MANUAL

FOR

Ph.D.

(DOCTOR OF PHILOSOPHY)

INDIAN INSTITUTE OF TECHNOLOGY
(Indian School of Mines), Dhanbad

(As approved in the 42nd Meeting of the Senate)

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CHAPTER 1 INTRODUCTION

The Indian Institute of Technology (Indian School of Mines) Dhanbad offers Ph.D. Program in the areas of Engineering, Science, Management and Humanities & Social Sciences. This manual broadly provides the rules, procedures and necessary requirements for successful completion of the Ph.D. Program.

1.1 Ph.D. Scholars

1.1.1 Full-time Ph.D. Scholar

(a) A scholar who does her/his courses and research at the Institute (IIT (ISM) Dhanbad) is termed as a full- time scholar. Such scholar is required to stay in the Institute during the entire period of her/his academic program.

(b) A full-time scholar may have financial support in the form of

(i) Institute Assistantship (IA) / R&D Project Fellowship (RF)

or

(ii) Externally Funded Fellowship (E F)

1.1.2 Part-time Ph.D. Scholar

(a) A part-time scholar is a professionally employed person who enrolls in the Ph.D. program of the Institute. The scholar may do her/his research in the Institute or in her/his parent organization/institute.

(b) Scholar having minimum 2 years of experience in a regular post in PSUs/Research Organizations/ Organizations having MoU with Institute/ Higher Education Institutions approved by UGC/AICTE/ globally reputed corporate organizations will be considered for admission to part-time Ph.D. without the requirement of GATE/NET/CAT/GMAT. However, they should satisfy the eligibility for admission as defined in para 1.3 of this manual.

(c) The scholar must obtain a No Objection Certificate (NOC) from the current employer before completion of the degree program, in order to get their final degree. It shall solely be the responsibility of the scholar to inform his/her organization/institute and obtain a prior consent about his/her enrollment in the Ph.D. program at IIT (ISM) Dhanbad.

(d) No financial assistance will be provided to such scholars by the Institute.

1.2 Ph.D. Programs

1.2.1 Engineering

The Ph.D. program is offered by the following departments:

1. Chemical Engineering
2. Civil Engineering
3. Computer Science and Engineering
4. Electrical Engineering
5. Electronics and Communication Engineering
6. Environment Science and Engineering
7. Fuel, Minerals and Metallurgical Engineering
8. Management Studies and Industrial Engineering
9. Mechanical Engineering
10. Mining Engineering
11. Petroleum Engineering

1.2.2 Science

The Ph.D. program is offered by the following departments:

1. Applied Geology
2. Applied Geophysics
3. Chemistry and Chemical Biology
4. Mathematics and Computing
5. Physics

1.2.3 Humanities and Social Sciences

The Ph.D. program is offered by the following department:

1. Humanities and Social Sciences

1.2.4 Management Studies and Industrial Engineering

The Ph.D. program is offered by the following department:

1. Management Studies & Industrial Engineering

1.3 Eligibility for Admission and Admission Procedure

The eligibility criteria for admission to Ph.D. programs of different streams along with the possessing qualifications are mentioned below:

1.3.1 Ph.D. in Engineering Disciplines

(a) Applicant must have a Master's degree in Engineering in the relevant subject with first class/division or a minimum of 60% marks/CGPA of 6.0 (on a 10 point scale),

OR

(b) Applicant must have a Bachelor's degree in Engineering with a minimum of 60% marks/CGPA of 6.0 (on a 10 point scale),

OR

(c) Applicant must have a Master's degree in Science or an allied area with first-class/division or a minimum of 60% marks/CGPA of 6.0 (on a 10 point scale).

1.3.2 Ph.D. in Science Disciplines

(a) Applicant must have a Master's degree in the relevant subject with first class/division or a minimum of 60 % marks/CGPA of 6.0 (on a 10-point scale**)**,

OR

(b) Applicant must have a Bachelor's degree in Engineering with a minimum of 60% marks/CGPA of 6.0 (on a 10 point scale),

OR

(c) Applicant must have a Master's degree in Science or an allied area with first-class/division or a minimum of 60% marks/CGPA of 6.0 (on a 10 point scale).

1.3.3 Ph.D. in Humanities and Social Sciences Disciplines

(a) Applicant must have a Master's degree in the relevant subject, Arts, Commerce, Humanities and Social Sciences with first class/division or a minimum of 60% marks/CGPA of 6.0 (on a 10 point scale),

OR

(b) Applicant must have a Master's degree in Engineering / Technology / Science / Commerce / Management with first class/division or a minimum of 60 % marks/CGPA of 6.0 (on a 10 point scale),

OR

(c) Applicant must have a Bachelor's degree in Engineering with a minimum of 60% marks/CGPA of 6.0 (on a 10 point scale)

1.3.4 Ph.D. in Management Disciplines

(a) Applicant must have a Master's degree or equivalent in Management or allied areas or Engineering / Technology with first class/division or a minimum of 60% marks/CGPA of 6.0 (on a 10 point scale),

OR

(b) Applicant with a Bachelor's degree in Engineering with a minimum of 60% marks/6.0 CGPA (on a 10 point scale),

OR

(c) Applicant must have a Master's degree in Science / Arts / Commerce with first-class/division or a minimum of 60% marks/CGPA of 6.0 (on a 10 point scale),

OR

(d) Applicant who has qualified for CA/ICAI/ICMA/CS, with first-class/division or a minimum of 60% marks/CGPA of 6.0 (on a 10 point scale) in Bachelor's degree.

Note:

1. *Bachelor's degree in Engineering means regular full-time Bachelor's degree. A candidate with AMIE or similar degree is not eligible for admission.*
2. *The exact qualification and eligibility requirements, and the list of programs to be offered in a year will be available in the Information Brochure published by the Institute before the start of admission process for every Academic Year.*
3. *For consideration of qualifications obtained from universities/institutes outside India, an equivalence certificate issued by Association of Indian Universities will be required to be submitted along with application.*

1.3.5 Requirement of GATE / NET in Engineering / Science or CAT/ GMAT in Management

A. Qualifying NET/GATE is not mandatory for application in Ph.D. in Engineering/Science disciplines, if the candidate-

(i) Has done M.Tech/M.E. with first class or first division or with minimum 60% marks or equivalent CGPA or

(ii) Has done B.Tech/BE with a minimum CGPA of 8 (on a 10 point scale) or with equivalent percentage from any CFTI or

(iii) Has done B.Tech/B.E. with a minimum CGPA of 8 (on a 10 point scale) or with equivalent percentage from any Institute/University having 1 to 100 rank in Overall category in NIRF India rankings (either in the year of application or in the last year)

(iv) Has applied for part-time Ph.D. and has minimum 2 years of experience in a regular post in PSUs/ Research Organizations/Organizations having MoU with Institute/ Higher Education Institutions approved by UGC/AICTE/globally reputed corporate organization

B. Except for the candidates mentioned in para A above, all other eligible candidates as per para 1.3 above, will have to qualify NET/GATE to apply for Ph.D. admission in Engineering/Science disciplines.

C. Qualifying CAT/GMAT will be mandatory for applying for Ph.D. in Management disciplines. However, for part-time Ph.D. candidates having minimum 2 years of experience in a regular post in PSUs/Research Organizations/Organizations having MoU with Institute / Higher Education Institutions approved by UGC/AICTE/globally reputed corporate organizations, the requirement of having CAT/GMAT may be relaxed.

It may be noted that based on number and quality of applications received in an admission cycle, the respective department may also impose additional shortlisting criteria (and shall also publish it while sending calls for interview) to restrict number of eligible applicants to be called for Interview.

1.3.6 Admission Procedure

(a) The admission procedure consists of (i) online submission of application form and (ii) interview.
   i) Interview shall not be required in case of candidates selected under Prime Ministers Research Fellowship (PMRF) scheme.
   ii) Candidates getting admission under AICTE - Quality Improvement Programme (QIP) shall be required to appear for the interview process.

(b) Candidates can apply for the Ph.D. program throughout the year as per their eligibility and choice. However, applications submitted under a specific mode of Ph.D. admission are not transferable to another mode.

(c) The online applications received from such candidates through the Institute portal will be scrutinized and processed as per Institute Rules.

1.3.7 Admission for Sponsored (ICCR etc.) / Self-funded International students

(a) An applicant shall be eligible to apply as a full-time candidate for admission under this category during the period of admission process of the respective Institute/Organization/IIT (ISM) Dhanbad, as applicable.

(b) All applications received shall be forwarded by the Office of Dean (IRAA) to the respective DPGC for further scrutiny as well as assessment of equivalence of their qualifications obtained from foreign institutes/universities with those awarded by Indian institutes/universities, as applicable. The respective DPGC will send it back to the Office of Dean (IRAA) after scrutiny and recommendations. The consolidated list of eligible / non eligible candidates prepared by the Office of Dean (IRAA) after due scrutiny may then be sent to the Office of Dean (Academic) for onward submission for approval to the Director.

(c) The applications of Foreign Nationals/International students, sponsored by the Indian Council of Cultural Relations (ICCR)/or sponsored by any Institute/organization having MoU with IIT (ISM) Dhanbad, shall be processed as per point no. (b) above.

(d) Admission of Non-Resident Indians (NRI)/Persons of Indian Origin (PIO)/Overseas Citizens of India (OCI) and Foreign Nationals to Ph.D. Program is provided under the following subsections:

(i) NRI candidates must have been residing abroad continuously for at least one year at the time of submission of their application for admission; however, PIO/OCI candidates shall have no such restriction.

(ii) Non-sponsored candidates who belong to NRI/PIO/OCI/foreign national category, shall also be considered for admission to the Ph.D. program. Such candidates who are currently in India but have not taken GATE/NET may also seek admission to Ph.D. program. Admission of such candidates, however, shall be subjected to the clearance from the Central Government.

(d) Admission of Scholars of other institutions (Non-Degree scholars) for carrying out research or for study:
For admission under this category, the details are provided under the following subsections:

(i) A scholar registered for Ph.D. program at another Institute/University or under

twinning program at both the Institutes with guides from both the Institutes may also be allowed to work at the Institute. For such studies/research, the scholar has to pay to the Institute requisite academic fee/hostel fee and other charges as may be specified at the time of joining the Institute.

(ii) Such a scholar must be sponsored by the parent Institute/University of the scholar and s/he must submit an application during the admission process to the Office of Dean (Academic) for seeking admission to the Institute. All such applications will be scrutinized by a committee comprising of Dean (Academic), Dean (IRAA), concerned Head of Department and the Convener, DPGC, as the case may be. The recommendation of the Committee shall be forwarded to the Director for approval.

1.4 Integrated PG-Ph.D. program

1.4.1 Direct Admission to Integrated PG-Ph.D.

For details please refer to Institute PG manual.

1.4.2 Conversion from PG to Integrated PG-Ph.D.

An opportunity is given to all the Postgraduate (PG) students of IIT (ISM) to change their registration from PG program to Integrated PG-Ph.D. program subject to fulfillment of the certain norms and eligibility criteria. The basic objective is to provide an opportunity to the meritorious PG students having inclination towards research to continue their research pursuits and also earn a Ph.D. degree along with the respective PG degree.

