REGULATIONS ON Ph.D. PROGRAMME

(Revised)

[Approved by the Executive Council in its 45th meeting held on 30.07.2024 vide resolution No. EC 45.5.1 (ii)]

[Based on UGC (Minimum Standards and Procedure for Award of Ph.D Degree) REGULATIONS, 2022]

Particular	Content of the Regulations
1. Preamble	Sikkim University shall offer research programmes in different subjects and also in inter-disciplinary studies leading to the award of the Degree of Doctor of Philosophy (Ph.D). The Departmental Council (DC) consisting of all regular faculty members who are eligible to guide research scholars at Ph.D level in a Department shall oversee the selection procedure.
2. Eligibility	Department shall oversee the selection procedure. The applicants fulfilling the following criteria may apply online for admission to the Ph.D programme of the University; a. A candidate who has been declared eligible in Category A/Category B/Category C in UGC-NET or equivalent examination with a two-year (4 Semester) Master's programme (after three/four-year Bachelor's programme) with at least 55% marks in aggregate or equivalent grade (50% or equivalent grade for candidates belonging to SC/ST/OBC (Non Creamy)/DA/EWS and any other category as may be notified by the Govt. of India from time to time). OR b. A candidate who has been declared eligible in Category A/Category B/Category C in UGC-NET or equivalent examination with a one-year (2 semester) Master's programme (after four-year Bachelor's programme under NEP-2020) with at least 55% marks in aggregate or equivalent grade (50% or equivalent grade for candidates belonging to SC/ST/OBC (Non Creamy)/DA/EWS and any other category as may be notified by the Govt. of India from time to time). OR c. A candidate who has been declared eligible in Category A/Category B/Category C in UGC-NET or equivalent examination with a four-year (8 Semesters) Bachelor's Degree with Research with a minimum CGPA of 7.5 in a point scale / 75% marks in aggregate. OR d. A candidate with a two-year (4 semesters) Master's programme (after three / four years bachelor programme or a one year (2 semester) Master's Programme (after four-year bachelor programme under NEP-2020) in the
	subjects in which UGC-NET is not conducted with 55% marks or equivalent grade (50% or equivalent grade for candidates belonging to SC/ST/OBC (Non Creamy)/DA/EWS and any other category as may be notified by the Govt. of India from time to time). e. An international candidate with an equivalent degree from a foreign educational institution accredited by an approved Assessment and

	Accreditation Agency established or incorporated under a law in its home
	country or any other similarly authorized statutory authority in that country as may be on offer at the university as per its annual prospectus.
3. Duration	a. The duration of Ph.D programme shall be for a minimum period of three years including course work and a maximum duration of six years from the date of admission/commencement of classes of the Ph.D programme.
	b. Under special circumstances, an extension of two years over and above six years shall be granted through a process of Re-Registration provided that the total period for completion of Ph.D programme should not exceed eight (8) years from the date of admission / commencement of classes. The proposal for Re-registration should be initiated well in advance and shall be recommended by RAC to DC, BoS and SB for approval.
	c. Women and PWD candidates with at least 40 % disability may be given an additional 2 (two) years over and above the maximum duration on the recommendations of the DC, BoS and SB. However, the total period for completion of Ph.D programme in such cases should not exceed 10 (ten) years from the date of admission.
	d. Female Ph.D candidates may be provided Maternity Leave / CCL for up to 240 days during the first 8 (eight) years of Ph.D programme.
4. Admission	Admission to Ph.D programme in the University shall be conducted once / twice in a year as may be decided by the University from time to time following the cycle of UGC- NET Examinations.
	a. Candidates fulfilling minimum eligibility criteria shall appear in the interview to be conducted by the concerned Department. 70 % weightage is given for NET Score and 30% weightage for an interview for preparation of a merit list.
	b. Candidates belonging to the subjects in which UGC-NET is not conducted shall appear in the written examination of 70 marks followed by interview of 30 marks. The merit list shall be prepared based on the marks obtained in both the written test and the interview.
	c. Colleges offering three / four year UG programme and / or PG programme may be considered eligible to offer Ph.D programme only if it satisfies the following;i. It must have at least two eligible teachers with Ph.D in the concerned
	department. ii. College must have adequate infrastructure, research laboratories, Library etc. iii. It must also have the necessary recognition from the affiliating university
	or body.

