

SRM UNIVERSITY, SIKKIM

(Established Under SRMUS Act, 2013)

PHD REGULATIONS 2016-17

1. DEFINITIONS AND NOMENCLATURE

In the Regulations, unless the context otherwise requires,

- i. “University” means SRM University, Sikkim.
- ii. “SRMUS” mean SRM University, Sikkim.
- iii. “Programme” means Doctoral Programme leading to the award of Ph.D. in Engineering and Technology / Science and Humanities / Medical and Health Sciences.
- iv. URCC means “University Research Co-ordination Committee”.
- v. “Chairperson” means the Head of the URCC.
- vi. “Supervisor” means any full time regular teacher of the University who has been recognized by the University to guide/supervise the research scholars.
- vii. “Research Advisory Committee” means a Committee constituted by the University for each scholar to monitor the progress of his/her research work.
- viii. “Research Coordinator” mean Head of the Institution / Department / Organization of the Part-time (Ext.) scholar where he/she is employed.
- ix. “Scholar” means any candidate admitted by the University either under Full-time or Part-time category for pursuing research for the award of Ph.D. degree of the University.
- x. “Course” means a theory subject/a practical subject of PG programme / a directed study prescribed by the Research Advisory Committee for the scholar to undergo as a part of the Ph.D. Programme.
- xi. “Co-Supervisor” means a teacher of the recognised research centre of university for part time external candidate, other than the Supervisor, to supervise and monitor the research work of the Ph.D. student alongside the Supervisor.

2. CATEGORIES OF Ph.D. CANDIDATES

There shall be three categories of Ph.D. candidates.

- i. Full Time candidates: Candidates who pursue full time research in this University shall belong to this category. Full time candidate will fulfil all the required standards of the university norms applicable to regular students.
- ii. Part Time (Internal) candidates: Candidates employed in SRM University who pursue part time research in this University shall belong to this category.

iii. Part Time (External) candidates: Candidates working in Industrial units, Colleges, Government departments, Research organizations or other Institutions, sponsored for pursuing Ph.D. Programmes in this University while continuing to serve in their respective Institutions /organizations recognized as Research Centre by SRM University Sikkim, shall belong to this category. They shall pursue research in their place of employment and /or in this University.

3. ELIGIBILITY

i. Minimum academic qualification required for admission is that the candidate should possess a Post Graduate Degree recognized by the respective statutory regulatory bodies for pursuing research.

ii. The candidate should possess at least 55% marks in aggregate or its equivalents grade in PG level.

4. ADMISSION PROCEDURE

i. The candidates desirous of pursuing Ph.D. degree shall submit the application in the prescribed form through proper channel wherever applicable to the Registrar of the University. The application form and the necessary details are available in the SRMUS website.

ii. The applications received will be verified by the University Research Coordination Committee. The chairperson of URCC will be appointed by Vice Chancellor. The URCC will consist of Directors, Deans and all the recognized guides of the University. The URCC shall screen the applications and conduct written and oral examinations. The URCC will select the candidates based on their performance in the written test and/or interview (Research idea and Presentation). The URCC will also allocate the supervisor for each candidate taking into account the preference of the available guides and the candidates if any. The allocation of research supervisor for a selected research scholar shall be decided by the department concerned depending on the number of the scholars per research supervisor, the available specialisation among the supervisors and research interests of the scholars as indicated by them at the time of oral interview.

iii. The Chairperson will seek the approval of the Vice-Chancellor through registrar for the provisional registration of the selected candidates.

iv. The Candidates whose registration has been approved by the Vice Chancellor shall be provisionally admitted to the Ph.D. Programme of the University.

v. On receipt of the provisional registration of the candidates, the supervisor of the students shall recommend a panel of three names for forming the Research Advisory Committee for their respective students and send the same to the Chairperson. Chairperson shall form the research Advisory Committee as in item 11 below, get the approval of the Vice-Chancellor and then communicate the same to the respective supervisor and students.

5. PhD ENTRANCE EXAMINATION

i. Applicants fulfilling minimum eligibility criteria as specified in the SRM University PhD regulations 2016-17 shall be required to appear a written test followed by an Interview (Research idea and Presentation).

ii. The following categories of applicants are exempted from appearing the written entrance test but will have to appear at interview - Applicants who have qualified UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/or have passed M.Phil. Programme.

iii. a) The syllabus of the written test are as follows. (Full marks 100). Questions of the written test are MCQ type with four options. Each question will carry 1 (one) mark. Time duration of written test is 2 hours and 30 minutes (150 minutes).

Research Methodology- 50 marks

Subject- 25 marks

Policy Implication and its Social Relevance (Subject Specific)-25 marks

b) Interview (Research idea and Presentation) -100 marks.