For details please refer to Institute PG manual.

1.4.3 Conversion of Ph.D. to Integrated PG-Ph.D.

For details please refer to Institute PG manual.

1.5 Reservation of Seats

Reservation policy is applicable as per the Government of India norms.

CHAPTER 2 CURRICULUM

2.1 Components of the curriculum

(a) Departmental Compulsory (DCUG/DCPG): Theory Courses (Level 5 or Level 4) that are compulsory for scholars in their parent discipline/department.

(b) Departmental Elective (DEUG/DEPG): Theory Courses (Level 5 or Level 4) that are offered as Elective Courses by the respective departments for the scholars.

(c) Only One (01) course of Level 4 can be obtained by the scholars.

(d) Similar course(s) will not be counted towards the fulfillment of the course work requirements. Choice of course(s) by the scholar will be made with due diligence.

(e) Research Methodology (RM) and Research & Technical Communication (RTC): The completion of Research Methodology (RM) and Research & Technical Communication (RTC) is mandatory. The scholar may either register these two courses and complete the same or else may upon fulfilment of the publication criterion for Pre-Submission Seminar (Form PH6 applicable), duly recommended by the concerned DSC, the "S" grades may be awarded to the scholar via F1 form.

(f) Thesis Unit: A scholar may register for appropriate Thesis Unit(s), up to 36/20(CBCS/NEP) credits, in a semester in their parent discipline/department.

(g) For Part-time Ph.D. Scholars, suitable full semester NPTEL/SWAYAM courses or courses completed from UGC/AICTE approved Higher Education Institutions fulfilling credit requirements of the Institute where appropriate credit transfers are possible, may also be prescribed by DSC for course work. In the case of NPTEL/SWAYAM courses, the DSC shall prescribe the courses through the DPGC Convener, who shall verify the course hours and applicable credits and forward the proposal to the SPGC Chairman through the DPGC Convener for proposal. [Annexure IV]

2.2 Credit Distribution of Ph.D. Programs:

The following will be the credit distribution for course work of Ph.D. Program –

Table (A): Credit Distribution of Course Work (under CBCS regime)

Component	Minimum number of courses to be completed within two(02) years of Ph.D. program	Minimum Credits Required
Course Work (for scholars having PG Degree)	04	36
Course Work (for scholars having UG Degree)	06	54
Research Methodology (RM)	-	(S/X) mode
Research and Technical Communication (RTC)	-	(S/X) mode
Research Work (Thesis Units)	-	180
Course Credits: **C = 3L + 2T + P**, where, **C** = Credits, **L** = Lecture hours, **T** = Tutorial hours, and **P** = Practical hours.		

Table (B): Credit Distribution of Course Work (under NEP regime)

Component	Minimum number of courses to be completed within two(02) years of Ph.D. program	Minimum Credits Required
Course Work (for scholars having PG Degree)	04	12
Course Work (for scholars having UG Degree)	06	18
Research Methodology (RM)	-	(S/X) mode
Research and Technical Communication (RTC)	-	(S/X) mode
Research Work (Thesis Units)	-	100
Course Credits: **C = L + T + 0.5*P**, where, **C** = Credits, **L** = Lecture hours, **T** = Tutorial hours, and **P** = Practical hours.		

2.3 Modalities for allotting Course Work:

(a) After approval for the constitution of the DSC (via form PH2) by the Competent Authority, the Supervisor concerned, in consultation with the DSC members and the Scholar, will prepare the list of course works to be completed by the scholar (minimum four DC/DE courses for the scholars having PG degree or minimum six DC/DE courses for the scholars having UG + Research Methodology + Research and Technical Communication + Thesis units).

(b) The scholar will then register the available courses through the institute portal.

(c) If the scholar is admitted after the commencement of the class or closure of the registration period, proportionate thesis credit will be allotted to the scholar by the Academic Section. Form A17 should be submitted for the same.

(d) The student must complete the DC/DE courses within the maximum duration of next four full semesters available to her/him (for the students admitted after the commencement of the monsoon / winter semester, the count of full semester will start from the next winter/monsoon semester).

(e) Once the DC/DE course works have been completed with CGPA 6.5 or more within the stipulated time, the scholar should approach the supervisor for the comprehensive viva.

(f) A scholar needs to register at least 20 credits each semester combining DC/DE and thesis credits. The following guidelines may be considered during coursework registration:

Registered Credit of DC/DE course works	Proportionate Thesis Credit to be taken	Total Credit to be registered
0-4	20	20-24
5-9	15	
10-14	10	
15-19	5	

(g) The scholars should first include the DC/DE course credit as per the list provided by their supervisor and availability (ensuring there is no time-table clash), and then include the remaining thesis credit as per column 2 of the above table during semester registration. ‘Research Methodology’ and ‘Research and Technical Communication’ courses may be completed either by registration or by fulfilling paper publication criteria.

CHAPTER 3 ACADEMIC SESSION AND REGISTRATION

3.1 Academic Session/ Year

Academic Session of the Institute includes Monsoon Semester, Winter Semester and Summer Semester, which generally lies between months of July to June as specified in the Institute Academic Calendar, includes all academic/non-academic activities approved by the SENATE.

3.2 Duration

Each academic session comprises of two regular Semesters: **Monsoon Semester** (July to December) and **Winter Semester** (January to June) comprising of 14 weeks of classes for each semester. It may be noted that there is no Vacation for Ph.D. Scholars.

3.3 Semester Registration

Each admitted scholar must register herself/himself before the commencement of each regular semester / summer semester (if required) on the date specified in the Academic Calendar. However, if a scholar is likely to submit her/his thesis, completed in all respects, **before the commencement** subsequent semester then s/he need not register for that semester.

If a scholar submits her/his thesis, completed in all respects, within **Four Weeks** from the date of commencement of subsequent registered semester then s/he may apply for a refund of the applicable fee paid by her/him for that semester. Mess charges and other semester/annual charges will be deducted on pro-rata/actual basis, as applicable, in such cases.

The scholars who are admitted to the first year of Ph.D. program but are awaiting the final result of their qualifying degree examination for admission to Ph.D. are allowed to register provisionally. Such scholars must submit all documents showing that they have passed the qualifying degree examination on or before the last date specified in the Academic Calendar. The admission of such scholars, who will not be able to submit the required documents by the due date, may be dropped.

Scholars are required to complete the following parts of the semester registration process sequentially:

i. Academic Registration (Pre-registration in Online Mode)
ii. Administrative Registration (Fee-payment in Online Mode & In-person Physical Registration/Reporting at the Office of DSW)

Scholars who fail to register for a semester (by missing any or all of the above required steps to be completed for semester registration i.e. Pre-registration, Fee-payment and Physical Registration/Reporting) may be dropped from the said semester and may be allowed to register only in the next semester.

3.3.1 Pre-Registration and Fee Payment

Window 1: Each scholar is required to Pre-register for the next semester in online mode through the Institute's Portal on or before the last date specified in the Academic Calendar for Window 1. It is mandatory for a scholar to register for a minimum 36 credits (under CBCS regime)/ 20 credits (under NEP regime) per semester. The scholar must register for all remaining courses, prescribed by the DSC, if offered in that semester. For registration of the minimum number of credits i.e., 36 credits (under CBCS regime)/ 20 credits (under NEP regime) per semester, the scholar will be allowed to register required number of research (thesis) credits along with the course credits starting from the first semester.

A scholar may select the number of courses and the course load during pre-registration, while ensuring that there is no time-table conflict amongst the selected courses. One or more courses with a time-table clash may be rejected from the registration form of the scholar, either during registration or later, if it is found at a later stage. When all the courses planned to be taken by the scholars in the next semester are finalized, the same is to be verified by the scholar at the time of physical registration/reporting. The discrepancies, if any, must be reported to the Office of the Dean (Academic) in writing until the next working day from the date of physical registration/reporting. No request may be entertained in this regard after the deadline cited above and scholars may not be allowed to add any course(s). However, scholar may drop the course during the semester on or before the last date specified for the purpose in the academic calendar which includes the provision to withdraw from a course after the conduct of mid – semester examination.

Note: The registration for the Ph.D. scholars, joining for the first time in the middle of a running semester, will be carried out by the academic section. The registration will be for **the proportionate thesis credits**. The formula to be used for this purpose could be, for each 28 days remaining in a semester prior to last date of mark submission, 05 (under NEP) research credits may be registered. The course work will only start from the subsequent semester.

All scholars who have completed their pre-registration process within the specified duration must pay the applicable fee for the semester within the stipulated period i.e., Window 1, mentioned in the Academic Calendar.

3.3.2 Pre-Registration and Fee Payment with Late Fine

If a scholar is unable to complete the pre-registration by the due date or her/his pre-registration is cancelled due to any reason, s/he will be given two more opportunities to complete the pre-registration with a late fine:

(i) Window 2: The window for Pre- registration and Fee payment with late fine of Rs. 5000/- will be re-opened during the period specified for the purpose in the Academic Calendar.

(ii) Window 3: The window for Pre- registration and Fee payment with enhanced late fine of Rs. 10,000/- will be re-opened during the period specified for the purpose in the Academic Calendar.

Late pre-registration fine may be waived off, if the scholar has taken prior permission from Dean (Academic) for the late registration. Such waive-off shall not be a general rule but will be considered on case-to-case basis only.

3.3.3 Physical Registration/Reporting

1. All scholars who have completed their academic registration and fee payment process within the specified duration, must physically be present for physical registration/reporting. It is **mandatory** to do physical registration/reporting as per the timeline specified in the Academic Calendar.
2. Completion of this registration/reporting requires:
   (a) Verification of the registered list of courses.
   (b) Verification of fee payment and clearing all outstanding dues, if any.
   (c) Signing the registration roll **in person** in the office of the Dean of Students Welfare (DSW).

3. The physical registration/reporting will be permissible only during the respective slots allotted to individual batch/program, which will be notified by the **Office of Dean (SW)**.
4. Any registered scholar (except part-time) who misses the scheduled date of physical registration will be allowed to join up to 2 weeks after commencement of classes. No fine for late physical registration would be imposed up to 1 week of commencement of classes. Thereafter a fine of Rs. 5000/- will be imposed on scholars reporting later than the end of 1st week and up to the end of 2nd week. After 2 weeks of commencement of classes, no physical registration may be allowed. The minimum attendance requirement for the semester will not be relaxed in case of late reportees. The leave entitlement for the semester of scholars reporting after start of classes will be adjusted accordingly.
5. For Part-time Ph.D. scholars, Physical registration/reporting period shall be as per the duration specified in the academic calendar. The scholars need to report in their department and then in DSW Office.
6. Undertaking, if required to be submitted for academic warning/probation, will be submitted by the scholar in academic section along with a copy of the physical registration slip issued by the DSW Office.
7. All pending dues (fines, library dues etc.) must be cleared by the scholars on annual basis (during physical registration for the Monsoon Semester) through Institute Portal.