iv. Adherence to National / State level policies regarding reservation of seats for ST/SC/OBC (non-creamy)/DA/EWS or any other category as may be notified by the Govt. of India from time to time. v. College shall follow University Regulations for Ph.D programme. There will be two categories of Candidates for admission to Ph.D programme and the procedure of admission for each of these two categories is given below: **For UGC-NET candidates:** 1. The marks obtained by a candidate in NET will be used for admission to PhD. 2. The JRF qualified students will be admitted into the PhD programme based on an interview as per the University Grants Commission (Minimum Standards and Procedures for award of PhD Degree) Regulations, 2022. 3. For candidates who qualify in Categories 2 and 3, 70% weightage will be given for test scores and 30% weightage for the interview for admission to PhD programmes. The PhD admission will be based on the combined merit of NET marks and the marks obtained in the interview/viva-voce. 4. The marks obtained in the NET by the candidates in Categories 2 and 3 will be valid for a period of one year or as may be notified by UGC from time to time for admission to PhD. 5. Candidates with qualifications like CSIR -NET / GATE / CEED/ ICMR-NET 5. / DBT-NET/ ICAR-NET shall be treated at par with UGC NET. **Procedure for** using NET 6. NET qualifications, except in subjects in which NET is not conducted, shall Score/conduct of be mandatory even for applicants from Colleges / University Teachers and **Entrance Test** University Staff for applying under Supernumerary Seat in the Ph.D. and Interview programme. 7. The list of eligible candidates for interview will be uploaded on the University website. 8. Merit list shall be prepared based on NET Score and marks obtained in the interview. 9. The interview board shall consist of at least three eligible teaching faculty

For subjects in which NET is not conducted:

with the Head of the Department as the Chairperson.

A. Written Test:

The duration of written test shall be of 120 minutes (Two hours). The concerned department shall set question papers and evaluate against 70 marks. The pattern of question papers shall be decided by DC.

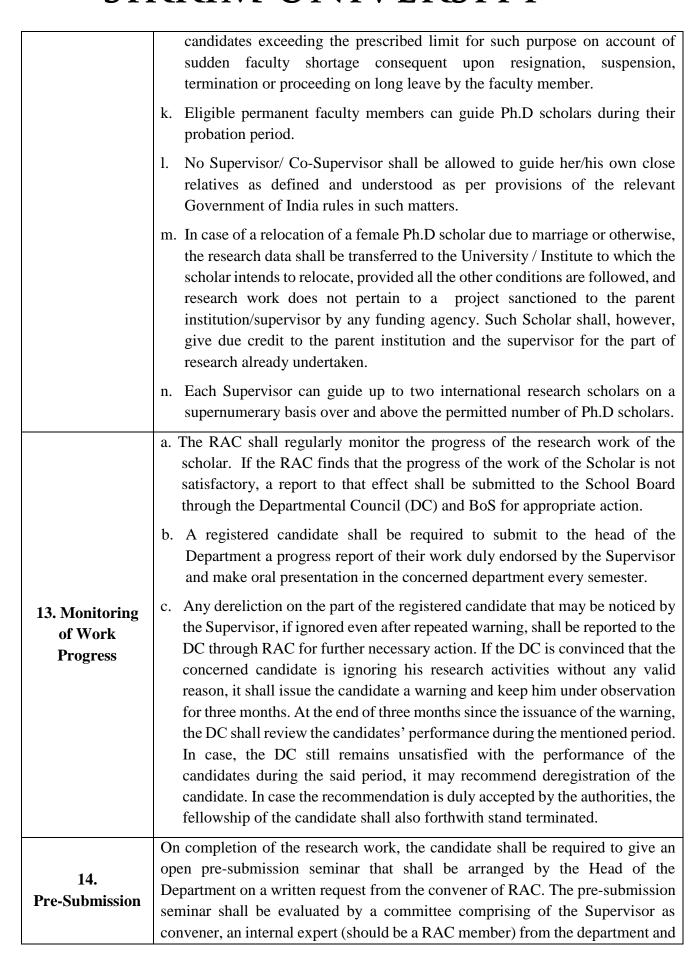
The syllabus of Written Test shall consist of 50% of research methodology and 50% subject specific.

