / Biochemical / Biotechnology / Mining / Metallurgical / Polymer / Mechanical / Ceramic Engineering.
Ceramic Engineering (CR)	B.Tech in Ceramic / Metallurgy / Chemical / Mechanical Engg. or M.Sc in Physics / Chemistry / Material Science.
Computer Science & Engineering (CS)	B.Tech. in Computer Science & Engineering / Electronics / Electrical Engg. / IT, MCA or M.Sc. in Computer Science
Chemistry (CY)	M.Sc. in Chemistry, Physics, Life Sciences or B.Tech. in Chemical / Ceramic / Metallurgical and Materials Engg.
Electronics & Communication Engg. (EC)	B. Tech. in Electronics / Electrical Engg.
Electrical Engineering (EE)	B.Tech.in Electronics / Electrical & Electronics/ Electronics & Communication / Electrical Engg.
Humanities and Social Sciences (HS)	M.Sc. / MA in relevant subjects ; B.Tech. in any branch of engineering.
Industrial Design (ID)	B.Des. with any specialization, B.Tech. in Mechanical Engineering, Manufacturing Science or Instrumental Engineering
Life Sciences (LS)	M.Sc, in Life Sciences or Biotechnology, MBBS, BVSc., B.Pharm or B.Tech. in Biotechnology
Mechanical Engineering (ME)	B. Tech. in Mechanical / Automobile / Biomedical / Aeronautical / Production / Manufacturing / Industrial / Metallurgy or Material / Polymer / Chemical Engg
Metallurgical & Materials Engineering (MM)	B.Tech. in Metallurgy / Met. and Mat. / Ceramic / Chemical / Mechanical / Production / Manufacturing Engg. or M.Sc. in Physics or Chemistry.
Mining Engg. (MN)	B.Tech. in Mining or in any other branch of Engineering or M.Sc. in Geology / Geophysics / Physics / Chemistry.
Management Studies (MS)	Masters degree in Management Studies or Industrial Design.
Physics (PH)	M.Sc. in Physics, Chemistry or B.Tech. in Metallurgy and Materials Engg.

Note : Science students admitted to Ph.D. programme in Engineering need Mathematics in +3 level. Students without Mathematics in +3 level may be admitted under the condition that they will have to register for 16 credits of 100 and 200 level Mathematics & Computer Science courses (Theory and Practical) in addition to their normal course requirement, and secure at least C grade in each course.

APPENDIX-III**GUIDELINES FOR USE OF PROJECT RECORD BOOK**

1. The Project Record Book constitutes the bona fide record of project work carried out by undergraduate, postgraduate and research students of NIT Rourkela.
2. The book contains day to day record of all conceptual, analytical, laboratory and computational activities carried out by a student as a part of his project.
3. It is a permanent record of academic activity and contains intellectual property created by the student and his supervisor.
4. The book should be treated with respect and maintained with care. Pages must not be torn or used for rough work.
5. The student should record all his thoughts, observations, flow charts, computational steps etc., directly on this notebook. Use of second rough book and final copying to this record book is discouraged.
6. All information recorded here must start with a date on the left margin. The work of the day must be organized into sections such as objective, experimental or computational methods, observations, program flow charts, pseudo-codes, conclusion, discussion etc., as relevant to the problem at hand. Short computer prints, photographs, charts and graphs may be pasted neatly wherever necessary.
7. The supervisor should examine the progress of the student and record his observations, comments and suggestions in a regular manner, typically once every week.
8. The student must produce this record book before all Examination Boards for evaluation and grading of his day to day performance, and for award of medals and prizes. The first evaluation of the project will be made basing on the record book only.
9. On completion of the project, the student must surrender this book to his supervisor for archiving. If the same problem is continued by students of the following batch, the supervisor may choose to give it to those students for the sake of continuity. Projects with supervisor intellectual material may be sent to Departmental Library for permanent archival.
10. The students who do work worth publishing and/or patenting are advised to proceed with those activities. The IPR Cell of the Institute will organize the patenting process.
11. All research students shall be provided with Project Record books as per need with no limit on the number of books used. Blank books shall be provided by the Department Office or by the Academic Section.

RULES REGARDING CONDUCT AND DISCIPLINE

Following rules shall be in force to govern the conduct and discipline of all students:

1. Students shall show due respect to the teachers of the Institute, the Wardens of the Halls of Residence, the Sports Officers and the Officers of the National Cadet Crops; proper courtesy and consideration should also be extended to the employees of the Institute and of the Halls of Residence. They shall also pay due attention and courtesy to visitors.
2. Students are required to develop a friendly relationship with fellow students. In particular, they are expected to show kindness and consideration to the new students admitted to the Institute every year. Law bans ragging in any form to any body. Any act of physical or mental pressurization of junior students, individually or in group, will be considered as an act of ragging. Ragging also includes forcing junior students to meet seniors outside institute premises, or in places where a student has no valid reason to be present, asking irrelevant questions or using abusive language. Ragging will be considered as gross indiscipline and will be severely dealt with, which may include expulsion from the institute.

If a junior student yields to any form of ragging by senior students and does not inform the Institute or hall authorities, or willfully withholds the information in an enquiry of ragging incident, the matter will be treated as indiscipline on the part of the junior student and invite punishment comparable to those against ragging itself. Willful withholding of complaint by a junior student does not automatically exempt a senior from punishment.

3. The following acts of omission and/or commission shall constitute gross violation of the code of conduct and are liable to invoke disciplinary measures:
 - Furnishing false statement of any kind in the form of application for admission or for award of scholarship or prizes etc.
 - Furnishing false statement to the Disciplinary Committee, or willfully withholding information relevant to an enquiry.
 - Organizing or participating in any activity that has potential for driving fellow students along lines of religion, caste, home state, batch of admission, hall of residence or any other unhealthy criterion.
 - Physical or mental harassment of freshers through physical contact or oral abuse.
 - Getting involved in a brawl or fight with persons outside the Institute, either alone or in a group, irrespective of who initiated the conflict.
 - Willfully damaging or stealthily removing any property belongings of the Institute, Hall or fellow students.

- Adoption of unfair means in the examinations.
- Possession, consumption or distribution of alcoholic drinks or any kind of hallucinogenic drugs.
- Organizing or participating in any group activity except purely academic and scientific programmes in company with others in or outside the campus without prior permission of the Dean of Students' Affairs.
- Mutilation or unauthorized possession of library books.
- Displaying lack of courtesy and decorum, resorting to indecent behaviour any where within or outside the campus.
- Resorting to noisy and unseemly behaviour, disturbing studies of fellow students.
- Not intimating his/her absence to the Warden of the hall before leaving campus.

4. Commensurate with the gravity of the offence, the punishment may be

- (i) Reprimand,
- (ii) Additional work in the institute,
- (i) Debarment from student activities and elections and captaincy of sports teams,
- (ii) Debarment from medals and prizes,
- (iii) Partial (one month or one semester) or complete debarment from campus placement,
- (iv) Reduction in grade in one or more courses,
- (v) Expulsion from the Hall of Residence,
- (vi) Rustication for a specified period, or
- (vii) Outright expulsion from the Institute.

Punishments under items (v) to (ix) will constitute "Major Punishments" and will debar a student from all academic medals and prizes, as well as important non-academic awards.

In addition, for economic offences (either misappropriation of money or damage to Institute property), the cost to the Institute will be recovered along with a penalty which may be up to ten times of the cost recovered.

5. For an offence committed (a) in a Hall of Residence, (b) in the Department or a class room and (c) elsewhere, the Warden, the Head of the Department and the Dean of Students' Affairs, respectively, shall have the authority to reprimand or impose fine or take any other suitable measure. All cases involving punishment other than reprimand shall be reported to the Chairman of the Standing Disciplinary Committee.

6. (a) All major acts of indiscipline, which may have serious repercussion on the students in general and/or which may warrant a uniform and more formalized nature of investigation, shall be handled by the Standing Institute Disciplinary Committee appointed by Senate. The standing Disciplinary Committee consists of the following ex-officio and other members:
- (1) Dean of Student Affairs - Chairman
 - (2) Chief Warden of Halls of Residence - Member
 - (3) Wardens of the Halls of Residence of the concerned students - Member
 - (4) Two members of faculty nominated by the Senate, for a period of two years - Member
 - (4) Two senior students nominated by the Director for a period of one year - Member
 - (6) Deputy / Assistant Registrar (Academic) - Member Secretary
- (b) The standing Disciplinary Committee shall investigate complaints, examine available evidence and award punishment.
- (c) Recommendation of the committee, which will include the suggested punishment in cases of guilt proven, will be forwarded to the Chairman, Senate for necessary action.
- (c) Proof of guilt need not necessarily be at the same level as necessary in a court of law. The committee, in order to protect the academic rights of a greater body of students, may award disciplinary measures if it is reasonably satisfied that such measures are in the greater interest of the students.
- (d) The Director, at his discretion may take additional measures keeping in mind long term issues and impact on other aspects of Institute management. The Director in capacity of Chairman, Senate may make minor changes in the nature of punishment awarded or reduce the level (as per item 4 above) and/or quantum of punishment if he feels appropriate. But he shall not increase the quantum of punishment awarded.
- On approval of Director, the Deputy / Assistant Registrar (Academic) will bring out appropriate orders with copies to the parents / guardians of the student.
- (e) If the Director feels that the nature and/or quantum of punishment is not commensurate with the offence and may create long term problems, he may refer the matter to the full Senate. The Senate's decision in the matter will be final.
7. Acts which may be classed as 'crimes' rather than acts of indiscipline will be reported to the state authorities; they include such acts as causing serious injury to fellow students or others, causing major damage to Institute property, being involved in activities prejudicial to national security or to that maintaining communal harmony etc.

8. Cases of adoption of unfair means in an examination shall be dealt with by the Examination Disciplinary Committee consisting of the following members:

- | | | | |
|---------|--|---|-----------|
| (1) | A Senior Professor, nominated by the Senate | - | Chairman |
| (2) | The concerned examiner(s) & the faculty reporting the incident | - | Members |
| (3 & 4) | Two members of faculty nominated by the Senate for a term of two years | - | Members |
| (5) | Professor in charge Examinations | - | Secretary |

If adoption of unfair means is proved, the punishment may be, depending on the quantum of the offence and prior record, reduction of grade, de-registration of a course, expulsion for one or more semesters or outright expulsion from the Institute.

The Committee shall recommend appropriate measures in each case to the Chairman of the Senate for awarding the punishment.

9. Any act of indiscipline in a hall will be investigated by a Hall Disciplinary Committee which will recommend the action to the Superintendent, Halls of Residence, who will decide the course of action to be taken and implement it. However, in case the matter is in serious nature, the Superintendent will forward it to the Dean (SA) through Warden, Hall. The Dean (SA) who is the Chairman of the standing Institute Disciplinary Committee may take necessary action. The Hall Disciplinary Committee consists of the following members:

- | | | | |
|-------|--|---|----------|
| (i) | Assistant Warden | - | Chairman |
| (ii) | General Secretary | - | Member |
| (iii) | One boarder of the hall to be nominated by the Chief Warden of Halls in consultation with the Warden | - | Member |

10. Any act of the indiscipline and steps taken by the Director will be reported to the Senate in its next meeting. If opportunity still exists, the Senate may deliberate and alter the nature and/or quantum of punishment awarded.

11. A punishment, once awarded and notified cannot be changed by the Director, the Standing Disciplinary Committee, or any administrative authority. However, when new facts come to light, the Senate can amend the punishment and take any other corrective measures that it feels appropriate.

12. Ordinarily minor disciplinary offences and punishments will not be reflected in a students' Conduct Certificate. But in serious cases, Disciplinary Committee the Director or the Senate may decide to enter an appropriate entry in the students' Conduct Certificate.

APPENDIX - V

FEE STRUCTURE FOR B.Tech/M.Tech./M.Sc./Ph.D./ M.Tech.(Res.) Courses

Sl.No.	Fee	Amount		
		B.Tech.	M.Tech/M.Sc.	Ph.D/M.Tech(R)
1.	Admission fee (one time fee)	Rs.1000/-	Rs.1000/-	Rs.1000/-
2.	Tuition fee (per annum)	Rs.12000/-	Rs.7500/-	Rs.5000/-
3.	Other fees (Exam., Library. etc.) (per annum)	Rs.4000/-	Rs.4000/-	Rs.4000/- (at the time of submitting thesis)
4.	Institute Development Contribution. (One time fee – to be directly deposited into corpus fund at the time of admission)	Rs.10000/-	Rs.5000/-	Nil
5.	Student Activity fee (per annum)	Rs.1000/-	Rs.1000/-	Rs.1000/-
6.	Medical & insurance fees (per annum)	Rs.1000/-	Rs.1000/-	Rs.1000/-
7.	Hostel admission fee (one time fee)	Rs.500/-	Rs.500/-	Rs.500/-
8(a)	Hostel seat rent (per annum)			
	Single seated	Rs.5000/-	Rs.5000/-	Rs.5000/-
	Double seated	Rs.4000/-	Rs.4000/-	Rs.4000/-
	Four seated	Rs.3000/-	Rs.3000/-	Rs.3000/-
	Family Accommodation	-	-	Rs. 6000/- or 8000/-
8(b)	Permitted to stay outside due to shortage of rooms	Fees appropriate to the hall to which attached		
9.	Souvenir fee in pre final semester	Rs.500/-	Rs.500/-	Nil
10.	Alumni fee in final semester or at the time of submission thesis	Rs.500/-	Rs.500/-	Rs.500/-
11.	Caution Money (one time fee, refundable)	Rs.2500/-	Rs.2500/-	Nil

MISCELLANEOUS FEES

Grade Cards and Certificates (Original)	NIL
Grade Cards and Certificates except degree certificate (Duplicate)	Rs. 500/-
Duplicate Certificate to correct errors	NIL
Degree Certificate (Duplicate) with Police FIR and Affidavit	Rs. 2000/-
Duplicate Identity Card	Rs. 500/-
Duplicate Health Card	Rs. 100/-
Delayed Registration (up to one week)	Rs.500/-
Delayed Registration (exceeding one week)	Rs. 2000/-
Official transcripts for students (one time payment)	Rs. 500/-
Official transcripts for Alumni (per institution)	
(Subject to a minimum fee of Rs.500/-)	Rs. 200/-
Fees for summer courses (per courses)	Rs. 2000/-
Alternative mid-sem or supplementary exam (per course)	Rs. 500/-
Fees for mid term TC	Rs. 1000/-
Miscellaneous services (each service)	Rs. 500/-

Note:

- 1) Tuition fee and all other Fees except the one time fees will be collected in two equal installments.
- 2) SC/ST students taking admission in all postgraduate and research Programme are exempted from paying tuition fee.
- 3) Students permitted provided family accommodation in Institute quarters (if any) will be attached to Hall or Ladies Hall. They will pay seat rent at the higher rate of Hall-1.
- 4) Hostel seat rent (except that for family accommodation) includes electricity charges upto 50 units per student per month, average. Excess consumption will be billed extra, uniformly.
- 5) Tuition fees and Development fees can be borne by research projects in case of students of all categories, if the student's research activity has a bearing on the project to every student in a hall.
- 6) Medical & insurance fee will entitle the student to free treatment and medicines at the Institute dispensary, plus insurance cover against hospitalization. It also provides insurance cover against other (non-medical) losses as per contract between the Institute and the insurance company.
- 7) Students are required to pay fees during all the semesters (or part thereof) they are in the roll of the Institute, from admission till thesis submission.
- 8) Institute employees enrolled in M.Tech.(Res.) or Ph.D. programme are exempted from all fees except Admission fee, Examination fee and Alumni fee.
- 9) Foreign students coming under different schemes will pay tuition fee at a rate fixed under the scheme, instead of the rate given above.
- 10) Ph. D., M.Tech.(R) and M.Tech. students who are granted withdrawal are exempted from paying fees under Sl. Nos. 6 and 8 (a & b) above.
- 11) A student permitted to stay outside the halls at his own request shall pay full seat rent for the hall he is attached to.
- 12) Alumni fees will be utilised by the institute for promotion of alumni activities or handed over to alumni associations for purposes approved by the Director.
- 13) The seat rent chargeable to students who have taken withdrawal during short term visit to the institute shall be 10 % of annual rent for each month (30 days) or part there of.
- 14) When persons other than students are given hostel accommodation, they will pay seat rent at the same rate, but on 6 monthly basis, payable at entry, in January and in July, irrespective of their date of entry. Every payment amount shall be 50% of annual seat rent.
- 15) Candidates for D.Sc. degree will pay thesis evaluation fee equal to that for Ph.D. students.

CONDUCT RULES FOR RESIDENTS OF HALLS OF RESIDENCE

Following are the detailed rules governing residence requirements of students:

1. The NIT, Rourkela is a totally residential institution and all students are required to stay in one of the Halls of Residence.
2. Under special circumstances, the Director or Dean (AA) may permit a student to reside with his/her Parent/Guardian in the Institute Campus or within a reasonable distance from the Institute. Such a student shall, however, be attached to a Hall of Residence and will be required full seat rent and certain other to pay dues as decided by the Warden of the Hall. However, this permission may be withdrawn at the discretion of the Institute, at any time considered appropriate without assigning any reason. If the Institute does not have enough accommodation for all students, the Director may waive payment of full seat rent.
3. The mess of each Hall of Residence shall function as a single integrated unit and shall not, under any circumstances be sub-divided into any kind of groups or sub-groups.
4. The allotment of rooms in a Hall should be directed towards integration of students of different courses, batches, residential districts and communities. Wardens may reshuffle allotment in the middle of a year if this objective is not met adequately.
5. Married student accommodation may be available only to married students of Ph.D. and M.Tech(R) programmes, if the spouse of the student lives continuously with the student. It will, ordinarily, not be provided whose spouses live elsewhere and visit the student intermittently. Other dependents such as parents, sibling or relatives are not permitted to stay in married student accommodation provided by the Institute.
6. No student shall come into or give up the assigned accommodation in any Hall of Residence without prior permission of Dean(AA).
7. A student shall reside in a room allotted to him/her and may shift to any other room only under the direction/permission of the respective Warden of the Hall. Mutual interchange of room without consent of the Warden is forbidden.
8. Students shall be required to make their rooms available whenever required for inspection, repairs, maintenance or disinfecting and shall vacate the rooms when leaving for the vacations/holidays.
9. Students shall be responsible for the proper care of the doors, windows, furniture, fan, and other fittings in the rooms allotted to them and shall generally assist the Warden in ensuring proper use, care and security of those provided in the Halls of common use of all students.

