

# Ordinance Joint-Doctoral Programme

JOINTLY OFFERED BY



INDIAN INSTITUTE OF TECHNOLOGY (BHU) VARANASI  
VARANASI INDIA

WITH



INDIAN INSTITUTE OF TECHNOLOGY GUWAHATI  
GUWAHATI INDIA

August 27, 2020

✓

① DOAA

for approval of the Senate  
for academic matters

Rajiv Prakash  
14/10/2020

② Dr. Upadhyay  
Chemical Engg.  
for other matters

## Contents

1 Ordinances	3
2 Joint-PhD Programmes Coordinating Committee	3
3 Admission Procedure	4
4 Supervisors and Joint-Doctoral Committee	4
5 Change of Supervisors	5
6 Categories of Joint-PhD Students	5
7 Change of Category	6
8 Stay At Each Institute	6
9 Travel Expenses	6
10 Assistantship	7
11 Leave Rules	7
12 Course Work	7
13 Comprehensive Examination	8
14 State-of-the-Art Seminar	9
15 Progress Review	9
16 Semester Registration	9
17 Conduct and Discipline	10
18 Cancellation of Studentship	10
19 Duration of the PhD Programme	11
20 Synopsis of Thesis	11
21 Panel of Examiners	11
22 Submission of the Thesis	12
23 Thesis Reports	12
24 Viva Voce	13
25 Award of PhD Degree	14
26 Legal Matters, Dispute Resolution, IPR	14

This document sets out rules, regulations and process for joint-doctoral degree programme with Indian Institute of Technology Guwahati in any area of research in accordance with the terms and conditions set out in MoU between IIT (BHU) and IITG. Following are the ordinances and rules for the joint-doctoral programme.

## 1 Ordinances

- 1.1 IIT (BHU) and IITG will jointly award the degree of Doctor of Philosophy (JDP) for research in engineering, design, sciences, humanities and social Sciences including interdisciplinary areas to a candidate who has successfully completed the stipulated programme of research.
- 1.2 A student will be able to work in any pair of departments from IIT (BHU) and IITG.
- 1.3 The programme of research with the governing rules and regulations are jointly formulated and approved by the senates of both the institutes.
- 1.4 Any modification or change in the structure, governing rules and regulations will have to be jointly agreed by the senates of the both the institutes and will also have to be consistent with the prevailing MoU between the institutes. Any change will be applicable for future students enrolling in JDP and will not be applicable for students who have already enrolled in the programme.
- 1.5 A student will have one of the institute assigned as home institute for the administrative purpose.
- 1.6 A candidate to be awarded the Joint-PhD degree has to submit a thesis embodying the findings of his/her research carried out under this programme. The thesis should make an original contribution of high quality to the advancement of knowledge as judged by the experts in the relevant area.
- 1.7 A candidate becomes eligible for the award of the Joint-PhD degree after fulfilling all the academic requirements prescribed in this document.
- 1.8 The award shall be made upon the recommendation of the senate of the home institute after ratification by the Board of Governors of the home institute.
- 1.9 The Joint-PhD degree shall be awarded in the title of the thesis of Joint-PhD.

## 2 Joint-PhD Programmes Coordinating Committee

A Joint-Doctoral Programmes Coordinating Committee (JPCC) will be setup to review the academic progress of all Joint-PhD students and oversee administrative matters. The constitution of JPCC will be as follows:

- (a) Dean (Academic Affairs), IIT (BHU), Chairperson

- (b) Director's Nominee from IIT (BHU)
- (c) Dean (Academic Affairs), IITG
- (d) Director's Nominee from IITG

### **3 Admission Procedure**

- 3.1 IIT (BHU) and IITG will endeavour to enrol an equal number of students each semester for JDP. Any imbalance should be addressed in subsequent years.
- 3.2 The actual number of vacancies under JDP will be jointly decided every semester by IIT (BHU) and IITG.
- 3.3 Admission to JDP will take place in December and July every year.
- 3.4 The selection of the candidates for JDP may take place along with the selection for regular doctoral programme at IIT (BHU) and IITG.
- 3.5 The minimum eligibility criteria for the selection of a student in JDP will be jointly decided by the both the institute before the announcement of the advertisement. The selection of the students in JDP must be approved by both the institute.