	The list of eligible candidates for interview will be uploaded on the university website.
	B. The Interview: The interview shall have a weightage of 30 % (30 marks).
	Procedure for conducting interviews for both the categories of candidates
	1. The Departmental council (DC) shall conduct the interview of the qualified candidates. The interview board shall consist of at least three eligible teaching faculty of which the HoD/IC of the concerned department shall act as the Chairperson.
	2. Any regular faculty members with a Ph.D degree will be eligible to act as a member of the interview board.
	3. In case, a particular department has less than three eligible members, the HoD/IC of the department shall inform the same to the Dean of the School who will then nominate requisite number of member(s) from other departments of the School.
	4. The concerned department may decide the number of eligible students to be called for an interview based on the number of Ph.D seats available.
	5. The merit list of the selected Ph.D candidates shall be prepared by the Head/In-Charge of the Department immediately after the interview is over.
	6. The merit list of the selected Ph.D candidates shall be sent to the Chairman of the Working Committee of Admission.
	a. On the basis of the approved merit list, the selected candidates shall take provisional admission in Ph.D programme by paying a fee within the stipulated date.
6. Admission Process	b. Employed candidates, if selected for provisional admission, shall produce written evidence to show that they have been granted leave by their employer for at least one semester for non-lab-based department and two years for laboratory-based departments.
	c. International candidates to Ph.D programme may be admitted on supernumerary basis over and above the sanctioned number of Ph.D scholar as per UGC guidelines. There shall be no written test but interview is mandatory either in offline / online mode as the case may be provided the documents submitted by them satisfy the eligibility criteria for admission.
	d. In case of more than two international applicants, the DC shall prepare a merit list based on their academic records.
	The selected international candidates shall be allowed to take admission on production of student visa valid for minimum three years of study, a medical fitness certificate, the source of funding for their studies in the university. They

	may, however, be issued Provisional Admission Certificate, of facilitate for obtaining student visa.	n request, to
7. Research	 i) There shall be a Research Advisory Committee (RAC) for each in the department with Research Supervisor as the Convener. Supervisor may co-opt a minimum of three eligible members f department and other departments. 	The Research
	 ii) The Research Advisory Committee (RAC) shall have following a) To review the research proposal and finalise topic/title of re b) To periodically review the progress of the research work of iii) A scholar shall make presentation in six months on the progre 	search. the scholar
Advisory Committee	work before RAC.	C33 Of HC1/1113
(RAC)	iv) RAC shall also recommend to the Head of the Department f Submission presentation of Ph.D thesis by the scholar.	For open Pre-
	v) In case the progress is not satisfactory, the RAC shall record the the same and suggest corrective measures. If the scholar fails the correction, the RAC may recommend to the Departmental of for appropriate action.	to implement
	vi) To propose for consideration of Re-Registration.	
	There shall be a Departmental Council (DC) consisting of all eli	igible regular
	faculty members of the Department.	
8. Departmental	The Departmental Council (DC) functions as the administrative f takes decision in administrative matters, including allocation of	
Council (DC)	change of supervisor, extension and upgradation of fellowship, extension of the	
	date of submission of thesis, cancellation of registration, considera	
	re-registration etc. pertaining to research scholars and submit the Board of Studies (BoS) for consideration.	e proposai to
	A one-semester course work of a minimum 12 credits is mandatory for all	
	students.	
	OR	
	A two-semesters course work as per the guidelines of the Regulator	ory Authority
	of the concerned department. The distribution of the credits for one semester course work shall b	a as follows:
9. Course Work	S1. Name of the course	Credits
	No.	Credits
	1. Research Methodology	4
	2. Recent Developments in the discipline	4
	 Research & Publication Ethics Review of Literature & Research Proposal 	2
	Teview of Enclarate & Research Froposal	