10. 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 for payment of any compensation.
12. Engaging personal attendants, keeping pets and use of appliances like electric heater, refrigerator etc. by a student in the Hall of Residence are prohibited.
13. Consumption of tobacco, alcoholic drinks and hallucinogenic substances is strictly forbidden.
14. Students must honour the timing of the hostels in matters of moving in or out of halls and meal times.
15. The Halls have an autonomous management system based on student participation. Every student must make an effort to participate in hall management and other welfare activity within the hall.
16. Use of motorcycles, mopeds or automobiles is not permitted in the halls. Except for truly exceptional reasons approved by the Director.

COMPOSITION OF DEPARTMENTAL ACADEMIC COMMITTEE (PG & R)

The following are the members of the Committee:

- i) A senior member of the faculty nominated by the Head of the Department - Chairman
- ii) Six faculty members selected by the HOD on rotation basis. - Members

Membership will be limited to regular faculty members in the rank of Assistant Professor or Professor with or without a Ph.D. degree and two Lecturers with a Ph.D. degree. The HOD shall ensure that all academic groups of a department are well represented.

A teacher who is enrolled for a degree at the Institute or outside cannot be a member of the DAC.

The Committee shall be reconstituted at the beginning of every academic session.

The functions of the Committee are as follows:

This Committee will have two different functions: one related to Postgraduate studies and the other related to Research Activities leading to Ph.D. degree. The functions related to the Ph.D. programme are given below.

1. To conduct the process of selection of the research scholars according to Ph.D. regulations, and recommend candidates for admission.
2. To recommend the deserving cases for Institute scholarship.
3. To recommend supervisors for the Ph.D. candidates.
4. To constitute Doctoral Scrutiny Committees.
5. To continuously monitor the progress of work of all enrolled Ph. D. students and to recommend remedial measures for poor performance, if any.
6. To decide on special issues, such as exemption of residence requirement, allocation of supervisor on retirement or long leave of Principal supervisor etc., in consultation with Doctoral Scrutiny Committees.
7. Any other duty assigned by the Senate or the HOD related to the Institute's research programme.

APPENDIX-VIII**COMPOSITION OF RESEARCH PROGRAMME AND EVALUATION COMMITTEE(RPEC)**

- | | | | |
|----|--|---|------------------|
| 1. | Dean of Academic Affairs | - | Chairman |
| 2. | Dean of Student's Affairs | - | Member |
| 3. | Four Senate Members to be nominated by the Senate, for a period of two years by rotation. Two members will be inducted during alternate years. | - | Members |
| 4. | Heads of the Depts. concerned to be co-opted, whenever necessary | - | Member |
| 5. | Deputy Registrar/Asst. Registrar (Academic) | - | Member Secretary |

Functions:

- (i) To suggest the norms of admission of scholars to various research programmes leading to D.Sc., Ph.D., M.Tech.(Res) degrees of the Institute.
- (ii) To scrutinize and recommend on the proposals of the Departmental Committees for Postgraduates Studies & Research, in respect of offering research scholarships, fellowships and associateships.
- (iii) To recommend draft regulations pertaining to academic and residential requirements for research programmes leading to D.Sc., Ph.D., M.Tech.(Res) degrees.
- (iv) To scrutinize and recommend on the proposals of Doctoral and Masters Scrutiny Committees in respect of registration, progress and continuance of research programmes for individual scholars, and award of degrees on the basis of adjudication of thesis and viva voce.
- (v) To ensure that all norms of academic and residential requirements for each research scholar/fellow are strictly followed.
- (vi) To advise the Doctoral and Masters Scrutiny Committees on any matter relating to the research programmes of the students.
- (vii) To examine any proposal for a student of M.Tech. (Res) programme to be shifted to Ph.D. Programme and vice versa.
- (viii) To examine and recommend cases of advancement of thesis submission proposed by DSC.
- (ix) To recommend to the Senate the award of the doctoral degree on the basis of academic norms and regulations laid down for the purpose.
- (x) Frequency of the Meetings : Before every Senate Meeting

Any other function assigned by the Senate or by the Director on behalf of the Senate.

RULES REGARDING ENDOWMENT MEDALS & PRIZES

The Institute awards medals and cash prizes to the eligible continuing and graduating students for excellence in academic or extra academic activities. Some of the medals are funded by the Institute, while some are given by donors such as parents of deceased students, Government, Organisations and individuals. These medals and prizes are awarded to graduating students in the Annual Convocation and to continuing students on Institute day. It is decided that the medals and cash awards will be given according to the following rules : -

1. Gold Medals :

A Gold Medal awarded by the Institute will be of 10 gm standard weight at current rate, will cost around Rs.10,000/-. Minimum capital to be given by the donor as principal will be of Rs.2.00 lakhs. Existing donations of lower capital will be converted to cash prizes. The minimum value of cash prize shall be Rs. 5000/-, except for those awards which are given in memory of deceased students.

2. Memory of Past students:

Some awards are given by parents or friends in memory of deceased students of the Institute. The criteria for giving such endowments is as follows : -

a) **Gold Medal** : as per clause 1.

b) **Cash Award** : 5% of endowment or Rs.1000/- whichever is higher.

These awards will be continued even if the interest from the principal falls below the cost. In case of deficiency, donors will be requested to increase the amount of endowment but if they either do not exist or one not in a position to contribute more funds, the Institute will bear the difference in expenditure in memory of its old students.

3. Government/Institution of Engineers/Organisation donors/Individual donors:

a) **Gold Medal** : as per clause 1.

b) **Cash Award** :

5% of endowment or Rs.5000/- whichever is higher. In case of deficiency of capital, the donors will be contacted for increasing the amount of endowment. If they are not in a position to contribute the funds required, these endowments will be discontinued after funds are exhausted. In the closing year, if Rs.5,000/- is not available, the amount will be absorbed by the endowment fund and used for covering deficiencies in the endowment given in the memory of deceased students.

4. In all the above cases, the figures will be reviewed in July of every 5th year i.e. in July of year 2010, 2015, 2020 etc.

5. For awarding the above prizes, an Institute Committee appointed by the Senate will decide winners a month before the Convocation or the Institute day whichever is earlier. The composition of the Committee shall be as follows :

Dean (SA)	-	Chairman
Two faculty members nominated by the Senate	-	Member
Deputy /Asst. Registrar (Acad)	-	Member
6. For prizes based on attributes other than academic performance or SAC activity, a special committee may be constituted by Director in consultation with donors. Donors who choose to pay annually are required to pay minimum Rs.5000/- towards the endowment. They must send the cheque before September 30 of each year to sustain the endowment. If payment is not received in time, the award will be dropped for the year. Late payment will go to next year.
7. List of prizes, method of selection and names of winners will be posted on the Institute website.

NORMS FOR ADMISSION OF SPONSORED CANDIDATES

1. The Institute may admit persons who are employed in other organisations (Institutes/ research organisations/industries) to Ph.D., M. Tech. and M. Tech. (R) programmes of any discipline.
2. Such candidate should have eligibility requirement as specified in clause 2.1 and 2.2.
3. These candidates must have a total of minimum 2 years full time experience in the sponsoring organisation. The candidates must produce evidence of their work experience in the form of appointment letter, salary slips, identity cards etc. for the satisfaction of DAC(PG&R). A simple letter from the employer will not suffice. It is the responsibility of the candidate to convince the DAC(PG & R) that he has served continuously for two years in the sponsoring organization and that it is a reported institution or industry.
4. The requirements of 2 years experience may be relaxed for personnel with permanent job (including probation) in the Central or State Govt. or an organization fully owned by the Government on request of the concerned organisation.
5. Intending sponsored candidates must submit their applications in prescribed form for admission through their employers with suitable endorsement.
6. The sponsored students normally are required to stay in the institute till completion of assigned work and submission of the thesis. However, in special cases, their residential requirement can be reduced by Chairman Senate on recommendation of the DSC/M.Sc. to six months only as mentioned in Clause 5.2, provided they do not have to complete any course work during normal semesters. Continuous periods of stay less than 2 months in duration will not be counted.

In case of candidates from Central Government R&D Institutions, if the Department can arrange summer courses or guided self-study courses, or a candidate can attend equivalent courses in an Institute/ University (not affiliated college) of repute near his place of work, the residential requirement of 6 months may be satisfied in a split mode.

7. Sponsored candidates who intend to do a part of their work in the place of employment will be assigned a joint supervisor from their place of work, the details of which are given in the regulations.

The DAC will ensure that sufficient number of qualified and experienced scientists/engineers are employed in the parent organization, so that one of them will serve as the second supervisor. The employer may enclose a copy of the biodata of the proposed second supervisor, which will be examined by the DAC.

8. It is the responsibility of the candidates to furnish all necessary documents to convince the DAC(PG&R) on the credentials of their employer-organisation that the work (or a major part of the work) can be

successfully carried out in their organisation. Annual reports of the institutes, faculty list and qualifications, publication lists and any other material that the candidate considers to be relevant may be presented.

9. A sponsored student on completion of the programme is required to serve the sponsoring organization for at least three years. A certified copy of the contract between the candidate and his employer or that of the office order must be produced before the Institute before admission. A student, after completion of a course in the sponsored category, will not be eligible for admission to another programme of the Institute for a period of 3 years, except when sponsored by the same employer under a fresh contract. In that case, he is required to serve the employer for a period of 3 years after completion of the second programme, irrespective of the period served before admission to the first or second programme.
10. On completion of a course, a sponsored student is required to join back in the sponsoring organization and serve for a minimum period equal to the number of years of study, i.e., 2 years after M.Tech(R) and 3 years after Ph.D., unless specifically released by the sponsor for a justified reason. The Institute, at its discretion, may refuse placement or admission in another programme to a student intending to return to the Institute, particularly when there is indication that the student or the sponsor has not acted in good faith. Such decisions shall be made by the Senate, or Chairman Senate on its behalf.
12. Detection of any breach of trust, submission of misleading document or concealment of information shall lead to termination of studentship at any stage of a student's tenure. In such a case fees already paid shall not be refunded.

LIST OF FORMS
(Ph.D. & M.Tech(R) programmes)

Form No.	Form Title	Page
NITR/AC/301	Application for Admission to Ph.D. & M.Tech (R) programmes	
NITR/AC/302	Scrutiny of Applications for Admission to Research programmes	
NITR/AC/303	Recommendation for Admission to Research programmes	
NITR/AC/304	Offer of Admission to Ph.D. & M.Tech (R) programmes	
NITR/AC/305	Application for Enrolment in Ph.D. or M.Tech (R) programme	
NITR/AC/306	Office Order on Enrolment of Student in Research programme	
NITR/AC/307	Application for Provisional Registration of Ph.D./ M.Tech (R) student	
NITR/AC/308	Office order on Provisional Registration of Research student	
NITR/AC/309	Application for Registration of Ph.D. / M.Tech (R) student	
NITR/AC/310	Office order on Registration of Research student	
NITR/AC/311	Semester Registration Form for Ph.D. / M.Tech (R) student	
NITR/AC/312	Record of On-Campus Residence of Research students	
NITR/AC/313	Request for tuition fee waiver by research students	
NITR/AC/314	Application of Research Scholars for Extension of Tenure of Fellowship	
NITR/AC/315	Proposal for Submission of Synopsis of Thesis by Research students	
NITR/AC/316	Recommendations on Composition of Board of Examiners for Adjudication of Ph.D. Thesis	
NITR/AC/317	Recommendation on composition of Board of Examiners for Adjudication of M.Tech(R) Thesis	
NITR/AC/318	Submission of Thesis by Ph.D. or M.Tech (R) student	
NITR/AC/319	Acceptance of Ph.D. or M.Tech(R) Thesis for Examination	
NITR/AC/320	Recommendation of examiners of Ph.D. Thesis	
NITR/AC/321	Recommendation of examiners on M.Tech(R) Thesis	
NITR/AC/322	Summary of Examiners' Reports on Ph.D. / M.Tech(R) Thesis	
NITR/AC/323	Recommendation of the Doctoral / Masters Scrutiny Committee on Reports of Examiners	
NITR/AC/324	Report on defence of Ph.D. / M.Tech(R) thesis	
NITR/AC/325	Grade Sheet of Ph.D. / M.Tech (R) degree students	
NITR/AC/326	Sample Degree Certificate for Ph.D. degree	
NITR/AC/327	Sample Degree Certificate for M.Tech (R) degree	
NITR/AC/351	Initiation of Pre-registration visits of QIP Research Scholars	
NITR/AC/352	Identity Card of QIP Student in contact programme	
NITR/AC/353	Report on Pre-registration visit of QIP Research Scholars	
NITR/AC/354	Request for Reimbursement of Contingency Expenditure by QIP Students	

NITR/AC/355	Application for permission to attend field trip, conference or short term course
NITR/AC/356	Intimation of permission to QIP student to attend Field-Trip/conference
NITR/AC/357	Report of the doctoral Scrutiny Committee for renewal and enhancement of QIP Research Scholarship
NITR/AC/358	Approval of Renewal and Enhancement of Scholarship of QIP Research Scholars
NITR/AC/359	Request for Release Order of a QIP student
NITR/AC/360	Release Order of QIP student
NITR/AC/204	Application for Withdrawal and Submission of Thesis from outside
NITR/AC/205	Office order on withdrawal of M.Tech/Ph.D./M.Tech(R) student and submission of thesis from outside
NITR/AC/110	Application for Leave of Absence from classes
NITR/AC/111	Request for Permission to Travel for Academic Work, Conferences or Student Activity
NITR/AC/115	Studentship Certificate
NITR/AC/116	Expenditure Certificate
NITR/AC/126	Format of Institute Leaving cum Migration cum Conduct Certificate
NITR/AC/127	Format of Provisional Certificate
NITR/IP/1	Undertaking to be signed by all academic and technical staff joining National Institute of Technology, Rourkela
NITR/IP/2	Undertaking by a person engaged by the Institute under "Work for hire" terms
NITR/IP/3	Initiating Work on Patentable Technologies
NITR/IP/4	Handling and Archiving of Thesis
NITR/IP/5	Invention and Technology Disclosure Form
NITR/IP/5A	Invention and Technology Disclosure Form (Summary)
NITR/IP/6	Mutual Secrecy Agreement between NIT Rourkela and collaborating Institutions
NITR/IP/7	Letter of agreement between NIT Rourkela and collaborating institutions for the Transfer of Proprietary Materials
NITR/IP/8	Letter of agreement for developing educational material maintained by a private firm
NITR/AC/129	Convocation Pledge (English)
NITR/AC/130	Convocation Pledge (Sanskrit)



National Institute of Technology Rourkela

Form : NITR/AC/301

Paste here your recent passport size colour Photograph

For Office use only
Serial Number of the Applicant : _____ / _____
_____ Superintendent (Academic)
Recommendation of Departmental Academic Committee
<input type="checkbox"/> The candidate may be called for interview.
<input type="checkbox"/> The candidate is not suitable for admission to Ph.D./M.Tech.(Res) programme of the Department (Give reason).
<input type="checkbox"/> Does not satisfy short listing criteria.
<input type="checkbox"/> Others (specify)
_____ Head of the Department

Application for Admission to Ph.D./M.Tech.(Res) Programme

1. Programme of study : Ph.D. M.Tech.(Res.) (Tick one)
2. Department /Centres to which applying for :
 1. _____
 2. _____
 3. _____
 (In order of preference)
3. Name of the candidate in full : _____
 (Block Capital letters)
4. Proposed Research Area : _____
 (Broad area only)
5. Category of studentship : _____

- | | |
|--|--|
| 1. Full Time student with Fellowship/Assistantship | 6. Project scholars/staff of NIT |
| 2. Full time student with External Fellowship | 7. QIP Scholar |
| 3. Full time student without Fellowship | 8. Sponsored student |
| 4. NIT faculty | |
| 5. NIT regular employees (non teaching) | 9. Local Sponsored student (Part Time) |

1. Candidates applying for more than one department are required to submit photo copies of application form and certificates for each department applied for.
2. NIT regular employees must enclose administrative permission from the institute.
3. Project staff and fellows must enclose administrative permission from Dean (SRICCE); the project must have a tenure of at least 18 months (for Ph.D.) or 12 months (for M.Tech.(R)) beyond the expected date of joining.
4. In case of candidates belonging to categories 8 and 9, Part-II of the application form filled up by the sponsor must be attached.

6. Address for Communication : _____

Tel.No. _____ Email _____

7. Date of birth :

--	--

 /

--	--

 /

--	--	--	--

 d d m m y y y y

8. Sex : Male / Female 9. Marital status : Married / Single

10. Class of category : SC ST General

11. Nationality: _____ 12. Mother Tongue : _____

13. Academic career: (Enclose photo copies of the qualifying degree certificates and mark sheets/grade cards showing the percentage of marks (CGPA)

Name of Exams	Institute/University	Year of passing	Percentage of Marks/CGPA

14. GATE / NET Score : Subject : _____ Score : _____ Year : _____

15. Experience if any :

Organisation	Position	Duration	Nature of job

16. Previous Research work and publication, if any : (Enclose copies of published or unpublished work)

17. Record of past study as a sponsored candidate, or other contractual obligation, if any :

18. I do not have a close relative among officers and faculty of NIT Rourkela.
 I am related to _____ of _____ Department.

I do hereby declare that the information furnished in this application is true to the best of my knowledge and belief. If admitted, I shall abide by the rules and regulations of the Institute and Halls attached to it. If any information furnished in this application is found to be untrue, I am liable to forfeit the seat allotted to me any time in future and legal action be taken against me.

Enclosures: 1) _____ 3) _____
 2) _____ 4) _____

Full signature of the Applicant

P A R T - II

**For Sponsored candidates only
(To be filled up by the employer sponsoring the candidate)**

1. Name of the Employer : _____
2. Address of Administrative Officer/HR Manager : _____

Phone : _____ Fax: _____
Email : _____
3. Name of the employee seeking admission at NIT : _____
4. Designation (Regular) : _____
5. a) First joined on (date) : _____
b) Holding the present Position since (date) : _____
c) Nature of Job : _____
(R & D, Design, Production, Marketing, Administrative, Other)
d) Brief description of job Assignment for the next Three years : _____
(Relevant assignment only) : _____

6. Reasons for sponsoring the candidate to the M.Tech.(Res)/ Ph.D.Programme : _____

7. The candidate is sponsored for : tick (✓) only one :
 Full time study at NIT with deputation from the organization (2 years for M.Tech.(Res) / 3 years for Ph.D.)
 Study at NIT while working at our organization after satisfying the residential requirement. The candidate's job assignment will be worked out in consultation with NIT.

Dr. _____ will serve as his/her second supervisor, if accepted by NIT. A copy of his bio data is enclosed.

Certified that Mr/Ms. _____ employed as _____ in this organization is sponsored for admission to the Ph.D./M.Tech.(Res) programme of NIT, Rourkela. He is employed in this organization for at least two years in a regular cadre. During his studies at NIT, he/she will be on deputation from this organization to satisfy the residential requirement. On completion of the programme he/she will continue to be employed by our organization. He/she has signed an agreement with our organization for at least two (for M.Tech (R)) / three (for Ph.D.) years on completion of the study programme. A copy of the agreement is enclosed.