### **4 Supervisors and Joint-Doctoral Committee**

- 4.1 The supervisors for a student selected for JDP will be fixed at the time of selection. It will be the responsibility of a supervisor at the home institute to take approval from the supervisor at the other institute.
- 4.2 The home institute will create provision of video/audio-conferencing for a prospective supervisor from the other institute to interview a candidate for JDP.
- 4.3 The selected student for JDP must be accepted by exactly two supervisors one from each institute.
- 4.4 Only regular faculty members who have at least five years of service left at his/her institute can be a supervisor.
- 4.5 A separate Joint-Doctoral Committee (JDC) will be setup for each candidate to monitor and evaluate the research work of a student until submission of the thesis. The constitution of JDC will be as follows:
  - (a) Chairperson, faculty from the home institute
  - (b) Faculty from other Department of home institute
  - (c) Faculty from IIT (BHU) or IITG
  - (d) Supervisor, IIT (BHU)
  - (e) Supervisor, IITG

- 4.6 The JDC is constituted by the Supervisors within one month from the date of joining of a student. The list is sent to JPCC for approval.
- 4.7 In case any JDC member goes on leave exceeding one-year duration, or resigns or retires from the respective Institution, the respective Chairperson, Senate will nominate another member in his/her place.
- 4.8 JDC will meet at least once in a semester through video conferencing until the submission of the thesis.

## **5 Change of Supervisors**

- 5.1 A Change of supervisor for JDP will generally not be permitted unless due to the exceptional circumstances and as allowed in the discretion of the JDC. The decision of supervisor change should be approved by the Chairman Senate of the home institution.
- 5.2 If a supervisor at either institute goes on leave for more than one year, JPCC will appoint another supervisor in that institute. Mutual consent of both the student and supervisor in the other institute is taken for such cases.
- 5.3 The Chairman, Senate may permit a student to change their Supervisor(s) for valid reasons. Mutual consent of the student and supervisor(s) and recommendations of the JPCC, DPPC/DPGC and IPPC/SPGC are required. Such cases are reported to the Senate.

## **6 Categories of Joint-PhD Students**

A student can be enrolled for Joint-PhD programme under the following categories:

- 6.1 Regular: A student in this category works full-time for his/her degree. He/she receives assistantship from the institute or fellowship from CSIR/UGC or any other recognized funding agency through the home institute.
- 6.2 Sponsored: A student in this category is sponsored by a recognized R&D organization, academic institution, government organization or industry for doing research work on a full-time basis. Either institute will not provide any assistantship to such student. The sponsoring organization must give an undertaking to provide full salary to the student and to relieve him/her to pursue the programme for its full duration. Such students have to complete the requirements of the programme by staying on-campus for the full duration of the programme.
- 6.3 Self-Financed: A student in this category works full-time towards the Joint-PhD programme. Either institute will not provide any assistantship/fellowship to such a student.

- 6.4 Project-Staff: This category refers to a student who is working on a sponsored project of either institute or both the institutes and is admitted to Joint-PhD programme under Regular category. The remaining duration of the project at the time of admission should be at least two years. If the project gets completed before the student completes his/her PhD Programme, his/her category will be converted to that of self-financed unless he/she is granted an assistantship/fellowship from any other agency (Ref. Section 7).

## 7 Change of Category

- 7.1 The senate chairperson of the home institute on recommendation of JPCC and JDC approves change from one category to another.
- 7.2 The change of category will be reported to senate of both the institutes.
- 7.3 Any student who is enrolled for a programme other than Joint-PhD programme cannot be converted to Joint-PhD programme student. Similarly, a student enrolled under JDP cannot change category to any other programme of one of the institute.
- 7.4 Following table illustrates permitted change of category within Joint-PhD programme.