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	75 % attendance is compulsory for course work. A maximum of 5% shortfall in attendance may be condoned by the concerned Dean on the recommendations of the HoD/IC of the concerned department against production of valid documents to establish the reason for shortage of attendance.
	Candidates with M.Phil degree from a recognized University with one semester Course Work and a minimum of 12 credits shall be exempted from the requirement of the course work.
10.	a. The evaluation of the course work shall be done by the concerned faculty members in the Department.
Course work Evaluation	b. In order to be eligible for registration, a student must score at least 55 % marks or its equivalent grade in the course work.
	a. A candidate who has successfully cleared the course work shall submit a synopsis of the proposed research work to the Research Advisory Committee (RAC). The RAC will recommend the proposal to DC, BoS and SB for registration.
11 Registration	b. The registration process shall be completed within a maximum period of three (3) semesters from the date of admission failing which the candidate will not be allowed to continue.
	c. Departments where 2 semesters course work apply as per the norms of the Regulatory Authority may complete the registration process within a maximum period of 5 (five) semesters from the date of admission / commencement of classes.
Procedures	d. The date on which the School Board accepts the proposal for Ph.D registration shall be the effective date of registration of the scholar for the purpose.
	e. In case a candidate is unable to submit the Ph.D thesis during the maximum permissible period, s/he shall apply for Re-registration for a period of maximum 2 (two) years by paying requisite fee as may be notified by the University from time to time. The application shall be recommended by RAC to DC, BoS and School Board for approval. The next date on which s/he completes maximum duration, as applicable, shall be treated as the date for Re-registration.
12.	A supervisor shall be allotted by the Departmental Council (DC) for each of the candidates admitted strictly in adherence to the following.
Allotment of Supervisor	a. Any permanent faculty members working as Professor / Associate Professor of the University with a Ph.D and at least five research publications in Peer Reviewed / Referred Journals and Assistant Professor with a Ph.D and at least three publications in Peer Reviewed / Referred Journals and with at least

- **three years** of service left in the University/College shall be recognized as Research Supervisor. External Supervisors are not allowed.
- b. The Academic Council on the recommendations of DC may relax the above condition for recognition of persons as Research Supervisor with valid reasons on record in disciplines where limited or no referred journals are published.
- c. A Co-supervisor may be allowed from the same / other departments of the university or from any other institutions on the proposal of the DC and approval of the BoS / SB provided the total number of seats under their supervision should not exceed UGC provisions.
- d. Allotment of Supervisor for a selected candidate shall be done by the DC. While deciding on such allotment, the DC shall consider the number of seats available under the concerned faculty member in strict adherence to the UGC guidelines as may be applicable at the time of such selection, his/her area of specialization and the research interest of the candidates as was indicated during the interview.
- e. A Ph.D supervisor in the professional programmes shall be allotted from the relevant professional field. For example, a Ph.D supervisor in Pharmacy/Education/Engineering/ Medical etc must have Ph.D in the relevant professional field.
- f. The Head / IC of the Department will ensure that the process of allotting a Supervisor is completed within a month from the date of declaration of the course work result.
- g. If any scholar makes a request to the HoD in writing for a change of the Supervisor giving specific reasons, the DC may act appropriately on the merit of the case. Such option shall, however, be available to a scholar only once during the entire programme.
- h. If the Supervisor avails lien / long leave, the Departmental Council (DC) shall appoint a Co-supervisor from the same / allied departments in consultation with the Supervisor.
 - If the Supervisor chooses not to continue in the service of the University, he/she may be allowed by DC to continue as Co-Supervisor for such candidate (s).
- i. A faculty member can supervise registered Ph.D scholar till superannuation and as Co-Supervisor after superannuation, but not after attaining the age of 70 years. DC will allot a new Supervisor from the Department following due process.
- j. At any given time, a Supervisor shall not have more than the UGC prescribed number of registered Ph.D scholars working under her/his supervision except under circumstances when DC shall be constrained to allot a Supervisor more