Note: *In case, any full-time scholar pursue the research work related to Thesis outside the institute by taking Academic Leave (with prior approval from the academic section) without any course work in that particular semester, then there will be no need to be present in person on the physical reporting date. However, for getting prior permission for absence on the date of Physical Registration/Reporting should be obtained by sending an email, at least one week before the schedule of the physical registration/reporting date to the Office of DSW.*

3.3.4 Semester Drop / De-Registration from the Academic Program

(i) Scholars who fail to register for a semester (by missing out Pre-Registration, Fee Payment and/or Physical Registration) may be dropped from the semester and will be able to register only in the next semester. Thus, the dropped semester shall be treated as Idle Semester.

(ii) If a prior approval for semester drop had not been obtained from the Office of the Dean (Academic) in the previous semester, a fine of Rs.10,000/- will be imposed during the registration for the subsequent semester.

(iii) Dropping two semesters without any prior approval from the Office of the Dean (Academic) may lead to automatic de-registration from the academic program. The Scholars who have been de-registered will require an approval from the Office of the Dean (Academic) before re-registration for a semester.

(iv) In case of an approved Semester Drop or approved Semester Leave, no hostel facility will be provided and no fee is required to be paid by the scholars for that semester.

(v) The dropped semester(s) will be counted in the maximum duration required to complete the program.

3.4 Change of Registration from Full-Time to Part-Time/External Ph.D. Program

A scholar admitted as a full-time Ph.D. scholar may be permitted to convert to a Part-Time Ph.D. scholar subject to fulfillment of the following requirement:

(a) Request of the change of registration from Full-Time to Part-Time should be endorsed by the supervisor(s) and to be recommended by the concerned DSC [in **Form PH20**] and submitted to academic section before joining the job.

Such conversion, if approved by the Office of the Dean (Academic), will be subject to the following conditions:

(a) The maximum duration for completion of the academic program will remain the same considering date of joining of Full-Time scholar.

(b) Provision of conversion from full-time to part-time/external status can be availed only once by the scholar during her/his program.

After completion of all formalities and clearance of hostel and other dues, if any, the scholar will be allowed to change her/his registration from Full-Time to Part-Time provisionally subject to the condition that a 'No Objection Certificate' (NOC) from the employer will be submitted before completion of the degree program, in order to get their final degree. The change of registration of the scholar from Full-Time to Part-Time will be confirmed only after submission of the NOC to the Office of the Dean (Academic).

If the NOC from the employer is not submitted within the stipulated period then the provisional change of registration from Full-Time to Part-Time will be null and void. Consequently, the absence of the scholar will be considered as unauthorized absence and may result in discontinuation of the academic program of the scholar. However, the scholar in case if has availed facility of conversion from Full Time to Part Time and resigns from the organization before completion of PhD program and is willing to continue his/her Ph.D. as Full Time scholar, the same may be allowed subject to fulfillment of the following conditions:

(i) Relieving letter from the organization
(ii) Consent of the Supervisor
(iii) No fellowship arrears will be given for the period from the date of provisional conversion (from Full Time to Provisional Part Time) to the date of re-conversion (from Provisional Part time to Full Time). However, the total duration for payment of Fellowship shall be counted from the date of admission, i.e., including the period from the date of provisional conversion (from Full Time to Provisional Part Time) to the date of re-conversion (from Provisional Part Time to Full Time).

3.5 Academic Registration and Guidelines for opting courses in Summer Semester

i. The summer semester may be offered in the self-study mode only to the students having "F" grade the respective course(s).
ii. Students who withdraw from a course or who drop a course in a semester will not be allowed to take that course in Summer Semester.
iii. Only End-semester examination of 50% weightage will be conducted in the summer semester. Marks of mid-semester examination (30% weightage) and quizzes (20% weightage) will remain same as obtained in the regular semester.
iv. Further, grading range will also remain same as was followed for the course in the regular semester.
v. Maximum grade allowed will be restricted to B.

3.6 Improvement Examinations

i. The improvement examinations will be conducted along with Summer Semester Examinations for the same academic year. Students who wish to register for improvement examinations must register for Summer Semester under "Improvement" mode.
ii. Students will get a single chance per course for grade improvement. Up to 2 courses per semester (i.e., maximum 4 courses) are allowed for grade improvement in Summer Semester.
iii. In the improvement examination, the grade for a course can be improved up to maximum limit of B grade.
iv. Only End-semester examination of 50% weightage will be conducted for grade improvement. Marks of Mid-Semester Examination (30% weightage) and Quizzes/Assignments (20% weightage) will remain same as obtained in the regular semester. Further, grading range will also remain same as that of the regular semester.
v. Students having only D, C, and C+ grade in a course are eligible to register for improvement examination for that course.
vi. Students obtaining 'F' grade or those who obtained a subsequent D, C, and C+ grade in a course after first obtaining an 'F' grade, will not be eligible to apply for improvement examination in those courses.
vii. An Improvement Examination fee of Rs. 10,000/- per course will be paid by the students to appear in the improvement examinations during summer semester. Applicable relaxation, as per Institute norms, will be provided to the students under SC, ST and PwD category.
viii. In case the grade obtained in improvement examination is lower that the one obtained earlier in the regular examination of the course, the earlier grade will prevail.
ix. Students appearing in the Improvement Examinations will not be eligible for any Institute medals.

CHAPTER 4 DEFICIENCY IN ACADEMIC PERFORMANCE

The DPGC shall review the academic performance of scholars at during each regular semester. A deficient scholar may be placed on Warning or Academic Probation or Discontinuation.

4.1 Criteria for placing scholars on Warning / Academic Probation

The criteria for placing scholars on Warning / Academic Probation depends on the evaluation of the research credits of every semester and is described as:

Academic Warning	:	On Accumulation of 2X
Academic Probation	:	On Accumulation of 3X

A letter of academic warning/probation will be issued to a Ph.D. scholar by the office of the Dean (Academic) with a copy to the concerned Supervisor/Convener, DPGC. A list of the deficient scholars placed on Warning and Academic Probation to be reported to the Senate at the end of every semester.

In case of accumulation of 2X/3X, a message showing warning/academic probation will also be visible on the MIS portal of the respective scholar.

In addition, the scholar shall also abide by the following rules when s/he will be placed on Academic Probation:

(a) No financial assistance shall be given to the scholar during the academic probation period to present/attend any conference/workshop/etc. However, fellowship of the scholar will not be stopped.
(b) No vacation leave shall be permissible to the scholars during the entire period of the Academic probation.

Note:

1. *If any scholar placed on academic deficiency* ***shows better performance in the subsequent semester and obtains 4S grades,*** *then s/he will be out of academic warning/ academic probation and the terms and conditions which were imposed due to academic deficiency shall be revoked.*
2. *However, at the time of counting of the X grade for fulfilment of "Academic Deficiency Criteria of Accumulation of X grades", the criteria shall remain the same till the discontinuation by accumulation of 4X grades.*
3. *After discontinuation, if the academic program is reinstated in any semester then all the previously accumulated X grades for which academic program was discontinued shall not be counted towards the further accumulation of X grades. In this case, fresh accumulation of X grades shall be counted from the semester which the academic program of the scholar is reinstated.*

4.2 Criteria for Discontinuation from the Academic Program

The academic Program of the scholars may be discontinued due to any of the following academic reasons:

(a) Failed to complete the course work within the specified duration (i.e., Two(02) years).
(b) Secured the CGPA less than the required minimum CGPA of 6.5 after completion of the four full semesters.
(c) Accumulation of 4X against the registered thesis credits.
(d) Unsatisfactory (X) grades in two (02) successive attempts of Comprehensive Viva and/or Research Proposal Seminar (RPS).

(e) Non-Submission of the Ph.D. Thesis for evaluation within the specified maximum duration, as applicable, (maximum duration to be counted including the periods of semester leave and discontinuation).

4.3 Appeal against Discontinuation

A scholar may make an appeal to the Competent Authority for reinstating her/his academic Program. In the case of discontinuation due to inadequate and unsatisfactory academic performance, the scholar must clearly explain the reasons for the poor academic performance, including how those reasons will not adversely affect her/his performance in the future. Only those appeals will be put up before the Competent Authority for consideration. The Competent Authority shall take a final decision after considering the inputs of the supervisor and the recommendations of the DSC, the DPGC and the HOD.

A scholar may re-appeal, in case of rejection/non-admittance of her/his appeal. However, the re-appeal will be admitted for consideration by the Competent Authority only if it is found that some new inputs are provided or a vital piece of information missed earlier has been provided subsequently by the scholar.

4.4 Terms and conditions for considering the appeal of the Ph.D. scholars whose academic program is discontinued due to academic/non-academic reasons(s)

(a) Appeals of scholars discontinued in a semester, if admitted, may be considered for reinstatement from the same semester.

(b) For the Full-Time scholars (availing the Institute fellowship), the discontinued period will be counted towards the maximum duration of getting the fellowship [i.e., five years (sixty months)]. Duration of the fellowship will be counted from the date of admission in the Ph.D. program including the period of discontinuation, if any. After reinstatement in the Ph.D. program, no arrear will be paid for the period of discontinuation.

(c) The Ph.D. Scholars are allowed to register for a semester subject to deposition of a fine amount of Rs.10,000/- along with the usual semester fee.

(d) If the academic program of the scholar is discontinued, whether due to academic or non-academic reason, or/and s/he avails semester leave(s) then the **entire period of** discontinuation**/semester leave will be counted**, at the time of calculation, towards the minimum and maximum duration prescribed for completion of the Ph. D. program.

CHAPTER 5 DOCTORAL SCRUTINY COMMITTEE (DSC); GUIDELINES FOR APPOINTMENT & CHANGE OF SUPERVISOR / JOINT SUPERVISOR (INTERNAL/EXTERNAL)

5.1 Doctoral Scrutiny Committee (DSC)

The Doctoral Scrutiny Committee (DSC) of the scholars admitted in Winter Semester (2022-2023) or afterwards will have **at least three members** as mentioned below.

(i) Chairperson : A Faculty member out of a panel of three Faculty members suggested by the Supervisor (s). The Chairperson of DSC shall be from the same department of the Institute and preferable having same area of research as that of scholar. In any case, the Supervisor will not be the Chairperson of the DSC for the same scholar.

(ii) One Member from a Sister Department : From a panel of three members suggested by the Supervisor(s).

(iii) Supervisor and Joint-Supervisor(s) (if any): The Supervisor shall be the Convener of the DSC.

The Area of Specialization of Doctoral Scrutiny Committee (DSC) member(s) should preferably match the proposed Area of Research of the scholar concerned.

However, in case(s) of scholars admitted in Monsoon Semester (2022-2023) or before, the Doctoral Scrutiny Committee (DSC) will be the same as per the earlier constitution of DSC.

The supervisor shall propose a Doctoral Scrutiny Committee (DSC) consisting of a panel of three faculty members as DSC Chairperson and three faculty members as Member(s) from a sister department.
The proposed list of faculty members recommended for DSC, should be forwarded by the DPGC convener to the Competent Authority for approval through TMS. The Constitution of DSC will be approved by Dean (Academic) / Associate Dean (Academic – PG). All the process for constitution of DSC must be completed after allotment of supervisor and before allotment of courses to the scholar.

The quorum for any meeting of the DSC shall be Chairperson; One Member from Sister Department; and Supervisor(s).

