

RULES AND REGULATIONS
FOR
THE PROGRAMS OF DOCTOR OF PHILOSOPHY
(Ph.D.)
2019



National Institute of Technology Sikkim

Amendments

RULES AND REGULATIONS THE PROGRAMS OF DOCTOR OF PHILOSOPHY

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GLOSSARY/ABBREVIATION

APEC	Academic Performance Evaluation Committee
BOG	Board of Governors
B.Tech.	Bachelor of Technology
CFTIs	Centrally Funded Technical Institutions
COs	Course Outcomes
CSAB	Central Seat Allocation Board
CGPA	Cumulative Grade Point Average
DFB	Departmental Faculty Board
DGC	Doctoral Guidance Committee
DUGC	Department Undergraduate Committee
DPGC	Department Postgraduate Committee
DAC	Departmental Admission Committees
HOD	Head of the Department
INRA	Indian Nationals Residing Abroad
MoE	Ministry of Education, Govt. of India
MoU	Memorandum of Understanding
M. Phill.	Master of Philosophy
M. Tech.	Master of Technology
M.Sc.	Master of Science
NIT	National Institute of Technology
NOC	No Objection Certificate
OBE	Outcome Based Education
PG	Post Graduate
Ph.D.	Doctor of Philosophy
SPGB	Senate Postgraduate Board
SUGB	Senate Undergraduate Board
TODE	Thesis Oral Defense Examination
TODEB	Thesis Oral Defense Examination Board
UG	Undergraduate
SC	Scheduled Caste
ST	Scheduled Tribe
OBC(NCL)	Other Backward Class (Non-Creamy Layer)
PWD	Persons with Disabilities
EWS	Economically Weaker Section

DEFINITIONS

- **Academic Section** shall mean the office of the Dean Academic.
- **Applicant** shall mean an individual who applies for admission to the Ph.D. program of National Institute of Technology Sikkim on a prescribed Application Form.
- **Caretaker Supervisor** shall mean a member of the academic staff appointed to look after the research scholars in the absence of the Supervisor.
- **Course Work** shall mean courses of study prescribed by the Department through the DGC, to be undertaken by a student registered for the Ph.D. Degree.
- **DGC** shall mean Doctoral Guidance Committee of the student in the Department.
- **DPGC** shall mean Departmental Post Graduate Committee of the Department.
- **Academic Session** shall mean the Academic Session of National Institute of Technology Sikkim.
- **Academic Calendar** shall mean the Academic Calendar of National Institute of Technology Sikkim.
- **Dean Academic** shall mean the Dean Academic of National Institute of Technology Sikkim.
- **Educational Institution** shall mean those colleges which offer Bachelors Degrees or higher.
- **Full-time Student/ Research Scholar** shall mean a registered student/research scholar available in the Institute and devoting at least the minimum working hours.
- **Part-time Student/ Research Scholar** shall mean a registered student/research scholar not available in the Institute for full time. However, s/he shall devote required time for research work along with her/his official obligations at the work place.
- **HOD** shall mean Head of the Department.
- **Institute** shall mean National Institute of Technology Sikkim.
- **Joint Supervisor** shall mean additional supervisor(s) approved by the Dean Academic on the recommendation of the DPGC to jointly supervise the student/research scholar, as per the Rules and Regulations.
- **External Supervisor** shall mean an additional joint supervisor external to the Institute.
- **Minimum Registration Period** shall mean the minimum period for which a candidate must be registered, including the time spent as a student before becoming a research scholar, prior to submission of the thesis.
- **Registration Period** shall mean the duration from the date of admission/ initial registration at the Institute till the completion of the program.
- **Student/Research Scholar** - Student shall mean a candidate registered for Ph.D. program of study offered by the Institute and shall become a research scholar on passing the comprehensive examination.
- **Residency** shall mean the minimum period for which a student/candidate must attend the Institute on full time basis.
- **Sponsored Student/ Research Scholar** shall mean a student/research scholar sponsored by an organization.
- **Supervisor** shall mean an eligible member of the academic staff of the Institute.

- **Ph.D. Degree** shall mean the Degree of Doctor of Philosophy (Ph.D.) of National Institute of Technology Sikkim.
- **PG** shall mean the Postgraduate Program of National Institute of Technology Sikkim.
- **UG** shall mean the Undergraduate Program of National Institute of Technology Sikkim.
- **SPGB** shall mean the Senate Post Graduate Board of National Institute of Technology Sikkim.
- **SUGB** shall mean the Senate Undergraduate Board of National Institute of Technology Sikkim.
- **DFB** shall mean Departmental Faculty Board consisting of all the faculty members of the Department.

Note: The Ph.D. student/research scholar hereinafter shall be referred to as “research scholar”.

PREAMBLE

National Institute of Technology Sikkim offers research programs leading to the award of the degree of Doctor of Philosophy. The degree of Doctor of Philosophy shall be abbreviated as Ph.D. The Ph.D. degree is granted for research work in areas recognized by the academic departments/centres of the Institute subject to the rules and regulations contained hereinafter. The award of Ph.D. degree shall recognize high academic achievements, independent research, and application of knowledge to the solutions of technical and scientific problems in Science, Technology, and Humanities & Social Sciences. The Institute promotes creativity and productivity as the basic concepts underlying the research work.

The academic programs leading to the Ph.D. degree is broad-based and involves a minimum course credit requirement and a research thesis. The Institute also encourages research in interdisciplinary areas through a system of joint supervisions and provides excellent opportunities for such programs. The Institute undertakes sponsored research and development projects from industries and other organizations of the public as well as private sectors.

The research work shall be an original work characterized either by the discovery of facts, or by a fresh approach towards the interpretation and application of facts, or development of equipment making a distinct advancement in instrumentation technology. It shall evince the candidate's capacity for critical examination and sound judgment and shall represent original contribution to the existing knowledge.

The Ph.D. degree of the National Institute of Technology Sikkim shall be conferred on a candidate who fulfills all the requirements specified in these **Rules and Regulations**. The Ph.D. degree shall be awarded in the discipline of the department/centre in which the candidate has registered.

1. Introduction

National Institute of Technology Sikkim is one of the 31 National Institutes of Technology, set up by the Government of India in August 2010 with the objective of imparting quality technical education, fostering innovation, creativity, research and development, training in various fields of Science and Technology. It has been declared as an Institution of National Importance by the Government of India. It is an autonomous Institute and is functioning under the aegis of Ministry of Education (MoE), Government of India. National Institute of Technology Sikkim is hereinafter referred to as NIT Sikkim.

The Institute primarily focuses on imparting outcome-based education (OBE) as well as equipping the students with good practical knowledge. OBE is an educational theory that bases each part of an educational system around goals. The Institute creates an ambiance in which new ideas, research and scholarship flourish and from which the leaders and innovators of tomorrow emerge. The Institute is striving to harness resources for industry and society through pursuit of excellence in Education, Research, Innovation and Entrepreneurship, thereby paving its way towards globalisation. This is a student-oriented place and our endeavor is always to ensure that our students are offered the best opportunities that are needed to create outstanding scientists and engineers. Quality teaching is what it aims at so as to stimulate intellectual curiosity, creativity and innovativeness. Our experienced faculty has a passion for teaching and an avowed commitment to Research & Development. The global perspective of the faculty makes this Institute a premiere institute of learning in India.

1.1 Vision

India has the capability and the responsibility to offer the World Science & Technology essentially with sustainability, through philosophy, conscience, and value system. NIT Sikkim will play its role.

1.2 Mission

To develop the students as ‘Thinking Engineers’ by nurturing them in attaining and enjoying the technical and scientific excellence, global exposure and at the same time in beholding the philosophy and the values for India and the world as a whole.

1.3 Objectives

- (i) To provide quality education to students enabling them to meet global demands and enrich their inner-selves with consciousness;
- (ii) To inculcate scientific and technological skills, courage, integrity and sensitivity to the needs and aspirations of the society;
- (iii) To promote a spirit of free and objective inquiry, creativity and innovation;
- (iv) To provide a conducive atmosphere to undertake research in areas that will best serve the nation and the world;
- (v) To develop leadership qualities in the young minds with sensitivity to sustain social development and environment;
- (vi) To create technical manpower for meeting the current and future demands through close interactions with industry;
- (vii) To grow into an internationally renowned Institute with a strong ethical foundation.

1.4 About the Manual

This manual sets out the procedures, rules and regulations for the Doctor of Philosophy (Ph.D.) programs. The Ph.D. programs are designed to achieve Institute's vision, mission and objectives. The program emphasizes self-learning, creative thinking, critical evaluation, spirit of inquiry, and imbibing the culture of lifelong learning.

The rules and regulations including procedures given in this manual shall be binding on all the stakeholders – students/research scholars, faculty, staff, parents and those directly or indirectly associated with the Institute and the programs of study.

The provisions of these rules and regulations shall also be applicable to any new discipline that will be introduced from time to time. Notwithstanding all that has been stated in this manual, the Senate has the right to review, amend/modify, add, delete and clarify any or all the rules and regulations from time to time. The decision of the Senate in all academic matters shall be the final and binding on all the stakeholders.

2. Organizational Structure for Academic Administration

2.1 The Senate

The Senate is the statutory and supreme body that governs all academic matters of the Institute, and its rulings are final and binding on all the stakeholders in all academic matters. All academic programs and activities of the Institute shall be governed by the Rules and Regulations approved by the Senate from time to time. The Senate of the Institute holds its meeting regularly to monitor and guide the academics of the Institute and take necessary decisions and make/amend Rules and Regulations as per the need. A time schedule is set by the Senate for various academic activities, through an Academic Calendar issued at the beginning of each academic semester/year. The Senate continuously assesses and monitors the academic programs and makes appropriate revisions/modifications/amendments/ improvements as and when required through its Institute level committees/subcommittees constituted from time to time.

2.2 Office of the Dean Academic

The office of the Dean Academic called Academic Section, is responsible for the implementation of the rules and regulations/decisions taken by the Senate/Chairperson Senate. Its major functions and responsibilities are as follows:

- Timely initiation and completion of all the activities.
- Responsible for all students'/research scholars' academic matters starting from admission process to award of the degrees and later hand hold the graduating students in their needs.
- To receive, prepare and maintain all records related to all the programs including curricula, courses offered, academic calendar, registration, leave, examinations, grades and award of degrees, scholarships/fellowship and prizes, etc.
- To disseminate information pertaining to all academic matters.
- Issues necessary memoranda/orders/notices/circulars, etc.
- To act as an interface between the students/ research scholars, faculty, departments/centres, any academic entity, committees etc. as per the need or as directed by the Chairperson Senate.
- To coordinate and execute all the academic related activities.