	an external expert from an allied department of the same School nominated by the Dean. Evaluation report of this committee shall be kept on record. The candidate may suitably revise the thesis prior to its final submission based on the comments / suggestions given during the seminar.
15. Modification of Title	If there is a need for modification of the research topic / title, the candidate shall apply to that effect to the Departmental Council (DC) through Research Advisory Committee (RAC) at least six months before the date of submission of the thesis for approval of the concerned Board of Studies & School Board before presubmission of the thesis.
16. Submission of thesis	
	test, it shall be returned to the candidate for needful action. In such cases, the candidate shall be allowed to resubmit the thesis after making necessary changes in it within a period of three months from the date of such return, In case, the candidate fails to resubmit the thesis within the stipulated timeframe,

- the thesis would be deemed as withdrawn and no further action shall be taken for getting the thesis evaluated.
- d. In subjects where plagiarism test is not possible, a declaration from the candidate countersigned by the Supervisor and endorsed by the Head of the Department stating that the research work is original and has not reproduced from any other sources.
- e. Failing to submit thesis in time (including the extended time if any) shall result in automatic deregistration of the candidates and s/he, in such case, shall no more remain eligible for award of the degree. To pursue the degree, such candidate shall have to seek fresh admission.
- f. Candidate may initially submit the spiral bound copies of the thesis. After incorporation of the suggestions, if there is any, from the examiners, the final version in hard bound in quadruple set and soft copy shall be submitted to the Controller of Examinations.
- g. The final thesis has to be submitted along with the following documents.
 - i. A declaration from the candidate that the thesis is a work of his/her own and that it has not been submitted earlier to this or any other University for any degree.
 - ii. A plagiarism test certificate duly signed by the candidate and countersigned by the Supervisor and vetted by the Librarian. In subjects where plagiarism test is not possible, a declaration from the candidate countersigned by the Supervisor and endorsed by the Head of the Department shall be submitted.
 - iii. Copy of the Registration Certificate
 - iv. No due certificate from the Librarian
 - v. No due certificate from the Finance Department
 - vi. No due certificate from the Warden of the hostel concerned, if applicable
 - vii. Clearance from Academic Section of the University for closure of Fellowship
- h. The hard-bound copy of the thesis shall have to conform to the following specifications.
 - i. It has to be typed in A4 size paper
 - ii. Printing will be on both sides of the paper in Times New Roman, 12-point size and 1.5 spacing.
 - iii. All margin shall be of one inch.
 - iv. The shin of the thesis shall indicate, from top to bottom, year of submission, family name of the candidate and the word Ph.D
 - v. The cover page shall have the title of the thesis at the top followed by a line stating "(A thesis submitted) to (Sikkim University) (logo) (In partial fulfillment of the requirement for the) (Degree of Doctor of Philosophy)"by (Name of the candidate), (name of the Supervisor)

	(Name of the Department), (Name of the School), (month and year) of
	submission. vi. The thesis shall be written in English except when it is related to a language other than English.
17. Appointment of Examiners	 a. The Supervisor shall submit a panel of seven external examiners at least six months before the submission of thesis. External examiners should be from the relevant field of work and is working at least at the level of Associate professor or equivalent position (Scientist E if serving in a research institutions) to the School Board through BoS for consideration and approval by Academic Council (AC). However, a regular faculty member who leaves Sikkim University shall not be eligible for becoming an external examiner for at least five years. b. The Supervisor shall provide complete and up to date postal addresses of all
	the proposed examiners with email ID and cell phone number. c. The examiners empaneled shall ordinarily be selected from within the country. In case, the Supervisor considers it desirable to send one copy of the thesis abroad, the cost of international speed post shall be borne by the University.
	a. The Ph.D thesis submitted by a Ph.D scholar shall be evaluated by her/his Supervisor and two external examiners who are expert in their field and not in employment of the University.
	b. The office of the Controller of Examinations shall establish contact and seek acceptance of the relevant examiners from the empaneled list as shall be approved by the Vice-Chancellor within a fortnight counting from the date of submission of the thesis.
	c. In case, an examiner declines to accept the examinership offer, the another member from the empaneled list of the examiners shall be approached.
18. Evaluation	d. Once the Examiner accepts the examinership, the office of the Controller of Examinations shall forward soft copy of the thesis along with other necessary supporting papers such as the evaluation form, remuneration form etc., to the examiner within a week from the date of receipt of the acceptance.
	e. The examiner shall be requested to send the evaluation report to the office of the Controller of Examinations (CoE) within 45 days counting from the date of receipt of the thesis. A reminder may be sent to the examiner from the office of the CoE a week prior to the expiry of the deadline.
	f. If an examiner fails to submit the report within the deadline, the CoE shall send him a final reminder extending the time by another 15 days. If any examiner still fails to send the report, the CoE shall invite the another examiner from the approved panel to evaluate the thesis after seeking approval for the same from the Vice-Chancellor.