In case of requirement of temporary/permanent replacement of Chairperson/any of the DSC member due to absence/ leave/ resignation/ retirement from IIT(ISM), Dhanbad, necessary approval shall be taken by the concerned guide from the Competent Authority through email/hard copy.

5.2 Guidelines for appointment of Supervisor / Joint-supervisor (Internal) / Joint-supervisor (External)

In case of appointment of joint – supervisor(s) (internal and/or external) apart from existing supervisor, the term “Joint Supervisor” shall be used for all i.e., supervisors and co – supervisor (internal and/or external) for a particular scholar and an equal weightage shall be considered for all joint supervisors w.e.f., 20.09.2024.

Number of Ph.D. Research Scholars to be guided by Faculty Members:
At a given point of time, maximum number of Ph.D. Research Scholars, (whose final thesis has not been submitted), of various types being guided by any faculty member is given as hereunder:

1. Full-Time Ph.D. Scholars (IA) : 05
2. Part-Time Ph.D. Scholars : 10
3. Project (of at least two years duration)/ Externally funded (EF) Ph.D. Scholars : shall be supernumerary to the above-mentioned numbers.

In case of Joint Supervision, the proportionate research load will be counted for the supervisors.

A. Appointment of Supervisor / Joint-supervisor (Internal) / Joint-supervisor (External)

1. Appointment of Supervisor	a) The supervisor will be allotted after the admission process is completed and within five working days of the physical registration of the newly admitted scholars. b) Only the permanent faculty members having a Ph.D. degree and appointed as Assistant Professor, Associate Professor or Professor in this Institute can become the Research Supervisor of a Ph.D. scholar enrolled in this Institute. Such recognized Research Supervisors cannot be the Research Supervisors of Ph.D. scholars enrolled in other institutions. They can only act as joint-supervisors in such cases. c) Faculty members with less than three (3) years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation, and as a Joint-Supervisor after superannuation, but not after attaining the age of 70 years. The maximum number of research scholars with Institute Assistantship that one Supervisor can supervise, at any point of time should normally be five. d) The scholars who have already submitted the thesis will not be counted in the number of scholars under the Supervisor.	
2. Appointment of Joint-Supervisor (Internal) [Form PH-21 is applicable]	a) May be appointed from the Institute. b) Should at least be at the post of Assistant Professor or equivalent having a Ph.D. degree. c) At least six years should remain for attaining the age of superannuation of the Joint-Supervisor. d) If it is required to appoint a non-faculty member as a Joint-Supervisor (internal), then the rank of the Joint-Supervisor should not be below the rank of Senior /	One or two Joint-Supervisor(s) is (are) permissible, but not more than two. However this limit may be

	Principal Scientific Officer. The person should have outstanding knowledge and experience in the specific research area. e) CSIR / other Emeritus Fellows / Scientists / Emeritus/Visiting/Chair/Adjunct Professors having a Ph.D. degree and currently holding office at IIT (ISM) with an appointment period of at least two years can be a Joint-Supervisor (internal) along with a Supervisor who has at least 6 years of service remaining at IIT (ISM).	relaxed for Sandwich and collaborative research programs on case to case basis.
3. Appointment of Joint-Supervisor (External) [Form PH-21 is applicable]	a) May be appointed from other Institutes / Organizations. b) In principle, Joint-Supervisor (External) should at least be at the post of Assistant Professor or equivalent having a Ph.D. degree. c) Faculty from other CFTIs / Universities, or Experts from Industry with a Ph.D. in relevant area/ Master's degree in Engineering / Management with adequate professional experience in the relevant field, may be nominated as a Joint-Supervisor (External), based on the recommendation of the DSC after duly considering the Joint-Supervisor's credentials. d) Will be done subject to completion of all the procedural aspects, such as submission of Curriculum Vitae; Consent letter of the Joint-Supervisor; No-Objection Certificate from the institutions/organization/R&D Unit where Joint-Supervisor is currently employed; Justification for the requirement of the joint supervisor; Intellectual Property Rights (IPR)/Non-Disclosure Agreement (NDA), submitted either in original, or as scanned copies received through the official email of the Joint-Supervisor or the sponsoring institution/organization. Documents bearing digital signatures shall be accepted, provided they are received through the official email of the signatory or the sponsoring institution/organization, and provided the signatory's identity and designation are duly verifiable therefrom. The Competent Authority may, at its discretion, call for the original document(s) in any specific case where considered necessary.[1] e) NOC is optional in case of the Joint-Supervisor to be appointed from the foreign organizations. f) Intellectual Property Rights (IPR) / Non-Disclosure Agreement (NDA) shall not be required in case the organization of the proposed Joint-Supervisor's is having valid MoU with IIT(ISM), Dhanbad. In case the MoU is expired, the said documents should be submitted in the manner prescribed above (in original, or as scanned copies / digitally signed	

[1] Notification No. IITISM/DAC/1178 dated 17.09.2026 (42nd Senate)

	documents received through office email). g) Where the scanned/digital signature of the Joint – Supervisor (External) is used in the prescribed PH forms and thesis – related documents, a copy of the consent given by the Joint – Supervisor (External) for such use (via email / signed letter) shall be submitted along with those documents.[2] h) IIT (ISM) will have no financial obligation towards this Joint-Supervisor (External). i) In case of collaborative research, if any scholar makes a request to appoint a Joint-Supervisor and the Joint-Supervisor is appointed on the request of the scholar subject to satisfying the qualification criteria, then IIT (ISM) will not have any financial responsibility for the research visit (s), if required.	

B. Change of Supervisor or Joint-Supervisor (Internal/External)

Supervisor resigns or superannuates after pre-submission seminar	Having Joint-Supervisor (Internal)	a) If that scholar wants to complete her / his thesis under the supervision of the existing supervisor and the concerned supervisor expresses her / his willingness that s / he will continue to be a supervisor after superannuation, then no change in supervisor(s) is required. And the Institute will not have any kind of financial responsibility towards the supervisor related to supervision of the scholar after superannuation. b) Otherwise, DSC in consultation with the Joint-supervisor, may recommend for appointing a new supervisor or the existing Joint-supervisor may be appointed as a supervisor.
Supervisor resigns or superannuates before pre-submission seminar	Having Joint-Supervisor (Internal)	a) DSC, in consultation with the Joint-supervisor, may recommend for appointing a new supervisor or the existing Joint-supervisor may be appointed as a supervisor. b) The current supervisor may guide the scholar as a Joint-supervisor (external). Institute will not have any kind of financial responsibility towards the Joint-supervisor (external) related to supervision of the scholar after superannuation.
	Not having Joint-Supervisor (Internal)	a) DSC, in consultation with the supervisor, may recommend for appointing a new supervisor. b) The current supervisor may guide the scholar as a Joint-Supervisor (External). ~~And the~~ Institute will not have any kind of financial responsibility towards the Joint-Supervisor (External) related to supervision of the scholar after superannuation.
If the Supervisor of any scholar proceeds on leave	Not having Joint-	a) DPGC, Convener may appoint a program coordinator based on the recommendation of the DSC.

[2] Notification No. IITISM/DAC/1093 dated 03.02.2026

(Sabbatical / FST/ Special Leave) for less than a year.	Supervisor (Internal)	
	Having Joint-Supervisor (Internal)	b) Joint-Supervisor will play the role of supervisor during the entire leave period of the supervisor.
If the Supervisor of any scholar proceeds on leave (Sabbatical / FST / Special Leave) for more than a year.	Not having Joint-Supervisor (Internal)	a) DSC, in consultation with the current Supervisor, may recommend for appointing a new Supervisor. b) The current Supervisor may guide the scholar as a Joint-Supervisor (External). And the Institute will not have any kind of financial responsibility towards the Joint-Supervisor (External) related to supervision of the scholar after superannuation.
	Having Joint-Supervisor (Internal)	a) DSC, in consultation with the Joint-Supervisor, may recommend for appointing a new Supervisor or the existing Joint-Supervisor may be appointed as a Supervisor. b) The current supervisor may guide the scholar as a Joint-Supervisor (External). Institute will not have any kind of financial responsibility towards the Joint-Supervisor (External) related to supervision of the scholar after superannuation.
Change of Supervisor / Joint-Supervisor for other reasons		a) May be allowed subject to the consent of the research scholar, the present Supervisor / Joint-Supervisor and the proposed Supervisor / Joint-supervisor. b) Should be done at least one year prior to the last date of completion of the maximum duration of the Ph.D. program. The scholar cannot make any request to extend the duration of completion of the Ph.D. program due to changing / appointing of Supervisor/ Joint-supervisor. c) The scholar will be allowed to submit of her / his thesis only after completion of Twelve Months from the date of approval of the change / addition of Supervisor / Joint-Supervisor. However, this constraints is not applicable if the change of supervisor took place due to any administrative reason (leaving institute on lien to other institute, resigned etc.).

In all such cases, the request must be sent to the academic office **[Form PH22 is applicable]**.

CHAPTER 6 TEACHING AND EVALUATION

6.1 Modalities

The various modalities related to the teaching and evaluation viz., Medium of Instruction and Duration of Classes; Offering a New Course; Courses to be offered in a given Semester; Conduct of Courses; Minimum Number of Scholars in an Elective Course; Evaluation; Examinations (Mid-Semester/End Semester/ Make-up Examinations); Guidelines for Setting of Question Papers; Conduct of Examinations ; Relative Grading; Letter Grades and Weightages; Results of Examinations and Quizzes; Semester Grade Point Average (SGPA); Cumulative Grade Point Average (CGPA); Declaration of the Final Result; Conversion of CGPA to Percentage; Withholding of Grades; Change of an already Awarded Grade; Course Feedback etc. are to be followed by rules as per the PG Manual of the Institute.

For modalities of opting NPTEL/SWAYAM courses for Part-time Ph.D. Scholars, Annexure IV may be referred.

CHAPTER 7 ACADEMIC REQUIREMENTS FOR THE AWARD OF DEGREE

7.1 Minimum and Maximum Duration

The Minimum Duration for Ph.D. will be three (03) years.

The maximum duration for Ph. D will be six (6) years. A maximum of additional two (2) years may be given to scholars, after completion of their extension/re-registration process as per Institute rules, for completion of their Ph. D. program; Provided, the total period for completion of Ph. D program should not exceed eight (8) years from the date of admission in the Ph. D. program. Provided further that, Female Ph. D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years, i.e. the total period for completion of a Ph. D program in such cases should not exceed ten (10) years from the date of admission in the Ph. D. program.

7.1.1 Guidelines for extending the duration of Ph.D. Registration

a) Extension is required after completion of six (06) years from the date of admission in Ph.D. programme.

b) Any request for extension (Form PH20 applicable), complete in all respects, may be made at least three weeks prior to the expiry of existing extension, as per rules.

c) The request for an Extension from 6^{th} to 7^{th} Year of Ph.D. programme (form PH20 applicable), complete in all respects, should be supported along with (i) Proper Justification for delay in submission of thesis and (ii) Tentative Time-Schedule, while submission.

d) Scholars may submit their request for an extension from 7^{th} to 8^{th} Year of Ph.D. programme (form PH20 applicable), complete in all respects, along with (i) Proper Justification for delay in submission of thesis, (ii) Tentative Time-Schedule, and (iii) Undertaking that the thesis would be submitted within the maximum extended duration. However, point no. (iii) is not applicable for Female or Divyangjan/PwD research scholars.

e) Female or Divyangjan/PwD research scholars may request for extension from 8^{th} to 9^{th} Year & 9^{th} to 10^{th} Year of Ph.D. programme by submitting form PH20, complete in all respects, along with (i) Proper Justification for delay in submission of thesis, and (ii) Tentative Time-Schedule. However, for 9^{th} to 10^{th} year extension an Undertaking that the thesis would be submitted within the maximum extended duration should also be submitted.