Encl : As above

Signature of Competent Authority with seal



Form : NITR/AC/302

NATIONAL INSTITUTE OF TECHNOLOGY, ROURKELA

Scrutiny of Applications for Admission to Research Programmes

No.NITR/AC/_____/20__ /M/_____

Date_____

Applications for admission to Ph.D. and M.Tech (R) programmes are sent to your Department for scrutiny and recommendation for interview.

Number of applications :

Please return them with your recommendation before ____/____/____.

(Recommendation should be given on the application forms and a summary be given in this sheet.)

Date of interview : Date : Time :

To **Assistant Registrar(Academic)**

Head, _____ Department

PS : Please send your recommendation before the due date, so that candidates may be given enough time to book tickets for the interview.

Recommendation of the Departmental Academic Committee (PG & R)

	Ph.D.	M.Tech. (R)
1. Short listing criteria		
2. Serial Nos. recommended for interview (separate by comma)		
3. Serial Nos. not recommended for interview (reasons to be given in the application forms)		

Names & Signatures of DAC (PG&R) Members :

Chairman, DAC (PG&R)

Head of the Department

To Assistant Registrar (Academic)

Approval of Dean (AA)

The above recommended candidates may be called for interview in the Department.

Dean (Academic Affairs)



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA
(Academic Section)**

Form : NITR/AC/303

RECOMMENDATION FOR ADMISSION TO RESEARCH PROGRAMMES

No.NITR/AC/_____/20__/M/_____

Date_____

Based on your recommendation and the approval of Dean(AA), the applicants for admission to your department have been called for the selection process. Kindly conduct written and / or oral test as you think fit and forward your recommendation on this sheet to this office immediately after the process is completed.

Department : _____
 Date and time of interview : Date : Time :
 Number of applicants called for interview : Ph.D. : _____ M.Tech.(R) : _____

Encl : _____ applications.

Assistant Registrar(AC)

To Head, _____ Department

Recommendations of the Departmental Academic Committee (PG & R)

The departmental Academic Committee interviewed the candidates and recommends the following candidates, in order of merit, for admission :

Programme	SlNo	Application No.	Name	Category of student (1-9)	Specialisation	Remarks
Ph.D.	1.					
	2.					
	3.					
	4.					
	5.					
M.Tech. (R)	1.					
	2.					
	3.					
	4.					
	5.					

- For sponsored candidates, the DAC is satisfied that the candidates meet the criteria set in the Ph.D. regulations of the institute. The proposed second supervisor from the place of employment meets the criteria set by the institute.
- At least one faculty member of the department is willing to supervise each student if the student opts for him as supervisor.

Signatures of Members of DAC (PG & R)

Chairman, DAC (PG&R)

Head of the Department

Serial Nos. _____ in the list may be given admission

Dean (AA)

To Asst. Registrar(Academic)

Note : Category of student :

- (1) Full time student with Institute Fellowship /Assistantship (2) Full time student with External Fellowship (3) Full time student without Fellowship (4) NIT faculty (5) NIT regular employees (Non teaching) (6) Project Scholars / Staff members (7) QIP Scholars (8) Sponsored student (9) Local sponsored student (Part Time)



Form : NITR/AC/304

NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA

OFFER OF ADMISSION TO THE Ph. D. /M.Tech. (R) PROGRAMME

No. : NITR/AC/____/20____/M/____

Date : _____

To

Sub: Offer of admission to Ph D M. Tech. (Res) Programme

Dear Student,

I am happy to inform you that, on the recommendation of the Department Academic Committee, the Institute is pleased to offer you admission to the Ph.D. / M.Tech (R). Programme in the Department of _____.

You are advised to report to the Head of the Department during the period _____ - _____.

You are further advised to completely fill up the enclosed enrolment form and present to the Head of the Department as soon as possible, but within one week of reporting to the Institute to learn about the department's research programme and work out your preferences. Please convey your choice to the Head of the Department.. Please submit it to this office after obtaining his recommendation. You may get in touch with faculty members of the Department in advance or on arrival in the Institute to give your preference of supervisor to the Head of the Department. Please note that the decision of the Institute, which is guided by certain principles of fairness, are binding on all students and faculty members.

Along with the completed enrolment form, you will be required to pay the following fees to complete the admission process :

On arrival in NIT campus, you are advised to report to Warden, _____ Hall for temporary accommodation. Please present to him a copy of this admission letter, so that he will give you a room without charges for a maximum period of one week. You will, however, have to pay for your meal charges.

Looking forward to meeting you on your arrival at NIT campus.

With best wishes,

Yours sincerely

Assistant Registrar (Academic)

Encl: Enrolment Application form



NATIONAL INSTITUTE OF TECHNOLOGY ROURKELA

APPLICATION FOR ENROLMENT IN PH.D./M.TECH.(RES.) PROGRAMME

(To be submitted on the day of joining)

1. Academic Programme- Ph.D. M.Tech.(Res.) 2. Department : _____
3. Full name of the candidate: Mr/Mrs/Miss _____
(IN BLOCK CAPITAL) (SURNAME)
4. Father's/Husband's Name : _____
5. Mother's Name : _____
6. Previous Names (if any) (e.g. maiden name): _____
7. Permanent Address: _____

- 8.(a) Date of Birth: ____/____/____ (b) Blood Group : _____
9. Nationality: _____ 10. Caste Status: SC ST OBC General
11. Academic Qualification :

Standard	University / Institute	Degree	Year	% of Marks or CGPA	Broad Subjects of Study
H.S.C. / H.S.S.C.					
Graduation					
Post-Graduation					
Any other					

12. Relevant Working / Research Experience (if any)

Organisation	From	To	Position held
1.			
2.			

Copies of Documents (published or unpublished) may be enclosed for record.

13. Details of present employer (if any) and financial support.

14. Board area of research proposed: _____

15. Category of studentship :
1. Full time student with Institute Fellowship /Assistantship (Institute Scholar)
 2. Full time student with External Fellowship (UGC/CSIR etc.)
 3. Full time student without Fellowship (self financed/self supported)
 4. NIT faculty
 5. NIT regular employees (Non teaching)
 6. Project Scholars (JRF/SRF/RA etc.) or project staff members
 7. QIP Scholars
 8. Sponsored student (Institute/Research Organisation/Industry)
 9. Sponsored local student (Part Time)

Signature of the Candidate

The application of the Candidate _____ is verified in the Department.
(supporting documents for items 8(a), 10, 11, 12,13 to be seen)

Chairman, Departmental Academic Committee

Signature & Seal of HOD

P.T.O

As per recommendation of DAC (PG&R) the following faculty members will serve as Supervisors of the Candidate :

1. _____ 2. _____
(If the candidate is a sponsored one intending to carry out the main part of his/her work at his/her place of employment, the second supervisor must be from the concerned organisation. The DAC should be satisfied that the proposed second supervisor meets the criteria set under the regulations.)

The following members are recommended by DAC (PG&R) for the Doctoral/Masters Scrutiny Committee of the student:

1. _____ *Head of the Department
2. _____ Supervisor 1.
3. _____ Supervisor 2.
4. _____ (From the Department where the candidate is enrolled.)
5. _____ (From the same or a different department)

*If Head of the Department is a supervisor, the Chairman will be nominated by the Dean (AA).

_____ **Members, DAC (PG&R)** _____ **Head of the Department**
To Dean (AA)

1. Prof. _____, of the Department of _____ is nominated as member of DSC.
2. Prof _____, of the Department of _____ is nominated as Chairman because the HOD is a supervisor.
3. The structure of the DSC / MSC as recommended by the DAC (PG & R) is approved as such / approved with the following modification:
4. The admission with all details may please reported to the Senate at its next meeting.

Dean (AA)

To Asst. Registrar (Academic) for records and necessary action

Amount of fee paid _____ and the Institute Receipt No. & date _____.
(Attach photo copy of the receipt)

The student is assigned the following Roll Number :

Degree	Year	Discipline (Branch)	category	Roll No.

Note: (1) Roll No will be a serial number for the entire Institute for the Academic year.
(2) The "year" will be the year at the beginning of the academic year, i.e, on July 1.
For example, Academic year 2007-08 will be denoted by 07.

- (a) Assigned to Hall : _____
- (b) Permitted to stay outside Hall (Yes / No):
If yes, Address: _____

The enrolment of the student is approved with effect from _____. The Head of the Department is requested to proceed with provisional registration and other action as per Ph.D. regulations.

_____ **Asst. Registrar (Academic)**
To HOD, _____

- CC: 1. Student concerned (*through Head of the Department*)
2. Superintendent (Academic Section) for records



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

Form : NITR/AC/306

No. : NITR/AC/____/20____/M/____

Date : _____

OFFICE ORDER

ENROLMENT OF Ph. D. /M.Tech. (R) STUDENT

The undersigned is pleased to convey the approval of competent authority for enrolment of the following student in the Research Programme of the Institute :

1. Roll No. allotted :

--	--	--	--	--	--	--	--
2. Academic Programme : /

Ph.D.	M.Tech (R)
-------	------------
3. Name of Candidate : _____
4. Previous Name (if any) : _____
5. Father's/Husband's Name: _____
6. Permanent Address : _____
7. (a) Date of Birth : (b) Blood Group : (c) Nationality : _____
8. Department to which admitted: _____
9. Category :

SC	ST	OBC	General
----	----	-----	---------
10. Category of studentship : _____
11. Highest Academic qualification : _____
12. Hall allotted : _____
13. Permitted to stay outside hall: Yes/No
14. Supervisors : (1) _____ (Principal Supervisor)
(2) _____ (Co-Supervisor)
15. For sponsored student :
(a) Place of Employment : _____
(b) The student is / is not permitted to take withdrawal after satisfying the course and residence requirements.
16. Doctoral Scrutiny Committee of the student:
 1. Head of the Department of _____ Chairman
 2. Prof _____ Principal Supervisor
 3. Prof _____ Co-Supervisor
 4. Prof _____ Member
 5. Prof _____ Member

Assistant Registrar (Academic)

1. Student concerned
2. All members of DSC
3. Head, Department of _____
4. Warden, _____ Hall
5. Head, NIT Library
6. (For sponsored students) Employer [with address:]

Note: Supervisors are requested to advise the student on the courses to attend provisionally included a course on Seminar and Technical Writing.



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

**APPLICATION FOR PROVISIONAL REGISTRATION IN
Ph.D./M.Tech.(Res.) PROGRAMME**

(This form must be submitted within one month of a student joining the programme)

1. Name of the Department : _____
2. Name of the Student _____
3. Roll Number : _____ 4. Date of Enrolment : _____
5. Caste Status : _____ 6. Category of studentship : _____
7. Broad Area of Research proposed : _____

8. Brief description of research work proposed. *(To be filled jointly by the student and the supervisor(s) on a separate sheet)*
9. Major equipment / facilities necessary to carry out the project and means of obtaining them. *(To be filled jointly by the student and the supervisor(s) on separate sheet)*
10. Research work already completed by the student (if any) *(Attach published or unpublished document)*

- 11 (a) Request for early submission (if any) based on work already done : _____ months.
[Relevant documents enclosed.]
12. For sponsored students only
Does the student intend to carryout his/her work at the place of employment? Yes / No.
13. Proposed place of work : _____
(for category 8 and 9)
14. Facilities available : _____
15. Plan of residence on campus : _____
16. Signature of student with date : _____.

Recommendation of the Supervisor(s) :

1. Date of commencement of Research work : Date of Enrolment Other _____
2. Comments : _____

Principal Supervisor

Co - Supervisor

Recommendation of the Doctoral / Master's Scrutiny Committee :

The DSC / MSC is satisfied that the proposed programme is prima facie, feasible to implement and adequate for the degree intended.

17. Course work recommended, (if any), in addition to courses in Seminar & Technical Writing.

Sl.No.	Subject – ID	Course Title	Credits	Remarks*
1.				
2.				
3.				
4.				
5.				
6.				
7.				

* Special conditions such as self study courses or a course from another institute may be mentioned in remarks column.

Total course Credits =

P.T.O

18. Past research work : (Ph.D. programme only)

Documents examined : _____

Equivalent Research Credits (ERC): _____ Early submission _____ months (ERC/4)

19. Comments on place of work and facilities : Adequate / Inadequate

(Supervisor)

(Supervisor)
(Signatures of DSC members)

Chairman, DSC / MSC

(Head of the Department)

For Office use

Based on the recommendation of the DSC / MSC, the candidates provisional registration for Ph.D. / M.Tech.(Res) is recommended to Senate through RPEC for consideration.

Dean (AA)

Note : *Director's approval may be sought in all cases of early submission (item 18) and/or research work to be done outside the Institute after satisfying residence requirement.*

To
Deputy/Asst. Registrar (Acad) (for presentation to RPEC)

Recommendation of the RPEC:

- a) Recommended : Yes / No
- b) Refused for the following reason :

(Signatures of RPEC members)

Approved by Senate in its _____th meeting held on _____ Deputy/Assistant Registrar (Acad) is advised to bring out an appropriate office order with copies to the candidate, supervisors and the Head of the Department, _____.

Dean (AA)

Note : The Senate should be informed on the Name of Student and Supervisor(s).



NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA

No. NITR/AC/___/20___/M/___

Date_____

OFFICE ORDER

Provisional Registration of student for Ph.D./M.Tech.(Res) Degree

The undersigned is pleased to convey the approval of the Senate for provisional registration of the following candidate for the Ph.D. /M.Tech.(Res) Degree vide Senate Resolution No._____, Dated_____.

- 1. Name of the Student:..... 2. Roll No:
3. Department:
4. Date of Enrolment :..... 5. Category of studentship :
6. Supervisor(s) : (1) Prof.[Principal Supervisor]
(2)[Co-Supervisor]
7. Whether registering for Degree is Engineering, Science or Social Science?.....
8. Broad Area of Research:
9. Course Work Assigned (in addition to courses on Seminar & Technical Writing):

Table with 5 columns: SI.No., Subject - ID, Course Title, Credits, Remarks*. Rows 1-8.

* Self study, in another institute, any other.

- 9. Research credits earned before admission : _____
10. Academic credits to be earned before submission of thesis :
(a) Course credits _____ (b) Research credits _____ (c) Seminar & Technical Writing : two per semester
11. Effective date of Provisional Registration :
12. Earliest date of thesis submission :
13. For sponsored candidate :
- Whether permitted to work outside the Institute : Yes/No
- Place of work :
- Residential requirement :

Assistant Registrar(Academic)

- To
1. Student concerned (Through Head of the Department)
2. Head, _____ Department
3. Supervisors
4. Employer : _____



Form : NITR/AC/309

NATIONAL INSTITUTE OF TECHNOLOGY, ROURKELA
APPLICATION FOR REGISTRATION FOR Ph.D./M.Tech.(Res.) DEGREE

Part-A : To be filled in by the candidate and submitted along with six copies of a report on the road map for future work – one for each DSC member, Department copy and Academic Section copy

- 1. Full name of the candidate: (IN BLOCK CAPITAL) (SURNAME) (OTHER NAMES)
2. Roll No. : 3. Department where enrolled : (as allotted during enrolment)
4. Date of Enrolment : vide Office Order No. :
5. Effective Date of Provisional Registration : vide Office Order No. :
6. Whether registering for Ph.D. Degree/ M.Tech. (R) in Science, Engineering or Social Sciences
7. Course work completed: (including research credits)

Table with 4 columns: Subject ID, Name of the subjects, Credits, Grade obtained. Includes entries for Seminar & Technical Writing and Research.

- 8. (a) Date of commencement of Research work : (b) Research papers published / presented in seminars : (Copies of publications may be attached)
9. Name(s) and address(es) of the Supervisor(s):
10. Broad title of the Research Topic :
11. Place(s) where the research work is being / will be carried out : (a) Department : (b) Name and address of the Organisation: (in case of sponsored candidates)
Encl : 6 copies of report on work done so far and road map for future work.
12. Fees paid : Institute dues upto Hall dues upto

Signature of the Candidate

Table for candidate signature details, split into 'For Full time students' and 'For students who have taken withdrawal'.

P.T.O

Part – B : Recommendation of DSC / MSC

1. Attendance & work record of the student is : Satisfactory Unsatisfactory
2. Course Work completed as per recommendation of DSC vide provisional registration order.
3. a) Date of comprehensive oral examination : _____ b) Grade obtained : _____
4. a) Date of Seminar : _____ b) Number of persons present : _____
 c) Performance i) in terms of quality : _____ ii) in term of letter grade : _____
 (for unsatisfactory performance, action has to be taken as per para 5.2 of Ph.D. regulation)
5. Quality of report submitted : _____
6. Recommendation of DSC / MSC : _____
 a) The work done prior to joining this work is worth _____ research credits.
 b) The candidate be registered effective from _____ for Ph.D./M.Tech.(Res) Degree in
 (broad discipline): _____
 c) Earliest Date of Thesis Submission : _____
 d) Part of work (for sponsored scholars only) can be done :
 i) at the place shown at item 11(b) of Part A above:

 ii) under joint supervision of experts named at item 9 of Part A above.
7. Signature of DSC members with date :

Name	Signature
1. _____	_____
2. _____	_____
3. _____	_____
4. _____ (Supervisor)	_____
5. _____ (Supervisor)	_____
6. _____ (Chairman, DSC)	_____

Head of the Department

To Assistant Registrar (Academic)

Part – C : For Office use only

1. Based on the recommendation of the DSC / MSC, the candidates registration for Ph.D. / M.Tech.(Res) with effect from _____ is recommended to RPEC for consideration.

Dean (AA)

To Deputy/Asst. Registrar (Acad) (for presentation to RPEC)

Recommendation of the RPEC:

- a) Recommended : Yes / No
- b) Not recommended for the following reason :

(Signatures of RPEC members)

Decision of the Senate

Approved /Rejected by Senate in its _____th meeting held on _____. Dy/Asst Registrar (Aca) is advised to bring out an appropriate office order with copies to the candidate, supervisors and the Head of the Department.

Director

Part – B : Recommendation of DSC / MSC

1. Attendance & work record of the student is : Satisfactory Unsatisfactory
2. Course Work completed as per recommendation of DSC vide provisional registration order.
3. a) Date of comprehensive oral examination : _____ b) Grade obtained : _____
4. a) Date of Seminar : _____ b) Number of persons present : _____
 c) Performance i) in terms of quality : _____ ii) in term of letter grade : _____
(for unsatisfactory performance, action has to be taken as per para 5.2 of Ph.D. regulation)
5. Quality of report submitted : _____
6. Recommendation of DSC / MSC : _____
 a) The work done prior to joining the programme is worth _____ research credits.
 b) The candidate be registered effective from _____ for Ph.D./M.Tech.(Res) Degree in
 (broad discipline): _____
 c) Earliest Date of Thesis Submission : _____
 d) Part of work (for sponsored scholars only) can be done :
 i) at the place shown at item 11(b) of Part A above:

 ii) under joint supervision of experts named at item 9 of Part A above.