	Regular	Sponsored	Self-Financed	Project-Staff
Regular	-	Yes	Yes	Yes
Sponsored	No	-	No	No
Self-Financed	No	No	-	No
Project-Staff	No	Yes	Yes	-

## 8 Stay At Each Institute

- 8.1 A student enrolled for JDP must spend at least twelve months at each institute at any time during while pursuing JDP.
- 8.2 A student enrolled for JDP will be entitled for the hostel accommodation at non-home institute during any visit of more than 15 days.

## 9 Travel Expenses

- 9.1 The travel expenses of the student enrolled in JDP will be borne by the home institute through project/CPDA/any other resources.
- 9.2 The rules and policies set by IIT (BHU) and IITG will be consistent so as allow fair opportunity to a student enrolled in JDP to travel between the two institutes.

## 10 Assistantship

- 10.1 A student enrolled for JDP will get the fellowship from the home institute throughout the duration of the programme or maximum for five years, whichever is earlier.
- 10.2 A student enrolled under regular category will have to do teaching-assistantship work as per the policies of the residing institute policy.
- 10.3 The continuation of the assistantship is subject to satisfactory performance of the assigned duties and satisfactory progress of the student in the programme.

## 11 Leave Rules

- 11.1 A student may be allowed vacation leave of up to 15 days per semester with a maximum of 30 days in an academic year, during any period of vacation declared by the institute where student is resident. The vacation leave not availed in a semester may be carried over to the next semester but not from one academic session to the next academic session the leave as per the home institute policy.
- 11.2 In addition, a student may be allowed casual leave for up to 8 days per semester subject to the condition that such leave will not be allowed for longer than 6 days at a time. The casual leave cannot be combined with any other kind of leave, and will not be carried over.
- 11.3 A female student may be granted maternity leave for a maximum of 3 months. Leave up to 6 weeks can also be granted for miscarriage including medical termination of pregnancy, if supported by a proper medical certificate. Such leave can be combined with any other leave due and will not entail any loss of financial assistantship.
- 11.4 The leave will be approved by the supervisor where student is residing institute at the time of leave application.
- 11.5 Any long leave must be approved by the JDC and JPCC.

## 12 Course Work

- 12.1 JDC of a student prescribes the courses a student has to register for every semester.
- 12.2 A student of Engineering/Design/Technology Department with an entry level qualification of two-year Master's degree (after completion of 4-year Bachelor's degree) or three-year Master's degree (after completion of 3-year Bachelor's degree) registers for a minimum of 4 courses (PG/6 or 7 levels) with at least 24 credits and has to obtain a CPI of at least 6.5. Similarly, a student of Science Department/Centres with an entry level qualification of Master's degree registers for a minimum of 4 courses (PG/6 or 7 levels) with at least 24 credits and has to obtain a CPI of at least 6.5.

- 12.3 A student with entry-level qualification other than those under Clause 12.2 above registers for a minimum of 6 courses (PG/6 or 7 levels) with at least 36 credits and has to obtain a CPI of at least 6.5.
- 12.4 Under normal circumstances, a student is required to complete all course work within two semesters, and registering for at least two courses in the first semester. In each semester, the Cumulative Performance Index (CPI) should not be less than 6.0.
- 12.5 If at the end of any semester, a student maintains a SPI of 6.0, but fails in a course, he/she is allowed to repeat/substitute it in the following semester(s).
- 12.6 A repeat/substitute course may be registered during the summer term.
- 12.7 A student is not allowed to register for BTech, BDes or MSc level courses. However, he may be allowed to audit these courses.