7.1.2 Guidelines for re-instatement of Ph.D. Registration after completion of maximum prescribed duration

a) After completion of the maximum duration i.e., 8 / 10 years from the date of admission in the PhD Programme, the academic program of the scholar will be discontinued automatically. However, the scholar may make an appeal for reinstatement. At the time of appeal, the following needs to be submitted by the scholar to the supervisor along with the application [**Form A5 is applicable**]:

   (i) A proper justification for the reason for which the academic program has not been completed within the stipulated period.

(ii) An undertaking that the thesis will be submitted within the extended period failing which the academic program will be discontinued automatically and no further appeal for reinstatement will be entertained.

(iii) A draft version of complete thesis in proper format representing the work done till date.

(iv) A schedule, specifying the tentative dates, by which the pending activities related to the completion of research and submission of thesis will be completed.

b) All such appeals / requests for reinstatement will be considered by the Competent Authority on case-to-case basis.

c) Semester registration and fee payment is mandatory during the extended period.

d) Thesis submission has to be completed within the extended period given to the scholar.

e) During the extended period i.e., 8 / 10 years from the date of admission in the PhD Programme, no financial support will be granted for attending/presenting papers in any conference/workshop including contingency to the Full-Time scholars.

7.2 Comprehensive Viva

A scholar can appear in the comprehensive viva only after s/he has completed the course work requirements [all courses except Research Methodology & Research and Technical Communication Course (S/X Mode) and has secured a minimum CGPA of 6.5 (out of 10.0)]. Form PH-3A should be submitted to take prior approval for conduction of Comprehensive Viva.

Scholars registered in the Ph.D. program must clear the Comprehensive viva with Satisfactory (S) grade within TWO months after approval of PH-3A form. The Doctoral Scrutiny Committee of the scholar will be the Comprehensive Viva Board of the scholar.

On Unsatisfactory (X) grade in the first attempt, the scholar will get one more chance to appear in Comprehensive viva within ONE month from the date of last Comprehensive Viva. That is the maximum duration for completion of Comprehensive Examination is within THREE months after approval of PH-3A form.

The DSC will submit the Comprehensive Viva Report **[Form PH4 is applicable]** to the Academic Section through Convener, DPGC preferably within one week from the date of conducting the Comprehensive viva.

7.3 Research Proposal Seminar (RPS)

Ph.D. scholars are required to deliver a Research Proposal Seminar (RPS) on the area of research before the DSC. This seminar should be delivered on or before THREE months of clearing the Comprehensive Viva.

The DSC report of satisfactory completion of this requirement is to be communicated to the Academic Section **[Form PH5 is applicable]** by the supervisor preferably within one week from the date of RPS.

If a scholar fails to successfully deliver the seminar/is unable to deliver the seminar due to some unavoidable circumstances within the stipulated time, then on request of the scholar and duly recommended by the DSC, the Competent Authority may grant an extension on case-to-case basis.

7.4 Guidelines to be followed for conversion of the Ph.D. scholars from JRF to SRF.

The following guidelines will be followed at the time of conversion of the Ph.D. scholars from JRF to SRF:

1. The process of conversion from JRF to SRF will be done automatically on fulfilling the following eligibility criteria:
   (a) Completion of minimum two years *i.e.*, at the end of four full semesters.
   (b) Satisfactory completion of Research Proposal Seminar (RPS).
   (c) Obtaining 72 research credits under CBCS regime / 40 research credits under NEP regime.
2. The effective date of the conversion from JRF to SRF will be considered from the date of completion of Two Years and the scholar will be eligible for getting the fellowship with the enhanced rate from the date of completion of two years.
3. No arrear of enhanced fellowship will be paid to the scholar under any circumstances.

7.5 Guidelines to Monitor Research Progress

(a) All Ph.D. scholars will have to register for 36 credits under CBCS regime / 20 credits under NEP of thesis in every semester (Monsoon/Winter) after completion of the course work.

(b) The thesis unit will be evaluated by the DSC in S/X mode in each semester.

(c) All Ph.D. scholars who have registered Thesis credit in a semester will have to **mandatorily deliver the Research Progress Evaluation (RPE) Seminar in Physical mode** before the DSC **at least once** in the semester. The RPE Seminar can be delivered at any time in the semester, but on or before the last date of the semester class mentioned in the academic calendar. The DSC should submit the RPE seminar report through **Form PH20** to the Office of Dean (Academic). The Satisfactory / Unsatisfactory grades i.e. S/X marked in Form PH20 should also be uploaded to the Institute Portal by the Supervisor concerned.

(d) In case of the Research Progress Evaluation is not possible in offline mode, a separate approval from the Competent Authority is required. In case of Collaborative Doctoral Programme, the scholar should deliver her/his Research Progress Evaluation seminar in physical mode before her/his mentors / supervisors at the host institute. The DSC members at IIT ISM Dhanbad can attend the seminar online. The mentors / supervisor at the host institute/organization should also sign in the PH20 form.

(e) The following combinations of S/X grades against the registered thesis credit can be obtained:

Thesis*	Registered Thesis Credit (CBCS / NEP)	Grading Options
4	36 / 20	4S,3S1X,2S2X,1S3X,4X
3	27 / 15	3S, 2S1X, 1S2X,3X
2	18 / 10	2S, 1S1X, 2X
1	9 / 5	1S, 1X

(f) "All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching / education / pedagogy / writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 06-08 hours per week of teaching / research assistantship for conducting tutorials or laboratory work and evaluations" which is in line of Para 9 (2) of the UGC (Minimum standards and procedures for award of Ph.D. degree) regulations, 2022.

7.6 Pre-Submission Seminar

The registered scholar is allowed to deliver the pre-submission seminar subject to fulfilment of the publication criteria via form PH06:

7.6.1 Eligibility criteria for Pre-Submission Seminar

For PhD Scholars admitted on or before 31.12.2025, the following criteria shall be followed:

(a) Required thesis credit: 180 credits under CBCS / 100 credits under NEP.
(b) Prescribed minimum duration: 03 years.
(c) Research Paper published: At least one in Q1 or Q2 Journals of JCR as per JIF/JCI based Web of Science (WoS) ranking. However, for HSS department, the journals indexed in SSCI Q1/Q2 based on JIF/JCI or SJR Q1, and for Management Studies & Industrial Engineering department research article published either in Q1/Q2 Journals of JCR as per JIF/JCI based Web of Science (WoS) ranking or in ABDC ranked A*/A quartile journals will also be considered.

OR

Minimum two research papers in the following indexed journals-

i. SCIE (Applicable for all departments)
ii. ABDC (Applicable for MS & IE)
iii. SJR/A&HCI (Arts & Humanities Citation Index)/SSCI (Social Sciences Citation Index) (Applicable for HSS)

(d) Regarding the quartile rank of the Journal, the following needs to be considered–

i. Quartile rank (Q1/Q2/Q3/Q4) of the Journal for both the database i.e. JIF & JCI in JCR will be acceptable and the best journal rank, either based on JIF or JCI will be accepted.
ii. Research papers will be considered only when the same are available online when searched through their DOI number.
iii. While deciding the quartile rank of published journals, the year of publication will be considered. If the quartile rank gets downgraded, in that situation, the quartile rank of the year of acceptance will be considered.

(e) The scholar should publish at least one paper (as per (d) above) as First or Corresponding author. However, this is not applicable if the paper(s) is/are published with Supervisor/Joint-Supervisor (Internal/External) only.
(f) (i) Having a published or granted patent resulting from the scholar's thesis work would be considered as fulfilment of requirement of one publication in Q3/Q4/SCIE/B/C/SJR/A&HCI/SSCI journals / publications.
(ii) However, in addition to the patent, such scholars will also be required to have one publication in the above-mentioned category of journals / publications.
(g) Draft thesis should be ready in all respect, as per the guidelines specified for preparation of thesis given in Annexure-IV.

The permissible levels of plagiarism in the thesis is up to 10% excluding the followings:

a. All quoted work reproduced with all necessary permission and/or attribution.

b. All references, bibliography, table of content, preface and acknowledgements.

c. All generic terms, laws, standard symbols and standards equations.

The research work carried out by the scholar shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

(h) Registration in the ongoing semester is mandatory.

(i) Payment of the fees of the entire duration of the Ph.D. program must be paid.

For PhD Scholars admitted on or after 01.01.2026, any one of the following criteria shall be followed for clearance of Pre-Submission seminar:

1. At least one research paper is published in Q1 Journals mentioned in Group I
2. At least one research paper is published in Q2 Journals mentioned in Group I and one more research paper is published in journals mentioned in Group II.
3. Three papers are published in journals mentioned in Group II [OR] Two papers are published in journals mentioned in Group II and One published patent [OR] One paper is published in journals mentioned in Group II and two published patents.

GROUP I JOURNALS:

i. Q1/Q2 Journals of JCR as per JIF/JCI based Web of Science (WoS) ranking [For all departments].
ii. SSCI Q1/Q2 journals based on JIF/JCI or SJR Q1 Journals [For HSS department].
iii. Q1/Q2 Journals of JCR as per JIF/JCI based Web of Science (WoS) ranking or in ABDC ranked A*/A quartile journals [For MS&IE department]. ABDC ranked 'A*' quartile journals will be considered as equivalent to Q1 and ABDC ranked 'A' quartile journals will be considered as equivalent to Q2.

GROUP II JOURNALS:

i. SCIE (Applicable for all departments).
ii. ABDC (Applicable for MS &IE).
iii. SJR/A&HCI (Arts & Humanities Citation Index)/SSCI (Social Sciences Citation Index) [For HSS department.

7.6.2 Request for Pre-Submission Assessment

The scholar may submit form PH-06 for a Pre-Submission Seminar on satisfying the above mentioned eligibility criteria preferably before three months of prescribed maximum duration, as applicable, of her/his academic programme.

7.6.3 Clearance for Pre-Submission Seminar

Based on form PH-06 received through DSC and DPGC convener, the O/o Dean (Academic), consequent upon approval of the Competent Authority, will issue an office order to conduct Pre-submission seminar. The scholar should submit the thesis on or before the timeline mentioned in the Office Order.

7.6.4 Conduct of Pre-Submission

The Panel of Examiners for Pre-Submission Seminar will be same as DSC.

