

Ph. D. ORDINANCE

**SIKKIM PROFESSIONAL UNIVERSITY
Gangtok-737102**

**Approved in
37th Academic Council & 20th BoM meetings
Effective from August 1, 2026**

Ph. D. ORDINANCE

1. This ordinance shall be called "Ph.D. Regulations" of the Sikkim Professional University (Erstwhile Vinayaka Missions Sikkim University), Gangtok. It has been moderated as per UGC Minimum Standards and Procedures for Award of Ph.D. Degree.
2. This Ordinance shall come into force from the date it has been approved by the Board of Management of the University, i.e., **01st August, 2026.**

3. PREAMBLE

The Ph.D. Regulations of the University shall apply to all disciplines/ faculties of the Sikkim Professional University (hence forth referred as the University) offering Ph.D. programs.

4. NOMENCLATURE

- (i) The Ph.D. Degree awarded by the Sikkim Professional University for original research in any subject shall be designated as "DOCTOR OF PHILOSOPHY".
- (ii) The Degree shall indicate the subject or speciality with the title of the thesis.

5. ELIGIBILITY CRITERIA FOR ADMISSION TO Ph.D. PROGRAMME

Eligibility criteria for admission to Ph.D. programs of the University shall be as prescribed by the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022 and as approved by the Academic Council and Board of Management of the University in accordance to UGC Notification, New Delhi, the 7th November, 2022.

The following shall be eligible to seek admission to the Ph.D. programme:

(i). Candidates who have completed 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

(ii) Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any

other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

7. Duration of the Program

(i) Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

(ii) A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

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; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

(iii) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

8. Procedure for admission

The admission shall be based on the criteria notified by the institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.

Admission to the Ph.D. programme shall be made using the following methods:

(i) The University may admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE/CEED and similar National level tests based on an interview.

And/or

(ii) The University may admit students through an Entrance Test conducted at the level of the individual HEI. The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject-specific.

(iii) Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.

(iv) A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.

(v) The University may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.

(vi) Provided that for the selection of candidates based on the entrance test conducted by the HEI, a weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva- voce shall be given.

(vii) The Universities shall Notify a prospectus well in advance on the institution's website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission,

the procedure for admission, and all other relevant information for the candidates;

(viii) Adhere to the National/State-level reservation policy, as applicable.

(ix) The Higher Educational Institution shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/centre), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website of the institution and update this list every academic year.

9. ADMISSION AND COURSEWORK

- (i) After having been admitted, each Ph.D. student shall be required to undertake course work of 12- 16 credits in one semester. The course work shall be treated as Pre-M.Phil./ Ph.D. preparation and comprise of:
- (a) Research and Publication Ethics
 - (b) Research Methodology, Quantitative Techniques and Computer Applications.
 - (c) Domain Subjects as may be decided by the Department.
- (ii) The course work shall be coordinated by the Dean/Director Research (in his/her absence a person nominated by the Vice Chancellor), in consultation with the respective Head of the constituent Academic Unit of the University.
- (iii) The course work shall be evaluated by the Examiners appointed by the University. A candidate shall be declared to have successfully completed the course work, if he obtains minimum 55% passing marks or equivalent grade(s) in the UGC 10 point scale in all the papers of course work separately. The University shall issue the certificate of the Ph.D. course work in the prescribed format.
- (iv) In case, a candidate fails to obtain the minimum passing marks in course work, he shall be given one more opportunity to undergo the course work after paying the fee as prescribed by the University. In case, the candidate further fails to obtain the minimum passing marks prescribed by the University in the course work such a candidate shall not be allowed to continue further.

10. STUDENT RESEARCH ADVISORY COMMITTEE

There shall be a Student Research Advisory Committee for each Ph.D. candidate headed by his Research Supervisor. The Committee shall help the Ph.D. candidate in finalizing his topic of research, to develop the study plan, design and methodology of research and support in the progress of research work of the Ph.D. candidate.