The interview will be organised by URCC and the candidates are required to discuss their research/area through a presentation before URCC or a committee duly constituted by URCC. The committee also consider the following aspects at time of interview- whether the candidate possesses the competence for proposed research, the research work can be suitably undertaken at the university and the proposed area of research can contribute to new/additional knowledge.

iv. The merit list shall be prepared taking into consideration both the written test (50% weightage) and Interview (50% weightage) in the case of who are not in the exempted category. The candidate who are in the exempted category mentioned above (clause-2), only interview score will be considered for preparing merit list.

6. RESEARCH PROPOSAL

After the provisional registration candidate will submit research proposal and present the same to the Research Advisory Committee for acceptance. Research proposal will be sent to ethics committee for approval before acceptance. Supervisor will forward the accepted research proposal to the Chairperson (URCC).

7. SUPERVISORS

i. All full time and part time Ph.D. candidates are required to work under the guidance of a recognized supervisor from the University.

ii. The part time (external) candidates shall be required to have, in addition to a research supervisor from the respective department of this University, a recognized Co-Supervisor/Research coordinator from the institution/organization/department where he/she is employed, who is responsible to provide all necessary resources and help to complete the research work in a time bound manner. The institution /organization/department where the candidate will pursue his/her research work should be recognized as a research centre by the university.

iii. When a supervisor of a candidate happens to be away from the University, for more than one year, he/she may continue to guide the candidate, but a supervisor belonging to the same department of the university shall be officially nominated as a co-supervisor by the URCC and forwarded to the Vice Chancellor for approval.

iv. If the supervisor leaves the University, he/she may be permitted to continue as a supervisor for his/her students depending upon the availability of the individual, subject to the approval of the Vice Chancellor. Otherwise a new supervisor belonging to the same department of the university officially nominated by the University Research Coordination Committee, will be appointed as the supervisor after obtaining necessary approval from the Vice Chancellor.

8. RECOGNITION OF SUPERVISORS

Recognition of Supervisor for guiding research work will be accorded by the Vice Chancellor, on application to the Chairperson (URCC) in the prescribed format.

Candidates seeking for the recognition as a Supervisor should possess:

(i) A Ph.D. Degree in the relevant or allied areas of research in which he/she proposes to guide the candidate.

(ii) For Assistant/ Associate professor - a minimum of two years of research or teaching experience after acquiring Ph.D. degree and at least two research publication in referred journals. For Professor - at least five research publication in referred journals is required. However, exemptions shall be considered by the Vice-Chancellor on merit.

(iii) A full time regular teacher of the University can act as a supervisor. However Co-supervisor can be allowed from the other institutions (for external candidate) with approval of the University Research Coordination Committee.

9. RECOGNITION OF RESEARCH CENTERS

Various National and Regional Laboratories / Institutions / Organizations / Industrial Establishments/ Industries recognized by DSIR / Departments are eligible to admit candidates for Ph.D. under this University provided they possess recognition from the University. Other institutions desirous of getting recognition must apply to the University for securing recognition as Center of Research. The University will get these institutions assessed through a committee before awarding the recognition, wherever necessary as per the guidelines approved by the University Research Coordination Committee.

10. NUMBER OF CANDIDATES PER SUPERVISOR

A Research supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as research supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research supervisor can guide up to a maximum of four (4) Ph.D. scholars.

11. RESEARCH ADVISORY COMMITTEE

The following members shall constitute the Research Committee as approved by the ViceChancellor.

i. The Supervisor (Convener)

ii. One External experts selected by the Chairperson from a panel of three experts recommended by the supervisor from the academia/Industries / R&D organizations.

- iii. The Co-supervisor, if any.
- iv. In case of Part time external candidates, the Co-supervisor/ Research coordinator from the organization where he/she is employed.
- v. An expert in the allied areas of research from the University, if required.
- vi. Representative of URCC.

12. DURATION OF THE PROGRAMME

The duration of the programme and the time for submission of thesis are counted from the date of provisional registration.

Full Time: - The minimum duration shall be three years and the maximum duration shall be six years.

Part Time (Internal/External): For all the candidates the minimum duration shall be four years and the maximum duration shall be six years.

Under extraordinary circumstances if the candidate fails to submit the thesis within the maximum period, further extension of the period for a maximum of two years may be granted by the Vice Chancellor, on the recommendations of the Research Advisory Committee through URCC.

The woman candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years for PhD in the maximum duration. In addition, the woman candidates may be provided Maternity Leave / Child Care Leave once in the entire duration of PhD for up to 240 days.

After the expiry of the maximum period including the extension granted, a candidate will be permitted to Re-register as per the following regulations.