- To ensure academic discipline, conducive atmosphere, values, ethics and integrity while imparting education.
- To comply with all the instructions of the Director/Chairperson Senate as issued from time to time.

2.3 The Senate Post Graduate Board (SPGB)

The Senate Postgraduate Board (SPGB) shall be the regular subcommittee of the Senate, which shall consider all academic matters for the Postgraduate and Ph.D. programs. The SPGB shall consider all departmental matters on the recommendations of the Departmental Postgraduate Committee (DPGC) and forwarded by the concerned Head of the Department.

2.3.1 Constitution of SPGB:

(i)	Dean Academic	Member
(ii)	Associate Dean Academic (UG)	Member
(iii)	Associate Dean Academic (PG)	Member
(iv)	Convener DPGC(s) from all Departments	Member
(v)	Two nominees of Chairperson Senate	Member
(vi)	Previous Convener, SPGB, if not a member	Member
(vii)	Convener Senate Undergraduate Board (SUGB)	Member
(viii)	Two student members, one each from Ph.D. and PG Programs, nominated by the Dean Academic	Member

The Convener of SPGB will be nominated by the Chairperson Senate from amongst the Senate members or the Dean Academic may be the Convener. The tenure of all the members normally shall be TWO years. However, same can be extended by the Chairperson Senate for additional ONE year. If circumstances arise the tenure of any member can be reduced by the Chairperson Senate. The tenure of the student members shall be for ONE academic year.

2.3.2 Jurisdiction and Function of SPGB:

The Jurisdiction of the SPGB shall be restricted to all matters related to Ph.D. and PG programs. The functions of the SPGB shall be to consider the broad framework of all policies related to the Ph.D. program, review and recommend those to the Senate/Chairperson Senate. The following matters pertaining to the Ph.D. and PG programs of the Institute are regular functions of the SPGB:

- To recommend new course(s)/curricula and program(s) to the Senate for approval
- To recommend modifications/updation of course(s)/curricula and program(s) already approved
- To evaluate/audit the academic program(s)
- Any other matter as referred by the Dean Academic/Senate/ Chairperson Senate from time to time.

The SPGB shall be the recommending body for all academic programs to the Senate/Chairperson Senate. In the discharge of its responsibilities the SPGB shall make full use of the appraisals and recommendations of the various academic departments/centers concerned. The SPGB shall be assisted by the Departmental Postgraduate Committees of various departments/centers (DPGC). Minimum FOUR meetings of the SPGB should be conducted per academic year (two/semester).

2.4 Departmental Postgraduate Committee (DPGC)

The Departmental Postgraduate Committee (DPGC) shall be constituted by the DFB to look after all academic matters pertaining to the Ph.D. and PG program(s) offered by the department. The DPGC shall make recommendation(s) to SPGB as and when required.

The constitution of the committee shall be as follows:

- (i) Convener DPGC
- (ii) Head of the Department
- (iii) Convener DUGC
- (iv) Minimum THREE (03) faculty members to be chosen from the Department; [in case there are not sufficient faculty members, Chairperson Senate may nominate faculty member(s) from other department(s) of the Institute]
- (v) ONE faculty member from other department/interdisciplinary program to be nominated by Chairperson Senate

The DPGC Convener shall be selected by the DFB for a term of two years. The duration of the committee shall be two years. The constitution of the aforesaid committee shall be communicated to the office of the Dean Academic by the HOD. The DFB may change the non-functional convener(s)/member(s) before the expiry of their terms.

The responsibilities of the DPGC are:

- (a) Supervision and conduct of lecture, tutorial and practical classes.
- (b) Supervision and conduct of class tests, quizzes, practical tests, end semester examination, thesis work, seminar and project presentation and ensuring its quality.
- (c) Monitoring of quality of instructions to students.
- (d) Appointment of supervisors of Ph.D candidates.
- (e) Admission to Ph.D. program at departmental level.
- (f) Monitoring the quality of research.
- (g) Proposing and implementing new courses and programs as approved by the Senate/BOG.
- (h) Monitoring attendance and performance of students.
- (i) Recommending for release/continuation of assistantship on monthly basis based on attendance and weekly workload assigned to students.
- (j) To act as a students' grievance committee and attend to problems of students and counsel them.
- (k) Any other work as assigned by SPGB /Senate/ Chairperson Senate.
- (l) To coordinate the student feedback and analysis of the same. Suggest corrective measures based on the analysis of the feedback. The summary of the same may be sent to the Dean Academic, if required.
- (m) To coordinate, design and develop curricula/proposals of new courses/programs/ revision of the existing curricula etc.
- (n) Grade Moderation: To maintain the uniformity in awarding the letter grade in a semester, the DPGC has to carry out grade moderation. In the grade moderation meeting, apart from the regular members of the DPGC, all the course instructors/coordinators shall be invited and the course instructors are required to finalise the grades as decided unanimously. The grade moderation work must be completed by all the departments as per the academic calendar.

The DPGC may also constitute various departmental committees to discharge the above responsibilities. The DPGC is required to hold its meetings regularly and keep record of its meetings and decisions. Frequency of meeting of DPGC should be minimum FOUR meetings per academic year (two/semester).

2.5 Constitution of Doctoral Guidance Committee (DGC)

For each student, a Doctoral Guidance Committee (DGC) will be formed by the DPGC on the recommendation of the supervisor(s). The constitution of the DGC will be as follows:

- | | | |
|-------|---|-----------|
| (i) | Supervisor | Convener |
| (ii) | Joint-Supervisor(s) [#] (if any) OR One expert in the field of research from the Department | Member(s) |
| (iii) | One faculty from the Department | Member |
| (iv) | One Institute faculty member from outside the Department to which the student belongs | Member |
| (v) | An expert from outside the Institute (optional) [#] | Member |

[#] A joint supervisor external to NIT Sikkim and an expert from outside the Institute will be an observer and may attend the meeting of the DGC online.

3. Eligibility for Admission to Ph.D. Program

3.1 Eligibility

The eligibility conditions given below are the absolute minimum. Departments/centers may prescribe requirements over and above these, subject to the approval of the Dean Academic/Chairperson Senate/Senate.

- The specified minimum CGPA/marks implies a minimum of 6.5 on the 10 point scale/ 60% marks (where CGPA is not awarded) for Ph.D. program with a relaxation for SC/ST/PwD implying minimum of 6.0 on the 10 point scale/ 55% marks (where CGPA is not awarded).
- For Engineering disciplines, the candidates with B.E./B.Tech. and ME/M.Tech. in relevant branch of Engineering/Technology are eligible.
- In exceptional cases, brilliant students from CFTIs with CGPA of more than 9 (85% marks) in B.E./B.Tech. may be recommended by the concerned DPGC to SPGB for admission in Ph.D. program. The decision of SPGB shall be the final and binding.
- For Sciences/ Humanities/ Social Sciences, the candidates with PG in relevant area/ disciplines are eligible.
- Eligibility for admission to Ph.D. programs of different disciplines shall be defined by the respective departments and compiled by the office of the Dean Academic for record. The approval of Senate/Chairperson Senate is mandatory.

The specific criteria for admission to full-time and part-time Ph.D. program are given below:

3.2 Categories

The applicants for admission to the Ph.D. program shall be classified under any one of the following categories, which will be decided by the DPGC on the recommendation of the supervisor(s).

3.2.1 Full-Time Students/ Research Scholars:

- (a) **Students/ Research Scholars with Institute Assistantship:** Students/ Research Scholars getting Institutional fellowship/scholarship/assistantship.
- (b) **Students/ Research Scholars with External Assistantship:** Candidates getting fellowship/scholarship/assistantship from Govt./Semi-Govt./Autonomous/ Private/other organizations.
- (c) **Self-financed Candidates:** This category refers to students with no fellowship/scholarship/assistantship from the Institute or otherwise.

3.2.2 Part-Time Students/ Research Scholars:

- (i) **Institute faculty/staff/project-staff:** This category refers to scholars who are permanent/temporary employees of the institute OR who are working on various projects undertaken by the Institute. They are expected to work for their Ph.D. program after fulfilling their normal duties. An employee who has opted for supervisor(s) outside her/his department shall have an option to register in either the main supervisor's department or their own department subject to the recommendation of her/his supervisor(s).
- (ii) Candidates from Govt./ Semi Govt./Autonomous/ Private/ other organizations or self-sponsored.

Additional Eligibility Criteria for Admission to Part Time Ph.D. Program:

- (i) An employee should have a minimum TWO years working experience.
- (ii) The applicant must possess the minimum entry qualifications in the relevant discipline for the admission to Ph.D. program.
- (iii) The candidate must submit a "No objection certificate" from her/his Head of the Institution/Organization along with the application. The candidate must prove to the satisfaction of the DPGC that her/his official duties permit her/him to devote sufficient time for research.
- (iv) Facilities for pursuing research are available at the applicant's parent organization/ place of work in the chosen field of research. Such candidate, after completion of comprehensive examination may carry out research work in her/his parent organization with an external supervisor from her/his parent organization apart from an internal supervisor from the Institute.
- (v) S/he will be required to attend classes regularly at the Institute for a period not less than a semester during her/his period of registration for the degree. If the course credits recommended by the Department are not completed within 6 months, the residency requirement for a part-time Ph.D. student may be more than 6 months till s/he completes her/his course work.
- (vi) A member of the non-academic staff of the Institute who satisfies eligibility qualifications may be considered for admission to the Ph.D. program on part time basis provided s/he has been given administrative clearance by the Director of the Institute and possesses minimum THREE years of relevant working experience in the Institute.
- (vii) Temporary and contract academic staff of the Institute as well as staff of schemes/ sponsored projects may be given administrative clearance by the Director, to seek admission to the Ph.D. program on part-time basis at any time after joining the service/ project subject to recommendations of the concerned Department.