11. DEPARTMENTAL RESEARCH COMMITTEE

- (i) There shall be a Departmental Research Committee in each Department of the University. The constitution of the Committee shall be as follows:
- a) Head of Department - Chairperson;
 - b) One Senior Professor;
 - c) One Assistant/ Associate Professor;
 - d) One external subject experts;
 - e) Research Supervisor/ Research Co-Supervisor

- (ii) The DRC shall review topic/ synopsis submitted by a candidate and submit its approval to Ph.D. Cell for communication.
- (iii) The progress of Ph.D. candidate shall be reviewed by the DRC from time to time for which it shall meet at least once in 06 (six) months or as and when required.
- (iv) Pre-Ph.D. thesis submission seminar shall be held by the DRC.
- (v) Any conflict/dispute shall be referred to the Dean Research or any other person nominated by the Vice Chancellor who shall submit his findings/report before the Vice Chancellor for final Redressal/disposal.
- (vi) The external experts are required only during the approval of synopsis.
- (vii) Presence of relevant Research Supervisor/ Research Co-Supervisor is required during the approval of synopsis, review of 06 (six) monthly progress and presentation of Pre-Ph.D. thesis submission seminar.
- (viii) The candidate shall submit generally within 06 (six) months of completion of course work, his synopsis in 06 (six) copies (along with a soft copy) clearly indicating the area of research and give oral presentation before the Departmental Research Committee (DRC).
- (ix) After incorporating modification, if any, suggested by the DRC, the registered candidate shall resubmit his/ her synopsis within 6 months and give oral presentation before the DRC, if required. While forwarding the synopsis, the Head of the Department shall clearly write and infrastructure research.
- (xi) The synopsis shall be submitted in the Ph.D. Cell of the University through the respective Department.

12. ENROLMENT

On successful completion of the course work and defence of synopsis, enrolment number will be provided to the candidate by the University as per the norms.

13. FEES

The fees for Ph.D. programme shall be prescribed by the University from time to time.

14. ELIGIBILITY CRITERIA TO BE A RESEARCH SUPERVISOR, RESEARCH CO- SUPERVISOR

- (i) Eligibility criteria for Research Supervisor and Research Co-Supervisor shall be as prescribed by the University Grants Commission and approved by the Academic Council and Board of Management of the University from time to time.
- (ii) In order to facilitate the process of allotment/allocation of Research Supervisor, Ph.D. candidates will be notified by each department about the available Research Supervisors in the department along with their areas of specialization so that they may

interact with them and subsequently submit the name of the desired Research Supervisor along with his/ her consent to the same.

- (iii) Maximum number of Ph.D. candidates registered under a Research Supervisor and Research Co-Supervisor at a time shall be as prescribed by the UGC from time to time.
- (iv) A vacancy shall be deemed to have been created, when a candidate submits his thesis.
- (v) In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent Research Supervisor and the institution for the part of research already done.
- (vi) The Research Supervisor and Research Co-Supervisor will be required to submit an undertaking that they will continue to supervise their candidates till the candidate's successful completion of the Ph.D. Programme.
- (vii) The Research Supervisor and Research Co-Supervisor shall neither be closely related to each other nor to the candidate. A candidate registered for the Ph.D. degree in University shall not be eligible to be a Research Supervisor for any Ph.D. candidate in the University.

15. EVALUATION AND ASSESSMENT OF THE WORK OF THE CANDIDATES

- (i) Research work of every candidate shall be assessed periodically. Every candidate shall submit half-yearly detailed progress reports to the Research Supervisor(s), who shall forward the same with his remarks to the DRC.
- (ii) The progress made by the candidates shall be reviewed by the concerned DRC and the same shall be forwarded to Ph.D. Cell of the University by the Head of Department through the respective Head of the Constituent Academic Unit of the University.
- (iii) The DRC shall convey the assessment report to the candidate who may also be advised of the short-comings, if any.
- (iv) If the candidate fails to submit two consecutive half-yearly reports, his registration is liable to be cancelled by the University.
- (v) If DRC reports in 03 (three) consecutive reports that the candidate is incapable of continuing the work of the desired standard, the Ph.D. Cell of the University may warn the candidate and give him one last chance to improve his work during the next six months. If at the end of this period, the work of the candidate is still found to be unsatisfactory, his registration shall be cancelled.