### **13 Comprehensive Examination**

- 13.1 To test the overall competence and academic preparation of a student in the Joint-PhD Programme, a Comprehensive Examination is held.
- 13.2 M.Tech. or equivalent degrees may appear in the comprehensive examination earliest at the end of the first semester, but must pass the same before the end of the fourth semester after their first registration. Students with B.Tech., M.Sc. or M.A. degrees admitted to Ph.D. programmes may appear in the comprehensive examination earliest at the end of the second semester, but must pass the same before the end of the fifth semester.
- 13.3 Comprehensive examination is held only after successful completion of course work.
- 13.4 The mode of comprehensive examination will be in oral form but may be supplemented with a written part.
- 13.5 The date of the Comprehensive Examination is informed to the student at least two months prior to the date of examination.
- 13.6 The comprehensive examination board will consist of at least three but not more than five faculty members of the student's Department/School plus one faculty member from outside the Department/School. The supervisor from the host institute should be the part of the comprehensive examination board.
- 13.7 A student will be considered to have passed the comprehensive examination if all the members (with the exception of at the most one member) of the board are satisfied with student's performance in the examination. The report of the comprehensive examination will be sent to the Dean Academic of the host institution.



13.8 In case a student does not pass the comprehensive examination in his/her first attempt, a second comprehensive examination will be conducted with a gap of at least one semester by the same board that was constituted earlier unless a different board is approved by the Chairman, Senate on the recommendation of the JDC and DPPC/DPGC.

13.9 The examination board may also recommend additional course work in case of extremely low performance of a candidate.

13.10 If a student fails twice in the comprehensive examination, he/she would have to leave the Joint Ph.D. programme. All such cases shall be reported to the JPCC and the Senate of the home institute.

## **14 State-of-the-Art Seminar**

14.1 Within 6 months of the successful completion of the Comprehensive Examination, a student presents a State-of-the-Art Seminar (SOAS). The presentation is open to all. In this, he/she presents literature survey in the broad areas of research to be pursued in JDP.

14.2 A student submits a write-up to the JDC members at least one week before the date of the SOAS.

14.3 A report on the successful completion of the SOAS, is submitted by the JDC to JPCC who communicates the same to the Chairman, IPPC/SPGC, of the home institute.

14.4 Within a month, a student delivers another SOAS if the first SOAS is not satisfactory.

## **15 Progress Review**

15.1 After the State-of-the-Art Seminar (clause 14), a student submits at-least one progress report for evaluation to the JDC every semester. The JDC schedules an online meeting where the student presents his/her progress report. All such presentations are open to all. However, the JDC may schedule more such meetings depending on the progress of the student.

15.2 The JDC reviews the progress and submits a report to the Chairman, IPPC/SPGC, through JPCC after every such review.

## **16 Semester Registration**

16.1 A JDP student must be registered as a student in both the institutes and will have access to the facility of both the institutes. A JDP student shall have the same status as regular student when visiting the host institute.

- 16.2 A JDP will pay tuition fee at the home institute even if they are residing at the other institute. However, in case if JDP is availing the hostel, mess and medical facility in residing institute they have to pay fees for these services at the residing institute as per the residing institute policy.
- 16.3 Students must of be present at one of the institute at the time of registration on a stipulated date as per the schedule of a institute till the submission of their thesis.
- 16.4 They are required to pay the prescribed fees till the submission of their theses within stipulated dates fixed by a institute where student registers in a particular semester.
- 16.5 A student may be exempted from the prescribed fees for the last semester if he submits thesis within 30 days from beginning of the semester.
- 16.6 Semester drop: Up to two semesters may be dropped in the entire duration of the Joint-PhD Programme, on bonafide grounds. Except on medical grounds, semester drop is not permissible before successful completion of Comprehensive Examination by a student. On recommendation of the Supervisor, Chairman, JDC and Chairman, JPCC, the Chairman, Senate approves a semester drop. Cases of semester drop are reported to both the Senates. No assistantship is provided during the period of a semester drop. The period of semester drop is not counted in the prescribed time limit for completion of the Joint-PhD Programme.

## **17 Conduct and Discipline**

- 17.1 A JDP student will have to abide by the general rules, regulations, discipline and conduct-rules of both the institutes.
- 17.2 Any misconduct and/or grievances will be dealt by the residing institute in consultation with the other institute.
- 17.3 An unauthorized absence for more than one month will lead to disciplinary action, in the form of reduction of assistantship or even termination of studentship.