7.6.5 Documents to be submitted after Pre-Submission

The following documents, duly endorsed by the supervisor, need to be submitted to the O/o Dean (Academic) preferably within one week from the date of Pre-submission seminar of a scholar:

(a) Report of DSC for Pre-submission seminar. **[Form PH7 – Hard Copy]**

(b) Details about the General and Technical features of thesis in a separate sheet. **[Point Nos. 7A, 7B and 7C of Form PH7 – Hard Copy]** duly endorsed by the DSC**.**

(c) Panel of Examiners **[Form PH8 – Hard and Soft Copy]**

(d) Particulars of Research Scholar. **[Form PH9 – Hard Copy]**

(e) Full Plagiarism Report (Digital Receipt and %age of Similarity Index page) bearing the exact title of the thesis duly signed by Supervisor and Scholar. **[Hard Copy]**

(f) Synopsis – a soft copy to be emailed to phdexam@iitism.ac.in. **[Hard and Soft Copy]**

7.7 Submission of Thesis for Evaluation

Only soft copy of the thesis, as per the guidelines specified for preparation of thesis given in Annexure-VI, to be submitted to the O/o Dean (Academic) for the evaluation purpose.

The following documents in hard copy (duly endorsed by the Supervisor / Joint-Supervisor - Internal/External, as applicable) need to be submitted, along with thesis (soft copy only), to the academic section by the Supervisor for the evaluation purpose on or before the timeline mentioned in the Office Order issued for conducting the pre – submission seminar:

(a) Copyright and Consent Form. **[Form PH10 – Hard Copy]**

(b) Certificate for Classified Data. **[Form PH11 – Hard Copy]**

(c) Certificate regarding English Checking. **[Form PH12 – Hard Copy]**

(d) Certificate from the Supervisor(s). **[Form PH13 – Hard Copy]**

(e) Thesis to be emailed to academic@iitism.ac.in; with a cc to: phdexam@iitism.ac.in. **[Soft Copy]**

(f) Full Plagiarism Report (Digital Receipt and %age of Similarity Index page) of the submitted thesis, duly signed by Scholar and endorsed by Supervisor concerned, bearing the exact title of the thesis. **[Hard Copy]**

In addition of providing a fresh report, the Turnitin Report (Digital Receipt and % Similarity Index pages) shall also be attached in the thesis as annexure for the submission at Academic Section for evaluation purpose.

On the successful submission of the thesis, the Office of Dean (Academic) will issue a notification to acknowledge the same.

7.7.1 Evaluation of thesis

The submitted thesis shall be sent to the external thesis examiner(s) [Foreign: 01 & Indian: 02], as appointed by the Competent Authority from the panel of examiners received via form PH-08. Thesis shall be processed for consideration of the Competent Authority for final Viva-voce examination/revision via form PH-14, as the case may be only after the receipt of evaluation report from the Foreign Examiner and at least one Indian Examiner as per following table:

In case of receipt of evaluation report from			**Further course of action / Remarks, if any.**
Foreign Examiner	**Indian Examiner (1)***	**Indian Examiner (2)***	
✓	✓	✓	may be processed for further consideration of Competent Authority.
✓	✓	×	To wait for minimum evaluation period of one (01) month* (for the IE to submit her/his evaluation report) and after lapse of same, the reports received so far (i.e., from FE and at least one IE) may be processed for further consideration of Competent Authority.
✓	×	✓	
×	✓	✓	The Ph.D. Thesis evaluation report from Foreign Examiner is mandatory.

*From the date of sending thesis for evaluation to the examiner concerned

In case, the thesis has been processed with report(s) from one Indian Examiner, in addition to that from the Foreign Examiner, and the report from the remaining Indian Examiner has been received:

(i) **before** the clearance of the final Viva-voce of the scholar, the masked version of the same shall be sent to the supervisor concerned for incorporation of the suggested revision (if applicable) in the thesis.

(ii) **after** the clearance of the final Viva-voce of the scholar, the same shall be kept for records and masked version of the same shall be sent to the concerned guide for information and necessary action.

7.8 Ph.D. Viva-Voce Examination & Final Submission of Thesis in the Institute Repository

The Panel of Examiners for Final Ph.D. Viva-voce Examination will comprise of the DSC members along with one External Indian Examiner as approved by the Competent Authority.

If any DSC member is absent/not in a position to attend the Final Ph.D. Viva-voce examination, the concerned Supervisor shall send a request suggesting replacement for approval from the Competent Authority. This is not mandatory if the quorum is fulfilled.

The notice for Ph.D. Viva-Voce Examination shall be issued by the supervisor concerned and may be uploaded on the Institute website.

The final version of the thesis (soft copy) as per the guidelines specified for preparation of thesis given in Annexure-II, after incorporating all the suggestions indicated at the time of Viva-voce examination, is to be submitted to the Central Library for record purpose and uploading of the same in the ShodhGanga and similar platform(s) as per directives of the Ministry from time to time.

The following documents need to be submitted to the Office of Dean (Academic) by the Scholar/Supervisor for further processing:

(a) A signed copy of the notice of the conduction of Final Viva-voce Examination.

(b) Report on Final Viva-Voce Examination. [**Form PH15 – Hard Copy]**

(c) Certificate for Final Version of Thesis. **[Form PH16 – Hard Copy]**

(d) Receipt of Soft Copy of Thesis at Central Library. **[Form PH17 – Hard Copy]**

(e) Remuneration Bill of External Examiner (Indian). **[Form PH18 – Hard Copy]**

7.9 Withdrawal of the Degree

Under exceptional circumstances, where any violation of graduation requirements is/are detected at any stage or the awardee of the degree has been convicted by a court of law for moral turpitude.

In all such cases, the Senate may recommend to the Board of Governors for withdrawal of the degree already awarded to the candidate.

CHAPTER 8 LEAVE RULES & PERMISSION TO PROCEED FOR RESEARCH WORK AT OTHER INSTITUTE/ORGANIZATION

Attendance requirements will be applicable as per the prevailing Institute norms. Prior leave approval must be taken before proceeding on leave, as per the Institute guidelines.

All the Full-Time Ph.D. scholars may be granted leave of absence during the semester. Leave of Absence is not considered as a right, but it is a privilege extended during the semester based on the request of the scholars.

If a scholar is out-of-station (on approved leave) and willing to extend the leave period on valid ground, then s/he needs to inform the Supervisor and Convener, DPGC for further processing of sanctioning of leave, if deemed fit.

8.1 Types of Leave

The Ph.D. scholars are eligible to avail the following leaves which s/he may apply through Institute portal (MIS/ABHIKALP):

A. Vacation Leave
B. Medical Leave
C. Semester Leave
   (i) On Medical Ground,
   (ii) Other Reasons
D. Academic Leave[4]
   (i) For pursuing different academic activities
E. Maternity Leave
F. Paternity Leave
G. Special Leave (SPL)
H. Extra Ordinary Leave (EOL)

Details of the leaves are cited below:

Sl. No.	Leaves	Maximum Duration	Procedures & Guidelines
A	Vacation Leave	Up to Thirty days in an Academic Year starting from Monsoon semester.	(a) Vacation Leave may be availed for a maximum period of **TEN** days at a stretch. This may be relaxed under unavoidable circumstances such as extended medical emergency and family calamity. (b) Leave may be sanctioned for a valid reason except during the period of Mid and End Semester Examinations, if pursuing the course work or s/he is assigned any TA duty for conducting the examination. (c) The duration of vacation leave includes Holidays, Saturday & Sunday (excluding the prefix and suffix). (d) Leave shall be recommended by Supervisor and approved by Convener DPGC.

			(e) Leave cannot be preceded or succeeded by another VL, except the case of extension. In such case intermediate Saturdays and Sundays (if any) will be counted within leave duration. (f) Total required VL duration should applied in a stretch in a single application and cannot be split in multiple VL applications.
B	Medical Leave	Ten (10) working days per semester.	(a) To be applied preferably on the same day when the Doctor of Institute Health Center advised the rest. (b) Leave will be sanctioned based on the medical certificate issued by the Institute Health Centre/ Registered Medical Practitioner. (c) Leave shall be recommended by Supervisor and approved by DPGC Convener.
C	Semester Leave (No Fellowship shall be paid)		
(i)	On Medical Ground	Two Semesters in the entire academic program	(a) Prolonged physical and mental illness; (b) Recommendation from the Institute's Medical Officer will be mandatory;
(iii)	Other Reasons	One/Two Semester(s).	• Serious family calamity. • If the compulsory course(s) is (are) left for completion of the academic program but not offered in that particular semester. • Any Other reasons as deem fit by the Competent Authority.
D	Academic Leave		• A full-time scholar may proceed for different academic activities in India or abroad to broaden her/his horizons and gain course-work experience with prior permission of the Competent Authority. • The Scholar should apply to the Office of Dean (Academic) through PH-01/A-7 form (as applicable) along with necessary supporting documents mentioned in the form, at least seven working days before the start of the journey. The scholar will be entitled to leave the institute and join the other institute/organization for research/academic work only after issuance of the Office Memorandum from the Office of Dean (Academic).
(i)	Academic Activities	Academic Leave Non-Degree (ALND) – 365 days in the entire academic program	The duration of ALND includes Saturday, Sunday & Holiday (excluding the prefix and suffix).
		Academic Leave Conference Work	The duration of ALCW excludes Saturday, Sunday & Holiday.

		(ALCW) - Fifteen (15) working per semester	
E	Maternity Leave and Child Care Leave	240 days	Up to 240 days in the entire duration of Ph.D. program. Other terms and conditions as prescribed by Govt. of India will be applicable.
F	Paternity Leave	15 days	Up to 15 days in the entire duration of Ph.D. program. Other terms and conditions as prescribed by Govt. of India will be applicable.
G	Special Leave (SPL)	As per approval	• Special Leave can be approved only for representing the institute at various Sports/Cultural/Tech Fest events upon nomination/approval for the same by the institute. • The duration of special leave includes Saturday, Sunday & Holiday (excluding the prefix and suffix).
H	Extra-Ordinary Leave (EOL) (No Fellowship shall be paid)	As per approval	• Extra-Ordinary Leave can be approved only in extraordinary circumstances and only if all entitled leaves are exhausted. • The duration of Extra-Ordinary Leave includes Saturday, Sunday & Holiday (excluding the prefix and suffix).

Note:

(i) The scholar may be de-registered from all the registered courses of a semester, if s/he remains absent from all academic activities for more than 20 working days during a semester, except all designated leaves including Medical Exigencies and Family Calamity.

(ii) Absence without sanctioned leave will entail loss of financial assistantship for the period of absence.

(iii) All kind of leave(s) are included in the period of Maximum Duration for a Ph.D. Program. No extension in the maximum duration of academic program is allowed in lieu of any availed leave.

CHAPTER 9 FINANCIAL ASSISTANCE AND AWARDS

9.1 Financial Assistance

(a) The Institute may provide financial assistance to all the full-time Ph. D. scholars.

(b) Fellowship is provided for a maximum period of five years (i.e., sixty months), or up to the date of **final submission of thesis (after the review report from external experts)** [1], whichever is earlier, subject to devoting up to eight hours per week towards teaching/laboratory assistantship assigned to them. The fellowship is paid at the approved rates as specified by the Ministry of Education, Govt. of India.

For this purpose, 'final submission' means the submission of the final version of the thesis, after incorporation of corrections suggested at the viva – voce, to the Central Library under clause 7.8.