16 SUBMISSION OF THESIS AND EXAMINATION

- (i) No Ph.D. candidate shall be allowed to submit his/ her thesis before 3 years and not exceeding 6 years from the date of approval of his/ her synopsis.

- (ii) Candidates shall present at least **01** (one) research paper in a conference/seminar and Ph.D. candidates must publish at least 01 (one) research paper in refereed journal and make 02 (two) paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints subject to amendments, if any, Made by the UGC from time to time.
- (iii) The Candidate has to give a pre-submission seminar before the DRC. The presentation shall be open to faculty members and research scholars of the department and other members of the Faculty, who may like to attend.
- (iv) Once approved by the DRC, the thesis will be allowed to be submitted for evaluation by examiners
- (v) Each candidate for the award of degree of Doctor of Philosophy shall submit 04 (four) copies of his thesis, 06 (six) copies of summary of the thesis and 04 (four) copies of synopsis along with the soft copy of the same to the Ph.D. Cell of the University. The thesis, summary and synopsis shall be certified by the Research Supervisor and Research Co-Supervisor, if any.
- (vi) The entire process of evaluation, viva-voce of Ph.D. thesis to be completed within a period of six months from the date of submission of the dissertation/thesis.
- (vii) The Research Supervisor and the Chairperson of the DRC shall separately submit a panel of 4 examiners each (of whom at least 02 (two) may be from outside the country and 02 (two) must be from outside the state) to the University about six months prior to the expected date of submission of the thesis. The panel shall comprise of subject experts who, on the basis of their published work, are acknowledged leaders in the field of study undertaken by the candidate. If the Research Supervisor is also the Chairperson of the DRC, the Vice-Chancellor shall make alternate arrangements as deemed fit.
- (viii) The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners of whom one examiner may be from outside the country.
- (ix) If the examiners recommend that the candidate be asked to revise/ improve his thesis, the University may permit the candidate to resubmit his thesis within one year. The candidate shall be provided the examiners(s) reports without disclosing the names of the examiners to enable him/her to improve the thesis.
- (x) In case, the candidate is allowed to resubmit the thesis, he shall have to pay a prescribed fee afresh at the time of resubmission, but it shall not be necessary for him to reproduce any certificate of further attendance at the institution.
- (xi) A viva-voce examination shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by all faculty members of the Department, other research scholars and other interested experts/ researchers in the University.
- (xii) The *viva-voce* of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation reports of the external examiners on the dissertation/thesis are satisfactory and include a specific recommendation for conducting the *viva-voce* examination.
- (xiii) If the evaluation report of one of the external examiner in one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend *viva-voce*, the University shall send the dissertation/ thesis to another external examiner

out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for *viva-voce* examination.

17 DECLARATION OF RESULT

- (i) The candidate shall be declared eligible for the award of the Degree of '**Doctor of Philosophy**' only on the recommendation of the Examiners at the *viva voce* examination.
- (ii) In case the recommendations of the *viva-voce* examiners differ from that of the thesis examiners, or there is difference of opinion between the *viva-voce* examiners, the candidate shall reappear at a second *viva-voce* examination within six-months. If the candidate fails to satisfy the *viva-voce* examiners a second time, his thesis shall be finally rejected. Such candidates would be required to pay an additional prescribed fee for second *viva-voce*. The external examiner for second *viva-voce* shall be appointed by the Vice Chancellor.

18. Ph.D. through Part-time Mode-

- (i) Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- (ii) The University shall obtain a "No Objection Certificate" through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - a. The candidate is permitted to pursue studies on a part-time basis.
 - b. His/her official duties permit him/her to devote sufficient time for research.
 - c. If required, he/she will be relieved from the duty to complete the course work.
- (iii) Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/oronline mode.
Issuing a Provisional certificate.-Prior to the actual award of the Ph.D. degree, the degree- awarding Higher Educational Institution shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.

19. Award of Ph.D. degrees prior to Notification of these Regulations.- Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016. Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.

20. GENERAL

- (i) A candidate may also be allowed to carry out his research work in any other research establishment under the supervision of a Scientist/ Director/Teacher of that Institution who may be recognized as the Research Co-Supervisor of the candidate.