4. Admission Procedure

- (i) Prior to the advertisement for admission of Ph.D. students, each department should compile information regarding available slots of each supervisor, areas of research etc. The advertisement shall be issued for admission to Ph.D. program in various disciplines once or twice in an academic year. The advertisement shall be published in a timely manner so as to ensure the completion of the admission process well before the registration process. The advertisement shall be issued by the academic section based on the information of vacancies received from the departments/centers.
- (ii) The applicants shall apply for admission in the prescribed form offline /online. The detailed information and admission procedure shall be made available on the website of the Institute. It shall be the responsibility of the candidate willing to take admission in the Ph.D. program to visit the website based on the advertisement issued. The candidate has to apply as per the direction given in the advertisement /Institute website. Incomplete application shall be rejected summarily and no query in this regard shall be entertained by the Institute. The completed application is the one having duly filled prescribed form along with all the necessary documents required.
- (iii) The applications received will be sent to the Head of the concerned department/centre for onward admission process. The short-listing of applications for the purpose of admission will be done by the DPGC or DAC of the concerned department. If considered necessary, the DPGC of the concerned department may set the shortlisting criteria higher than the minimum eligibility defined in **Section 3** and shall take prior approval of the SPGB convener and Dean Academic before admission process is initiated. The guidelines for the shortlisting of applications received shall be as follows:
- (iv) Shortlisting of the applications shall be done as per the eligibility criteria for each category.
- (v) The candidates may be shortlisted provisionally even if the result of the qualifying examination has not been declared/ NOC/ undertaking not submitted (as the case may be) till the last date of submission of applications. However, such candidates have to comply with all the requirements of eligibility on or before the date of the written examination. On verification of eligibility, the candidate shall be permitted to appear in the written examination and subsequent admission procedures. Otherwise, such candidates shall be declared ineligible for admission to Ph.D. program.
- (vi) Thereafter, the candidate will be assessed for admission through written test and interview/presentation by each department. After selection, DPGC/Department should also immediately allot the slot against which the candidate has been selected, thereby also selecting the supervisor(s) for the candidate.
- (vii) All admissions shall be made only after approval of the Chairperson Senate on the recommendations of the duly constituted Departmental Admission Committees (DAC), Convener SPGB and the Dean Academic. The DAC shall consist of minimum FOUR faculty members, one of them shall be from another department/interdisciplinary program. The selection committee shall be proposed by the DPGC/HOD and approved by Convener SPGB.
- (viii) The candidate(s) admitted provisionally have to complete all the requirements before last date of registration, failing which the admission may be cancelled.
- (ix) On approval by the Chairperson Senate, the office of the Dean Academic shall issue the office order for department/center wise admitted candidates. The academic section or

the concerned Department shall issue the admission letters as per the directions of the Dean Academic.

- (x) The admitted candidate has to submit the prescribed fees and complete the registration formalities as per the directions within the stipulated time. Failing which, the offer of admission shall stand cancelled automatically and the offer will be given to the waitlisted candidate(s). However, such candidates, in case of exigency may request in writing to the Dean Academic/HOD for giving time relaxation for depositing the fees but has to submit the acceptance of the offer compulsorily within the time mentioned in the offer letter. In no case, the time relaxation of more than ONE week shall be given for submission of fee.
- (xi) The offer of admission shall stand cancelled if the candidate fails to comply with above clause(s).
- (xii) The admission under QIP program shall be done as per the procedure laid down by the coordinating institute/organization and the Institute.
- (xiii) The decision of the Dean Academic shall be final and binding in all matters and no query shall be entertained.

4.1 Admission of Indian Nationals Residing Abroad (INRA) and Foreign Nationals

The applications of the candidates belonging to these categories shall be processed as per the directions of the office of the Dean Academic and the same admission procedure as mentioned above shall be followed.

4.2 Exchange Program (Non Degree Student)

For holistic development of students, provision to proceed to other academic and research institutions in India or abroad as non-degree students and vice versa shall be made available. Such Exchange Programs shall preferably be executed through academic MoUs as decided by the Senate/ Chairperson Senate on the recommendation of the SPGB. The rules and procedure to be followed for availing this provision are as follows:

- (i) A non-degree student is a student who is registered for a Ph.D. degree in the Institute any other recognized institute or university in India or abroad and who is officially sponsored by that institute or university to complete part of her/his academic requirements at the Institute or vice versa. The degree shall be awarded by the institute where the students have registered for Ph.D. program.
- (ii) The non-degree student may carry out research/course work/and use academic facilities as agreed upon in MoU. The student(s) so permitted shall be governed by the Rules and Regulations of the Institute where s/he is working as non-degree students.
- (iii) Such students have to pay the fee/ Institutional charges as decided by the respective Institute/organization from time to time.
- (iv) The hostel facility will be provided on payment basis, if available.
- (v) The permission to the students of NIT Sikkim to spend time as non-degree students elsewhere shall be given by the Dean Academic. The eligible student will have to submit an application to the SPGB through HOD/DPGC/DGC, duly supported by a statement of purpose to undertake the proposed research work and sufficient information about the department/institution for the purposes.

- (vi) Permission to proceed to an institution as a non-degree student does not imply that the student will automatically get any waiver from the academic requirements of the Institute.
- (vii) Exchange Student will also be subjected to the Rules and Regulations of the host institution, in addition to specific Rules and Regulations of the host country, if any. The host institution will inform the parent Institute about any academic or other problems that may arise during the period of stay in the host institution. The host institution will take appropriate action under its established policy and procedures, in consultation with the parent Institute to deal with such problems.
- (viii) An exchange student will continue to be treated as full-time student of the Institute. S/he shall be considered as full/part-time “exchange” student at the host institution. The exchange student will continue to pay tuition and other academic fees of the parent Institute. In addition, s/he may have to pay course specific fees that may be levied by the host institution. Any costs like living costs, travel, hostel and mess etc. shall be borne by the concerned student. NIT Sikkim shall not reimburse/bear any expense/cost in this regard unless approved by the BoG.
- (ix) It shall be the sole responsibility of the student concerned to abide by the Rules and Regulations of the host institution where s/he is undergoing exchange program and has to fulfill the requirements of indemnity to NIT Sikkim as decided by the Senate or SPGB.
- (x) The decision of the Dean Academic shall be final and binding in all matters.
- (xi) All matters related to the exchange student have to be reported to the Senate.

5. Financial Assistance

Institute Fellowship/Scholarship

- (i) The financial assistance received by the students in any form such as fellowship/scholarship shall be referred as assistantship.
- (ii) The above shall be given as per the direction of the MoE, Govt. of India or BoG of the Institute. The Dean Academic/SPGB shall recommend regulations for monitoring the progress and continuation of financial assistantship in any form. Further, the duration and the amount of assistantship can be reduced if sufficient funds are not provided by the Govt. of India.
- (iii) A student receiving assistantship is required to work minimum eight hours per week towards the departmental or Institutional work assigned.
- (iv) The admission to Ph.D. program and award of assistantship are not linked. Admission to Ph.D. program does not guarantee the award of assistantship. Those who are not awarded assistantship shall continue with the programs as a self-financing student.
- (v) Students/research scholars receiving fellowships from any other source shall not be eligible for the Institute assistantship and shall be governed by the same Rules and Regulations as applicable to students with assistantship. In addition, any terms and conditions imposed by the funding agencies shall also be strictly adhered to.
- (vi) The monthly assistantship is contingent on the satisfactory performance of the student/research scholar and satisfactory discharge of work as assigned. The same has to be certified by the supervisor and the concerned HOD/Convener DPGC or as decided by the concerned department.

6. Registration

- (i) Every research scholar is required to register in every semester in person till the Thesis Oral Defense Examination (TODE).
- (ii) A research scholar, who has submitted the thesis and is waiting for TODE will register in the next semester with a **nominal fee** as applicable from time to time and decided by the Senate.
- (iii) The registration in every semester shall be subjected to (a) the submission of satisfactory progress report in the prescribed format duly signed by the DGC; (b) payment of fees for that semester and clearance of all outstanding dues of the previous semesters.
- (iv) The progress shall be evaluated by the DGC and submitted to the Dean Academic as per the academic calendar through the convener DPGC.
- (v) The research scholar is required to sign the registration register in person available in the department (if any).
- (vi) A research scholar who fails to register or renew registration may cease to be a research scholar.
- (vii) **Late Registration:** For any compelling reason like illness, if a research scholar fails to register till the last date of registration specified in the academic calendar, s/he can register with late fee as notified by the academic section till last date of late registration. Normally, no late registration shall be permitted after the scheduled date. However, in case of extraordinary circumstances, this rule may be relaxed by the Chairperson Senate on the recommendation of the DPGC and Convener SPGB.
- (viii) If any research scholar is being deputed by the supervisor to carry out research work outside the Institute, s/he may be allowed to register through her/his Supervisor and Convener DPGC in absentia, by the Convener SPGB.

6.1 Conversion from Part-Time to Full-Time Ph.D. Program

A student admitted to the Ph.D. program as part time research scholar may be advised by the DGC to convert her/his status to a full-time program if there is not satisfactory progress in her/his research work. It is expected that all such changes should be carried out by the concerned department before the registration process of the next semester. However, if such decisions are communicated after the date of registration, the permission of the Dean Academic is necessary and the research scholar is required to pay the differential fee for that semester. Conversion from part time to full time status shall be permitted only once during her/his program. All such cases shall be recommended to Dean Academic by the DGC through the DPGC. The conversion from part-time to full-time shall be allowed on research scholar's request also. Normally, no assistantship shall be given to such research scholar. However, her/his request may be considered based on the availability of funds/slot and permission of the Chairperson Senate.

6.2 Conversion from Full-Time to Part-Time Ph.D. Program

A research scholar admitted to full-time Ph.D. program may be permitted to convert to Part time Ph.D. program by the Dean Academic on the recommendation of DGC and DPGC. A student requesting such a conversion must:

- (i) Have completed the comprehensive examination successfully, and completed the residency requirements.
- (ii) Such a request should be endorsed by the supervisor(s), DGC and the DPGC.

- (iii) Comply with other conditions as mentioned for part time category students.
- (iv) Other rules for part time candidates shall be applicable to such cases.
- (v) Conversion from full time to part time status shall be permitted only once during her/his program.
- (vi) No assistantship shall be given from the date of conversion to part-time status.
- (vii) The conversion from full-time to part-time is not a matter-of-right of any research scholar.

7. Course Work/Credit Requirements

- 7.1 All students of the Ph.D. program are required to earn course-credits as prescribed by the supervisor(s) and approved by the DGC. The minimum credit requirements through course work are given in the following table.

Table 1: Course Credit Requirements

S.No.	Candidate Having Qualification	Minimum Credit Requirements
1	M. Tech./M.Phil or equivalent	12 Credits
2	M. Sc. in Basic Sciences/MBA/M.A or equivalent	12 Credits
3	B.Tech. or equivalent	24 Credits

The credit system will be uniformly followed across the programs in the Institute as given in the UG rules and regulations.