7. Signature of DSC members with date :

Name	Signature
1. _____	_____
2. _____	_____
3. _____	_____
4. _____(Supervisor)	_____
5. _____(Supervisor)	_____
6. _____(Chairman, DSC)	_____

Head of the Department

To Assistant Registrar (Academic)

Part – C : For Office use only

1. Based on the recommendation of the DSC / MSC, the candidates registration for Ph.D. / M.Tech.(Res) with effect from _____ is recommended to RPEC for consideration.

Dean (AA)

To Deputy/Asst. Registrar (Acad) (for presentation to RPEC)

Recommendation of the RPEC:

- a) Recommended : Yes / No
- b) Not recommended for the following reason :

(Signatures of RPEC members)

Decision of the Senate

Approved /Rejected by Senate in its _____th meeting held on _____. Dy/Asst Registrar (Aca) is advised to bring out an appropriate office order with copies to the candidate, supervisors and the Head of the Department.



Form : NITR/AC/312

NATIONAL INSTITUTE OF TECHNOLOGY ROURKELA

Record of on-campus residence required under the Ph.D./M.Tech.(R) Programme

1. Name of the Student:..... 2. Roll No:.....
3. Department:.....4. Academic Programme: Ph.D. / M.Tech.(R)
5. Date of Enrolment: 6. Effective Date of Registration :
7. Residential period completed before this application :.....
8. Proposed stay in campus:
From:..... To:..... Duration :.....
9. Leave approved by employer vide their order :
No.:..... Date :
- (Photocopy of the order attached)
10. Date on which student reported to Department:.....
11. Date on which student left the Department:.....
12. Duration :..... months

Date
Signature of student

13. Date of reporting to the Department : _____
14. Last day of work in the Department : _____
15. Number of days of Leave taken : _____
16. Number of days of unauthorized absence : _____

Departmental Office Assistant

17. Certified that the student spent a period of months in the laboratory and worked in his research program.

Supervisor
Date : _____

Head of the Department
Date : _____

To
Assistant Registrar (Academic) for records



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

Form : NITR/AC/313

Request for tuition fee waiver by Research (Ph.D./M.Tech (Res.)) students

For full time resident students without fellowship staying in a hall of residence

Autumn / Spring Semester for the session 200__ / __
[To be submitted in the Office of the Assistant Registrar (Academic)]

1. Name of the Student: _____
2. Roll No. : _____
3. Semester : [Ph.D] 2nd / 3rd / 4th / 5th / 6th
[M.Tech.(Res.)] 2nd / 3rd
4. Department _____
5. Hall of residence : _____
6. Date of Enrolment : _____
7. Date of registration: _____
8. Financial support (if any) received during past one year (from all sources): _____

9. List of courses taken and grades received during past one year : _____

10. Brief summary of research work done : _____ (Separate sheet attached)

11. Brief summary of teaching or other activity done for the institute _____

Date : _____ **Signature of the student** _____

12. Report by Supervisor on research work : _____

Signature of Supervisor

13. Report by Head of the Department on research work done, teaching and other academic duties performed: _____

14. Attendance record : No. of days of leave taken during past one year : _____
No. of days of unauthorized absence : _____

Office Assistant

Signature of H.O.D.

15. Observation of Academic Section : Records are / are not up to date:

Assistant Registrar(Academic)

16. Recommendation of Dean (Academic Affairs):

Dean(Academic Affairs)

17. Approval of Director : Tuition fee waived for current semester.

Director

To
Assistant Registrar(Ac) for necessary action.



NATIONAL INSTITUTE OF TECHNOLOGY ROURKELA

Application of Research Scholars for extension of the tenure of Fellowship

DEPARTMENT : _____ Ph. D. M. Tech. (Res) DATED : _____

1. Name of the Scholar : _____ 2. Roll Number : _____

3. Date of : a) Enrolment : _____ b) Registration : _____

4. a) Date of commencement of fellowship : _____

b) Total Period (Years & Months) of fellowship enjoyed : _____

c) Present rate of monthly fellowship : _____

d) Date from which the last extension was sanctioned by the Institute : _____

5. Area of Research Problem pursued : _____

6. Attendance record over past one year : Casual Leave : _____ days; Medical Leave : _____ days; Unauthorised absence : _____ days

7. No of academic credits completed (including current semester) : Course credits _____; Research Credits _____; Seminar & Technical Writing : _____

8. Upto date position of work done in the matter of :- a) Course work requirement : _____ b) Language requirement: _____ c) Seminar talk : _____ d) Data Collection : _____ e) Analysis Work : _____ f) Experimental Work : _____ g) Any Other : _____

9. Grounds, in short, on which the extension of fellowship is requested :- _____

_____ Date Signature of student

10. Recommendation by Supervisor : _____

_____ Date Signature of Supervisor

11. Attendance record : No. of days of leave taken during past one year : _____ No. of days of unauthorized absence : _____

Office Assistant Supervisor P.T.O

Recommendation of DSC / MSC :

Extension of Fellowship recommended / not recommended.

Signature of the members of D.S.C. with date :-

- 1) _____ 2) _____
3) _____ 4) _____
5) Supervisor : _____ 6) _____
7) Chairman, DSC: _____ 8) Head of the Department: _____
-

ENDORSEMENT OF THE DEPARTMENT

Forwarded to the Assistant Registrar (Acad) for necessary action.

HEAD OF THE DEPARTMENT

FOR OFFICE USE

Checked with the records in the office. The particulars furnished above in support of the recommendation are correct. Extension of tenure of fellowship may be approved for the 1st / nd / 3rd / 4th year at the rate of Rs. _____ per month.

Assistant Registrar (Academic)

APPROVED

DEAN (AA)



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

**Proposal for submission of Synopsis of
Ph.D./M.Tech.(Res) Thesis**

Certified that research work of Shri/Ms. _____ a student in the Department/Centre of _____ is nearly complete and the candidate will be able to submit his/her dissertation within the time limit of two months prescribed under the regulations. A synopsis of his proposed thesis may kindly be accepted for initiating the evaluation process.

Encl : (1) 4 copies of synopsis
(2) 1 copy of synopsis in electronic media (MS WORD and PDF format)

Date:

Signature of Supervisor(s)

The student has made an oral presentation before the DSC/MSc and a general audience. The DSC/MSc members have reviewed the synopsis and heard the oral presentation. The student has completed the required number of academic credits. The DSC/MSc is satisfied that he/she can submit the thesis in 2 months. The list of possible external examiners (Form AC/316) is enclosed for approval.

The thesis will be / need not be seen by the Committee before submission.

Chairman, DSC

Head of the Department

To Assistant Registrar (Academic)
Recommended to Director for approval of list of examiners.

Dean (AA)

Director

N.B.: This proposal is required to be sent to the Academic Section with the panel of examiners on Form AC/316 recommended by the DAC(PG&R) along with 4 copies of the synopsis.



Form : NITR/AC/316

NATIONAL INSTITUTE OF TECHNOLOGY, ROURKELA

Recommendations on Composition of Board of Examiners for Adjudication of Ph.D. Thesis

Date : _____

- 1. Name of the candidate (Full) : _____ Roll No _____
2. (a) Deptt./Centre attached to : _____
(b) Designation / Status : _____
3. Effective Date of Registration : _____
4. Subject of Research / Title of the Thesis : _____
5. Degree for which the thesis is to be submitted : Ph. D. in _____
6. Name(s) of Supervisor(s) : _____
7. Panel of names for composition of the Board of Examiners :

A For adjudication of thesis :

(a) External Examiners Panel I : [from outside India] Detailed Address given in separate page.

- (i) Name : _____
Designation : _____ Specialisation : _____
Affiliation (present or, if retired, immediate past) : _____
(ii) Name : _____
Designation : _____ Specialisation : _____
Affiliation (present or, if retired, immediate past) : _____
(iii) Name : _____
Designation : _____ Specialisation : _____
Affiliation (present or, if retired, immediate past) : _____
(iv) Name : _____
Designation : _____ Specialisation : _____
Affiliation (present or, if retired, immediate past) : _____
(v) Name : _____
Designation : _____ Specialisation : _____
Affiliation (present or, if retired, immediate past) : _____

Detailed information on all proposed examiners shall contain : (i) Name (ii) Designation (iii) Postal Address (iv) Telephone - Office (v) Telephone - Residence (vi) Fax (vii) E-mail (viii) Website of organization.

P.T.O

Panel II : [from within India] *Detailed Address given in separate page.*

(i) Name : _____
Designation : _____ Specialisation : _____
Department : _____

(ii) Name : _____
Designation : _____ Specialisation : _____
Department : _____

(iii) Name : _____
Designation : _____ Specialisation : _____
Department : _____

(iv) Name : _____
Designation : _____ Specialisation : _____
Department : _____

(v) Name : _____
Designation : _____ Specialisation : _____
Department : _____

(b) **Internal** (Supervisors) 1. _____
2. _____

B. For conducting the Viva-Voce :

(i) External member : any one of the following :
1. Examiner from Panel II who adjudicated the thesis
2. _____

(ii) All members of the Doctoral Scrutiny Committee.

The Doctoral Scrutiny Committee certifies that the candidate named above duly appeared at the comprehensive viva- voce held today, the _____200____ and his performance was found satisfactory.

The committee has also scrutinized the synopsis of the thesis and certifies that the work is of the standard required. We recommended the composition of the Board of Examiners and viva-voce Board as given in A & B above.

SIGNATURE OF THE MEMBERS OF THE DOCTORAL SCRUTINY COMMITTEE

1. _____ 2. _____
3. _____ 4. _____

Supervisor Supervisor Chairman,DSC Head of the Deptt./Centre

Approved in order of preference as marked on the margin

Recommended

Dean (AA)

Director



NATIONAL INSTITUTE OF TECHNOLOGY, ROURKELA

**Recommendations on Composition of Board of Examiners for
Adjudication of M.Tech(R) Thesis**

Date : _____

1. Name of the candidate (Full) : _____ Roll No _____
2. (a) Deptt./Centre attached to : _____
(b) Designation / Status : _____
3. Date of Registration : _____
4. Subject of Research / : _____
Title of the Thesis _____
5. Degree for which the thesis is : M.Tech(R) in _____
to be submitted
6. Name(s) of Supervisor(s) : _____
7. Panel of names for composition of the Board of Examiners :

A For adjudication of thesis :

(b) **External Examiners Panel I : [from outside the Institute]** *Detailed Address given in separate page.*

(i) Name : _____
Designation : _____ Specialisation : _____
Affiliation (present or, if retired, immediate past) : _____

(ii) Name : _____
Designation : _____ Specialisation : _____
Affiliation (present or, if retired, immediate past) : _____

(iii) Name : _____
Designation : _____ Specialisation : _____
Affiliation (present or, if retired, immediate past) : _____

(iv) Name : _____
Designation : _____ Specialisation : _____
Affiliation (present or, if retired, immediate past) : _____

(v) Name : _____
Designation : _____ Specialisation : _____
Affiliation (present or, if retired, immediate past) : _____

Detailed information on all proposed examiners shall contain : (i) Name (ii) Designation (iii) Postal Address (iv) Telephone – Office (v) Telephone – Residence (vi) Fax (vii) E-mail (viii) Website of organization.

P.T.O

Panel II : [from within the Institute] *Detailed Address given in separate page.*

(i) Name : _____
Designation : _____ Specialisation : _____
Department : _____

(ii) Name : _____
Designation : _____ Specialisation : _____
Department : _____

(iii) Name : _____
Designation : _____ Specialisation : _____
Department : _____

(iv) Name : _____
Designation : _____ Specialisation : _____
Department : _____

(v) Name : _____
Designation : _____ Specialisation : _____
Department : _____

(b) **Internal** (Supervisors) 1. _____
2. _____

B. For conducting the Viva-Voce :

(i) External member : any one of the following :

- 1. Examiner from Panel II who adjudicated the thesis
- 2. _____

(ii) All members of the Masters Scrutiny Committee.

The Masters Scrutiny Committee certifies that the candidate named above duly appeared at the comprehensive viva- voce held today, the _____200____ and his performance was found satisfactory.

The committee has also scrutinized the synopsis of the thesis and certifies that the work is of the standard required. We recommended the composition of the Board of Examiners and the viva-voce Board as given in A & B above.

SIGNATURE OF THE MEMBERS OF THE MASTERS SCRUTINY COMMITTEE

1. _____ 2. _____
3. _____ 4. _____

Supervisor Supervisor Chairman, MSC Head of the Deptt./Centre

Approved in order of preference as marked on the margin

Recommended

Dean (AA)

Director



NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA

Submission of thesis by Ph. D. M. Tech. (Res) student

Name of the student : _____ Roll No. : _____

Department : _____

Date of Enrolment : _____ Date of Registration : _____

Title of the thesis :

I hereby submit my thesis to the Institute for consideration and award of
 M.Tech. (Res) / Ph. D. Degree

- Encl : (1) 5 copies of thesis [6 in case of 2 supervisors]
(2) Copy of Receipt No. _____, dt _____ for thesis examination fee.

Date

Signature of Student

Recommended for Acceptance for the purpose of evaluation.

Principal Supervisor
(or Co – Supervisor in his absence)

Chairman, DSC/MSC

Head of the Department

To
Assistant Registrar (Academic)



Form : NITR/AC/319

NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA

No.NITR/AC/____/20__/M/_____

Date_____

Acceptance of Ph.D. / M.Tech(R) thesis for examination

Ph. D. M. Tech. (Res)

Name of the student : _____

Roll No. : _____

Department : _____

Title of the thesis : _____

Received ____ copies of the above mentioned thesis from Head, Department of _____ for examination as per regulations of the Institute. The department will be informed by the Institute on the status of examination in due course.

It is certified that the student has completed all formalities related to his academic programme and may leave the Institute awaiting adjudication of his thesis.

Assistant Registrar (Academic)

To

(1) Head, Department of

(2) Student concerned.

(3) Employer of student (if applicable)

(4) Warden, _____ Hall.



Form : NITR/AC/320

NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA

RECOMMENDATION OF EXAMINERS ON Ph.D. THESIS

Name of the Candidate : _____ Roll No. : _____

Title of the thesis: _____

[Please send detailed report on the thesis on separate sheet, and specific recommendation by ticking any one of the following options. Please write the grade to be awarded in the box on the right of the option.]

I. The thesis meets the academic standard of institutions of higher learning around the world. It may be accepted for award of the Ph.D. degree in its present form.
Grade

OR

II. The thesis is acceptable subject to clarification of certain points at the time of viva-voce. (List of points enclosed)
Grade

OR

III. The thesis is acceptable subject to modification / clarification / revision, as per enclosed details. After modification the thesis need **NOT** be referred back to me.
Grade

OR

IV. The thesis is acceptable subject to further work/modification /substantial revision of text, as per enclosed details. After modification the thesis should be referred back to me for final assessment.
Grade

OR

V. The thesis does not meet the standards of comparable works in institutions of higher learning It is **rejected**. The student is awarded F grade.
Grade

Place : _____ Signature of Examiner _____

Date : _____ Name of the Examiner : _____

Affiliation : _____

- N.B.** 1. A detailed Report is enclosed in a separate sheet
2. The Institute requires a signed report from the examiner. Please return it to :

Professor _____

Dean (Academic Affairs)
National Institute of Technology Rourkela
Rourkela – 769008 (Orissa)
India.

Notes

1. Grading System : Excellent (Ex), Very Good (A), Good (B), Fair (C), Average (D), Pass (P), Fail (F).
2. The grade awarded under option IV shall be reduced by one step at the time of entry in official records.



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

RECOMMENDATION OF EXAMINERS ON M.Tech (Res) THESIS

Name of the Candidate : _____ Roll No. : _____

Title of the thesis: _____

[Please send detailed report on the thesis on separate sheet, and specific recommendation by marking any one of the following options. Please write the grade to be awarded in the box on the right of the option.]

I. The thesis meets the academic standard of institutions of higher learning around the world. It may be accepted for award of the M.Tech(R) degree in its present form.
Grade

OR

II. The thesis is acceptable subject to clarification of certain points at the time of viva-voce. (List of points enclosed)
Grade

OR

III. The thesis is acceptable subject to modification / clarification / revision, as per enclosed details. After modification the thesis need **NOT** be referred back to me.
Grade

OR

IV. The thesis is acceptable subject to further work/modification /substantial revision of text, as per enclosed details. After modification the thesis should be referred back to me for final assessment.
Grade

OR

V. The thesis does not meet the standards of comparable works in institutions of higher learning. It is **rejected**. The student is awarded F grade.
Grade

Place : _____ Signature of Examiner _____

Date : _____ Name of the Examiner : _____

Affiliation : _____

- N.B.**
1. A detailed Report is enclosed in a separate sheet
 2. The Institute requires a signed report from the examiner. Please return it to :

Professor _____

**Dean (Academic Affairs)
National Institute of Technology Rourkela
Rourkela – 769008 (Orissa)
India.**

Notes

1. Grading System : Excellent (Ex), Very Good (A), Good (B), Fair (C), Average (D), Pass (P), Fail (F).
2. The grade awarded under option IV shall be reduced by one step at the time of entry in official records.



NATIONAL INSTITUTE OF TECHNOLOGY, ROURKELA
ACADEMIC (PG&R) SECTION

SUMMARY OF EXAMINERS' REPORTS ON Ph.D. / M.Tech(R) THESIS

No. : NITR/AC/____/20__ /M/____ Date : _____

Name of the candidate : _____

Roll No. : _____

Department/Centre : _____

Title of the thesis : _____

Date of registration : _____

Date of submission : _____

External examiners :
(1) _____

(2) _____

Supervisor (s) :
(1) _____

(2) _____

Reports on the Ph.D. thesis of the candidates have been received from the examiners and are enclosed herewith for review.

Assistant Registrar (Academic)

REMARKS OF DEAN (AA):

Summary of reports :

Dean (AA)

REMARKS OF DIRECTOR:

The reports of the examiners may be reviewed by the DSC in light of the observations of Dean (AA) and the recommendations of the DSC be sent to me for approval. The HOD may, if the DSC thinks fit, give copies of the reports to the student to make necessary changes in thesis if so advised by the examiners.