- (ii) The University shall have anti-plagiarism software which will be used to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall also have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the University where the work was carried out, or to any other University/ Institute/College etc.

21. DEPOSITORY WITH INFLIBNET

- (i) Following the successful completion of the thesis evaluation process and before the announcement of the award of the Ph.D. degree, the University shall submit an electronic copy of the thesis Ph. D. to the INFLIBNET, for hosting the same so as to make it accessible to all.
- (ii) Prior to the actual award of the degree, the University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions and following UGC Regulations, 2022.
- (iii) The University shall submit a soft copy of the Ph.D. thesis to UGC within a period of thirty days after its approval by University Academic Council for hosting thesis Shodhganga/ INFLIBNET accessible all University Institution.

22. PROVISIONAL CERTIFICATE

Prior to the actual award of the degree; the University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the Regulation, and following the UGC's Regulations 2016 for award of Ph.D. degree.

23. AWARD OF Ph.D.

After the successful viva-voce, the Vice-Chancellor shall have powers to issues Notifications for the award Ph.D. degree to the candidate and the matter shall be reported to the Board of Management for approval in its forthcoming meeting. One copy of the thesis will be kept in the University Library and another copy will be kept in the Departmental Library of the institution/ School/ Research Centre where the research work was carried out, the third will be returned to the Supervisor.

24. WITHDRAWAL OF DEGREE

On detection of any irregularity, the University shall take suitable steps to withdraw the degree. Notwithstanding anything stated in this Regulation, for any unforeseen issues arising, and not covered by this Regulation, or in the event of differences of interpretation, the Vice-Chancellor may take a decision after obtaining, if necessary, the opinion of DRC and approval by Academic Council and Board of Management of the University.

Document Check List of the Student before Enrolment

Name of Student

Enrolment No.

Gender:Category: SC/ ST/ OBC

	Certificates/ Degree/ Diploma Earned (Check eligibility of 55%)	Attached /Not Attached Yes or No	Per Cent / Grade
	10 th pass certificate (as proof of Date of Birth)		
	+2 pass certificate		
	Marks/ Grade Sheet of Graduation		
	Certificate of Graduation		
	Marks/ Grade Sheet of Masters degree		
	Certificate of Masters degree		
	Other degree detail (if any)		
	Migration Certificate from last attended Educational institution		
	No Objection Certificate (if required), if employed		
	Any other		

The documents are certified by me (self) and if any discrepancy is found at any stage, my admission may be cancelled.

Signature of the Student; (certified that all documents are self-certified and are genuine)

Eligibility Checked

Verified & Prepared By:

Signature:

Supervisor Approval by DRC and RDC

1. Name of Candidate :
2. Enrollment No:
3. Date of admission :
4. Academic Session:
5. Proposed Supervisor :

Signature of Supervisor with Seal

Co-supervisor
(If any)

PROFORMA FOR SYNOPSIS

- i) Title of the thesis
- ii) Introduction: Giving purpose of research (in about 200 words)
- iii) A brief review of the work already done in the field.
- iv) Noteworthy contributions in the field of proposed work.
- v) Proposed methodology during the tenure of the research work.
- vi) Expected outcome of the proposed work.
- vii) Reference in standard format.
- viii) List of published papers of the candidate.

Signature of the Supervisor

Seal

Signature of Co-supervisor (if any)

Date:

Signature of Candidate

REQUEST FOR PRE-Ph.D. PRESENTATION BASED ON DRAFT THESIS

The Chairman, RDC
SPU, Gangtok-737102.

Subject: Request for making Pre-Ph.D. presentation based on draft thesis.

- 1 .Name of the candidate:
2. Registration letter No. Dated:
3. Name of Supervisor and Co-supervisors

My draft thesis is complete and I want to make Pre-Ph.D. presentation.
Kindly arrange for the same.

Date.....