(c) Full time Ph.D. scholars financially supported by research projects may avail institute fellowship after completion of the project [after submission of the project completion certificate obtained from the project coordinator endorsed by Office of Dean (R&D)], provided that they have been admitted through Institute selection process. However, no such conversion will be allowed if the scholar has resigned before completion of the project. The maximum duration of fellowship in all such cases will be up to five years from the date of joining in the project (i.e., inclusive of Project/Institute/ External funding) or up to the date of final submission of thesis (after the review report from external experts), whichever is earlier.

(d) The fellowship will be released only after completing the semester registration, including payment of Registration Fees, and clearance of outstanding dues (if any), and if the DSC does not recommend adversely, and after confirmation/endorsement of attendance by the respective Ph.D. Supervisor/HoD.

Provided that a scholar who has submitted the thesis and is exempted from semester registration under clause 3.3 shall be deemed to satisfy the registration condition for the period up to final submission of the thesis.

(e) If the DSC observes that the progress on research work is unsatisfactory, then a report via form PH-20, may be sent to the Office of Dean (Academic) for reduction/discontinuation of fellowship of the scholar. The fellowship will be resumed / restored only after the recommendation of the DSC and no arrears will be paid for the period for which the payment of the fellowship was discontinued/reduced.

(f) Fellowship of the Full-time Ph.D. scholar will continue/discontinue /reduce/resume from the date of declaration of result of End Semester Examination, without any arrear payment as per the following:

Sl. No.	CGPA requirement	Fellowship Amount
1.	6.5 & above	Resumption with Full Fellowship
2.	Equal or more than 5.0 and less than 6.5	50%
3.	Less than 5.0	No Fellowship

(g) The period for which the fellowship was reduced or stopped, including the period of discontinuation / drop if any, will be counted towards the maximum duration of the fellowship (60 months).

[1] Notification No. IITISM/DAC/1154 dated 17.06.2026 (41st Senate)

9.2 Contingency and support to foreign travel

9.2.1 Contingency

(a) The allocated contingency amount for Ph.D. Scholars is Rs. 30,000/- p.a. and would be cumulative in nature for the complete tenure i.e., till the date the scholar receives the stipend/fellowship. Such cumulative contingency shall be utilized by the scholars only towards TA/DA for attending National/International Conferences, Workshops, Seminars, Visa Fee, insurance and Registration fee, overlength charges (for unpaid Journals) etc.

(b) The allocation of contingency grant is on a financial year basis and Expenditure incurred on a particular financial year will have to be claimed within that financial year only. The contingency bills shall be processed twice in a year, i.e., once in the month of September (claims between 1st to 31st August) and in February (latest by 15th March for March cycle).

(c) All the details viz., list of items admissible under contingency grant and Travel entitlements (TA/DA, reimbursement of Hotel Bills) etc. shall be governed as per notification no. IIT (ISM)/ACCTS/CON/2024-25 dated 31.12.2024, Dy.DT/01 dated 21.10.2025, Dy.DT/01 dated 17.02.2026 or any subsequent amendment(s) accordingly.

9.2.2 Financial Support to full-time PhD Students for Attending International Conference/Symposium

The Financial Assistance is also provided to Full-Time PhD students for attending international conferences and details is available with the Office of Dean (R&D).

9.3 Best Ph.D. Thesis Award

1. The Institute invites application(s) for the Best Ph.D. Thesis Award, one (01) each at the Department Level and three (03) best at the Institute Level.
2. The Institute Level Awards will be based on the nominated Best Thesis at the Department Level.
3. Each DPGC will send maximum of only one nomination.
4. Each department is required to adhere with the following guidelines and the criterions along with their weightage at the time of nominating scholars for the Best Ph.D. Thesis Award:

Sl. No.	Criterion	Max. Marks	Marks Distribution	Qualifying Marks based on the department level recommendations	Qualifying Marks based on the Institute level recommendations
A.	Responses from the External Examiners (as per thesis evaluation report). The marks will be average of the three Examiner(s) i.e., [(FE+IE^1+IE^2) / 3]	10	• The thesis is **recommended** for the award of Ph.D. Degree in its present form: **[10 Marks]** • The thesis is recommended for award of Ph.D. Degree **subject to answering the queries, specifically mentioned in the report** at the time of Viva-voce by the scholar: **[05 Marks]**	**05 Marks**	**05 Marks**
	Note: In case of receipt of evaluation report(s) from 01 Foreign and 01 Indian Examiner(s) only, the marks will be the average of the said two Examiner(s) i.e., [(FE+IE$^{1 \text{ or } 2}$) / 2]				

B.	Performance in the Ph.D. Defence	10	• Excellent: [**10 Marks**] • Very Good: [**05 Marks**]	**05 Marks**	**05 Marks**
C.	Publication Record	60	• Publication(s) in Q1 (SCIE/SSCI/AHCI) or SJR-Q1 (HSS only) or ABDC-A*/A (MS&IE only) ranked journals: [**15 Marks per publication]**	**30 Marks**	**45 Marks**
D.	Patent(s) / Copyright(s)	15	• Granted: [**15 Marks**] • Published: [**10 Marks**]	**-**	**10 Marks**
E.	Thesis submission [Shall comprise the period from the date of admission to the date of thesis submission, complete in all respect for evaluation purpose in the Academic Section.]	05	• After Three (03) years but before Three and half ($3\frac{1}{2}$) years: [**05 Marks**] • Submission after Three and half years ($3\frac{1}{2}$) but before Four (04) years: [**04 Marks**] • After Four (04) years but before Four and half ($4\frac{1}{2}$) years: [**03 Marks**] • Submission after Four and half years ($4\frac{1}{2}$) but before Five (05) years: [**02 Marks**] • Submission after Five (05) years: [**0 Mark**]	**-**	**-**
	Total Marks	100			

5. The department(s) will have the option of not recommending any thesis.
6. There should be detailed justification by DPGC on why a thesis has been recommended for the award. The justification should focus on the criteria such as novelty, value addition/application and how it will affect the world.
7. The Award will be given during the Convocation.
8. Shortlisting Criteria:
   a. Must be a Full-Time Scholar and submitted thesis on or before five (05) years from the date of admission.
   b. There should not be any Disciplinary Action/should not have been discontinued even once/fellowship should neither have been discontinued nor reduced even once.
   c. No "X" Grade has been awarded during the term.
9. The nominating supervisor, along with her/his recommendation(s), should provide a list of publication(s) of the scholar arising from her/his Ph.D. work. Supervisor(s) will also have to mention about the amount of contribution of the nominating scholar in each paper.
10. In case of tie, the following points may be considered in order:
    a. Number of Publication(s) in Q1 (SCIE/SSCI/AHCI) or SJR-Q1 (HSS only) or ABDC-A*/A (MS&IE only) ranked journals.
    b. Number of Patent(s) Published/Granted.
    c. Recommendation received from the External Examiner(s) [One (01) Foreign Examiner and minimum One (01) Indian Examiner] on Best Ph.D. Thesis Award, as per detailed in evaluation report.

CHAPTER 10 COLLABORATIVE DOCTORAL PROGRAM (PH.D.) BETWEEN IIT (ISM) AND OTHER FOREIGN UNIVERSITIES/INSTITUTIONS

An opportunity is given to all registered and eligible Full-time Ph.D. scholars to pursue the **Collaborative Doctoral** Program and the Ph.D. degree to be awarded by both the Institutes/Universities under the agreement of Collaborative Doctoral Program between IIT (ISM) Dhanbad and the Foreign Universities/Institutions.

The scholars may contact the Office of Dean (IR&AA) [webpage link: < https://ir.iitism.ac.in/>] and/or Office of Dean (R&D) [webpage link: https://people.iitism.ac.in/~research/] as deemed fit, for the currently available Institutions under Collaborative Doctoral Programme(s) and detailed guidelines.

CHAPTER 11 CONDUCT AND DISCIPLINE

Scholars of IIT (ISM) Dhanbad are selected from a pool of best talents available in the country and abroad. Therefore, their conduct and behavior within and outside the Institute campus should be exemplary and cosmopolitan in a manner befitting her/his association with an Institute of national importance. Details of the conduct and discipline of all students of the institute shall be dealt with the Office of DSW in accordance with Standing Disciplinary Rules (SDR) of the Institute given below:

11.1 Standing Disciplinary Rules for Scholars

The following Standing Disciplinary Action may be applicable depending on the gravity of misconduct:

(a) Warning Letter

(b) Letter indicating Disciplinary action will be communicated to parents/concerned supervisor/HODs.

(c) Enhanced Attendance requirement up to 90%.

(d) Engaged in Community/Academic Support /Administrative support service for two hours per day up to forty hours per month.

(e) Restriction in participation in activities of Scholars clubs/ Gymkhana / Festival etc.

(f) Restriction in Campus Placement activities.

(g) Disciplinary Probation for 6 months to entire period of stay at IIT(ISM).

(h) Suspended Sentence (Disciplinary action is awarded, however, the action will be enforced only after any other incident of indiscipline is reported)

(i) De-registered from a number of course ranging from one to full semester load.

(j) Deduction of Fellowship based on report of indiscipline.

(k) Expulsion from the institute.

In addition to the above the Competent Authority may take appropriate action, such as:

(a) Expulsion from the hostel.
(b) Deduction of Fellowship.
(c) Recovery of the loss/cost of damage.
(d) Punishment as deem fit by the Standing Disciplinary Committee.

Any other action not covered above may be taken with the approval of the Chairman, Senate.

Note: *Ragging/Teasing/Molestation/Consumption of Alcohol/Violence/Demeaning Institute's Reputation would be taken very seriously and strict disciplinary action would be taken which may even lead to expulsion from the Institute.*

CHAPTER 12 WAIVER AND AMENDMENTS

12.1 **Waiver**

The procedures and requirements set out in this manual, may be relaxed or waived off in special circumstances by the Competent Authority on case-to-case basis.

12.2 **Amendments**

Notwithstanding anything contained in this manual, the Senate of the IIT(ISM), Dhanbad reserves the right to modify/amend the curricula, procedures, requirements, and rules pertaining to its programs without notice.

Note: The Competent Authority for the Office of the Dean (Academic) for all academic matters except policy decisions shall be Dean (Academic) / Associate Dean (Academic-PG).

ANNEXURE - I

Visit to https://people.iitism.ac.in/~academics/Academic/ for getting the latest information and updates related to Academics.