- g. In case, any one of the external examiners gives an unfavourable report, the CoE shall send the thesis to another examiner from the approved panel of examiners after seeking approval for the same from the Vice-Chancellor and, if the report of this second examiner also remains unfavourable, the candidate shall be deemed to have failed.
- h. If the examiners suggest revision of the entire or part of the thesis, the candidate shall be required to revise the thesis in consultation with the supervisor and he/she will submit the modified thesis within a period of six months from the date of communication by the office of the CoE. The thesis shall then be sent once again to the examiner who had suggested revision for his final approval.

a. Once the reports received from both the external examiners are found favourable, the office of the CoE shall inform the concerned HoD to initiate the process for conducting the viva-voce in consultation with the concerned Supervisor/Co-Supervisor. The CoE shall send both examiner's report to the concerned HoD for sharing with the supervisor. The Viva-voce will be conducted by the Department in consultation with Supervisor.

b. The Evaluation Committee to be entrusted with the responsibility to conduct the viva-voce shall consist of the concerned Supervisor as the Chairperson, the external examiner and one faculty member from the School to be nominated by the Dean. The HoD of the concerned department shall request the Dean to nominate a member in the committee under intimation to the office of the CoE.

19. Viva-Voce and Défense of the Thesis

- c. Office of the CoE shall take at least three feasible dates from the external examiner on which the examiner can take part in the viva-voce proceedings and inform the HoD concerned for the necessary action.
- d. The date of the viva-voce will be fixed by the office of the CoE in consultation with the external examiner (s).
- e. The day, date, time and the place for holding the viva-voce shall be notified by the concerned department at least seven days in advance. Such a notice shall be circulated to all the departments and shall also be uploaded in the University's Website.
- f. The evaluation committee shall submit, through the HoD concerned, its report to the office of the CoE on the same day the viva-voce was held.
- g. In case of successful defense, the office of the CoE shall compile the final results and submit the same along with all reports including that of viva-voce to the Vice-Chancellor for approval of the same. Once approved, the office of the CoE shall formally notify the result.
- h. If the defense is not satisfactory, the Committee would record the reasons for the same and suggest an appropriate date for the repeat viva-voce after 30

	days from the date of the first viva-voce subject to the condition that the date so fixed must not exceed a period of two months.
	i. If the second defense is also not satisfactory, the comments of the Committee shall be submitted to the Vice-Chancellor for guidance on the matter and direction for further action.
20 Depository with UGC	Post successful completion of the evaluation process and notification of the award, the University shall upload the thesis in its D-Space Repository. The office of the CoE shall provide one soft and one hard copy to the Central Library for record and referential use.
21. Award of Degree	a. The result shall be officially notified by the CoE within seven days after the approval of the Vice-Chancellor. The result notification shall clearly mention the date in words name of the candidate, registration number of the candidate and the date of registration, title of the thesis, degree awarded, name of the Supervisor, name of the Co-supervisor, if any, name of the Department and name of the School. The notification shall also be uploaded in the University Website.
	b. Formal award of the degree shall only be made on the day the university holds its next Convocation.
22. Removal of Difficulties	Notwithstanding anything above, the Vice-Chancellor shall have the powers to remove any difficulty arising in interpretation of the above regulations as he may deem fit and shall take appropriate action accordingly.