Director



NATIONAL INSTITUTE OF TECHNOLOGY ROURKELA

RECOMMENDATION OF THE DOCTORAL / MASTERS SCRUTINY COMMITTEE ON REPORTS OF EXAMINERS

- 1. Department : _____ Date : _____
2. Name of the Candidate : _____ Roll No.: _____
3. Date of Registration : _____
4. Title of the Thesis : _____
5. Whether Adjudicators' Report unanimous and favorable, if not state difference : _____
6. Observations if any, of the Committee : _____
7. Changes made in the thesis if any (Attach separate sheet) : _____
8. Proposed date of Viva Voce Examination : _____
9. We have considered the reports of the members of the Board of Examiners and recommend that the candidate may now be asked to appear for a viva-voce examination by the Board already formed. We also recommend that on the favourable report of the viva- voce Board one candidate be admitted to the Degree of Doctor of Science / Doctor of Philosophy / Master of Technology by Research in _____
10. Proposed Name and Address of Viva-Voce Examiner : _____

Signature of the members of the Doctoral Scrutiny Committee:

- 1. _____ 3. _____
2. _____ 4. _____

Supervisor Supervisor Chairman, DSC / MSC

Head of the Department

Dean(AA) Director



Form : NITR/AC/324

NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA

REPORT ON DEFENCE OF Ph. D./M.Tech(Res) DEGREE

Department : _____ Date : _____

Name of the Scholar : _____

Title of the Thesis : _____

Review of Examiners' reports :

1. Examiner I : Prof./Dr. _____ Grade awarded : _____

2. Examiner II : Prof./Dr. _____ Grade awarded : _____

3. Supervisor(s) : Prof./Dr. _____ Grade awarded : _____

Note : Letter grade awarded by an examiner under option IV should be reduced by one step (but not lower than P) while being entered in this sheet.

Date of Viva-Voce : _____ Number of persons present in seminar : _____

Recommendation :

(a) Performance : _____

Letter Grade on Viva Voce (M.Tech(R) only) : _____

(b) Degree (if recommended) to be awarded : Ph. D./ M.Tech(R) in _____

Modifications / Corrections as suggested by External Examiner have been incorporated and modified version of the thesis submitted.

Signature of members of Doctoral/Masters Scrutiny Committee / board of viva-voce examiners :

Member

Member

Member

Supervisor

Supervisor

External Member

Chairman, DSC / MSC

Head of the Department

- Two copies of the corrected bound thesis received.
- Two soft copies of the corrected thesis in the form of CD containing MS-WORD and PDF files received.
- The copies of thesis in paper and electronic form will be sent to (a) Central Library and (b) Departmental Library for archiving, if approved by the Director.

Deputy/Asst. Registrar(Academic)

The recommendation of the Panel of examiners may be accepted for award of Ph.D./M.Tech.(Res) degree.

Dean(AA)

The student is provisionally accepted for award of Ph.D./M.Tech.(Res) degree, subject to approval by the Senate and BOG.

Director



Form : NITR/AC/326

National Institute of Technology Rourkela

Upon the recommendation of the Senate,
Hereby confers the degree of

Doctor of Philosophy
on

who has successfully defended the thesis entitled
*“Vibration Analysis of
Multi Crack Structures.”*

*and has fulfilled all other requirements
for the degree in the Department of
Mechanical Engineering*

Given this day, under the seal of the Institute
at Rourkela in the Republic of India,
the 12th Day of January 2008.

Registrar

Director

Chairman
Board of Governors



**National Institute of Technology
Rourkela**

Upon the recommendation of the Senate,
Hereby confers the degree of

Master of Technology

in

Ceramic Engineering

on

who has successfully defended the thesis entitled
“Vibration Analysis of Multi Crack Structures.”
and has fulfilled all other requirements for the degree.

Given this day, under the seal of the Institute
at Rourkela in the Republic of India,
the 12th Day of January 2008.

Registrar

Director

Chairman
Board of Governors

**CONTINUING EDUCATION PROGRAMME
NIT, ROURKELA**

Initiation of pre-registration visits of QIP Research Scholars

(To be submitted within a week of arrival on the first visit)

1. Name of student : _____
2. (a) Address for communication : _____
in parent Institution _____
- (b) Telephone : _____
- (c) Fax : _____
3. (a) Name of Institution : _____
- (b) Address of Institution : _____
- (c) Name of Head of the Institution : _____
- (d) Fax no. : _____
- (e) Phone no. : _____
4. Whether sponsorship certificate : _____
has been submitted
(Proforma sent with the offer letter)
5. Department where selected : _____
For research under QIP
6. Date of reporting at NIT, : _____
Rourkela
7. Name of Research Supervisor : _____
Assigned by DAC

Forwarded

Signature of the student

(Supervisor)

Date:

(Head of the Department/centre)

Date:

For office use only

Verified and entered in the student's record. The student
Has submitted his TA bill.

Contact ID Assigned _____
QIP/Contact/ _____/ _____

AR (Acad)

TA is approved

Dean (AA)

CONTINUING EDUCATION PROGRAMME NIT, ROURKELA

No. NITR/AC/QIP/ _____

Date _____

Sub: Identity Card of QIP (Contact Programme) student.

This is to certify that:

Name: _____ of the department of
 _____ is enrolled in the Ph.D. contact programme
 of NIT Rourkela under the Quality improvement Programme . He is attached to _____
 _____ Department / Centre of NIT. He/She may be extended all facilities
 as per Institute rules during period July1, _____ to june 30, _____
 _____ in the Library, (He/she may be extended reading and Xeroxing
 facilities, but **NOT** book borrowing facilities.)

 Signature of the student

Signature of the student is attested by us.

 Head of the Dept.

 Dean (AA)

**CONTINUING EDUCATION PROGRAMME
NIT, ROURKELA**

Report on Pre-registration visit of QIP Research Scholars

(To be submitted on the last day of each visit)

Contact-ID QIP/contact# _____ / _____

1. Name of the QIP Scholar : _____
2. Name of the parent Institution : _____
3. Department/Centre where attached : _____
At NITR
4. Board area of research : _____
5. Visit No. : 1st / 2nd / 3rd / 4th
6. Date of arrival : _____
7. Date of departure : _____
8. Number of days in this visit : _____
(Do not count partial days)
9. Total number of days spent at : _____
NIT, Rourkela including this visit
10. Indicate what was accomplished : _____
during this visit (Attach a brief report
on a separate page)

Date: _____

Signature of the student

Recommendation of Department:
(please tick appropriate box).

- (a) The student's academic activities during this is
 Satisfactory unsatisfactory
- (b) (For final visit only): We are satisfied that the student has completed 60 years of contract visit to NIT. His progress is satisfactory. Offer of final Ph.D. admission is recommended.

(Research Supervisor)

Date: _____

(Head of Department)

Date: _____

To
Dean (SRICCE)

- (1) TA is approved for this visit.
- (2) Ph.D. admission is approved. (after final visit only.)

Dean (AA)

**CONTINUING EDUCATION PROGRAMME
NIT, ROURKELA**

Request for Reimbursement of Contingency Expenditure by QIP students

1. Name of the student : _____
2. Academic Programme : _____
3. Roll No. : M. Tech Ph.D.
4. Department / Centre : _____
5. Book and Stationery Expenses (< 25 %)
 - (a) Stock Register Serial numbers covered by this claim : From _____ to _____
 - (b) Amount : _____
6. Laboratory expenses (Up to 100 %)
 - (a) Stock Register Serial numbers covered by this claim : From _____ to _____
 - (b) Amount : _____
7. Total expenditure(this bill) : Rs _____

Signature of the student

Date: _____

Certified that the expenditure incurred by the student is related to his/her academic programme.

Supervisor

Head of the Department / Centre

For office use only

Total sanction during academic year: Rs _____

Funds spent on till date: Rs. _____ + Rs. _____
(Books & Stationary) (Lab Expenses)

AC (Acad)

Reimbursement of Rs. _____ approved from QIP contingency grant of the student.

Dean (AA)

**CONTINUING EDUCATION PROGRAMME
NIT,ROURKELA**

Application for permission to attend field trip, conference or short term course

(For use of QIP students)

1. Name of the applicant : _____
2. Academic programme : M. Tech. Ph.D.
3. Roll No. : _____
4. Department / Centre : _____
5. Date of joining the Institute : _____
6. Board area of research or project work : _____
7. (a) Place of visit : _____
- (b) Purpose of visit : _____

(if presenting a paper, please enclose abstract and acceptance)

8. Period of absence including : From _____ To _____
9. (a) Approximate round trip train fare, by sleeper class (shortest route): _____
- (b) Registration fee, if any : _____
- (c) Any other admissible expenses : _____
10. Particulars of field trips / Conferences attended earlier, or already approved.
 - (a) During the current year: (I) Place _____
Duration _____
Purpose _____
 - (II) Place _____
Duration _____
Purpose _____
 - (b) During the tenure of the scholar : (I) Place _____
Duration _____
 - (II) Place _____
Duration _____

If the expenditure exceeds the contingency Grant, state the source of additional funds: _____

11. Any other remark _____

Date: _____

Signature of Student

Recommended for consideration

Date: _____

Signature of the Supervisor

Date: _____

Signature of the Head of the Department

Approval of Dean (AA)

- (A) This visit is approved.
- (B) Expenditure on this visit, limited to the annual ceiling of admissible contingency grant of the student, will be met from the QIP grant.

Dean (AA)

CONTINUING EDUCATION PROGRAMME NIT,ROURKELA
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Intimation of Permission to QIP student to attend Field-Trip / Conference

No : NITR/Acad/ _____

Date: _____

Shri/Smt. _____ Roll No. _____

Research Scholar / M.Tech Student in the Department / Centre of _____

_____ informed that he/she has been permitted by the competent authority to visit _____

_____ for work related to his/her research

work for presentation of paper in a conference.

His/her absence during the period: _____ to _____

Will be considered to be ON DUTY.

He/She also been permitted to draw TA/DA as per rules from his/her contingency grant. A copy of this order must be enclosed along with his/her TA bill while claiming contingency grant.

AR (Acad)

To
Shri/Smt _____

Please enclose this intimation along with your TA claim (from NIT/CE/QIP)

Copy to:

- 1) Head, Department/Centre of _____ NIT, Rourkela.
- 2) Personal file of the QIP Research scholar / M.Tech student.

**CONTINUING EDUCATION PROGRAMME
NIT,ROURKELA**

Report of the Doctoral Security Committee for renewal and enhancement of
QIP Research Scholarship

- Note : 1) The student must be already registered for Ph.D. Please enclose a Xerox copy of the appropriate office order from Academic Section.
- 2) The committee will meet after 2 years of continuous research work by a scholar to consider renewal of scholarship for the third year as well as enhancement of the rate of scholarship.
- 2) The scholar is required to submit a report in not more than 1000 words on the progress of work done in the preceding two years.

Department/Centre _____

1. Name of the Scholar _____
2. Roll No. _____
3. Date of (a) joining _____ (b)Enrolment _____
4. Date of Registration _____
5. Supervisor (s) _____
6. Area of Research problem assigned _____

7. Recommendation of the committee:

The Committee is satisfied about the progress of the work done after registration of the scholar and recommends that the scholar be granted renewal of QIP scholarship for the 3rd year at the enhanced rate of Rs. _____ per month with effect from _____ to _____.

Or

The committee feels that the work done so far is not satisfactory and recommends that the scholars be required to continue his/her work with the initial rate of scholarship for a future period of _____ month, at the end of which he/she will submit a fresh report for consideration of the committee, together with a copy of the Progress Report submitted by the scholar be forwarded to the Academic Office for necessary action.

P.T.O

Signature of DSC members with date:

(1) _____	(2) _____
(3) _____ Supervisor	(4) _____ Supervisor
(5) _____ Chairman DSC	(6) _____ Head of the Department

Encl: Progress Report by the student

For Office use (in Academic Section)

In view of the recommendation of the Doctoral Scrutiny Committee, the enhancement of scholarship is granted with effect from _____.

AR (Acad)

CONTINUING EDUCATION PROGRAMME NIT,ROURKELA
--

Approval of Renewal and Enhancement of scholarship of QIP Research Scholars

Office order No. NITR/AC/QIP _____

Date: _____

On the recommendation of the Doctoral Scrutiny Committee the competent authority of the Institute has been pleased to renew enhance the scholarship (from Rs. _____/- Per month to Rs. _____/-per month) of the following Q.I.P Research Scholar for the 2nd /3rd year. The award of scholarship will be made subject to good conduct and satisfactory progress of the scholar concerned.

The order is issued in accordance with the provision of the MHRD (Department of Education),/AICTE letter No. _____ dt. _____

Name: _____	Old rate of scholarship: Rs _____ per month
Roll no: _____	New rate of scholarship: Rs _____ from
Department: _____	Scholarship sanctioned till: _____,20__

The QIP scholar is required to pay the prescribed tuition and other fees.

Asst. Registrar (Acad)

To
The Finance Officer
NIT, Rourkela

- Copy to :
- (1) Student Concerned
 - (2) Head, _____ Dept./Centre, NIT, Rourkela
 - (3) Personal File of student
 - (4) QIP file

CONTINUING EDUCATION PROGRAMME NIT,ROURKELA
--

1. Name of the student : _____
2. Academic Programme : M. Tech Ph.D Roll No _____
3. Department/ Centre : _____
4. Parent Institution : _____
5. Date of Joining the Institute : _____
6. Proposed date of release : _____
7. Academic Programme : completed withdrawal granted

Date : _____

Signature of Student

The QIP M.Tech. student has completed his academic programme.

Head of the Department

The QIP Ph.D. student has:

- Completed his academic programme.
- been given withdrawal vide order no. _____ dated _____.
- Applied for withdrawal and Dean (AA) has agreed to his release.

Assistant Registrar (Acad.)

Release Approved with effect from _____

AR (Acad)

CONTINUING EDUCATION PROGRAMME NIT,ROURKELA
--

Release order of QIP student

Office order No.: NITR/AC/QIP _____

Date : _____

1. Name of student : _____
2. Academic Programme : M. Tech Ph.D Roll No _____
3. Department/ Centre : _____
4. Parent Institution : _____
5. Date of Joining the Institute : _____
6. Proposed date of release : _____
7. Academic Programme : completed withdrawal granted
8. During his study in NIT, he has availed leave as applicable to students. No leave has been transferred from or transferred to his parent Institution.
9. The student is advised to remain in contact with the academic section in matters related to his/her academic programme.

Assistant Registrar (Acad)

To

1. Student concerned (through Head of the Department)
2. Head of the Department of _____, NIT, Rourkela.
3. SRICCE office, NIT, Rourkela
4. Warden, _____ Hall of Residence, NIT, Rourkela.
5. The Principal of parent Institution of the student.
6. Personal file of the student.
7. QIP File.



Form : NITR/AC/204

**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

Application for withdrawal and submission of Thesis from outside
(To be submitted only after successful completion (including examinations) of all course work)

1. Name : _____ 2. Roll No.: _____

3. Academic Programme : M.Tech. M.Tech.(Res) Ph.D.

4. Department : _____

5. Name of Thesis supervisor(s) : _____

6. Date from which withdrawal is sought : _____

7. Reason for withdrawal :

- To pursue research programme at the place of employment
- To write and submit thesis from outside.[Research work already completed]
- To take a temporary break and return to the Institute for completing the research programme
- Any other

8. Arrangement made, or to be made for completion of Thesis : _____

9. Address for communication: _____

Phone : _____ Fax _____ e-mail _____

10. Undertaking :

I undertake to do semester registration in time by paying all applicable dues every semester till submission of thesis. I also promise to remain in touch with my supervisor(s) continuously for carry out my project. I shall abide by all applicable rules of the Institute.

11. Signature of the student _____ Date: _____

P.T.O.

12. Comments of Supervisor(s) :

- (a) The student has worked for _____ years _____ months on his project.
- (b) Course work : All assigned course work completed
- (c) Experimental work _____ % completed
- (d) Collection of data from outside the Institute, _____ % completed
- (e) Computational work : _____ % completed
- (f) Data analysis and interpretation : _____ % completed.

- I am / am not satisfied with the arrangement made proposed for carrying out the project.
- A second supervisor shall be / shall not be co-opted from the student's place of employment
- Withdrawal recommended / not recommended.

Signature

13. Recommendation of Doctoral / Master Scrutiny Committee (except regular M.Tech.)

Supervisor	Supervisor	Chairman, DSC

14. Recommendation of Head of the Department

Withdrawal Recommended
 Withdrawal not recommended

Signature

15. Approval by Dean(Academic Affairs)

Withdrawal approved from _____
 To be considered after second supervisor selected
 Withdrawal Request rejected

16. To be reported to Senate in its next meeting.

The thesis must be submitted before _____.
(Date)

Signature

To
Assistant Registrar(Academic)

Assistant Registrar(Academic)



NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA

Form : NITR/AC/205

No. : NITR/AC/____/20____/M/____

Date : _____

OFFICE ORDER

**Permission of Withdrawal and Submission of thesis from outside
by postgraduate and research students**

The undersigned is pleased to convey the approval of competent authority for enrolment of the following student in the Research Programme of the Institute :

1. Name of Candidate : _____
2. Roll No. :

--	--	--	--	--	--	--	--
3. Department : _____
4. Academic Programme : M. Tech ; M.Tech (R) ; Ph.D.
5. Thesis Supervisors : (1) _____ (Principal Supervisor)
(2) _____ (Co-Supervisor)
6. Date from which withdrawal is granted : _____
7. Reason for withdrawal : _____

8. Address for communication : _____

Phone : _____ Fax : _____ Email : _____
9. Special points (if any) : _____

The student is required to do semester registration every semester as per prevailing regulations and shall remain continuously in contact with his supervisors. The thesis must be submitted within the time limit set under the regulations.

Deputy / Assistant Registrar (Acad)

To

1. The Student concerned : _____
2. Supervisor (s) : _____
3. Head, Department of : _____
4. Employer of the student (if applicable) : _____
5. Student's personal records.



Form : NITR/AC/110

NATIONAL INSTITUTE OF TECHNOLOGY ROURKELA

APPLICATION FOR LEAVE OF ABSENCE FROM CLASSES

(To be submitted in duplicate to the Department Office. Please do not submit to Dean AA or Academic Section)

(U.G., P.G., Research Scholars and Fellows, Research and Teaching Assistants)

(Please do not use this form for visiting other institutions / industry for academic work)

Type of Leave : Casual Leave Medical Leave Station Leaving on Duty
(Attach approval in Form NITR/AC/111)

1. Name : _____

2. Roll No.: _____ 3. Department : _____

4. Reasons for seeking leave (Give details) :

5. Period : From _____ To _____

6. No. of days of absence : _____ *(for medical leave*)*

7. No. of working days lost : _____ *(for casual leave)*

8. Leave already availed during the semester : Medical _____; Casual _____

9. Address during the leave with Tel. No. _____

10. I understand that this leave does not entitle me to extra classes, alternative examination or credit for class tests / home assignments.

Signature of the student

* Photocopy of medical card with Institute Medical Officer's recommendation enclosed. In case of out station illness, all relevant medical papers are also enclosed along with endorsement by Institute Medical Officer.