- 7.2 In addition, a candidate shall be required to audit a course on Communication Skills and Technical Writing. However, a student, on recommendations of her/his supervisor, can be exempted by the DGC through the DPGC from this requirement. The DPGC is the final authority to grant this exemption and a communication in this regard from the convener DPGC would be treated as sufficient by the office of the Dean Academic to record the exemption.
- 7.3 It is expected that full-time and part-time students will complete their course credit requirements within two and three semesters respectively.
- 7.4 Each student will be required to take course work as prescribed by the Supervisor(s) and approved by the DGC to complete the credit requirements as given in 7.1 The credit requirements specified in the table is the minimum, however the supervisor and DGC may assign additional courses and define the credit requirements on case to case basis. The students have to comply with the instructions of the DGC. The courses shall be identified at the beginning of the semester, preferably first semester.
- 7.5 The student is compulsorily required to take “**Research Methodology**” course. This course shall be of four credits (3 credits for lectures and 1 credit for laboratory works). The minimum grade point requirement in each course is **7.0 (BD)** otherwise the student has to repeat the course.
- 7.6 The attendance requirement is 75% and all the UG rules and regulation shall be applicable in this matter.

7.7 Pattern of Courses and Credits

The courses offered for the Ph.D. Programs may be Lecture, Laboratory, Design, Self-Study, Minor Project(s) or as prescribed by the DGC.

- (i) The credits for all the available courses shall be as given in the structure of the curricula.

- (ii) Students registered for Ph.D. programs in departments not offering/running Postgraduate programs or relevant courses are not available as per her/his research area, shall be allowed to complete the course/credit requirements, through one of the following methods on the recommendation of the supervisor(s) and approved by the DGC:
 - (a) Ph.D. courses offered by the Department
 - (b) Relevant courses at pre-Ph.D./PG level available outside the department in the Institute or available through online mode,
 - (c) Self-study courses through online platform like SWAYAM, MOOCs, etc.
 - (d) Relevant U.G. courses.
- (iii) Self-study/ online Courses shall satisfy the following conditions:
 - (a) A self-study course should be preferably outside the courses listed in the Courses of Study.
 - (b) A course listed in Courses of Study but not offered in a semester may be offered as a self-study/online course in that semester.
 - (c) A course already running in a semester shall not be offered as a self-study course.
 - (d) The DGC shall examine such proposals for self-study/online courses along with the course contents, textbooks, mode of assessment and name(s) of the instructor(s) and shall intimate to DPGC.
 - (e) All self-study/online courses shall carry a maximum of THREE credits.
 - (f) A student shall not take more than two self-study/online courses per semester and not more than three during the entire Ph.D. course work.

In case, the faculty to teach the required course to Ph.D. student is not available in the department and DPGC finds it necessary to allow a Ph.D. student to take more courses through online platforms, the DPGC on the recommendation of the DGC may allow the students to take one more additional course through online mode.

- (iv) Minor project(s) shall satisfy the following conditions:
 - (a) Each minor project shall carry three credits.
 - (b) The topic/area and project-coordinator (if supervisor(s) is not willing to act as project coordinator) shall be approved by the DGC on the recommendation of the supervisor(s).

The evaluation of the self-study/online course(s)/minor project shall be done by the DGC.

- (v) In case of part-time external candidates with at least 5 years of research experience in R&D Organizations, with the special permission of the DGC and approval of the Senate, the residential requirement may be waived-off. Nevertheless, it is mandatory for such candidates to complete the course work for the prescribed number of credits through online/ guided study mode. Other requirements, like assignments, examinations etc., will remain same as prescribed for any regular course or as decided by the DGC.

7.8 The minimum CGPA requirement shall be 7.5 on a 10-point scale for eligibility to appear in the comprehensive examination and admission to the candidacy of the Ph.D. degree. If the student obtains grade point less than 7.0 (**BD**) in any course, the same shall not be considered against the prescribed credit requirements. If her/his CGPA is below 7.5, the DGC is required to deliberate on the issue, record the minutes for such cases and issue a written warning to the

student concerned with a copy to the DPGC. The DGC may permit her/him to register in more course(s)/ repeat course(s) in order to enhance her/his CGPA to 7.5 or above, subject to the condition that this should be achieved within TWO semesters, failing which s/he will not be allowed to continue in the Ph.D. program. Such cases must be reported to the office of the Dean Academic by the DGC through DPGC for further directions. The departments have to comply with the directions issued by the office of the Dean Academic. If necessary, such cases can be forwarded to SPGB/Senate/Chairperson Senate.

8. Appointment of Thesis Supervisor(s)

- 8.1 Every admitted student shall be assigned Supervisor(s) by the Department. It is expected that the supervisor(s) should be assigned by the department at the time of admission (provisionally). The list of the admitted student(s) along with supervisor(s) name shall be sent to the office of the Dean Academic for further processing.

On completion of initial registration process of the admitted student(s), the DPGC of the department is required to finalize the assignment of supervisor(s) and constitute the DGC for each student. Each student is required to fill the form **(Annexure-A)** in all respect and submit the same to the Convener, DPGC. The Convener, DPGC is required to forward all such duly filled and signed forms to the office of the Dean Academic after checking all the details and countersigned.

The office of the Dean Academic is required to timely notify all Ph.D. admissions department/center wise along with the name of the supervisor(s) and the corresponding DGC.

- 8.2 A Supervisor can be any regular faculty member of the Institute, having Ph.D. Degree. There shall not be more than **three supervisors** for any student. The joint supervisor(s) may be from inside or outside the Institute (External supervisor). Maximum two supervisors can be from the Institute and only one can be from outside the Institute, within India or abroad.
- 8.3 (i) If the joint supervisor(s) are not assigned at the time of admission, the Dean Academic, on the recommendations of the DGC/DPGC, may appoint the joint supervisor(s). Appointment of any joint supervisor(s) would not normally be made after 6 months from the date of the comprehensive examination of the Ph.D. student.
- (ii) An external supervisor should belong to academic/research/industrial organization or others engaged in research and development activities. S/he should be active in research. Retired Professors, and Scientists and Engineers from industries with research experience, may also become external supervisors. It is desirable that the external supervisor should also possess the Ph.D. degree in the relevant discipline.
- 8.4 The following shall be the minimum qualifications for the External joint supervisor other than academic institutions:
- (i) B.E./B.Tech. or equivalent and
 - (ii) 10 years Industrial experience in case of industries along-with established research credentials such as publications in research journals or patents; Otherwise Ph.D. in relevant field.
 - (iii) An external joint - supervisor, may be provided with travel support to attend the examination/evaluation of the Ph.D. student viz. comprehensive examination, state-of-art seminar, pre-synopsis or viva exam.
- 8.5 **Appointment of Supervisor(s)/Joint Supervisor(s)/Caretaker Supervisor: when original supervisor is not available;**

A faculty member appointed as a Ph.D. Supervisor is normally expected to be available to the research scholars in the Institute till the thesis is submitted. However, under unavoidable circumstances, such as long leave/resignation/retirement/death, a supervisor may not be available to the student. In such special cases, appointment of supervisor(s) will be regulated as under:

(i) Supervisor proceeds on long leave for less than 12 months

The supervisor proceeding on long leave for less than 12 months can continue to be supervisor/joint supervisor. However, on her/his recommendation, DPGC may appoint a caretaker/joint-supervisor with the consent of the student.

(ii) Supervisor proceeds on long leave of more than 12 months

(a) Where joint-supervisor (internal) exists

The supervisor proceeding on long leave for more than 12 months can continue to be supervisor or joint-supervisor, provided the DGC is convinced of effective supervision by her/him. DPGC may appoint joint supervisor as supervisor or a new supervisor/joint supervisor on the recommendation of DGC.

(b) Where joint supervisor (internal) does not exist:

- The supervisor proceeding on long leave for more than 12 months can continue to be supervisor/ joint supervisor, provided the DGC is convinced of effective supervision by her/him. In such cases, a supervisor/joint supervisor will be appointed by the DPGC on the recommendation of the DGC and with the consent of the student.
- In case, the student has completed a period of more than 24 months but has not submitted synopsis for final submission of thesis, a joint-supervisor will be appointed by the DPGC on the recommendation of the DGC and the original supervisor will continue.

(c) Synopsis of the thesis/thesis is submitted

- Provided, if the synopsis of the thesis has been submitted before the supervisor proceeds on leave, s/he will continue to be the supervisor and only a caretaker supervisor will be appointed by the DPGC on the recommendation of the DGC.
- The thesis has been submitted before the supervisor proceeds on leave, s/he will continue to be the supervisor and only a caretaker supervisor will be appointed by the DPGC on the recommendation of the DGC.
- Further, if a major revision becomes necessary, and the sole supervisor is on leave, s/he should be asked to specifically state whether s/he would effectively help the student carrying out the major revisions within a reasonable time. In case the supervisor expresses her/his inability due to one reason or the other, s/he will continue to be the supervisor and the caretaker supervisor can become the joint supervisor or new joint supervisor shall be appointed by the DPGC on the recommendation of the DGC. The recommendations have to be sent by the DPGC to the Dean Academic for necessary action.

(d) Supervisor extends leave

Provided further, if a supervisor proceeds on leave for a period less than 12 months initially, but later extends her/his leave beyond 12 months, the above procedure will be followed accordingly. The extension granting authority will inform the Dean Academic accordingly.

(iii) Supervisor retires

A faculty member who is due to retire within the next TWO years can be appointed as a Joint-Supervisor and can continue to be the Joint-Supervisor even after her/his retirement, provided the DPGC is convinced of her/his availability for continued guidance to the student. In other cases, a faculty member on retirement may continue as Supervisor/Joint Supervisor if (i) re-employed or appointed as Emeritus Fellow; (ii) the synopsis of the thesis has been submitted. Appointment of another Supervisor, if necessary, will be **as per 8.5(ii)**.

(iv) A Supervisor Resigns

A Supervisor/joint-supervisor/caretaker supervisor will be appointed, if necessary, **as per 8.5(ii)**.

(v) A Supervisor Dies

If joint supervisor from the Institute exists, s/he will be appointed as supervisor and if DGC finds necessary, new joint supervisor(s) may be appointed. If the joint supervisor from the institute does not exist, new Supervisor(s) will be appointed, by the DPGC on the recommendation of the DGC with the consent of the student.