- i. For those candidates who want to re-register under the same supervisor on the same area of research, the earlier Research Advisory Committee and the course works completed will hold good.
- ii. For those candidates who want to re-register with a different supervisor on a different area of research will be subjected to the regulations applicable for the fresh candidates. If the area of research is the same, the new Research Advisory Committee will decide whether the earlier course works completed can be considered for exemption or not.

13. COURSE WORK

- i. All candidates shall complete **three courses** (**minimum of 12 credits**) prescribed by the Research Advisory Committee and approved by the concerned Boards of Studies and academic council.
- ii. The courses shall be (i) Research methodology for the subject (4 credits). (ii) A background subject related to his/her Ph.D. research (4 credits). (iii) An advanced subject in the area of research (4 credits).
- iii. **Research scholar has to obtain 55% of marks or its equivalent grade in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.**

The directed course is done under the guidance of the Supervisor. For the evaluation process following marks components for each courses are to be followed.

60 Marks – Theory Examination

40 Marks – Internal Examination

The schedule for the course may be prepared by the Research Advisory Committee and may be submitted to the Controller of Examination well in advance. **A research scholar has to obtain a minimum of 55% of marks or its equivalent grade in the course work examination in order to be eligible to continue in the PhD programme and in that case his/her provisional registration shall be confirmed.**

14. MONITORING THE PROGRESS OF RESEARCH WORK

- i. Every six months commencing from the date of provisional registration, the candidate shall submit progress report in the prescribed format to the Guide, who shall forward it to the Chairperson for information and documentation.
- ii. The Research Advisory Committee must meet at least once in a six month for each scholar until the scholar submits the synopsis of his/her thesis and the report of the Advisory Committee shall be sent to the Chairperson.

15. CANCELLATION OF REGISTRATION

- i. The registration of a research scholar whose progress is not satisfactory or who has not reported in person to the supervisor for any one semester is liable to be cancelled. In such case supervisor will report to URCC for cancellation of his/her registration.
- ii. The registration of a research scholar who has not submitted his/her thesis by the end of the prescribed /extended period as provided in the regulations will be cancelled by the University.

16. SUBMISSION OF SYNOPSIS

- i. Upon satisfactory completion of the research, scholar must publish at least one research paper in a referred journal, approved by the URCC and make two paper presentations in external national conferences/seminars organised by reputed institutions. Before the submission of thesis for adjudication, candidates are supposed to produce evidence for the same in the form of presentation certificates and/or reprints. After that research scholar is permitted to submit

the synopsis of the Ph.D. work to the Controller of Examinations with the recommendation of the Research Advisory Committee for consideration.

ii. Prior to submission of the synopsis, the student shall make a pre-Ph.D. presentation in the Department that may be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the synopsis and thesis under the advice of the supervisor.

iii. After the recommendation of the research work reported in the synopsis by the Research Advisory Committee, the Supervisor shall forward six hard copies of the synopsis of the proposed thesis, with a soft copy on CD to the Controller of Examinations along with a panel of at least six names of external examiners, who are not in employment of the University (SRMUS) and should be outside the State of the University campus for adjudication of the Ph.D. thesis. Among the six external examiners three may be from outside of the country.

17. SUBMISSION OF THESIS

The research scholar shall, within six months of submission of the synopsis, prepare thesis in accordance with the format and specification prescribed. The thesis shall report, in an organized and scholarly fashion, highlighting the original contribution made in the research work of the candidate. He / She shall submit four hard copies of the thesis along with a soft copy on CD to the Controller of Examinations through proper channel under the intimation to the Chairperson. Under no circumstances, the submission of thesis shall be delayed except under special circumstances, where an extension of three months may be granted with the recommendation of the Research Advisory Committee by the Vice-Chancellor.

18. THESIS ADJUDICATION

i. The Ph.D. thesis submitted by a research scholar shall be evaluated by at least two external examiners, of whom one examiner may be from outside the country. The Vice chancellor selects and refers two examiners from the panel of examiners recommended by the supervisor.

The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.

ii. The Controller of Examination shall take such steps as deemed necessary to enable the reports of the examiners to be received as quickly as possible.

iii. In the case of undue delay in receiving the report from the examiner three monthly reminders may be sent. If the delay prevails the Controller of examination shall refer the thesis to the second examiner selected by the Vice Chancellor, after waiting for three months and ensuring that the first examiner is not going to respond within a reasonable period of time.

iv. The examiner shall include in his report an overall assessment placing the thesis in one of the following categories:

- a) Recommended for the award of the degree of Doctor of Philosophy: Commended / highly commended.
- b) Recommended that the candidate revises the thesis as suggested in the report and the revised thesis be referred to the guide for verification.
- c) Recommended that the candidate revises the thesis as suggested in the report and the revised thesis be sent to the same examiner or as per the recommendation of Vice Chancellor for reevaluation.
- d) Not recommended.