(Signature of the candidate)

Approved by Supervisor
Seal

Student Admission Record

1. Date of Registration
2. Academic Session
3. Email ID & Phone No.
4. Fees No Dues
5. Submission of Migration Certificate in original
6. Title of the Research work
7. Name of the Supervisor
8. Name of Co-supervisor (If any)
9. Detail of Course work
10. Synopsis Submission (Soft copy & hard copy), Date
11. DRC
12. Publication Details 1 & 2
13. Pre-submission presentation
14. Thesis Submission
15. Plagiarism Report
16. External Examiners
17. Evaluation Report
18. Viva –Voce

Prepared by

Chairman,

DRC Members:

DECLARATION BY THE CANDIDATE

I declare that the thesis entitled is my own work conducted under the supervision of..... (Supervisor/ Co - Supervisor) at..... (Centre)as approved by Research Degree Committee. I have put in more than 240 days of Attendance with Supervisor at the Centre.

I further declare that to the best of my knowledge, the thesis does not contain any part of any work which has been submitted for the award of any degree or diploma either in this University or in any other University without proper citation.

Signature of the Candidate

Date.....

Place.....

FORWARDING LETTER TO THE UNIVERSITY REGISTRAR

The Ph.D. thesis entitled

“
.....”hereby submitted by Shri/ Smt./ Ku.

.....
Registration No.....is forwarded to the University in Six copies for further necessary action.

The candidate has paid the necessary fees and there are no dues outstanding against him/her.

Candidate’s Signature

Signature of the Supervisor
Seal

Declaration by the proposed Supervisor

I, _____, hereby declare that I am ready to supervise the research work of the scholar Mr./ Ms. _____ Registration No. _____ with SPU. I am presently working as _____ (CV attached) and there are _____ scholars who are pursuing research work under my supervision.

Signature

Name:

Post:

Organization Seal

Date:

Place:

.....

Approval of Supervisor / Co-supervisor

On the basis of submitted CV of ----- (Designation)
Add: ----- (Organization) is permitted to supervise as supervisor/ co supervisor
Mr/Mrs/Ms. ----- (name of scholar) as approved by the RDC
Registration No..... & Date enrolled under the

1. Faculty:
2. Subject:
3. Research Topic:

**Chairman
Research Degree Committee**

Date:

Notification of Thesis Proposal Presentation

Student Name:

Student ID:

Degree Program:

Thesis Title:

.....

Date of Proposal Presentation:

Time: _____

Location: _____

Supervisor:

Signature:

Date:

(Signature signifies approval that the thesis proposal may precede to presentation.)

Student's Signature:

Date:

Half-Yearly Progress Report of Ph.D. Research Scholar

Six monthly progress report of the research work done for the period from.....to..... of the research scholar.

1. Name (in Capital Letters) :
2. Degrees for which, he/she has registered :
3. Registration No. with date of registration :
4. Name of the Supervisor :
5. Title of the research project :
6. Period of Progress Report :
7. Books/journals consulted :
(If more space required, please attach a separate sheet)
8. Experimental work done :
9. Field work done, if any :
(If more space required, please attach a separate sheet)
10. Percentage of research work completed :
(As per your assessment)
11. Whether writing of thesis started? :
12. Whether presented any Seminar on your Research Work?
13. Courses, as required passed :
14. Any other matter you may like to report :

Date of submission:

Signature of the Research Scholar

Period with dates the Candidate has been with the guide for research work (It may also indicate the date of leave availed by the candidate during the above period).

Remarks of the Supervisor on the work done by the candidate on the Topic.

Fees paid vide receipt No.....Date.....
Date.....

(Signature of Head of Institution where the Candidate was registered for Ph.D. Degree)

Signature of the Supervisor

Address.....

Date.....

Place.....

For Supervisor/s

Forwarded with comments

1.

CERTIFICATE OF THE SUPERVISOR

This is to certify that the work entitled “.....” is a piece of research work done by Mr. / Ms. under my Supervision for the award of the Degree of Doctor of Philosophy of the University.

I certify that the candidate has put in an attendance of more than 240 days with me. To my personal knowledge, the thesis:

- 1) Embodies the work of the candidate himself.
- 2) Has duly been completed.
- 3) Fulfils the requirement of the Ph.D. regulation relating to the award of Ph.D. degree of the University.