- 8.6** The appointment or change of supervisor(s) will be communicated to the Dean Academic by the Convener, DPGC.
- 8.7** If the supervisor cancels her/his long leave before her/his candidate(s) have been assigned to the new supervisor, s/he will continue to be the supervisor.
- 8.8** The maximum number of slots for full-time/part-time students, which can be supervised by a faculty member at any time, will normally be FOUR. A faculty member of the Institute having teaching experience of more than FIVE years in CFTIs may be permitted by the DPGC to have FIVE slots. However, number of slots will be decided by the Senate from time to time.
- 8.9** A scholar being guided by two/three supervisors will be counted as **half (1/2)** slot toward the calculation of available Ph.D. slots.
- 8.10** ONE supernumerary Ph.D. candidate shall be permitted over and above the maximum limit defined in these rules provided the faculty has research project(s) and assistantship is available to the admitted candidate from the project.
- 8.11** Regular faculty member of the Institute or other NITs may be permitted to enroll in Ph.D. program of the Institute and the same shall not be counted towards the calculation of the available slots. Such cases need approval of the Dean Academic and Chairperson Senate.
- 8.12** If a faculty member of the Institute is supervising any research scholars outside the Institute, it will also be counted towards the calculation of the available slots. The faculty member is required to inform the HOD in advance and no explicit permission is required for such guidance of Ph.D. scholars.

9. Comprehensive Examination

- 9.1** Each student will be required to take a comprehensive examination, which will test the student's comprehension of her/his broad field of research and academic preparation and potential to carry out the proposed research plan. The comprehensive examination will have TWO components –

(i) written examination and (ii) state-of-art seminar. The examination will be conducted by the concerned DGC. A student will be allowed to apply for the comprehensive examination, only if s/he has secured **CGPA 7.5** or more in the course work and the DGC of the candidate recommends so.

State-of-Art Seminar: Every Ph.D. student is required to give a seminar in the Department covering the State-of-Art of the area of research. This seminar must be presented before the DGC within one month from the successful completion of written examinations component of comprehensive examination. This may include literature survey, problem definition, research plan, methodology, etc. as per the directions of the supervisor(s)/ DGC/ DPGC/ SPGB/ Dean Academic.

9.2 The following procedures are to be uniformly followed by all the Departments in conducting the comprehensive examination for each Ph.D. student.

- (i) A student should first clear the requisite Ph.D. course work as assigned by the DGC.
- (ii) The written examinations should then be conducted by the concerned DGC of the student within the guidelines laid down by the respective DGC/DPGC.
- (iii) The examination will consist of minimum ONE written paper on the specific area chosen by the candidate and will be of **4 hours** duration.
- (iv) The result of the written examination should be declared within TWO weeks by the supervisor.
- (v) After the student has passed the written examination, the state-of-art seminar should be conducted by the concerned DGC for evaluation of the research proposal submitted by the candidate within ONE month.

9.3 The DGC on the basis of the performance of the student in the examination will make one of the following recommendations to the Convener DPGC in the approved form (**Annexure-B**):

- (i) The written examination
 - (a) Passed
 - (b) To reappear in the examination after a defined period of time specified by the DGC.
 - (c) Failed
- (ii) Research Plan
 - (a) Approved
 - (b) To re-submit the research plan keeping in view suggestions of the Committee and to be evaluated after a defined period of time.
 - (c) Not approved

The final recommendations for the comprehensive examination in the prescribed form shall be forwarded to the office of the Dean Academic by the Convener, DPGC within TWO weeks for necessary action.

9.4 A student will be provided a maximum of TWO attempts to pass the comprehensive examination in each component.

9.5 A full-time and part-time student must clear the comprehensive examination **within 24 and 30 months** respectively from her/his date of joining the program, failing which her/his registration shall be cancelled.

9.6 In extra ordinary circumstances, additional SIX- months relaxation may be given by the Dean Academic on the recommendation of DGC/ DPGC/SPGB.

9.7 A student will be considered to have passed the comprehensive examination if all except one member of the DGC are satisfied with student's performance in the examination.

- 9.8 When a student has not passed the comprehensive examination in her/his first attempt, a second comprehensive examination will be conducted by the DGC. A student shall not be allowed to appear in the comprehensive examination more than TWICE. In case the candidate fails to clear comprehensive examination in TWO attempts, s/he shall be deemed to unfit for the Ph.D. program and shall be terminated from the Ph.D. program. The convener DGC shall report such cases to the convener DPGC and HOD. The convener DPGC/ HOD shall issue the letter of termination to the student in this regard. A copy of the same shall be communicated to the office of the Dean Academic. The office of the Dean Academic shall issue the order in this regard. All such cases shall be brought to the notice of the Senate.

10. Eligibility for the Student to become a Research Scholar

- 10.1 Application to become a research scholar shall be made by the student to the Dean Academic in the prescribed form **(Annexure-C)** soon after having passed the comprehensive examination.
- 10.2 A student shall be formally registered as a research scholar for the Ph.D. degree after s/he has complied with the following:
- (i) has completed her/his course work with a minimum CGPA as stipulated in this Rules and Regulations,
 - (ii) has passed the comprehensive examination,
 - (iii) has submitted an approved research plan.

11. Performance Monitoring

- 11.1 The academic/research progress of each research scholar will be monitored by the DGC. Each research scholar is required to submit a progress report at the end of each semester to her/his supervisor(s). On receipt of the progress report, the supervisor(s) shall arrange with the DGC for a review meeting. The DGC will evaluate the progress of the research scholar.
- 11.2 The report in the prescribed form **(Annexure D)** shall be filled and signed by the student/research scholar and the DGC. Based on the performance evaluation, the DGC shall award the grades and forward the progress report to the Dean Academic through Convener DPGC. The supervisor (Convener DGC) shall be responsible for timely submission of the progress report to the Dean Academic.
- 11.3 **'S' grade** shall mean satisfactory performance and **'X' grade** shall mean unsatisfactory performance.
- 11.4 At the end of the semester, the progress evaluation of each research scholar shall be carried out by the DGC and FOUR letter grades will be assigned based on the performance of the research scholar. The DGC may assign one of the following combinations: SSSS, SSSX, SSXX, SXXX, and XXXX.
- 11.5 A student will not be allowed to continue in the Ph.D. program if;
- i. S/he does not have CGPA of at least 7.5 in the assigned course work.
 - ii. S/he accumulates EIGHT or more 'X' letter grades.
 - iii. Student is found involved in any indisciplinary activity/misconduct, or liable for major penalty recommended by the concerned committee/ board.

The convener DGC shall report such cases to the convener DPGC and HOD. The convener DPGC/ HOD shall issue the letter of termination to the research scholar. A copy of the same

shall be communicated to the office of the Dean Academic. The office of the Dean Academic shall issue the order in this regard. All such cases shall be brought to the notice of the Senate.

- 11.6 Convener DGC shall issue a warning to such a research scholar when s/he accumulates FOUR or more 'X' with intimation to the convener DPGC and HOD. The convener DGC and DPGC are required to keep such records.
- 11.7 Submission of progress report shall continue till submission of the thesis.

12. Eligibility and Time Period Required for Thesis Submission

The candidate can submit the Ph.D. thesis provided:

- 12.1 The research scholar submits proof of acceptance/publication in her/his area of research, satisfying at least one of the following eligibility criteria:
- (i) ONE paper in SCOPUS/SCI/SCIE/SSCI/ESCI/AHCI journal and TWO papers published in reputed conferences
 - (ii) TWO papers in SCOPUS/SCI/SCIE/SSCI/ESCI/AHCI journals
 - (iii) ONE patent accepted

The above-mentioned criteria specifies the minimum requirement to ensure the quality of research work, however the decision of the supervisor(s)/ DGC shall be the final and binding on the research scholar.

- 12.2 Satisfactory performance in the presentation of **pre-synopsis seminar** and submission of approved synopsis to the office of the Dean Academic.
- 12.3 The minimum duration for submission of the thesis for a full time research scholar is normally **THIRTY (30) months** and for a part time research scholar **THIRTY SIX (36) months** from the date of her/his initial registration in the program. In exceptional cases, the minimum duration for submission of the thesis may be **TWENTY FOUR (24) months** and **THIRTY (30) months** respectively with the approval of the SPGB and the Senate.
- 12.4 The candidate of any category shall normally submit her/his thesis within a period of **FIVE** years from the date of her/his initial registration in the Ph.D. Program. However, this limit may be extended on yearly basis to a maximum of **SEVEN** years by the Dean Academic on the recommendation of the DGC through the DPGC.
- 12.5 If research scholar fails to submit her/his Ph.D. thesis on completion of **SEVEN** years, her/his registration from the Ph.D. program shall stand cancelled.
- 12.6 On the recommendation of the DGC/DPGC through SPGB, the Senate may grant an extension of one more year, if convinced. Further extension, if required, shall be given on the recommendation of a committee constituted by the Senate/ Chairman Senate and approval of the Senate. The committee will consist of an external expert, DGC, Convener DPGC, and convener SPGB.

13. Pre-Synopsis Seminar, Synopsis and Panel of Examiners

- 13.1 Holding of Pre-Synopsis Ph.D. seminar is an essential requirement before finalizing the thesis on the completion of the research work. The purpose of the pre-synopsis seminar by each research scholar is to invite comments/suggestions to be incorporated in her/his thesis. This will be an open seminar and shall be presented before the DGC, convener DPGC and invited members. On completion of the research work, as prerequisite to pre-synopsis seminar, the research scholar is required to submit copies of the synopsis including bibliography to all the

members of the DGC and convener DPGC through supervisor(s). The DGC shall assess the work and the synopsis; if satisfied, may permit the research scholar to deliver the pre-synopsis seminar. Otherwise, a revised synopsis as per the direction of the DGC shall be submitted. A notice of the seminar must be displayed at least ONE week in advance by the convener DGC. All the faculty members and students shall be invited.

13.2 Synopsis of the Thesis:

- (i) A research scholar is allowed to submit the synopsis of the thesis on satisfactory performance in the presentation of pre-synopsis seminar as judged by the DGC.
- (ii) The synopsis of the thesis should be submitted normally within ONE month after the presentation of pre-synopsis seminar in the prescribed format (**Annexure-E**). In case the synopsis is not submitted in the specified period, the research scholar will be asked to present the pre-synopsis seminar again.
- (iii) The convener DGC will forward the synopsis (both printed and soft copy) along with recommendations and the suggested list of examiners to the Dean Academic, through Convener DPGC. (**Annexure F**)
- (iv) The research scholar shall submit the synopsis of her/his work normally at least THREE months before submission of the thesis.
- (v) There is no bar to the inclusion of name of supervisor(s) and list of publications arising out of research in the synopsis.

13.3 A thesis can be submitted only after the satisfactory fulfillment of the requirements but not later than THREE months from the date of submission of synopsis to the Dean Academic. If the thesis is not submitted within three months, then the pre-synopsis seminar delivered earlier shall stand cancelled and the research scholar has to comply with the requirements again. However, in case a research scholar fails to submit her/his thesis within the stipulated time and has suitable justification for the same, the Dean Academic on the recommendations of the DGC through convener DPGC may grant her/him ONE month extension i.e., the research scholar shall be allowed to submit her/his thesis within a period not exceeding FOUR months from the date of submission of the synopsis.