Various forms to be submitted at different stages are listed below:

Approval for Academic works outside the Institute (Not applicable for Industrial / Research Internship)	PH01
Constitution of Doctoral Scrutiny Committee (DSC)	PH2
Course work proposed by DSC for Ph.D. Scholar	PH3
Request for the Clearance of Comprehensive Viva	PH3A
Comprehensive Examination Report	PH4
Research Proposal Seminar Report	PH5
Pre-Submission Thesis Assessment by DSC	PH6
Pre-Submission Report	PH7
Certificate for Acceptance of Draft Thesis by DSC	PH7A
Suggested Panel of Examiners	PH8
Particulars of candidate for Submission of Synopsis for Ph.D.	PH9
Copyright and Consent Form	PH10
Certificate for Classified Data	PH11
Certificate regarding English Check	PH12
Certificate from Supervisor(s)	PH13
Statement of Corrections for Revision of Ph.D. Thesis	PH14
Report on Viva-voce for Doctor of Philosophy (Ph.D.)	PH15
Certificate For Final Version of Thesis	PH16
Receipt of Soft Copy of Thesis at Central Library	PH17
Remuneration Bill of External Examiner (Indian)	PH18
Doctoral Scrutiny Committee Recommendation on Specific Purpose	PH20
Inclusion Of Joint-Supervisor (Internal/External) After Approval of PH2	PH21
Change Of Supervisor/ Joint-Supervisor (Internal/External)	PH22
Claiming HRA by Married Ph.D. Scholars	PH23
FORM FOR CONTINUATION / ENHANCEMENT OF PMRF FELLOWSHIP	PH24
Undertaking by the Authors for Deptt. of HSS	PH25
Pursuing Research Internship / Academic Work	PG2
Intimation about the Industrial Internship	PG8
Application for Changing Registration from PG to Integrated PG-Ph.D.	PG3
Application form for Semester Leave	PG7
Adding/Dropping of Course(s)	A2
Application for Make-up Examination	A4
Reinstatement in Program	A5
Attendance Waiver Form	A6
APPLICATION FOR FOREIGN VISIT – FOR ACADEMIC PURPOSE	A7
Re-Issue of Identity Card	A16
Form for Offline Registration	A17

Guidelines for preparing of the Thesis

STANDARD FORMAT OF THESIS

Binding of thesis	Cover	Soft Binding
	Colour	Light Blue
	Margin Top	4Cm
	Margin Bottom	4Cm
	Margin Left	4Cm
	Margin Right	2Cm
	Printing on the Top	Title of the thesis in capital letters (24 font size) Times New Roman
	Printing in the middle	Name of the candidate in capital letters (18 font size) Times New Roman
	Center	Logo
	Printing on Bottom	THESIS Submitted to INDIAN INSTITUTE OF TECHNOLOGY (INDIAN SCHOOL OF MINES),DHANBAD for the award of the Degree of Doctor of Philosophy Month, Year
	Printing on the Binding edge	The binding edge of the jacket should contain the name of the candidate, year and thesis title.
Inside of thesis	Printing	In 1 ½ space, Font 12 Times New Roman, Both Side Printing
	Margin Top	3Cm
	Margin Bottom	3Cm
	Margin Left	4Cm
	Margin Right	2Cm
	Quality of paper	Good quality(bond/maplitho)
	Size of paper	29 cms long, 23 cms wide
	Contents	(i) Printing of cover to be repeated on first page
		(ii) Certificate of the supervisor(s)
		(iii) Certificate for Classified data
		(iv) Copyright and Consent
		(v)Acknowledgement (Thesis not to be dedicated to any relative)
		(vi)Contents
		(vii) List of Tables
		(viii) List of Figures
		(ix) List of symbols and abbreviations, if any.
	Abstract	To convey briefly the content of the thesis to draw attentiontoallnewinformationandtothemainconclusions.Itshouldbefactual and should be suitable for copying, quoting or indexing by information services.
	Chapters	The text should have suitable Chapter number, titles and sub-titles with pages numbered at the top right hand corner 1 cm from top and 1 cm from right edge. First chapter should be‘ Introduction and the last chapter should be‘ Summary and Conclusions’
	References	Either the Harvard system, in which the names and dates given in the body of the text and the references to be alphabetically listed at the end of the thesis or a system in which numbers are inserted in the text e.g. [3], and references to those are given at the end of the thesis as in BIS system.
	Annexure	Complete Turnitin Report (Digital Receipt and % Similarity Index pages bearing exact title of thesis as suggested by DSC) shall also be attached in the Soft copy of the thesis at the end for the submission at the Office of Dean(Academic) for evaluation purpose

Sample

TITLE OF THESIS

(In Capital Letter, Font – Times New Roman, Font Size - 24 Pts.)

BY

NAME OF THE CANDIDATE

(Admission No. XXXXXXXXXX)

(In Capital Letter, Font – Times New Roman, Font Size - 18 Pts.)

LOGO

SYNOPSIS / THESIS
SUBMITTED TO
INDIAN INSTITUTE OF TECHNOLOGY
(INDIAN SCHOOL OF MINES), DHANBAD

For the award of the degree of
DOCTOR OF PHILOSOPHY
MONTH, YEAR

ANNEXURE III

Standard Operating Procedure for round the year admission to Ph.D. program

From the session 2024-25, Ph.D. admission is conducted round the year for all regular, part-time and externally funded candidates. The applications received for admission are processed by the respective departments in coordination with the Institute's Ph.D. admission cell. The final joining process after payment of admission fee by the selected candidates are taken care of by Academic Section after receiving from admission cell the final list of candidates who have paid their admission fee.

The following Standard Operating Procedure will be followed round the year for Ph.D. admissions (for regular, part-time, external candidates):

1. Preparation & Publication of Information Brochure (IB):
   i. The Information Brochure are prepared by the Admission Cell. After approval of Competent Authority, the same is published on the admission portal by the Automation Cell.
   ii. The applicable seat matrix is prepared and regularly updated by the Admission Cell. The departments select candidates as per category wise vacancies available in their respective programs.

2. Call for applications:
   The admission to the Ph.D. program (regular, part-time, externally funded mode) are conducted throughout the year. For the purpose, a standing call for application is hosted on Ph.D. admission portal.

3. Application processing:
   i. Applications are received on MIS/application portal.
   ii. The modules for applying for Ph.D. admission are operational throughout the academic year.
   iii. The applications received will be accessible to the DPGC conveners and Heads of the respective departments throughout the year via MIS/application portal.
   iv. The applications will be processed on monthly basis. The application received up to 1st day of a month will be processed during the next 15 days of the same month by the DPGC of the respective departments. The application received after 1st day of a month will be processed next month. The detailed timeline for the processing of the applications are mentioned in the Table-1

Table -1 : Timeline for processing of applications

Particulars	Tentative Schedule
Applications received till	1st day of the month
Scrutiny, Interview & recommendation (by the concerned department)	On or before 15th day of the month
Approval & publication of result (by Admission Cell)	20th day of the month
Fee payment (the proportionate fee will be applicable as approved.)	Up to 25th of the month

Physical Document verification (by Academic section) and date of Joining Ph.D. program	Any working day during 1st week of the next month (Tentative)

v. The eligibility of a candidate is determined by the DPGC of the respective department through evaluation of candidate's credentials provided in the application against the eligibility criteria of admission to the Ph.D. program as published in Ph.D. admission IB and Ph.D. manual. Based on the no. and quality of applications received, the department may apply any additional criteria to shortlist the candidates for the next stage / interview.

vi. The eligible/shortlisted candidates, as applicable, will be interviewed by the committee comprising of the following:

a. Head of the Department - Chairperson
b. All the members of the DAC - Members
c. One faculty from other department - Member (as invited by HoD / Chairperson)
d. DPGC Convenor - Member Secretary

vii. All communications regarding call for interview to the candidate(s) will be made by the Head or DPGC convenor.

viii. The list of candidates recommended for admission will be sent by the respective HoD to Admission Cell. The consolidated list of candidates recommended for admission by each department will be sent by Admission Cell for the approval of the Chairperson Senate through Dean (Academic).

ix. The final list of candidates provisionally selected for admission will be published on the website by admission cell or an offer for admission will be sent to the candidates on email, as applicable.

4. Reporting and Joining:

i. The candidates offered provisional admission will pay the applicable fee and fill the registration form provided by the MIS, as informed to them by Admission cell. The admission no. will be generated for all such candidates.

ii. The list of candidates who have paid the applicable fee along with their complete details will be shared by Admission cell with the Office of Dean (Academic) as well as with the Office of Dean (Students Welfare) by 26th Day of the month.

iii. Physical verification of documents will be conducted by academic section during first week of the next month. The date of reporting will be kept flexible and the candidates may be allowed to report on any working day in the month, if required. The candidates' profiles will be activated on MIS after physical verification of documents.

iv. The candidates will then report in their respective department for completion of their PH2 and PH3 forms. The PH3 form shall be submitted by the DSC to the office of the Dean (Academic) upon completion of all the course work completed by the scholar after securing a minimum of of 6.5 CGPA, within a maximum of two(2) years of Ph.D. program.

v. The candidates will also be required to visit office of Dean (SW) mandatorily and get themselves marked in MIS as physically registered.

A proportionate amount of fee will be charged from the candidates, as per their month of reporting given to them upon admission, if the reporting date is not the same as the date given to the candidates joining at the start of a semester.

ANNEXURE IV

Modalities for Part-time Ph.D. Scholars regarding NPTEL/SWAYAM courses

For Part-time Ph.D. Scholars, suitable full semester NPTEL/SWAYAM courses or courses completed from UGC/AICTE approved Higher Education Institutions fulfilling credit requirements of the Institute where appropriate credit transfers are possible may also be prescribed by DSC for course work subject to the following:

i. The said courses shall be offered in **DE** mode with **L-T-P: 3-0-0** to the **part-time PhD scholars only**. The course code is as per following format: The first letter of the code shall be "**O**" followed by Departmental Code, Elective Code and 6 Level of difficulties. i.e., OMED600 series (For Mechanical Engineering Department).

ii. The courses shall be proposed in PH3 by the respective DSC and the scholars should register them in MIS in the suitable semester (preferably, in the regular semester in which the result will be declared). For example.
   - If the result is declared between December to April, the course should be registered in Winter Semester.
   - If the result is declared between May to November, the course should be registered in Monsoon Semester.

iii. The total course duration should be of **Minimum 21 Hours (*Average 30 Minutes per lecture for total 42 Lecture*)** to be an equivalent.

iv. The grading should be done as per following scale:

Score (in %)	Grade*
91-100	A+
81-90	A
71-80	B+
61-70	B
51-60	C+
41-50	C
35-40	D
0-34	F

*As per NPTEL "*A learner will pass and be certified only if Average assignment score (out of 100) >= 40 AND Final exam score (out of 100) >= 40*" and "*The above mentioned is applicable for most of the courses but for those courses which have non proctored programming exams and for medical courses, the pass criteria is different and will be mentioned in the course announcement page.*"Accordingly, one or more grades may be modified. For example,
   - If pass mark is 31 then the 'F' grade will be 0-30 and 'D' grade will be 31-40.
   - If pass mark is 41 then the 'F' grade will be 0-40 and there will be no 'D' grade.

v. On completion of the course the scholar should submit the certificate to the DPGC convener through the supervisor. On receiving the certificates, the marks uploading and grading will be done by the respective DPGC Convener in MIS (out of total 100 with no weightage distribution).

vi. **Approval of NPTEL courses**: The DSC may prescribe suitable NPTEL courses for coursework through the DPGC Convener, who shall verify the course hours and applicable credits (as per para iii above) and forward the proposal to the SPGC Chairman for approval. Only courses so approved shall be registered by the scholar in MIS/ABHIKALP and counted towards coursework.[1]

[1] Notification No. IITISM/DAC/1184 dated 17.09.2026 (42nd Senate)