## **18 Cancellation of Studentship**

- 18.1 The student enrolled in JDP will not be permitted to terminate their participation in JDP and thereafter reapply as a single degree student at the home institute.
- 18.2 The PhD studentship is liable to be cancelled for any of the following reasons:
- (a) Giving false information at the time of application/admission.
  - (b) Not conforming to the regulations of the programme.
  - (c) Failure in coursework requirement.
  - (d) Failure in Comprehensive Examination.

- (e) Consistent lack of progress in research.
- (f) Violation of discipline and conduct rules of the Institute.
- (g) Not submitting a thesis within the stipulated period.
- (h) Not enrolling for a semester within stipulated dates.
- (i) Remaining absent for more than 6 (six) weeks in a semester, without sanctioned leave.

## **19 Duration of the PhD Programme**

The duration of the PhD programme is as follows:

- 19.1 The minimum duration of the JDP (excluding dropped semester(s) / maternity leave) is four semesters.
- 19.2 The maximum duration of the JDP is 6 years from the date of admission.

## **20 Synopsis of Thesis**

- 20.1 Prior to the submission of the thesis, a student submits the synopsis of thesis to the JDC. The synopsis contains outline of the research contained in the thesis.
- 20.2 The student enrolled in JDP must publish two papers in reputed journals (SCI or SCOPUS Index journals) before Synopsis presentation.
- 20.3 The synopsis report should be submitted to JDC at least one week before the Synopsis Seminar date.
- 20.4 The student makes a presentation of his/her thesis work before the JDC in an open seminar (named as Synopsis Seminar). The respective institute shall be linked through video conferencing for the purpose of the seminar.
- 20.5 If the JDC approves the synopsis, the student is allowed to submit the thesis. The Supervisor sends report of the Synopsis Seminar to the Chairman, JPCC.
- 20.6 If a student fails to submit the thesis within three months from the date of the Synopsis Seminar, he /she shall present another Synopsis seminar. His/Her synopsis has to be approved by the JDC and sent to the Chairman, JPCC.

## **21 Panel of Examiners**

- 21.1 The thesis/dissertation examination committee shall be appointed with the agreement of both institutions, and shall be composed by relevant academic members of both institutions, according to the rules and regulations of the home institution.
- 21.2 There shall be two external examiners of the thesis appointed who are independent of both the institutions.

- 21.3 At least fifteen days prior to the submission of the thesis, the JDC submits to the Chairman, JPCC a panel of eight examiners. The Chairman, JPCC, forwards it to the Chairman, Senate, of the home institute for approval.
- 21.4 The list of examiners remains confidential with the office of the Chairman, IPPC/SPGC. The office of the Chairman, IPPC/SPGC makes all correspondence with the examiners. The name of the Indian examiner is made available to the HOD/HOC and the thesis Supervisor(s) after both the reports have been received. The name of the foreign examiner may also be made available to the concerned Supervisor.

## **22 Submission of the Thesis**

- 22.1 Within three months of the acceptance of the synopsis by the JDC, the student submits copies of his/her thesis in prescribed format to the Academic Section of the home institute.

## **23 Thesis Reports**

- 23.1 Examiners are expected to send reports on the thesis within two months from the date of receipt of the thesis.
- 23.2 Evaluation of thesis by external examiners and conducting of the final viva-voce examination/ defense shall, in general, follow the Home Institution's process and procedures.
- 23.3 If an examiner does not send his/her report within two months, reminders are sent. If the report is not received in spite of reminders, the Chairman, Senate replaces the examiner.
- 23.4 If both the thesis examiners recommend the thesis for award of the PhD degree, the Chairman, Senate, approves the conduct of a Viva Voce. Corrections in the thesis, responses to comments of examiners are ratified by the JDC.
- 23.5 If an examiner suggests re-submission of the thesis, the student is allowed to re-submit the thesis after due revision within the time stipulated by the JDC.
- 23.6 If one examiner recommends the thesis, and the other rejects, the matter is placed before the Senate Chairman for possible replacement of the examiner who has rejected.
- 23.7 If both the examiners do not recommend the thesis for the award, the reports are sent to the JDC which can decide on one of the following based on their assessment.
- (a) If the JDC is satisfied with the work already done and the contents of the thesis already submitted, it may request the Chairman, Senate that the thesis may be sent to another set of examiners. Such a request has to be recommended by the Chairman, JPCC.