13.4 Panel of Examiners for Ph.D. Thesis

A panel of at least EIGHT experts in the area of the Ph.D. thesis will be suggested by the supervisor(s) and will be sent to the Dean Academic in a sealed envelope along with the synopsis as per the directions of the office of the Dean Academic. The panel shall include 50% of the experts from outside India. The list of examiners will be sent to the office of the Dean Academic in the prescribed format (**Annexure F**)

14. Ph.D. Thesis Examination Board

14.1 The Ph.D. thesis evaluation shall consist of TWO phases (a) Thesis Examination and (b) Thesis Oral Defense Examination (TODE). The examination board for thesis examination shall consist of THREE or more members. The constitution of the **thesis examination board** shall be as given below:

- (i) Thesis supervisor(s) as internal examiner(s)
- (ii) One external examiner from within India and
- (iii) One external examiner from abroad.

These external examiners shall be chosen normally from the panel of examiners recommended by the thesis supervisor(s). A person working in the same laboratory(s)/Institution(s) where the

research scholar is employed shall not be appointed as an External Examiner for evaluating the thesis of that research scholar. Further, no person can be appointed as External Examiner from the Laboratory/Institution to which the Supervisor/Joint-supervisor(s) of the research scholar belongs. All the examiners must hold a Ph.D. degree.

- 14.2 The Chairperson Senate in consultation with Dean Academic will select the examiners to examine the Ph.D. thesis. If considered necessary, the Chairperson Senate may ask to provide additional names of the examiners from the Supervisor(s)/DGC/Dean Academic or may appoint the examiners as deemed fit to ensure proper evaluation of the thesis.
- 14.3 In case, Dean Academic is the supervisor of the student concerned, the Chairperson Senate may consult Convener SPGB for the selection of the examiners. If the Chairperson Senate is the supervisor, then the Dean Academic will approve the board in consultation with Convener SPGB. In special circumstances, the directions from the Chairperson Senate for appointment of the board may be taken.
- 14.4 There is no bar to the appointment of ex-student of the supervisor(s) on the Board of Examiners provided that the concerned ex-student had received the Ph.D. Degree under her/his supervision at least FIVE (5) years earlier.
- 14.5 The names of the members of the thesis examination board shall be kept confidential till successful completion of the TODE. On completion of the Ph.D. thesis examination, the office of the Dean Academic will send the examiners' evaluation reports to the thesis supervisor(s) along with the names of the members of the Thesis Oral Defense Examination Board (**TODEB**).

15. Thesis Submission

The thesis should bear evidence of the research scholar's capacity for analysis and judgment as well as her/his ability to carry out independent investigation, design or development. No part of the thesis should have been submitted for the award of any other degree or diploma.

- 15.1 The thesis shall be written in the prescribed format (**Annexure-G**) and shall contain a critical account of the research scholar's work. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or a combination of these. It should bear the evidence of the research scholar's capacity for analysis and judgment as well as her/his ability to carry out independent investigation, design or development.
- 15.2 Plagiarism Verification: Before submitting the thesis, the research scholar is required to check the thesis for plagiarism and has to generate a plagiarism report. The plagiarism report must be duly signed by the research scholar and verified by the supervisor(s). The plagiarism may be checked as per the directions issued by the Dean Academic from time to time. The approved thesis along with the plagiarism report will be submitted to the office of the Dean Academic.
- 15.3 The research scholar is required to submit:
 - (i) Prescribed fee for thesis evaluation.
 - (ii) FOUR or FIVE copies of the thesis in Soft binding (depending on the number of supervisor(s))
 - (iii) Electronic version of the thesis in PDF format on the official e-mail of the Dean Academic and on electronic media as per directions of Dean Academic.

16. Thesis Evaluation

- 16.1 After the synopsis has been submitted and the thesis examination board is constituted by the Chairperson Senate, the Dean Academic will send a confidential letter/email to each approved examiner of the thesis examination board enclosing a copy of the synopsis and requesting her/him to serve as an examiner for the thesis preferably using electronic media. If either of the examiner refuses or no response is received within FOUR weeks (with a reminder being sent after TWO weeks), then steps will be taken to appoint another examiner.
- 16.2 On receipt of the acceptance of examinership a copy of the thesis along with a thesis evaluation form (**Annexure-H**) for the examiner's report will be sent to each examiner preferably using electronic media or as desired by the examiner(s).
- 16.3 In case, Dean Academic is the supervisor of the research scholar concerned, above processing will be carried out by the convener, SPGB.
- 16.4 In case, both the convener SPGB and Dean Academic are the supervisors of the research scholar concerned, above processing will be carried out by the Dean R&C/ convener SUGB.
- 16.5 Each examiner will be requested to submit a detailed evaluation report and her/his recommendations in the prescribed form to the Dean Academic within EIGHT weeks from the date of receiving the thesis.
- 16.6 (i) Each examiner is required to give her/ his opinion about the research scholar's capacity for critical examination and sound judgment. All examiners will submit the reports in the prescribed form clearly stating that:

Category - I	Thesis is recommended	(a) The thesis is recommended for the award of the Ph.D. degree in the present form.
		(b) The thesis is recommended for the award of Ph.D. Degree subject to minor corrections such as punctuation, grammar, spelling or language, minor technical mistakes, minor queries. The corrections/queries shall be addressed at the time of the Thesis Oral Defense Examination.
Category - II	A revision is proposed in the Thesis	(a) I reserve my decision based on response of the research scholar to the major revisions/queries requiring rewriting a portion/chapter of the thesis and incorporating suggested additional works. (Please note that the response of the research scholar will be sent to you for final decision).
		(b) The research scholar be required to re-submit her/his thesis in the revised form (please provide the suggestions for revision).
Category - III	The Thesis is rejected	The thesis is rejected outright (please provide detailed report with justification for rejection).

- (ii) (a) If both the external examiners recommend acceptance of the thesis, their recommendations shall be accepted.
- (b) If both external examiners recommend rejection, their decisions shall be accepted. The candidate may, however, be allowed to resubmit the thesis normally after ONE year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the revised thesis with fresh examiners.
- (c) If one of the external examiner recommends rejection, the thesis shall be sent to another external examiner of the same category (within/outside India) for evaluation.

- (d) In case one examiner recommends revision of the thesis, the thesis would be revised and resubmitted within THREE (3) months. The revised version of the thesis shall be sent to the concerned examiner for recommendations.
- (e) If the research scholar does not agree for revision, s/he may ask for appointment of another external examiner along with her/his rebuttal. The new external examiner appointed, shall be Indian or Foreign depending on whether the thesis was asked to be revised by an Indian or a foreign examiner in the first instance. The reports of all the examiners along with the rebuttal of the candidate shall be sent to her/him without revealing the identity of the examiners. The thesis shall be deemed to be acceptable, if the third external examiner recommend acceptance.

If the third external examiner recommends revision, the thesis would be suitably revised and resubmitted within THREE (3) months and sent for examination to all the examiners except to the one in whose place the third external examiner was appointed.

In case the third external examiner recommends rejection or her/his recommendations for revision are not accepted by the candidate, **the thesis shall be rejected**. The candidate may then avail the benefit of **sub-clause [16.6 (ii) b]** above.

- (f) If both the external examiners recommend revision of the thesis, the candidate may revise the thesis accordingly and resubmit normally within THREE months for the evaluation by the same set of examiners.
 - (g) If one external examiner recommends rejection and other external examiner recommends revision of the thesis, the research scholar may revise the thesis and resubmit it normally within THREE months, for evaluation by a third external examiner in place of the external examiner who recommended rejection and the original external examiner who recommended revision. The third external examiner appointed, shall be from India or outside India depending on whether the thesis was rejected by an examiner from India or abroad in the first instance.
- (iii) The supervisor(s) can use their discretion regarding incorporation of suggestions given by the examiners and will be incorporated in the thesis to the satisfaction of the TODEB. The research scholar is required to give satisfactory answers to the queries mentioned in the examiners' reports at the time of the TODE.
 - (iv) Any doubt, arising out of the procedure laid down in **rule-16.6**, shall be referred to the Chairperson Senate/Director for decision/directions.
 - (v) In case of ambiguous recommendations by the external examiner, Dean Academic will approach the examiner for a clear recommendation. In case clear recommendation is not forthcoming, the matter may be referred to the Chairperson Senate for decision.
- 16.7 In case, the evaluation report is not received from an external examiner within a period of EIGHT weeks, the Chairperson Senate may appoint another external examiner from the same category in her/his place for evaluating the thesis.
- 16.8 In case, the research scholar is required to submit the revised thesis, s/he shall in normal circumstances, submit the same normally within a period of THREE months from the date of communication from the Dean Academic. However, the total revision time irrespective of the number of revisions allowed shall not exceed a period of two years.
- 16.9 In case of rejection/revision of the thesis, the concerned examiner need to provide a detailed report clearly stating the reasons for rejection and suggestions for the revision.

17. Thesis Resubmission

- (i) In case, re-evaluation of the thesis is needed, thesis evaluation fee shall be paid by the research scholar again.
- (ii) No research scholar shall be allowed to resubmit the same thesis more than once.

18. Thesis Oral Defense Examination Board (TODEB)

- 18.1 The TODEB shall consist of the members from the Ph.D. thesis examination Board for conduct of the Ph.D. thesis oral defense examination (viva voce examination):
- (i) External examiner from India and
 - (ii) Thesis supervisor(s) from the Institute
- 18.2 The joint external supervisor from India (outside the Institute) may also attend the examination board and will be paid TA/DA as per the Institute rules. The TODEB shall be an open seminar and all the faculty members and students will be invited to attend the same. However, the questions/queries can be asked by the examination board only. The faculty/students present may also be allowed to ask few questions by the board but shall not be considered towards evaluation of the same. The joint external supervisor(s) outside India may join the viva-voce examination remotely. The convener DPGC may also be present and has to forward the recommendations of TODEB to the Dean Academic for further action.
- 18.3 If the thesis is recommended for the award of degree, the candidate shall be required to defend her/his work/thesis orally before the duly constituted TODEB. The conduct of the examination shall be adequately notified so as to enable interested faculty/staff members and students to attend the same.
- 18.4 The supervisor(s) shall be the convener of the TODEB and will fix the date of the oral defense examination in consultation with the members of the board and intimate the date to the Dean Academic.
- 18.5 If a member of the TODEB communicates her/his inability to be present or fails to be present on the specified date and time, the Dean Academic may appoint a substitute in consultation with the thesis supervisor(s) with the approval of the Chairperson senate.
- 18.6 As all the internal supervisors are examiners, the presence of one supervisor from the Institute is mandatory to conduct the oral defense examination.
- 18.7 In case of the inability of the internal examiner(s) to have the oral defense examination conducted due to any reason whatsoever, the Chairperson Senate may appoint another Internal Examiner(s) from amongst the faculty of the department concerned in consultation with the Dean Academic and Head of the Department concerned to conduct the TODEB. In such cases also, the Ph.D. work will be deemed to have been carried out under the guidance of the supervisor(s) only and there shall be no change in the name(s) of the supervisor(s).
- 18.8 A copy of the examiners' report and the revised thesis shall be made available to each member of the TODEB in advance.
- 18.9 The TODEB shall:
- (i) Examine the thesis evaluation reports.
 - (ii) Examine the revised thesis and ensure that the necessary modifications have been incorporated.
 - (iii) Prepare the report in the prescribed format.
 - (iv) The supervisor(s) shall ensure that the report is prepared properly and signed by the members.