Recommended for approval : ----- Noted in appropriate Leave Register : -----
Faculty Adviser **Department Office**

Approved [for M.Tech & Research students] Approved (Up to 15 days) Approved
 Recommended [for B.Tech & M.Sc students] Recommended (Beyond 15 days)

Head of the Department

Dean (AA)

Director

To
Assistant Registrar (Academic) for records [B.Tech. and M.Sc. students]

Head of the Department of _____ for records [M.Tech., M.Tech(R) & Ph.D. students]

Copy to : **Student concerned** (through HOD & Faculty Advisor)

Note : Heads of Departments are requested to forward two copies of this application to Academic Section. When the approval is received from the Academic Section, please pass it on to the Faculty Advisor for onward transmission to the student.



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

Form : NITR/AC/111

Request for permission to travel for academic work, conferences or student activity

(Please submit in duplicate if involves absence from classes)

1. Name of student : _____ 2. Roll No : _____
3. Programme: BTech/MTech/Ph.D./MSc / _____ 4. Hall of Residence : _____
5. Purpose of travel : Academic Conference Student activity Other
6. Details of activity : _____

7. Place of visit : Organisation : _____ City: _____
8. Dates of business : From _____ To _____
9. Duration of absence including travel : From _____ To _____
10. Expenses : [See rules in reverse]
 Sleeper class round trip Train fare (with concession) : _____
 Bus / Local Travel : _____
 Registration fees _____, Living Expenses _____ Total _____
11. Special Request (if any) : _____
12. Enclosures: Correspondence with Institution to be visited
 Acceptance of paper Abstract of paper Conference brochure
 Other _____
13. Signature of the student: _____ 14. Date : _____
15. Recommendation of faculty advisor/thesis supervisor (for project related travel only) :

Thesis Supervisor (if applicable)

Faculty Advisor

<p><u>For Project work without financial support or with financial support from Research projects</u></p> <p>Recommendation of Project PI (if applicable) Travel grant will be provided from _____ project.</p> <p align="right">_____ Signature of P.I.</p> <p>Approved. Prof T & P is requested to issue student concession.</p> <p align="right">_____ Head of the Department</p>	<p><u>For Academic purpose with financial support</u></p> <p>Funds will be provided from Departmental operating grant as per rule towards Registration fee and/or fees charged by host institution.</p> <p align="right">_____ Head of Department</p> <p>Travel and expenses approved. Prof T & P is requested to issue student concession. May be given Railway concession as per rules.</p> <p align="right">_____ Dean (AA)</p>	<p><u>For Student Activity with financial support</u></p> <p>May be permitted.</p> <p align="right">_____ Head of the Department</p> <p>Funds may be provided from SAC grant as per rules to the extent of Rs _____</p> <p align="right">_____ V.P. of Concerned Society</p> <p>Approved. The students is selected for deputation in accordance with SAC rules. May be given Railway concession as per rules.</p> <p align="right">_____ Dean (SA)</p>
--	--	--

To
Mr /Ms _____, Through HOD _____

1. See reverse for relevant rules.
2. Please enclose this form after approval with your claim for reimbursement of expenses.
3. B.Tech., M.Sc. and M.Tech. students may submit a copy to Academic Section if the journey involves absence from classes.

Policy Regarding Travel Assistance to Students

A student may need travel support under three types of activities : (a) for academic work such as using an instrument or library in a different institution, or for collecting data as a part of his/her research work [Ph.D., M.Tech.(R), M.Tech., M.Sc. or B.Tech.], (b) for presenting a paper in a conference based on his/her project/research work or attending a short term or training programme essential for carrying out the proposed research programme or (c) participating in a student activity such as paper presentation, model competition, poster presentation not based on any mandatory academic assignment.

A. Travel for academic work :

The Institute shall pay :

- (i) Round trip sleeper class train fare or bus fare
- (ii) Local travel Rs. 400/- lump sum
- (iii) Living expenses at the rate of Rs. 100/- per day excluding travel time.

It is limited to once in the career except for Ph.D. and M.Tech.(R) students who may use the facility as needed, subject to availability of funds. There is no limit on such travel from sponsored research and consultancy projects.

All fees for use of equipment or services are to be borne from the operating grant of the Department.

B. Travel for presenting papers or attending training programs based on research work carried out by a student :

The Institute shall pay :

- (i) Round trip sleeper class train fare or bus fare
- (ii) Local travel Rs. 400/- lump sum
- (iii) Living expenses at the rate of Rs. 100/- per day excluding travel time, if not included in the registration fee.

It is limited to once in the career except for Ph.D. students who may use the facility as needed, subject to availability of funds. There is no limit on such travel from sponsored research and consultancy projects. Participation in a training programme should be justified by the supervisor for long term benefit to the department.

All fees for registration are to be borne from the operating grant of the Department.

C. Travel for participation in student sports competition, model exhibition, paper contest or similar activity:

The Institute will ordinarily bear the expenses towards round trip sleeper class train fare or bus fare, when an official team is led by a faculty member or sports officer. The Institute will bear expenses towards local travel, living expenses and registration fees as decided by SAC.

This facility is provided only in cases where the student has been nominated to represent the Institute in a national level competition after going through an open competitive process within the Institute. The number of such travel supports and the mode of selection will be decided by SAC.

Regulations :

In cases of (A) and (B), if financial support is requested, the applications should be sent to Dean(AA) through supervisor and HOD. The following documents need to be enclosed with the application.

1. A formal request in approved form. (this form)
2. Acceptance from the host institute or conference organizers.
3. A brief description of the work to be done or abstract of the paper to be presented.
4. A summary of the research topic being pursued at NIT.

In case of (C), the application should be sent to Dean(SA) through concerned Vice President of SAC.

No advance will be paid to the student by the Institute. Reimbursement will be made against expenses made on production of proper receipts. The student must claim reimbursement using prescribed form within a week of returning from the journey. Mess rebate as per rules will be available if Warden of the concerned hall is informed before leaving the campus.

B.Tech. and M.Sc. students must submit a copy of the approved form to Academic Section if absence from classes is involved. All other students must submit a copy to their Department.

Note : Approval of travel against this form shall not entitle a student to alternative mid-sem or end-sem examination or class test.



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

Studentship Certificate

Certified that Mr / Miss /Mrs _____

is a bonafide student in the _____ *(Class)*

of this Institute holding Roll No. _____

during the session 20 _____ *- 20* _____.

Date : _____

**ASSISTANT REGISTRAR
(Academic)**



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

Student's Expenditure Certificate

To whomsoever it may concern

This is to certify that an NIT student has to meet the following expenditure during his academic programme :

Programme	Institutional dues (per year)	One time Institutional dues	Books and Training (per year)	Hall dues except mess	Typical Mess Charge (per year)	Total =B+D+(A+C+E) x course duration
	A	B	C	D	E	
B.Tech (4 years)						
M.Tech (2 years)						
M.Sc (2 years)						
MCA (3 years)						
Ph.D. (4 years)						
M.Tech(R) (2 years typically)						

Purchase of Computer (one time) Rs. 50,000/-

This certificate is issued for purpose of award of scholarships or loans.

Assistant Registrar (Academic)



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

Institute Leaving-cum-Migration-cum-Conduct Certificate

1. Name of the student (in full)	:	_____
2. Roll Number	:	_____
3. Date of birth as per Institute record	:	5 th Sep, 1985
4. Department	:	_____
5. Medium of Instruction	:	ENGLISH
6. Date of Admission	:	July 2003
7. Date of Leaving	:	May 2003
8. Reason for Leaving	:	Completion of the Course
9. Conduct	:	Good
10. Degree awarded or to be awarded	:	_____

This institute has no objection to the student's pursuing further studies in any University / Institute or taking any examination under any university or pursuing any job or professional practice. He/she has paid all institute fees. The student is relieved from this institute from the date of issue of this certificate.

Date of issue: 06-Feb-08

Deputy / Asst. Registrar (AC)

Dean (Academic Affairs)



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA-769008**

PROVISIONAL CERTIFICATE

for the degree of

DOCTOR OF PHILOSOPHY (Ph.D.)

Certified that Subhransu Ranjan Samantar of the Department of Electronics & Communication Engineering has successfully completed all prescribed requirements for the degree of Doctor of Philosophy (Ph.D.) of the Institute.

The title of the thesis submitted is:

“A new approach to Power System Protection using Time-frequency analysis and Pattern Recognition”

The effective date of award of Ph.D. degree is 08 December 2007..

This certificate is issued with the approval of authorities. The final degree certificate will be awarded in the forthcoming convocation.

_____ **Date**

Assistant Registrar (Academic)

Dean(Academic Affairs)

Management of Intellectual Property

Policy, Procedures and Forms



**National Institute of Technology
Rourkela**

MESSAGE FROM DIRECTOR

Major Engineering Institutes around the country are giving increasing emphasis on research on commercializable technologies. Engineering students, from B. Tech. to Ph. D. are being sensitized to the emerging environment. We, at NIT Rourkela, have taken this aspect of engineering education seriously and have initiated some basic steps. Publication of this small booklet, outlining the policies, procedures and forms for creation and protection of intellectual property, is the first major step in that direction.

Unlike larger and more advanced engineering institutes, we have a very small doctoral programme. Our human assets are largely based on our excellent faculty, technical staff and our UG and PG students. Every final year student of the B. Tech and M. Sc. classes spends about 25% of his time on the project. Final year M. Tech. students are full time researchers. Working together with them are the faculty and the technicians. Considering the high IQ of an average NITian, the intellectual power utilized in student projects is indeed mind boggling. If, and only if, we can channelise this power in the right direction, the benefit to the society will be enormous. This document provides a framework to streamline the utilization of that intellectual power, and I hope our faculty and students will take advantage of the new opportunities and stand up to the expectations of the society.

On behalf of the Institute community, I record our appreciation of the efforts put in by our colleague Prof. S. S. Mohapatra in preparing this document. The booklet draws heavily on a similar policy document published by IIT Kharagpur who have been pioneers in spreading IP awareness in elite engineering Institutes. The permission granted by Professor S. K. Dube, Director IIT, Kharagpur for using the material contained in their IPR policy document is gratefully acknowledged,

In addition to framing an IP policy, the Institute has adopted several measures to generate and protect intellectual property. Use of official record books for student projects and provision of liberal financial support for development projects are some of the major steps in that direction. I am very hopeful that a few years from now, NIT Rourkela will be one among the leading Institutes in acquiring patents and helping our nation become a world leader in technological innovation.

Sunil Kr Sarangi

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1. PREAMBLE

National Institute of Technology, Rourkela (hereinafter called the Institute) is dedicated to research, teaching, and extension of knowledge to the public. The Institute recognizes its responsibility to produce and disseminate knowledge. Inherent in this responsibility is the need to encourage the production of creative and scholarly works and the development of new and useful materials, devices, processes, and other intellectual property, some of which may have potential commercial value. These activities contribute to the professional development of the individuals involved, enhance the reputation of the Institute, provide additional educational opportunities to students, and promote public welfare. The Institute has a responsibility of bringing new knowledge into use by the general public. Such knowledge or technology often has commercial value and should be treated as a financial asset to be used, conserved and applied in such a way as to generate an appropriate financial return. Transfer of such information or technology through licensing satisfies both the above objectives, i.e., dissemination for use and realization of financial returns.

Technological and social developments in recent years have broadened the scope of information and technology that can have potential commercial value and, therefore, should be treated as assets subject to Institute ownership and control. In addition to new machines, compositions of matter, and written materials which traditionally have been the subject of patents and copyrights, computer software, video courses, etc. are now normal outcomes of Institute activities. Thus, a broad policy covering all aspects of intellectual property needs to be created to provide widespread protection to the originators of such property.

Over the past decade, appreciation of the commercial value of intellectual property has grown both within the academic community and in the society at large. Concerns related to confidentiality, publication, and ownership of intellectual property are now commonplace. The pace of modern science, resulting in new and useful inventions, initiated a need for a central policy in determining the course of the creation, protection, and commercialization of intellectual property in the Institute. This has resulted in establishment of the Intellectual Property Committee (IPC) and the Intellectual Property Policy (IPP) to encourage creation and protection of intellectual property in the Institute.

This IP Policy applies to all Institute employees and students, regular or contractual. Every member of the academic community, student, non-teaching and teaching staff alike, must be knowledgeable about intellectual property both to protect their own rights and to respect the rights of others. The Institute IP Policy is intended to encourage a healthy atmosphere conducive to research and development through a generous system of rewards and incentives for the creation of intellectual property while at the same time giving proper consideration to the economic rights and responsibilities of the Institute.

The strength of the Institute lies in its faculty, students, technical and administrative staff. This document is intended to introduce, regulate, and organize issues related to intellectual property within the Institute. It also reaffirms the Institute's commitment to scientific endeavors, academic excellence and the dissemination of knowledge. This policy is intended to spell out the responsibilities of the Institute and its employees and to establish a framework for ethical conduct.

2. THE INTELLECTUAL PROPERTY (IP) POLICY

The primary objective of the IP Policy of NIT Rourkela is to establish appropriate principles for creation, protection, ownership and management of intellectual property in the Institute. The endeavor is to provide an intellectual property environment that encourages the development of inventions and other intellectual creations for the best interest of the public, the creator, and the research sponsor, if any, and will permit the timely protection and disclosure of such intellectual property either by development and commercialization after securing available protection, by publication, or both.

This Policy is further intended to protect the respective interests of all participants by ensuring that the benefits of such property accrue to the public, to the inventor, to the Institute and to sponsors of specific research projects in varying degrees of protection, monetary return and recognition, as circumstances justify or require.

2.1 Objectives of the IP Policy :

The major objectives of the IP policy of NIT Rourkela are:

- To provide a superior environment to the employees and students of the Institute for creation, protection, and commercialization of intellectual property and to stimulate innovation.
- To encourage research, scholarship, and a spirit of inquiry, thereby generating new knowledge.
- To facilitate the transfer of knowledge and technology to intending users to promote utilization of such resources for benefit of the society.
- To provide an administrative system to determine the commercial significance of discoveries and developments and to assist in bringing these into public use.
- To provide for a equitable distribution of economic gains resulting from new intellectual property among the developer, author, or inventor (the originator), the Institute, and, where applicable, the sponsor.
- To provide incentives to originators in the form of personal development, professional recognition, and financial compensation.
- To safeguard, review and manage the intellectual property so that it may receive adequate and appropriate legal protection against unauthorized use.
- To encourage students at all levels to develop patentable technologies and to provide financial assistance from the Institute to the extent possible.
- To create awareness on IPR through conducting seminars, conferences, invited talks and lectures, and training programs among the academic community.
- To create respect for other people's intellectual property among members of the Institute community.

2.2 SCOPE OF THE IP POLICY

The IP Policy applies to potentially patentable inventions and discoveries, industrial designs, copyrightable materials such as books, publications, electronic courseware, computer programs, electronic circuits etc., protectable trademarks and trade secrets, which are developed using Institute equipment, supplies, facilities, employee time, or trade secret information, or which relate directly to the Institute's business, research or development. The Institute will encourage, recognize and protect all creative and scholarly works in form of patents, copyrights, industrial designs, trademarks and trade secret, as the case may be, developed by its employees/students as a result of their research or employment. The Institute will protect the rights of the originator regarding intellectual property created by him as per legal framework of the land. However, the Institute, as a corporate body, shall share this right with inventors – staff, student or guest, in a just and fair manner.

This Policy applies to all the employees of the Institute and visitors using Institute facilities under the supervision of Institute staff and to all the students of the Institute including doctoral and Postdoctoral fellows.

It covers all intellectual property conceived, first reduced to practice, written, or otherwise produced by all faculty, staff, and students of the Institute whether using Institute resources or not. It also covers intellectual property created by part time students, employees and visitors using Institute funds, facilities or other resources.

3. DEFINITIONS

3.1 Intellectual Property (IP): For the purpose of this policy, "Intellectual Policy" is defined as the tangible or intangible results of research, development, teaching, or other intellectual activity. Intellectual property may include the following products:

- a. Patents on new and useful scientific or technical advancements by way of inventions, discoveries, processes, computer hardware and software, unique materials, machines, devices, instruments, apparatuses, circuits, plant varieties etc.
- b. Copyright in industrial and architectural design, models, engineering drawings, integrated circuit layout designs, computer software, animations and visualizations, information technology products and processes including hardware and software features, original innovative, creative or artistic works and their derivatives or adaptations, whether dramatic, musical, literary works, work of graphics or plastics art and cinematographic and animated films, teaching material for classroom and online courses such as courseware for distance education, original data and records of research, undisclosed and/or unpublished information etc.
- c. Trademarks, service marks, logos, collective marks, certification marks, trade names etc.

The three categories stated above are not mutually exclusive; a given article of intellectual property may include aspects of all three categories.

- 3.2 Fair use :** The term "Fair Use" refers to the amount of copying or usage that may be permitted for a copyrighted material so that it does not obstruct the progress of human knowledge. Limited portions of a work can be copied without the right holder's permission for non-commercial and academic use, although the exact permissible percentage may have to be determined by the courts. In general, use of a small part of the work which does not hurt the present or potential market for that work is allowed under fair use, but there are many grey areas where the law has to be decided on a case-by-case basis. Fair use in the classroom during regular teaching is understood more liberally than that permissible in teaching for distance education through print or multimedia packages. This is because distance education packages are commercial products and hence permission has to be sought for the use of any intellectual property held by others. The possibility of fair use exists only in the case of copyright and does not apply to patents.
- 3.3 Employee :** An "Employee" of the Institute is defined as any person receiving compensation for service, or any person volunteering services for the benefit of the Institute. The uncompensated activities of students in furtherance of their education shall not be considered service within the meaning of this policy, even if such activities benefit the Institute. A scholarship, fellowship, assistantship or any other payment received by a student during the course of his studies does not classify him as an employee.
- 3.4 Institute Personnel :** Part-time and full-time members of the faculty, technical, administrative or the supporting staff and all other agents and employees, and undergraduate, postgraduate students, doctoral and postdoctoral fellows of the Institute.
- 3.5 Inventions :** It is a general term which includes computer software, general instructional materials (including video tapes), novel machines, devices, compositions of matter (compounds, mixtures, genetically engineered cells, plants or animals), genetic forms, mask works, production processes, production methods, plant varieties, etc. Inventions will be considered as having been developed in the course of employment where conception and/or development is in the individual's subject area of principal competence in scholarly activities for which the individual is employed.
- 3.6 Originator :** Any person related to the Institute through a relationship which is in the form of a part-time or full-time member of the faculty, permanent or contractual staff, agent or employee, graduate or postgraduate student, doctoral or postdoctoral fellow of the Institute, who is involved, directly or indirectly, in the Invention as defined herein shall be deemed to be the Originator for the purpose of this document.
- 3.7 Work for Hire :** Work for hire is defined for the purpose of this document as any work commissioned by the Institute. The ownership of the resulting intellectual property shall be assigned to the Institute through a written contract between the concerned parties.