Signature of the Supervisor

Seal

Signature of Co-supervisor (if any)

Seal

Dated:

Place:

Appointment Letter to Thesis Evaluator

To,
Dr. _____
Add: -----

Date:

Sub: Appointment of Evaluator for Ph.D. Thesis

Respected Sir/Madam,

With great pleasure **Sikkim Professional University** appoints you as an External (out of state) / Internal (within the state) evaluator for Ph.D. Thesis of as detail mentioned below:

1. Name of the Ph.D. research Scholar:
2. Registration No. with date of registration:
3. Name of the Supervisor/s:
4. Title of the research Work:

The University expresses its gratitude for your acceptance and valuable recommendations. Thesis Evaluation Report Performa is attached herewith.

Kindly revert the filled in form within stipulated time of thirty days.

Mailing Address: **By Speed Post**

Ph.D. Thesis Evaluation Report

Name of the Student:

Registration No:

Title of the Thesis:

Recommendations

Tick one of the Following:

1) The thesis in its present form is recommended for the award of the Ph.D. Degree. ☐

2) The thesis is recommended for the award of the Ph.D. degree.

However, my suggestion for improving the thesis may be considered at the time of viva-voce examinations and if the viva-voce board deems it appropriate, the same may be incorporated in the thesis based on the discussions during the viva-voce examinations. The revised thesis need not be sent to me. ☐

3) The thesis should be revised as per the suggestions enclosed, I would like to see the revised thesis incorporating my suggestions before I give my recommendation. ☐4) The thesis is not acceptable for the award of the Ph.D. degree. ☐

(Signature)

Name of the Evaluator with Seal

Date:

Note: Please give your detailed report in the attached sheet. You may use additional sheet, if required.

ATTENDANCE SHEET FOR CONDUCT OF Ph.D. VIVA-VOCE EXAMINATION**Uni. Reg. No. & Name of the Candidate:****Title of the thesis:****Name of the Examiners with full Address:**

Sl. No.	Position	Name & Address	Signature

VENUE, DATE & TIME:**Signature of the Chairman, DRC**

Sl. No.	Invitees & Audience	Signature

Note Sheet

Selection of Expert Member for Ph.D. Viva-Voce Defence for the Student mentioned below.

Sl. no.	Name	Reg. No	Discipline	Topic

Here are the list of recommended Expert Members for Ph.D. Thesis Defence for selection.

Sl.no.	Name & Address	Discipline & Specialization	Approval of V C

Registrar

NO DUES CERTIFICATE FOR Ph.D.

Name of the Student:

College:

Course:

Date:

SL. No.	DEPARTMENT	SIGNATURE	REMARKS
	Finance Department		
	Library		
	Hostel		
	Exam Department		
	Computer Lab		

Supervisor

Registrar

NOTIFICATION

The University is pleased to declare the result of the following candidates who qualified for the **Degree of Doctor of Philosophy (Ph.D.)** of the Sikkim Professional University. The Particulars of the registration and the thesis submitted by the candidates are also provided.

Sl. No.	Name of the Candidate	Department	Reg. No.	Title of the Thesis	Name of the Supervisor/ Co-Supervisor

This award is effective from the date of issue of this notification.

Controller of Examinations

Copy Forwarded to: -

1. The Vice-Chancellor
2. The Chairman, RDC
3. Dean of the Faculty
4. Registrar
5. Supervisor / Co-Supervisor
6. Librarian
7. Candidate
8. Section Officer (Exam section)
9. Website Administrator
10. Office Copy
11. Notice Board
12. UGC soft form.

TA/ DA of Examiners**Name & Designation:****Address:****Bank Account No.****IFSC:****Name of Bank:****Branch:**

SL.NO	Nature of Chair	Bill NO/any other	Date of Journey	Amount
	Air Fare/Train Fare (from)			
	Air Fare/Train Fare (to)			
	Road Journey (from)			
	Road Journey (to)			
	Honorarium/ fees/ Sitting Charges			
	Evaluation Fees			
	Accommodation Charges (if applicable)			
	Any other			

Note:

- No travelling allowance from any public semi-public authority has been claimed by me in respect of part or whole of the journey.
- I have actually incurred the expenditure above.
- I have been provided accommodation by Sikkim Professional University for which I have not made payment.

Claimant's Signature

Received Rs.....Rupees.....