- 18.10 The supervisor after completing all the formalities of TODE shall send all the necessary documents/reports to the Dean Academic through the Convener DPGC.
- 18.11 If all the members declare pass, the student shall be recommended for the award of the Ph. D. degree to the Dean Academic in the prescribed format (**Annexure-I**).
- 18.12 If a candidate does not perform satisfactorily s/he will be given another chance to defend her/his thesis before the TODEB within next THREE (03) months.
- 18.13 If there is a difference of opinion among the members of the TODEB, the recommendations shall be placed before the Chairperson Senate by the Dean Academic for final decision. The Chairperson Senate may either direct that a fresh TODE be held or recommend acceptance or otherwise to the Senate.
- 18.14 On receipt of the report that the student has passed the oral examination, the Dean Academic will recommend to the Senate for award of the Ph.D. degree, and the degree may be conferred upon the candidate after approval by the Senate/Chairperson Senate.
- 18.15 If the TODEB recommends that “the degree shall not be awarded” to the candidate, the matter shall be brought to the notice of the Senate/Chairperson Senate for further action by the Dean Academic. In this case, the TODEB has to provide detailed report with valid reasons for not recommending the award of the Ph.D. degree to the research scholar.
- 18.16 After successful completion of oral defense examination, the research scholar shall submit two hard bound copies and a soft copy (PDF) in pen drive of the approved thesis to the office of the Dean Academic. The office of the Dean Academic will send one copy of the same to the concerned department and another copy to the Institute library for record.
- 18.17 The hard bound copies of the approved thesis must contain the following copyright certificate in the beginning of the thesis on the back side of the first page (next to cover page – Inner Title Page):
- © NATIONAL INSTITUTE OF TECHNOLOGY SIKKIM, COPYRIGHT © 20.. ALL RIGHTS RESERVED
- 18.18 The research scholar, supervisor(s) and the Institute shall own the copyright on the thesis.
- 18.19 The date of completion of the Ph.D. for all purposes shall be the date of successful conduct of TODE. It shall be the responsibility of the supervisor(s) to send recommendation of TODEB on the same day or the next working day.
- 18.20 Any other matter not explicitly covered herein or of an exceptional nature, may be referred to the Senate/Chairperson Senate for directions/decisions.

19. Award of Ph.D. Degree

The Degree shall be awarded by the Senate provided that:

- (i) The TODEB so recommends;
- (ii) The research scholar has produced a duly signed 'No Dues Certificate' in the prescribed form;
- (iii) The research scholar has submitted the thesis after incorporating all necessary corrections/ modifications and approved by the TODEB;
- (iv) Has submitted the approved thesis to the office of the Dean Academic as per directions.

20. Attendance and Leave

A research scholar will be entitled to avail leave as per Leave Rules/Attendance Rules formulated and amended from time to time by the Institute. Presently these Rules are as under:

ATTENDANCE

The research scholars shall abide by the rules and regulations of the attendance requirements.

LEAVE

- (i) A full-time Ph.D. scholar during her/his Ph.D. program will be entitled to take leave for 30 days per academic year and it is noncumulative in nature.
- (ii) In addition, medical leave (if any) shall be granted in case the research scholar has been hospitalized and leaves are not due. The application for medical leaves has to be supported by admission and discharge certificate issued by the hospital failing which this clause will not be applicable.
- (iii) The research scholars shall be eligible for Maternity/Paternity Leave with assistantship as per Government of India guidelines.
- (iv) During course work, a full-time Ph.D. student is required to attend the classes regularly and has to comply with attendance requirements. It is expected that s/he will not take any leave during the classes.
- (v) Research scholars shall not be entitled for summer and winter vacations.
- (vi) Leave beyond 30 days will be without assistantship.
- (vii) The leave shall be subjected to the approval of the supervisor(s) with intimation to the HOD/Centre Head/ Program Coordinator concerned.
- (viii) **Absence without authorized leave:** This will result in loss of assistantship for double the period of actual absence from the Institute. It may also result in the termination of the registration on the recommendation of the DGC/DPGC and approval of the convener SPGB. In such cases, the student has to re-register by paying requisite fine as decided by the Institute. Repeated offence will result in permanent withdrawal of assistantship and/or termination from the Ph.D. program.

21. Permission to Proceed to Other Institutions as Non Degree Students

In order to help students broaden their horizons and enrich their cultural and academic experience, provision to proceed to other academic /research institutions and industries of repute in India or abroad as non-degree student shall be made available with the approval of the Dean Academic on the recommendation of DGC/DPGC and Convener SPGB.

The guidelines to be followed for availing this provision are as follows:

- (i) For permission to spend time as a non-degree student elsewhere, an eligible student shall make a request to the SPGB through the DGC/DPGC and the thesis supervisor, duly supported by a statement of purpose to undertake the proposed work and sufficient information about the department/institution for that purpose. The Convener SPGB may grant the permission with the approval of Dean Academic, if deemed fit.
- (ii) Other rules and regulations for such students shall be the same as given in the UG Rules and Regulations.

22. Grading System

The grading system will be uniformly followed across the programs in the Institute as given in the UG rules and regulations.

23. Withdrawal from Semester/Courses

- 23.1 The student/ research scholar shall be permitted to take semester withdrawal with the approval of the Dean Academic on the recommendations of DGC/DPGC. No assistantship shall be payable for any period of absence from the Institute in such cases.
- 23.2 Other rules and regulations in this respect shall be the same as given in the UG Rules and Regulations.
- 23.3 If a student/research scholar withdraws from her/his Ph.D. program or her/his registration is terminated, her/his student/candidate status shall cease. If such a candidate is readmitted, s/he may be given weightage of the credits acquired during the previous registration on the recommendation of the DGC through the DPGC except in the case of termination on disciplinary grounds.

24. Cancellation of Registration/Termination

- 24.1 The major reasons for cancellation of registration and/or termination from the Ph.D. program for a student/research scholar are summarized here for reference only. However, the actions/penalty given under various sections of these Rules and Regulations shall be applicable.
 - (i) If s/he is absent for a continuous period of FOUR (04) weeks without prior intimation/sanction of leave.
 - (ii) If s/he decides to withdraw from the Ph.D. Program.
 - (iii) If s/he fails to renew her/his registration in any semester subject to the provisions contained in these Rules and Regulations.
 - (iv) If s/he does not clear the comprehensive examination.
 - (v) If her/his academic progress is found unsatisfactory by the DGC/DPGC.
 - (vi) If her/his CGPA is below 7.5 in the course work.
 - (vii) If s/he is found involved in an act of misconduct and/or indiscipline.
 - (viii) The termination is recommended for any other reasons.

25. General

Notwithstanding anything contained in this manual of Rules and Regulations, the Senate of National Institute of Technology Sikkim, reserves the right to modify/amend any rule and regulation without notice. The amended Rules and Regulations shall be applicable as decided by the Senate. All categories of the students/ candidates/ research scholars shall be governed by the Rules and Regulations, procedures laid down by the Senate from time to time.

26. Interpretation

Any doubt or dispute arising out of interpretation of any rule and regulation shall be referred to the Chairperson Senate whose decision shall be final and binding. Notwithstanding all that has

been stated above, the Senate reserves the right to modify/clarify any of the rule, regulation and procedure laid down from time to time.

NATIONAL INSTITUTE OF TECHNOLOGY SIKKIM

FORM FOR APPOINTMENT OF SUPERVISOR(S) AND DGC

DEPARTMNT OF

- A:** 1. Name of the student:
 2. Enrollment No.: 3. Date of Initial Registration:
 4. Registration Status (Please Tick): ☐ Full-Time ☐ Part-Time
 5. Proposed area of research:

Date:

Signature of Research Scholar

B: Appointment of Supervisor(s)

S. No.	Name and Designation	Affiliation	Signature
1.			
2.			
3.			
4.			
5.			

C. Doctoral Guidance Committee (DGC) (Please mention the name and designation)

- | | | |
|-------|--|-----------|
| (i) | Supervisor | Convener |
| (ii) | Joint-Supervisor(s) [#] (if any) OR One expert in the field of research from the Department | Member(s) |
| (iii) | One faculty from the Department | Member |
| (iv) | One Institute faculty member from outside the Department to which the student belongs | Member |
| (v) | An expert from outside the Institute (optional) [#] | Member |

[#] A joint supervisor and an expert from outside the Institute may attend the DGC meeting online.

D. Recommendation of the Departmental Post Graduate Committee (DPGC)

The DPGC recommends the appointment of the supervisor(s) and constitution of DGC as above.

(Name & Signature with Date of Convener DPGC)

(For use of Academic Section only)

Particulars of the student have been verified. Submitted for the approval to the Dean Academic.

AR (Academic)

Dean Academic

NATIONAL INSTITUTE OF TECHNOLOGY SIKKIM

COMPREHENSIVE EXAMINATION AND APPROVAL OF RESEARCH PLAN

DEPARTMENT OF

1. Full Name in English (IN BLOCK LETTERS):

.....

2. Enrollment No.: 3. Date of Initial Registration:

4. Registration Status (Please Tick): ☐ Full-Time ☐ Part-Time

5. Research Topic

(Tentative):
.....