4. IP MANAGEMENT PERSONNEL

4.1 Professor-in-charge (IP) : The Institute’s Senate shall appoint a member of the faculty as professor-in-charge (IP) who will be responsible for day-to-day administration of IPR issues and shall work under the guidance of the Dean (SRICCE). He will serve as the member-secretary of the Intellectual Property Committee. The Professor-in-charge (IP) will be responsible for development and protection of intellectual properties of the Institute and find avenues for possible commercialization. He has to ensure the use of licensed software and fair and just treatment of others’ intellectual property by the Institute and its members.

4.2 Intellectual Property Committee (IPC) : The Institute’s Senate shall appoint an Intellectual Property Committee (IPC) to help administer intellectual property and to make suitable recommendations to Dean (SRICCE)/Director for implementation. Dean (SRICCE) will serve as the Chairman, and Professor-in-Charge (IP) shall serve as the Secretary of the IPC. In addition to Dean (SRICCE) and Professor-in-Charge (IP), the Senate will nominate two more members from among the faculty of the Institute. The tenure of Professor-in-Charge (IP) and the two members will be two years, preferably non-concurrent. A member may be appointed for a second term, but not more than 4 (four) years in total.

The IPC will assist various departments and centres of the Institute in all matters relating to intellectual property. It will help various departments to secure protection for intellectual property where appropriate. It will maintain central databases and files of patent applications, issued patents, trademarks and copyrights, licenses and agreements, coordinate with various departments in negotiating and preparing license and other agreements, review and approve all agreements relating to intellectual property. It will review causes of possible infringements on the Institute’s intellectual property and take action as deemed necessary.

The legal interests of the Institute and its staff, faculty, and students in any intellectual property, except traditional scholarly works, shall be determined by the IPC in accordance with the policy enumerated under items.

5. POLICY

5.1 General Policy

5.1.1 The intellectual property policy shall apply to all persons employed by the Institute – full-time and part-time faculty, visiting faculty, scientists employed by the Institute, as well as technical and administrative staff. It also applies to undergraduate, postgraduate and doctoral students as well as postdoctoral fellows and visiting scientists.

5.1.2 This policy shall apply to all kinds of intellectual property (including, but not limited to, any invention, discovery, trademark, copyright, trade secret, technology, scientific or technological development, research data and computer software) regardless of whether

the intellectual property is subject to protection under patent, trademark, copyright, or any other law. The institute will encourage and recognize the originator of intellectual property and protect the ownership for the creators.

- 5.1.3 The Institute will work towards protection through legal means of all creations of scholarly and educational materials, inventions, products, processes, art works, musical compositions and dramatic and non dramatic literary works related to the author's academic or professional field, regardless of the medium of expression. All such intellectual property shall be jointly owned by the originator/author and the Institute.
- 5.1.4 The Institute shall have sole ownership of all intellectual property created by an employee who was hired specifically to work on a target product or process (or other intellectual property) or was commissioned by the Institute or a component of the Institute for the specific objective leading to creation of the intellectual property. The Institute will assert its ownership of all intellectual property created by the outside agencies commissioned by the Institute for the specific purpose.
- 5.1.5 The intellectual property generated from research projects sponsored by government/non-government agencies will be owned by the creator(s), the Principal Investigator or Chief Consultant, the Institute and the sponsoring agency. The sponsoring agency will bear 50% of the protection cost or forgo the rights to the intellectual property. In case the project was accepted by the Institute under terms different from that stated herein, the terms agreed to shall prevail.

5.2 Intellectual Property Rights and Obligations

- 5.2.1 Intellectual property generated by a full-time employee or a full-time student of the Institute is the joint property of the originator and the Institute whether Institute resources are used or not. If an Institute employee or a full time student creates intellectual property while working in another organization, it will be jointly owned by the creator, NIT Rourkela and the host institution. In case of part-time employees or students or visiting professionals, intellectual property generated by use of Institute facilities and/or support only come under joint ownership of the Institute and the originator.
- 5.2.2 Before any intellectual property is disclosed to any outside agency, other individual, commercial or academic organization, press or public is published by the originator himself the creator shall submit a reasonably complete and detailed disclosure of such intellectual property to the IPC for determining if any kind of protection is possible under appropriate laws.
- 5.2.3 When a request from the originator is received, the IPC shall decide how, when, and where the intellectual property is to be protected. It will proceed either through its own efforts or through those of an appropriate Government or private firm or attorney to obtain protection and manage the intellectual property. Outside counsel services may

be contracted with the consent of the Director. If the IPC does not find the property appropriate for protection by the Institute, the originator becomes the sole owner of the property and is at liberty to apply for protection under national laws. The Institute will issue a letter foregoing its claim to the property in future.

5.2.4 A decision by the Institute to seek patent or other available protection for intellectual property shall not obligate the Institute to pursue such protection internationally. The Institute’s decision relating to the geographical scope and duration of such protection shall be final. If the originator intends to seek protection internationally or through Patent Cooperation Treaty (PCT) application, the institute will permit the originator to proceed on his own or with the help of other individuals or agencies.

5.3 Royalty Income Sharing

5.3.1 In case the Institute succeeds in commercialization of intellectual property for the creator and licenses rights to third parties in consultation with the creator(s), the revenue generated through royalty payments will be equitably shared among the creators and the Institute.

Inventor(s)	Institute
60 %	40 %

In case of multiple originators of an IP, all the originators will decide among themselves how to share the proceeds of an intellectual property. If they fail to arrive at a consensus, the IPC will analyze all available information and make a recommendation to the Director. The decision of the Director shall be binding and final.

If there are other legitimate claimants to the IP, they will be grouped either under “inventors” or “Institute”. While sponsoring or supporting organization will get their share of the proceeds from “Institute” share, individuals (including visiting professionals) who contributed to the invention will receive their share from that of the originators.

5.4 Ownership of Intellectual Property in Certain Circumstances

5.4.1 Where research has been sponsored by a private industry/ foundation or government agency and no prior agreement exists on sharing of intellectual property, licensing of patents shall be negotiated between the sponsor and the Institute.

5.4.2 The intellectual property policies and guidelines of the Institute are subject to, and thus amended and superseded by the specific terms pertaining to intellectual property rights included in Central or State grants and contracts, or grants and contracts with NGO’s or private sponsors.

5.4.3 If the intellectual property has been generated as a work-for-hire, the employee or agency will retain the moral right to be identified as the creator of the intellectual property but right of commercialization rests only with the Institute.

5.5 Ownership of Intellectual property Generated by students

- 5.5.1 It is a requirement in academics that a student must own the copyright of the thesis (since it is his or her original work) which he or she submits as partial fulfillment of the requirements for an academic degree. However, the student will grant a non-exclusive, non-transferable royalty-free license to the institute to use, in the course of non-commercial academic activity, the records and data generated in the course of his research. Furthermore, it is possible that the research that the student carries out as part of the program of study may result in the generation of intellectual property other than the text of the thesis. Supervisors should advise students during the course of their work that certain kind of research may lead to the generation of intellectual property which will require protection of its commercial value through confidentiality, for which the student will have to forgo publication during the period of sealing of a patent. Care should be taken at all stages to see that no conflict of interest arises between the student's academic activities and his or her generation of intellectual property. The copyright of the thesis in which this intellectual property is described or outlined will remain with the student while the institute will restrict access to the thesis for a limited period depending on commercial value as decided by the IPC. The institute will try to obtain a patent for the invention on behalf of the student and benefit-sharing mechanism will be abided by as proposed in section 5.3.1.
- 5.5.2 If a student is employed to assist in execution of a sponsored project or programme, the intellectual property rights originating from his contribution to the project will be governed by the terms of the contract between the institute and the sponsoring agency.
- 5.5.3 If the intellectual property has been generated as a work-for-hire, the student will retain the moral right to be identified as the creator of the intellectual property, but right of commercialization rests with the Institute.

5.6 Disclosure and Confidentiality.

- 5.6.1 At an appropriate stage in the development of an invention, the originator shall make a written disclosure of the concepts to the IPC, providing all such particulars as are vital to judge its commercial prospects. The IPC shall promptly acknowledge, in writing, its receipt of the disclosure and the date of receipt. The originator shall send one copy of his proposed manuscript, prior to submission of thesis, to the IPC.
- 5.6.2 All the departments in the Institute will be bound by the non-disclosure and confidentiality terms to be clearly spelled in a separate document. Each department is under obligation to file their R&D manuscripts, if any, on time to time basis, with the IPC. It is expressly understood by the departments that any information which relates to any Invention should be treated as Intellectual Property and therefore is not to be divulged without the prior consent of the IPC.

5.6.3 The Originator who has communicated with the IPC under Clause 5.6.1 shall refrain from publishing, reading, dissipating, circulating or disclosing the conception in any form whatsoever, since non-disclosure is one of the most important qualifications for intellectual property protection. The originator may disclose such conception, upon a prior written permission from the IPC, once an application for a patent, trademark or copyright has been made on the conditions described herein and the commercial rights in the conception are secured to the Institute.

5.7 Commercialization.

5.7.1 For purposes of protection and commercialization of intellectual property on behalf of the Institute, patent, trademark or copyright coverage may be sought, or the property may be treated as proprietary information, technical know-how, or trade secret.

5.7.2 The IPC may determine whether the Institute has a legal interest in the commercialization of the property. However, the Institute is not legally bound to commercialization of each property and the originator may not claim such right. It shall be in the sole discretion of the Director on advice of the IPC to determine commercialization of the property.

5.7.3 In seeking and developing commercialization of intellectual property, the Institute shall be guided by the following principles:

- (a) A primary objective and responsibility of the Institute shall be to assure that the products of its intellectual activity are brought into the widest possible use for the general benefit of society.
- (b) Intellectual property should be treated as an asset and an appropriate return should be sought.
- (c) Active participation of the originator in all commercialization efforts shall be sought.

5.8 Electronic and Distance Education Materials

All original works submitted by the contributors for the purpose of electronic and/or distance education course development shall remain the property of the concerned contributors and the Institute.

5.8.1 The Institute has the right to use the course (including all related materials) developed by the faculty member and/or other employees involved in the development of a distance learning and/or e-learning course for the Institute's own educational, research, and other purposes without any additional compensation to the faculty member or any other employee who is an author of the course. Academic departments determine which courses will be offered and who will teach these courses.

- 5.8.2 If the course and/or related materials are licensed, sold, or otherwise conveyed to a third party, the mechanism as per Clause 5.3.1 will govern the distribution of any proceeds. If the material is used in distance education activity generating revenue under a scheme where instructors or other Institute personnel receive specific compensation, the originator of the courseware is entitled to a fair share of the proceeds, the exact amount being determined by the Director.
- 5.8.3 As to revisions and updates of a distance learning course, the faculty member(s) or other employee(s) who are the authors of the course will have the primary responsibility for revising and updating the course and related materials as long as he/she/they are employed by the Institute. If a faculty member (or other employee) who is an author is no longer employed by the Institute or is unable to revise and update the course as needed (as determined by the department), the material may be revised and updated by other Institute faculty members and other employees.
- 5.8.4 While developing the instruction materials in educational multimedia, digital imaging, and distance learning mode, faculty members are advised to avoid copyright infringement.

5.9 Implementation of Intellectual Property Policies.

- 5.9.1 The IPC shall prepare and distribute to the various departments copies of this document and other recommendations as may be considered appropriate for the implementation of the provisions of intellectual property policies and guidelines adopted by the Institute.
- 5.9.2 The policies set forth herein constitute an understanding which is binding on Institute faculty, staff, and students as a condition of their participation in Institute research, teaching, and service programmes.

6. Procedures for Management of Intellectual Property

6.1 Creating IP Awareness

The IPC will take a proactive approach for generation and protection of intellectual property in the Institute. The committee shall identify all intellectual property developed in the Institute through review of UG, PG and doctoral projects, inviting ideas from students and faculty, and by all other means of collecting information. If it judges that there is a reasonable chance for successful commercialization of an invention, it shall (1) advise the originator on the steps to be taken for protecting the ownership rights to the property, and (2) refer the matter to the Director with clear recommendations for appropriate course of action on the part of the Institute. On persuasion of the IPC, or on his own initiative, the originator(s) will place a formal proposal before the IPC with details of the invention or other IP product. The IPC will examine the proposal taking help of internal or external experts, if necessary. The originator(s) may be required to make a demonstration of the product or process, or give a presentation before the Committee.

In some instances the IPC may find that an invention has not been developed to an extent where a decision can be made on patentability or commercialization. In such cases, it will request the originator to provide additional information or data that might help in making a decision, or advise the originator to report back to the IPC after the discovery is brought to a more advanced stage.

In close consultation and collaboration with the originator, the IPC shall determine the appropriate method of protection of the property and, where appropriate, obtain such protection. The process for licensing, selling, or otherwise conveying intellectual property will not involve the use of sealed bids. All costs associated with these actions shall be borne by the Institute, except that such costs shall be offset against future income. When a technology or other invention or intellectual property is commercialized, the net income from such commercialization will be distributed among the originator(s), the Institute and other stake holders. The IPC will guide the Institute on the distribution formula.

- IPC in coordination with Deputy/Assistant Registrar(Admin) will ensure that every faculty member/technical staff signs the undertaking form no. NITR/IP/1 at the time of joining.
- At the time of registration for Autumn Semester, each student must sign and submit a declaration in form no. NITR/IP/3 to Prof-In-Charge (IP).
- All departments will provide financial support in a fruitful means to all student projects with possible commercialisable outcome.
- The institute will provide additional funds with higher outlay for project works with a commercial potential, wherever necessary.
- The IPC will bring out brochures/newsletters and make necessary announcements in various media for creating awareness among academic community in regards to advancements on technology, patentable and commercial technologies, IP laws and amendments and legal aspects related to IP.
- The IPC will conduct seminars, workshops, talks by eminent scientists and practitioners on IP related issues, and shall organize student groups to create greater participation.
- At the time of submission of thesis, each student must sign and submit a declaration in form no. NITR/IP/4 to Prof-In-Charge (IP).

6.2 Proposals for patent application

6.2.1 Faculty members, technical staff and students interested to protect their intellectual creations under IP law of the land may apply to Professor-in-charge (IP) using the Invention and Technology Disclosure Form (Form No. NITR/IP/5).

6.2.2 Professor-in-charge(IP) will draw the attention of IPC members in a meeting for evaluating the IP substance for possible protection within two weeks. If the members agree to file for protection, the IPC will approach appropriate Government, private and legal entities to go forward with protection of the IP with due recommendation from Director.

- 6.2.3 The expenditures for protection of IP substance will be borne by the Institute from its non-plan “administrative expenses” head.
- 6.2.4 If the IP substance is not fully developed for possible protection, IPC will guide the originators where to improve it. IPC may also give guidance on drafting the Patent forms etc. even with provisional specifications.
- 6.2.5 The Institute shall bear all the charges for patent search while filling up the patent form.
- 6.2.6 If the patent is granted, it becomes the joint property of the originator and the Institute.
- 6.2.7 The Institute has the prerogative of finding a suitable partner for commercialization of the patents for first two years from the date of grant of the patent.
- 6.2.8 After two years, the originator may choose a suitable partner for commercialization of intellectual property created by him/her. However, benefit sharing mechanism will be adhered to as per Clause no. 5.3.1. The originator, before going for technology transfer on his own, must seek the permission of IPC. The IPC should strive to dispose off the matter within two weeks.

6.3 Archiving theses containing Intellectual Property with commercial potential

- 6.3.1 Theses submitted by the students may have potential IP substance. It should be protected and commercialized for greater interest of humanity. Therefore, the students must come forward and the supervisors must motivate the students to work on patentable technologies. The student submitting a thesis must give a declaration in the Form no. NITR/IP/4.
- 6.3.2 The IPC will examine all the theses and find the suitability of protection of IP created by the students.
- 6.3.3 The Institute will also try for potential commercialization when a patent is granted. However, the Institute has the prerogative of commercializing only for the first two years from the date of grant of patent. The revenue sharing mechanism will be adopted as per Clause 5.3.1.
- 6.3.4 If the Institute does not show any interest for patenting an invention contained in a thesis, the student may go for protection with formal information to the Institute. In such case, the thesis is protected and not disclosed to anyone for a period of one year after such a request is received from the student, but limited to 2 years from the date of submission of the thesis.
- 6.3.5 All the students at the time of registration for autumn semester (start of project semester) will fill up the Form no. NITR/IP/3 for initiating work on patentable technologies.



National Institute of Technology Rourkela

Undertaking to be signed by all academic and technical staff joining National Institute of Technology, Rourkela

1. This is to declare that I have read and understood the policy of the National Institute of Technology, Rourkela with respect to intellectual property and the rights therein, titled ['Policy'] and that I agree to be bound by it and to follow its provisions during the period of my employment by the Institute.
2. I agree to report, disclosing full details, to the relevant authorities of the Institute any patentable or commercializable intellectual property that I may generate or participate in generating in accordance with the provisions of the Intellectual Property Policy.
3. (Strike out whichever is not applicable)
 - (a) I certify that I am at present under no contractual obligation with any person or organization, which are in conflict with the Policy.
 - or
 - (b) I am at present under the contractual obligations detailed below:

(attach a separate sheet, if necessary)

4. I agree to share all intellectual property generated during the course of my work with the Institute in accordance with the Intellectual Property Policy of the Institute in vogue at the time of creation of the intellectual property.
5. I undertake to behave with dignity and broadness of mind while sharing intellectual property rights with my coworkers – students, faculty, technicians and other supporting staff as well as visitors.

Name :

Designation :

Department :

Employment Code :

(Signature)

Date



National Institute of Technology Rourkela

Undertaking by a person engaged by the Institute under “Work for hire” terms

I, _____ hereby certify that the work: _____ (the “Work”; attach additional sheet if necessary to accurately describe the work) is specially commissioned by National Institute of Technology, Rourkela and is to be considered a “work for hire”.

I undertake that during the course of my work, I shall not use any material protected under copyright laws beyond the scope of fair use except those for which explicit permission of the owner has been obtained. Further, I am not entitled to reproduce elsewhere any potential copyrightable material generated during the period of this agreement or after its termination except that which falls under fair use. I shall retain only moral rights to this material. Furthermore, no patentable invention/technology/innovation/trademarks developed by myself, and others I shall be working with, will be disclosed by me to any other party upon termination of this agreement. I understand that any prior disclosure by myself, directly or indirectly, either during the period of this work-for-hire agreement or after its termination, shall render me prosecutable as per laws that may be in force at the time.

I hereby assign and/or transfer to Institute, absolutely and forever, all rights related to intellectual property generated during commissioning of the work or after its termination.