From SPU, Gangtok, East Sikkim in Cash/ Cheque/ Online Tx No.

Dt:

For settlement of my above in full

Date:

Signature of received

Ph.D. Research Proposal
<Area of Ph.D. Research Proposal>

<Title of your Ph.D. Research Proposal>

<Complete Name of Candidate>
<Email address of candidate>

Advisor(s):
<Name of advisor>
<Name of advisor>

Session.....

Department.....
Faculty of.....

Briefly describing in a few words the knowledge domain where your research takes place and the key issues of that domain that offer opportunities for the scientific or technological innovations you intend to explore.

Give appropriate words or expressions (up to twelve) that you would introduce in a search engine to find a research proposal identical to yours.

Explains the background of the project, focusing on the major issues of its knowledge domain and clarifying why these issues are worthy of attention. Concisely present the research statement, which can take the form of a hypothesis, a research question, a project statement, or a goal statement.

Give research objectives of your project, taking as its background your description of the Literature review, and describes the methodological approaches you have in mind to face the key research challenges of your project. The clarification of the research objectives is to be given. It should elucidate the measure to which your work develops from their work and the extent to which it diverges from theirs to open up new and yet unexplored avenues. Explains what you plan to do to tackle your research problem, why you plan to do it that way, and how you are going to do it.

Not all research proposals lend themselves easily to the creation of detailed work plans. In some cases, namely when the work fits the broader plans of a research group that is progressing steadily, it is possible to build a detailed description of what the researcher plans to do (literature to explore in depth, principles or theorems to formulate and prove, experiments to carry out, sub systems to build, systems integrations to perform, tests to accomplish). In these cases, it is possible, and desirable, to establish specific milestones and timelines and a Gantt diagram. The plan should anticipate the problems likely to be found along the way and describe the approaches to be followed in solving them.

In other cases, when the topic to be researched is exploratory and elusive, or when the research approach establishes that each step should build on the, still unanticipated, results of previous steps, it may be impossible to work out a detailed plan. Whatever its nature, comprehensive or sketchy, your work plan should be able to put in perspective the implications of the successive steps of your work, reinforcing. The topic should be timely and relevant, and that the outcomes of the project will contribute significantly to the enhancement of the field.

GUIDELINES FOR PREPARATION OF RESEARCH PROPOSAL

The purpose of the research proposal is to describe clearly and precisely the nature and scope of the research program.

The outline of the proposed topic of research should include the following:

1. Proposed Topic of Research
2. Objective of the Proposed Research
3. Background of the Proposed Research
4. Methodology
5. Work Plan
6. References
7. Brief Biodata of the supervisor.

Proposed Topic of Research

It specifies the area of the proposed research work and is not the exact title of the thesis. Title of the thesis emerges at a stage when the candidate is almost ready to submit his/her thesis. Before submitting the thesis, exact title which will appear on the thesis, has to be approved by the Research Board. The proposed topic of research should be written in "Title Case" and should not be too lengthy.

Objective of the Proposed Research:

It should be clearly indicating the perception of the research work and should not be a mere repetition of the topic of research. What is to be achieved as an outcome of the research has to be visualized while mentioning the objective of the research. Objective should be given point wise (3-4 points) as shown in the ‘A Typical Research Proposal’.

Background of the Proposed Research:

This is normally prepared after the candidate has studied the contemporary literature and researches done in the same area as available from current research journals, published reports of the organisations, issues needing research and enquiry in any area of activity of the organisation, etc. It is expected that a broad summary of the present status of work and unresolved academic issues in the area are highlighted while giving the background of the proposed research. To identify the research gap, the candidate should refer latest peer-reviewed journal articles.

It is important to make clear the impact of the proposed research and the particular aspect of the problem that is anticipated to produce an original contribution(s) by the candidate. The background of his proposed research should include the following parts:

Introduction (250-300 words)

In this part, importance of subject area on of proposed topic of research can be written.

Literature Review of Research Topic (1500-2000 words)

Present Status of “Topic of Research” from existing literature can be written in this part of proposal

Gaps in existing Research

Unresolved issues on the topic of research and their importance of the proposed project in the context of current status are to be given in this part. Furthermore, possible utilization of research outcome can also be suggested.