- (b) The JDC may advise the student to augment the research and submit the synopsis again. If both the examiners do not recommend the thesis for the award for second time, the student is not awarded the degree and the registration is cancelled.

## 24 Viva Voce

24.1 In a Viva Voce, a student makes an oral presentation on his/her thesis. The presentation is open to all. The respective institute shall be linked through video conferencing for the purpose of the seminar.

24.2 The following is the composition of the Viva Voce Board (VVB).

- (a) Chairman, JDC
- (b) Supervisor, home institute
- (c) Supervisor, the other institute
- (d) A faculty member with subject-knowledge of the thesis from home institute
- (e) A faculty member with subject-knowledge of the thesis from the other institute

The other members of the JDC of the student will be invitees to the oral examination.

24.3 The VVB conducts the defense of the thesis by the candidate ensuring that he/she answers all the queries of the thesis examiners satisfactorily.

24.4 If the VVB finds the performance of the student unsatisfactory, the student will be asked to reappear for another oral examination at a later date (not earlier than a month and not later than six months from the date of the first oral examination).

24.5 If the VVB finds the performance of the student unsatisfactory on the second occasion also, then the matter will be referred to the Senate of the home institute for a decision.

24.6 The VVB may also recommend revisions to be made in the final version of the thesis after taking into consideration the suggestions of the examiners who evaluated the thesis and the discussion at the Viva Voce. The Chairman of the VVB shall forward the report to the Chairman, JPCC, certifying that the recommended revisions by the VVB, if any, have been incorporated in all copies of the thesis, for award of the degree.

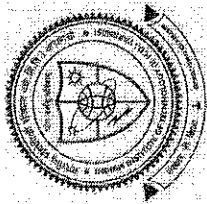
24.7 The Viva Voce can be conducted physically. In some extra ordinary cases it can be conducted through online video conferencing. However, approval of senate chairman of the host institute will be required in such cases.

## **25 Award of PhD Degree**

- 25.1 The final copy of the thesis will be sent to both the institute library and also uploaded on both the institutes electronic thesis portal.
- 25.2 Student who successfully complete a JDP will be issued a joint degree: Doctor of Philosophy. Conferment of the joint PhD degree will be by way of a single certificate bearing the crests of both the institute. Joint degree students will have their degree presented to them at their home institute.
- 25.3 Date of award of the degree will be the date of submission of the thesis. However, in case examiner has asked to resubmit the revised version of the thesis the date of the award of the degree will be the date of the submission of the revised thesis.
- 25.4 A student awarded a joint degree under JDP is entitled to become member of the alumni association of both the institute.

## **26 Legal Matters, Dispute Resolution, IPR**

- 26.1 The legal matters, dispute resolution and intellectual property rights will be governed by the terms agreed in memorandum of understanding signed by IIT (BHU) and IITG.
- 26.2 All other cases, not covered by the above, shall be referred to the Senate of the home institute.



Indian Institute of Technology (BHU) Varanasi  
And  
Indian Institute of Technology Guwahati



upon the recommendation of the respective Senates hereby jointly confers the degree of

Doctor of Philosophy

in

Thesis Title

on

Name Surname

who has successfully completed in *Mon Year*, the requirements prescribed under the regulations  
for the award of this degree.

Given this day, under the seal of the Institute at Varanasi in the Republic of India, the *D* day of  
*Mon, Year*.

Chairman, BoG Chairman, Senate Registrar  
Indian Institute of Technology (BHU) Varanasi

Chairman, BoG Chairman, Senate Registrar  
Indian Institute of Technology Guwahati