The examiner shall enclose a report of 200 to 300 words, indicating the standard attained in case(a), the nature of revision in case (b) or (c) and the reasons for rejection in case (d)

v. On receipt of the reports from the examiners, the following procedure shall be adopted:

- a) If both the examiners recommend the award of the degree, the thesis shall be provisionally accepted. Any minor revision, modification, etc., suggested by the examiners shall be carried out before the viva-voce examination.
- b) If any examiner recommends revision of the thesis, the candidate shall be permitted to revise and resubmit the thesis within 6 months. The revised thesis shall be referred to the same examiner, if the examiner has insisted the University to send the thesis back to him/her after revision for offering his/her final recommendation on the thesis. In such a case the examiner should offer his/her comments for the second time either as recommended for the award or rejection. In case, the examiner did not insist on sending the thesis back to him, then the University may refer the revised thesis to the supervisor for verification.
- c) If one examiner recommends the award of the degree while the other recommends rejection, then the thesis shall be referred to a third examiner to be nominated by the Vice Chancellor. If the third examiner recommends the award, the thesis shall be provisionally accepted. Otherwise, the thesis shall be rejected and the registration of the candidate cancelled.
- d) If both examiners recommend rejection, the thesis shall be rejected and the registration of the candidate be cancelled.
- e) When the commendation of the examiner on the revised thesis is not as stipulated in Clause 18 (v) (b) above or in the case of any dispute, the Vice Chancellor, if he deems it necessary, shall refer the thesis and the comments to a committee constituted by the Vice Chancellor for this purpose.
- f) Individual cases not covered by the above regulations shall be referred to the Vice Chancellor for his final decision.

19. VIVA-VOCE EXAMINATION

- i. After the thesis is recommended for the award of the degree by the examiners, viva examination shall be conducted by a viva examination board to be constituted by the Vice Chancellor. The viva-voce examination shall be conducted only if the evaluation report(s) of the external examiners on the thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination.

ii. The viva examination board shall include:

a. The examiner of the thesis from India or if the Indian examiner of the thesis is not available, a member from the panel of Indian examiners already recommended by the supervisor.

b. Supervisor of the candidate.

iii. The convener of the Research Advisory Committee will be the Convener of viva examination board and the viva examination shall be conducted as “Open defence type” examination.

iv. The viva examination shall be open to be attended by the members of the Research Advisory Committee, all faculty members of the department, other research scholars and other interested experts/researchers.

v. If the performance of the candidate in the viva examination as reported by the viva examination board to be not satisfactory, the candidate may opt to reappear for the viva examination at a later date (not later than six months from the date of the first viva Examination). On the second occasion, the viva examination board shall include one more examiner nominated by the Vice Chancellor.

v. If the performance of the candidate in the viva examination on the second occasion also is reported to be not satisfactory, the Vice Chancellor, if he deems it necessary, shall refer the remarks of the viva examination board, along with the thesis and comments of the examiners, to a committee constituted by the Vice Chancellor for this purpose and decide. The decision of the Vice Chancellor shall be final.

20. AWARD OF Ph.D. DEGREE

If the performance of the research scholar in the viva examination is satisfactory, he/she will be awarded Ph.D. degree on the recommendation of the Academic Council.

21. PUBLICATION OF THESIS

i. After the viva voce examination the candidate shall submit a copy of the thesis in CD ROM duly certified by the guide that all the corrections have been duly carried out as suggested by the examiners, if any, for UNIVERSITY ARCHIVES.

ii. Papers arising out of the thesis may be published by the candidate. However, the thesis as whole shall not be published by the candidate without the specific approval of the University.

22. THE ACT OF PLAGIARISM

In the case of research scholars who have copied or plagiarised as confirmed by a committee, his/her Phd thesis shall be rejected and his/her research registration shall be terminated and also he/she shall be debarred from registering for any other programme in this University. Research scholar will submit a declaration vouching that there is no plagiarism as stipulated in the plagiarism rules of the URCC and that the work has not been submitted for the award of any other degree/diploma of any institute/university.

23. SUBMISSION TO INFLIBNET

Before the announcement of the award of PhD degree, The University shall submit an electronic copy (soft copy) of the Ph.D thesis to the INFLIBNET, for hosting the same so as to make it accessible to all institutions/colleges.

24. CHANGE OF REGULATIONS

The Academic Council of SRM University, Sikkim, may revise, amend or change the regulations from time to time as when required.