Methodology

In the first paragraph of methodology, provide experimental/infrastructural/ computing facilities which are necessary to carry out proposed research work. Then describe the logical phases, which are to be followed in investigating the current problem.

- Methodology should be given phase-wise and brief explanation should be given under each phase. (4-5 sentences under each phase).
 - Phase-1 will be literature survey and last phase will be conclusions and thesis writing.
- In between these phases, candidate can identify suitable phases relevant to the topic of research.

Work Plan

The work plan (activity schedule) and the time by which these are to be achieved are to be indicated in the form of horizontal bar chart. Please refer to ‘Sample Proposals’ to see as to how the work plan should look like.

References

The citation of literature should be done in a standard manner in the text of ‘Background of Proposed Research’. Please refer to “A Typical Research Proposal” to see as to how the references are cited in the text.

Brief Bio-data of the supervisor (Not required for internal candidates)

On last page of the proposal, brief bio-data of the supervisor should be provided on a separate page after the reference section, in the table form as follows:

Brief Bio-data of the Supervisor

Name of the Candidate:

Name of the Supervisor:

I.D. of Candidate:

Qualification of Supervisor:

Present Designation & Organization:

Area of Research:

Work Experience (Years):

Number of publications:

Number of Ph.D. students supervised:

POINTS TO CONSIDER FOR FORMATTING THE PROPOSAL

Page Orientation: Portrait

Page Size: Letter or A4 size

Margins: 1 inch from all sides

Headings: Times New Roman, Bold, Size-14 points, Title case

Sub-Headings: Times New Roman, 12 points, Bold

Body-text (paragraphs): Times New Roman, 12 points, Justified

- Paragraphs of the text should be justified
- Each page of proposal has to be given page number at bottom & at centre as in Arabic (1,2,3etc.) numerical
- The proposal should only be long enough to present the necessary information. The length will depend on the nature of the problem, but approximately 10-12 pages (spacing: 1.5 lines) are usually sufficient.

Tables and figures should be only used only if relevant and absolutely necessary. If included please follow the instructions given below:

Tables

- Number tables consecutively in the order of their first citation in the text and supply a brief title for each. Give each column a short or abbreviated heading.
- Be sure to give caption to each table and they are cited in the text.
- Table footnotes are to be avoided.
- If a Table has been published, cite the original source.

Illustrations (Figures)

- Letters, numbers, and symbols on Figures should therefore be clear and uniform throughout, and of sufficient size so as to make legible.
- Figures should be made as self-explanatory as possible.
- Be sure to give caption to each Figure and all figures are cited in the text.
- Figures should be numbered consecutively according to the order in which they have been first cited in the text.
- If a figure has been published, cite the original source.

Units of Measurement

- Measurements of length, height, weight, and volume should be reported in consistently throughout the proposal.

Abbreviations and Symbols

- Use only standard abbreviations. Avoid abbreviations in the title. The full term for which an abbreviation stands should precede its first use in the text except in case of measurement units.

References

- Your reference list should identify references cited (e.g., books, journal articles, conference proceedings, dissertations, theses etc.) in sufficient detail so that others may locate and consult your references.
- Your reference list should appear at the end of your report with the entries listed numerically and in the same order that they have been cited in the text.
- It is important to BE CONSISTENT when you are referencing.
- References should contain all the necessary parts. No part should be missing.
- Sequence of the part of reference citation should be uniform for all the reference of same type.

Reference List

A list of references contains details only of those works cited in the text. Punctuation marks and spaces within the references are very important. Keep uniformity with this respect.

Some Important points regarding the Research proposal:

1. Minimum 12 to 20 references are needed to be put as per the format given by us.
2. 50-60 % references are needed to be reputed journal articles, that too from latest journals for examples if you are writing a proposal in 2008, 70% articles should be published after 2003.
3. In case of conference proceedings dates, place of the conference and in case of published proceedings page nos. of proceedings should be given.
4. Citation dates for e-reference is a must.
5. Give the editions of the books referred by you.
6. Give full details of the reports taken as a reference i.e. place of publication, published by which agency, etc.