Signed this _____ day of _____ (month), _____ (year)

Name:

Address:

Work-for-hire agreement tenable at Department:

In the project:

Signature

Date



National Institute of Technology Rourkela

Initiating work on Patentable Technologies

Declaration by the Student(s) engaged in Project / Dissertation works

I/We, Mr./Ms./Dr. _____ Roll No.: _____ and
Mr./Ms./Dr. _____ Roll No.: _____ registered
as research scholar or student of programs such as B.Tech./M.Tech./ M.Tech.(Res) /
M.Sc. / Ph.D / D.Sc. in the Department of _____, National
Institute of Technology, Rourkela (hereinafter referred to as the "Institute") do hereby
declare that I/we shall start working on a project entitled
: _____

I/We declare that :

1. I/We shall respect the intellectual property of others. I/We shall not knowingly or unknowingly use any protected inventions / designs / materials / integrated circuits held by others for our purpose without paying the license fee.
2. I/We shall not use any unlicensed modeling / drafting / word processing / programming software for my/our purpose.
3. I/We shall not use any material protected under copyright law except beyond the scope of fair use for our purpose.
4. I/We shall request IPC for helping us for patent search for our work, the cost if any being borne by the Institute.
5. In the course of project work, if any IP is generated I/we shall proceed as the IP policy of the Institute for possible protection and subsequent commercialization.

Name of the Student

Name of the Student

**Signature of student
with date**

**Signature of student
with date**

Name of the Supervisor

Signature of the Supervisor with date

Signature of the Head of the Department with date



**Handling and Archiving of Theses and Dissertations submitted to the
National Institute of Technology, Rourkela**

Declaration by the Author of the Thesis or Dissertation

I, Mr./Mrs./Miss/Dr. _____ Roll no. _____
registered as a research Scholar or a student of programs such as B.Tech./ M.Tech./
M.Tech(Res)/ M.Sc./Ph.D/D.Sc in the Department of _____
National Institute of Technology, Rourkela (hereinafter referred to as the 'Institute') do
hereby submit my thesis, entitled: _____
_____ (herein referred to as 'my
thesis') in printed as well as in electronic forms for holding in the library of records of the
Institute.

I hereby declare that:

1. The electronic version of my thesis submitted herewith on CDROM is in PDF format.
2. My thesis is my original work of which the copyright vests in me and my thesis does not infringe or violate the rights of anyone else.
3. The contents of the electronic version of my thesis submitted herewith are the same as those submitted as final hard copy of my thesis after my viva voce and adjudication of my thesis on _____(date).
4. I agree to abide by the terms and conditions of the Institute Policy on Intellectual Property (hereinafter Policy) currently in effect, as approved by the competent authority of the Institute.
5. I agree to allow the Institute to make available the abstract of my thesis to any user in both hard copy (printed) and electronic forms.
6. For the Institute's own, non-commercial, academic use I grant to the Institute the non-exclusive license to make limited copies of my thesis in whole or in part and to loan such copies at the Institute's discretion to academic persons and bodies approved from time to time by the Institute for non-commercial academic use. All usage under this clause will be governed by the relevant fair use provisions in the Policy and by the Indian Copyright Act in force at the time of submission of the thesis.
7. I agree to allow the Institute to place such copies of the electronic version of my thesis on the private intranet maintained by the Institute for its own academic community.

8. I agree to allow the Institute to publish such copies of the electronic version of my thesis on a public access website of the internet.
9. If in the opinion of the Institute my thesis contains patentable or copyrightable material and if the Institute decides to proceed with the process of securing copyrights and/or patents, I expressly authorize the Institute to do so. I also undertake not to disclose any of the patentable intellectual properties before being permitted by the Institute to do so, or for a period of one year from the date of final thesis examination, whichever is earlier.
10. In accordance with the Intellectual Property Policy of the Institute, I accept that any commercialisable intellectual property contained in my thesis is the joint property of myself, my coworkers, my supervisors and the Institute. I authorize the Institute to proceed with protection of the intellectual property rights in accordance with prevailing laws. I agree to abide by the provisions of the Institute Intellectual Property Right Policy to facilitate protection of the intellectual property contained in my thesis.
11. If I intend to file a patent based on my thesis when the Institute does not wish so, I shall notify my intention to the Institute. In such case, my thesis should be marked as patentable intellectual property and access to my thesis is restricted. No part of my thesis should be disclosed by the Institute to any person(s) without my written authorization for one year after my informing to the Institute to protect the IP on my own, within 2 years after the date of submission of the thesis or the period necessary for sealing the patent, whichever is earliest.

Name of student:

Name of supervisor(s):

Signature of student:

Signature of supervisor(s):

Signature of the Head of the Department



National Institute of Technology Rourkela

Invention and Technology Disclosure Form

For Office use only
Proposal ID : _____ NITR/IP/_____/_____/_____ Date of Receipt : _____ <small>Acad yr Sl. No.</small>

1. Title of the invention:

2. Inventors:

[For visiting scientists, please give details of substantive employer.]

SlNo.	Name	Employee Code or Roll No	Position	Department	Email

3. Brief description of the invention: *(How this invention relates to new processes, systems, machines, compositions of matter etc.)*

4. Detailed description of the invention

4.1 State of prior art

- (a) Prevailing **state of the art**?
- (b) **Literature search** relating to this invention? *[Please include a copy of the resulting documentation, and reprints of publications.]*
- (c) **Prior art/patent search** relating to this invention? *[Please include a copy of the resulting documentation, and reprints of patent documents: if a computer database search has been resorted to, please give the web site details and the Key Words used in the search.]*

4.2 **Description** : *(Describe the invention so that other Institute faculty who are knowledgeable in the field can evaluate its technical and commercial merits.)*

4.3 **Novelty** : *(Highlight the features described above that make the invention novel.)*

4.4 **Inventiveness** : *(Are the novel features inventive based on 4.1(a) above; and, if so how?)*

4.5 **Advantages** *(over comparable inventions or practices):*

4.6 **Testing** : *(Has the invention been tested experimentally? If so details of experimental data to be supplied.)*

5. Funding and support

- I. Was there significant use of Institute equipment and facilities? **Yes/No**
- II. Was the invention supported by research grants/contract from external sources?
Yes/No

If **YES**, please give details :

(a) Sponsor : _____

(b) Grant/contract no. : _____

(c) Period of grant/contract : _____

(d) Principal investigator and co-investigator: _____
(even if they are not inventors within the purview of this document and will not share the credit and royalties)

(e) Has the sponsor been informed of the invention? *(state whether required under grant/contract award conditions)*

(f) Was the work done under any other agreement? Give details.

6. Information for protection of IPR: conception and disclosure *(Accurate data is required as prior disclosure may affect possibility of obtaining patent rights.)*

	Date	References/comments
Date of conception of this invention. Has this date been documented? If so, where and how?		
Has this invention been presented at seminars/discussions other than those which form the requirement for the degree program of the student?		
Please provide the anticipated date of submission for publication or communication for presentation at seminar/conference etc. (Should not be earlier than one month from this date)		
Has the invention been reduced to practice?		

7. Commercial potential

- 7.1 Possible uses or application areas or products that may embody some aspects of the technology :
- 7.2 List of probable users of the technology (class of industries/organizations or target companies) :
- 7.3 List of probable organizations who may be interested in technology transfer (target industries or companies or other organisation) :

7.4 Potential marketability including commercial suggestions [viable size of industry, equipment, raw material and manpower requirement under different skill levels, import component, export potential, other relevant economic information]

8. Prior disclosure and possible intent :

8.1 Has the invention been disclosed to industry representatives or their parties?

8.2 Has any commercial organization shown interest in this invention? Give details.

9. Development Stage :

What is the current stage of development of the invention as it relates to commercial utilization and marketability :

- Embryonic
- Partially developed
- Fully developed

10. Potential for international patent :

Does the invention have significant commercial potential in foreign countries?

If so, where? Give details.

11. Declaration :

I/We declare that all statements made herein are true to the best of my/our knowledge. I/We hereby agree to hold the right of intellectual property of this invention jointly with National Institute of Technology, Rourkela. National Institute of Technology, Rourkela will share any royalty income derived from the invention with the inventor(s) according to the IP policy of the Institute in force. Intellectual Property of this invention will be protected by National Institute of Technology, Rourkela from time to time based on its merit and commercial viability.

SINo.	Name	Signature	Date	Place
1.				
2.				
3.				
4.				
5.				

Note:

- (1) A patent confers the right upon an inventor to commercially exploit an invention for a limited period of time. Patent can be lost by disclosure of the details of an invention to the public before the filing of a patent. Unlike copyright, patent is not an automatic right. To obtain a patent, the proposed invention should be novel (not published elsewhere), inventive (not obvious to persons familiar with the state of art) and industrially applicable (should have utility). Once the patent is sealed, the patentee can sue for damages anyone who attempts to exploit the patented invention without the consent of the patentee.
- (2) This document should be prepared with due care. The formal patent application will be prepared only from the information provided herein.
- (3) The completed disclosure form with annexures should be submitted to :

Professor-in-Charge (IP)
National Institute of Technology, Rourkela



National Institute of Technology Rourkela

Invention and Technology Disclosure Form (Summary)

1. Title of the invention:

2. Inventors:

[For visiting scientists, please give details of substantive employer.]

SINo.	Name	Employee Code or Roll No	Position	Department	Email

3. Brief description of the invention: *(Not to exceed 100 words)*

4. Prevailing state of the art :

- (a) Details of Patent search sites or other resources.
- (b) Key words used for patent search.
- (c) List of patents related to present invention.

5. Novelty

6. Inventiveness

7. Advantages

8. Commercial Potential : *(List of organization with possible interest in the invention)*

9. Signature of Inventor(s) with date



National Institute of Technology Rourkela

Mutual Secrecy Agreement between NIT Rourkela and collaborating Institutions

This agreement is between National Institute of Technology, Rourkela (the provider organization) and/or provider scientist(s), jointly called the first party, and the organization _____ (the recipient organization), the second party.

1. The first party is the owner of the invention called _____ (description) and/or owner of certain technical data/process technology/other information (proprietary information) developed through their own efforts.
The organization _____ (name), the second party, is the owner of the invention called _____ (description) and /or certain technical data/process technology/other information (proprietary information) developed through its own business and R & D efforts.
2. The invention and/ or the proprietary information of the provider scientist(s), NIT Rourkela and _____ (organization) is proprietary and confidential and not public knowledge. This will be disclosed to one another under the terms of this agreement.
3. The parties to this agreement consider it desirable for each other to have access to above invention/proprietary information for discussing and evaluating possible collaborative research and development work and/or licensing activities relating thereto.

Therefore the parties agree as follows:

- All invention/proprietary information as used in this Agreement provided by one party is proprietary and confidential in connection with evaluation of invention and/or proprietary information for collaborative R & D and/or licensing work. These are disclosed to one another in writing clearly marked confidential OR arise out of discussions during visits to laboratory/plants or any other facility of either party, and reduced to writing within thirty (30) days of such discussion. The date and time of the visit and personnel present during the visit should be recorded in writing by both parties.
- All parties agree to hold in confidence any or all invention/proprietary information disclosed and further agree not to disclose the same to third parties or use it for any other purpose other than discussion and internal evaluation provided in this document. However, either party may disclose the invention/information/technical data/technology to its own employees assisting that party in making an evaluation, provided that all such employees shall have agreed to be bound by the secrecy terms of this agreement.
- The recipient of tangible products or materials consisting invention/technology from the other party agrees not to analyze or have a third party to analyze such tangible products or materials.
- All invention/proprietary information is and remains the property of the disclosing party and must be returned, in a form suitable to be returned, within ninety (90) days after the disclosing party makes a written request for its return or at the conclusion of evaluation or termination of the Agreement.
- The evaluation period during which information will be exchanged will be ordinarily one (1) year from the date of signing this Agreement unless extended by mutual consent of the parties in writing.
- The foregoing obligation with respect to invention/proprietary information received by any party who are signatories to this Agreement shall survive in the event of termination of this agreement.

This agreement is effective as of _____, and shall terminate on _____. The two parties can extend the agreement through mutual consent, in writing, and the extension period shall be on a yearly basis. Either party may terminate this Agreement at its discretion immediately upon written notice to the other party.

This agreement is signed on _____ between:

NIT, Rourkela

Organization:

(Name of signatory)

(Name of signatory)

Designation : Dean (SRICCE)

Designation

**Address : National Institute of Technology
Rourkela - 769008**

Address



National Institute of Technology Rourkela

Form No. NITR/IP/7

Letter of Agreement between NIT Rourkela and collaborating institutions for Transfer of Proprietary Materials

This agreement is between National Institute of Technology, Rourkela (the provider organization) and/or provider scientist(s) _____

_____ [name(s)], jointly called the first party, and the recipient scientist(s) _____ [name(s)] of organization _____ (the recipient organization), the second party.

The Material that is covered by the agreement includes

_____ (description of the material) which is considered as proprietary material of the provider and NIT Rourkela. The provider scientist and NIT Rourkela shall be free, in their sole discretion, to distribute the Materials to others and to use it for their own purpose.

In response to the second party's request for Material, both the parties agree to the following before second party receives the Material :

- (1) The Material shall be used by _____ (recipient scientist) working at _____ (recipient organization) in research to study _____ (description of work). The material will be used for teaching and not-for-profit research purpose only and not for use in any product or process for profit-making commercial purpose. The material is provided at no cost or with a fee of Rs. _____.
- (2) Neither the Material nor this material treated by any means will be used in human subjects.
- (3) The second party shall not distribute, release or disclose the Material to any person or entity other than laboratory personnel under recipient scientist's direct supervision, and the second party must undertake to ensure that no one will be allowed to take or send Material to any other location unless written permission is obtained from the first party.
- (4) The second party is not allowed to have a third party analyze such tangible products or materials obtained from the first party without written and specific authorization from the first party.
- (5) The second party will give a brief description of its research program and the nature of usage of the material to the first party. The second party will acknowledge the first party before any publication or presentation based on research results with supplied material.
- (6) The second party will return all unused material at the request of first party.
- (7) The second party agrees to use the Material in compliance with all applicable statutes and regulations. The material may have hazardous properties. The providers make no representation and extend no warranties of any kind, either expressed or implied. The second party assumes all liability for claims for damages which may arise from the use, storage or disposal of the Material. However, the first party will be liable to the second party when the damage is caused by the gross negligence or willful misconduct of the first party.

This agreement is signed on _____ between:

NIT, Rourkela

Organization:

(Name of signatory)

(Name of signatory)

Designation : Dean (SRICCE)

Designation

Address : National Institute of Technology
Rourkela - 769008

Address



National Institute of Technology Rourkela

Letter of Agreement for Developing Educational Material Maintained by a Private Firm

(Use PART 1 or PART 2 as the case may be)

This agreement is between National Institute of Technology, Rourkela (the provider organization) and/or provider subject matter expert(s) _____ [name(s)], jointly called the first party, and the recipient organisation _____ the second party.

PART 1 : Hiring and Licensing a firm

- The Educational Material that is covered by the agreement includes _____ (description of the material) which is considered as proprietary material of the subject matter expert(s) provider and NIT Rourkela.
- The provider subject matter expert and NIT Rourkela shall be free, in their sole discretion, to distribute the materials to others and to use it for their own purpose.
- The subject matter experts undertake that utmost care has been taken to avoid any copyright infringement while developing the educational material except the amount permissible as governed by fair use.
- The second party will be paid an amount of Rs. _____ for the period _____ months/years for (i) maintaining, (ii) distributing, (iii) popularizing and (iv) marketing (tick the correct choice) the educational material stated above. The second party agrees to work only in the mode of expression for the purpose assigned to it as mentioned above. Whatever may be the mode of expression, the second party also agrees to ensure that it will restrict unauthorized copying of the materials.
- If the materials are available in internet, the second party must display "Terms and Conditions" for use of the materials and "Disclaimer Policy" in regard to warranty in the home page of the website. The reliability, consistency, speed and security of the materials in internet is hereby ensured by the second party in accordance with discussion with subject matter experts (documented in the minutes of meeting no. _____, dated _____). However, the second party may mention its identity by describing as "maintained by _____", "marketed by _____" as the case may be. The second party further agrees to provide the feedback from the readers to the subject matter experts.
- The second party is not permitted to modify any content in the supplied materials by themselves or through a third party during or after termination of this agreement. The subject matter expert or any other person authorized by NIT Rourkela has the right to modify the contents of the materials as and when need arises.
- The second party will return the materials to the first party after termination of this agreement.
- The agreement can be cancelled by either party at any point of time.

PART 2 : Selling to a firm

- The educational material that is covered by the agreement includes _____ (description of the material) which is considered as proprietary material of the subject matter expert(s) provider and NIT Rourkela.

2. The second party will pay an amount of Rs. _____ to the first party for obtaining legal right of copyright of the material mentioned above for maintaining, distributing, popularizing and marketing in the form (i) print media, (ii) multimedia and (iii) internet. The second party agrees to deal in the mode mentioned above and not in any other mode.
3. The second party is permitted to modify the contents of the supplied materials either through the subject matter expert or a third party on payment basis.
4. The subject matter expert and NIT Rourkela have the moral right to be recognized as the creator.
5. The subject matter experts undertake that utmost care has been taken to avoid any copyright infringement while developing the educational material except the amount permissible as governed by fair use.

This agreement is signed on _____ between:

NIT, Rourkela

Organization:

(Name of signatory)

(Name of signatory)

Designation : Dean(SRICCE)

Designation

Address : National Institute of Technology
Rourkela - 769008

Address



**NATIONAL INSTITUTE OF TECHNOLOGY
ROURKELA**

P L E D G E

We, the students of the National Institute of Technology, Rourkela, graduating in the year 2007, hereby pledge-

“That we will discharge our duties as Engineers, Scientists, and technologists with utmost sincerity and dedication,

That we will strive under all circumstances to maintain individual dignity and professional integrity,

and

That we will utilise our knowledge in the field of Science and Technology to serve the humanity and to uphold the dignity of our Almamater”



राष्ट्रीय प्रौद्योगिकी संस्थानम् राउरकेला

दीक्षांत - प्रतिज्ञा

सर्वे वयं राष्ट्रीय प्रौद्योगिकी संस्थानस्य स्नातकाः अस्मिन् महार्घे महोत्सवे समवेताः शपथमिदं पठामः यत् :-

विविध वैषयिक स्नातकाभियांत्रिकभावेन परमनिष्ठया त्यागेन सह च सदैवं स्व-स्व कर्तव्यं सुचारु संपादयिष्यामः ।

येन केन परिस्थित्यागतेनापि व्यक्तिगतस्वतंत्रतायाः वृत्तिगत मुल्यबोधस्य च संरक्षणाय सततं चेष्टिष्यामहे ।

पुनश्च अत्रोपार्जितं सूचना - प्रयुक्ति यंत्रविज्ञान ज्ञानरार्शिं च विश्व मानवसेवायां नियतं विनियोज्य अस्य अस्मद् महागुरुकुलस्य सुचिरं सम्मानमक्षुण्णं रक्षिष्यामरितिशम् ।