The Doctoral Guidance Committee (DGC) conducted the comprehensive Examination of the student and recommendations are given below:

Part A: Written Examination

Attempt 1: Date: Status: ☐ PASS ☐ FAIL

Attempt 2 (If applicable): Date: Status: ☐ PASS ☐ FAIL

Part B: State-of-Art Seminar and Research Plan

(Applicable only if student PASSED in Part-A)

State-of-Art Seminar:

Attempt 1: Date: Status: ☐ SATISFACTORY ☐ REPEAT

Attempt 2: Date: Status: ☐ SATISFACTORY ☐ NOT SATISFACTORY

Research Plan:

Based on her/his satisfactory state-of-art seminar, the DGC recommends that:

- (i) The research plan is **approved** for the submission on (Date)
- (ii) The student be asked to re-submit a research plan latest by(Date) after incorporating all the suggestions by the DGC. (as per details enclosed).
- (iii) The research plan is **not approved**.

On the basis of the performance of the student in both written examination and state-of-art seminar, the DGC awards (**PASS/FAIL**) grade to the student in the Comprehensive Examination and permits the student to submit the approved research plan (enclosed).

(Name & Signature with Date of DGC Members)

(Convener DPGC)

(Dean Academic)

NATIONAL INSTITUTE OF TECHNOLOGY SIKKIM**APPLICATION FORM FOR REGISTRATION AS Ph.D. RESEARCH SCHOLAR****DEPARTMENT OF**

1. Full Name in English (IN BLOCK LETTERS)
2. Full Name in Hindi:
3. Enrollment No.: 4. Date of Initial Registration:
5. Registration Status (Please Tick): ☐ Full-Time ☐ Part-Time
6. **Details of Course Work Completed:**

Session	Semester	Course Code	Course Title	Credit	Grade
Total Credit Earned:			Average CGPA:		

7. Research Topic (Tentative):.....
.....

Date:**Signature of the Student**

8. It is certified that the student has passed the comprehensive examination on (Date) and the research plan is approved by the DGC on (Date). The DGC recommends that the student be registered as a research scholar.

(Name & Signature with Date of supervisor(s))

9. The recommendations of the DGC are forwarded for the approval and to register the student as a research scholar.

(Name & Signature with Date of the Convener DPGC)

(For use of Academic Section only)

The particulars of the student have been verified. The comprehensive examination has been completed within the stipulated time limit. The above recommendations are submitted for the approval.

Assistant Registrar (Academic)**Dean Academic**

NATIONAL INSTITUTE OF TECHNOLOGY SIKKIM

PROGRESS REPORT OF STUDENT/ Ph.D. RESEARCH SCHOLAR

DEPARTMENT OF

PART A: TO BE FILLED BY THE STUDENT/ RESEARCH SCHOLAR

1. Full Name in English (In Block Letters):
2. Enrollment No.: Registration Status: ☐ Full-Time ☐ Part-Time
3. Date of Initial Registration: 4. Date of Award of Ph.D. Candidacy:
5. Present Semester: 6. Email ID:
7. Ph.D. Topic:
.....

It is certified that the brief progress report along with list of publications is enclosed.

It is also certified that I am receiving scholarship from the Institute and not receiving/received any financial assistance (emoluments, salary, stipend etc.) from any other source during this period.

Date:

Signature of Student

PART B: TO BE FILLED BY THE SUPERVISOR(s)

8. (i) Performance is Satisfactory ☐ (ii) Performance is Unsatisfactory ☐
9. Registration beyond 5 years/ Termination of registration is recommended on account of:
.....
10. Progress Report:

Progress Report	1	2	3	4	5	6	7	8	9	10	11	12
Report submitted (YES/NO)												
Grade Awarded												

Note:

- Possible Grade SSSS, SSSX, SSXX, SXXX, XXXX, where, **S** denotes satisfactory and **X** denotes Unsatisfactory. Please refer the section no. 11 of R&R Ph.D. Program.
- Convener DGC shall issue a **warning** to such a student/ research scholar when s/he accumulates **FOUR or more 'X'** with intimation to the convener DPGC and HOD.
- A student will not be allowed to continue in the Ph.D. program if;
 - (i) S/he does not have CGPA of at least 7.5 in the assigned course work.
 - (ii) S/he accumulates **EIGHT or more 'X' letter grades**.
 - (iii) Student is found involved in any indisciplinary activity/misconduct, or liable for major penalty recommended by the concerned committee/ board.

.....
(Name & Signature with Date of Supervisor(s))

PART C: RECOMMENDATIONS OF DGC**Grade Awarded:** ☐ ☐ ☐ ☐

Certified that the candidate continues to fulfill the requirements prescribed for Full Time/ Part-Time research scholar.

(Name & Signature with Date of the Members of DGC)

PART D: OFFICIAL USE (DEPARTMENT)

The recommendations of the DGC are forwarded.

(Name & Signature with Date of Convener DPGC)

PART E: OFFICIAL USE FOR ACADEMIC SECTION

Based on the progress report and recommendations of the DGC for semester for the period from to, the research scholar/Ph. D. student is PERMITTED /NOT PERMITTED to continue in her/his Ph.D. program.

Assistant Registrar

Dean Academic

Points to be noted:

1. The progress report is to be submitted after every 6 months/semester for the continuation in Ph.D. program.
2. Apart from poor performance, the termination from Ph. D. program may also be recommended on account of the reason(s) given by the supervisor/DGC.
3. A copy of this form is to be retained by the Convener DGC (supervisor).
4. The progress report duly filled in by the student concerned, supervisor(s) and DGC is to be sent to the Academic Section for further processing.

NATIONAL INSTITUTE OF TECHNOLOGY SIKKIM

FORMAT OF APPLICATION FOR SUBMISSION OF THE SYNOPSIS

DEPARTMENT OF

1. Full Name in English (IN BLOCK LETTERS):
2. Address for
Communication:
.....
3. Enrollment No.: 4. Date of Initial Registration:
5. Registration Status : ☐ Full-Time ☐ Part-Time 6. E-mail id
7. Title of the
Thesis.....
.....

I certify that:

- (i) All the requirements for submission of my Ph.D. thesis has been completed.
- (ii) I am submitting 06 copies of the synopsis of my Ph.D. thesis.
- (iii) I have mailed the PDF file of the synopsis to mail Id: academicoffice@nitsikkim.ac.in
- (iv) The work presented in the thesis has not been submitted previously for the award of any degree.
- (v) My address for communication and e-mail id are correct. I also undertake that I will inform the office of Dean Academic change of address, if any.

Date:

Signature of the Student

It is certified that the research scholar has completed the following successfully:

- (i) Comprehensive Examination (ii) Pre-Synopsis Seminar (iii) Synopsis of the Thesis with Title

The DGC approves the submission of the synopsis on (Date). Hard and Soft Copies of the same along with other documents are enclosed.

(Name & Signature with Date of the DGC Members)

This is certified that the above research scholar has carried out the research work under my/our supervision during the period (Date of Initial Registration) to (Date of Approval of the Synopsis) The panel of examiners as per the rules and regulations is enclosed with the synopsis in a sealed envelope.

(Name & Signature with Date of Supervisor(s))

Forwarded for necessary action.

Convener DPGC**Academic Section**

The particulars of the student and other details are verified. The synopsis and panel of examiners are received. The synopsis may be sent to the examiners for the consent for thesis evaluation.

Assistant Registrar (Academic)

Dean Academic

The case is placed for finalization and approval of the examiners and permission to send the synopsis to the examiners as per rules. The thesis shall also be sent to the examiners as per rules on received of their consent.

(Signature)

Director & Chairperson Senate

NATIONAL INSTITUTE OF TECHNOLOGY SIKKIM

PANEL OF EXAMINERS FOR PH.D. THESIS (To Be Submitted Along with The Synopsis)

Full Name of Research Scholar in English (In Block

Letters)

Enrollment No.:

Department:

Title of the Thesis.....


.....

Details of Examiner(s): (To be filled by Supervisor(s)) **(Panel should have minimum 4 names from abroad and within India.)**

S. No.	Name, Designation, Address, E-mail ID and Contact No. (Examiners from Abroad)	Name, Designation, Address, E-mail ID and Contact No. (Examiners from India)
1		
2		
3		
4		

(Name & Signature with Date of Supervisor(s))

FORMAT FOR PH.D. THESIS

<i>Binding and Printing on Cover Page</i>	
Cover binding	Soft binding during thesis submission Hard binding after TODD
Color of cover page	Light Green (in RGB model: Red-203, Green-253, Blue-199)
Margin Top	4 Cm
Margin Bottom	4 Cm
Margin Left	4 Cm
Margin Right	2 Cm
Printing on the top of cover	Title of the Thesis in capital letters (24 font size) Times New Roman Name of the candidate in capital letters (16 font size) Times New Roman
Cover page	<p style="text-align: center;">TITLE OF THESIS <i>by</i> NAME OF AUTHOR THESIS submitted for the award of the Degree of Doctor of Philosophy</p>  <p style="text-align: center;">DEPARTMENT OF NATIONAL INSTITUTE OF TECHNOLOGY SIKKIM Month Year</p>
Printing on the Binding edge	The binding edge of the jacket should contain the title (at the top), the name of the author (at middle) and year (at bottom)
<i>Inside Typing, Printing and Contents</i>	
Typing	In 1.5 (one and half) space between two lines, Font size 12 in Times New Roman
Printing	Both side printing
Margin Top	3 Cm
Margin Bottom	3 Cm
Margin Left	4 Cm
Margin Right	2 Cm
Quality of paper	Good quality bond paper
Size of paper	A4 size
Figure/Diagram	Suitable reproduction of Indian-ink diagrams should be used. Photographs should be suitably mounted on the same quality paper as the thesis.

Contents	(i) Printing of cover to be repeated on first page
	(ii) Copyright Transfer The hard-bound copies of the approved thesis must contain the following copyright certificate in the beginning of the thesis on the back side of the first page (next to inner cover page): © NATIONAL INSTITUTE OF TECHNOLOGY SIKKIM, COPYRIGHT © 20.. ALL RIGHTS RESERVED
	(iii) Certificate of the supervisor(s)
	(iv) Certificate regarding Classified data, if any
	(v) Acknowledgement (Report/Dissertation not to be dedicated to any relative)
	(vi) Table of Contents
	(vii) List of Figures
	(viii) List of Tables
	(ix) List of symbols and abbreviations, if any.
	(x) Abstract To convey briefly the content of the dissertation to draw attention to all new information and to the main conclusions. It should be factual and should be suitable for copying, quoting or indexing by information services.
	(xi) Chapters The text should have suitable Chapter number, titles and sub-titles with pages numbered at the top right-hand corner 1 cm from top and 1 cm from right edge. First chapter should be Introduction and the last chapter should be Conclusions and Future Work. Each chapter shall begin from the right-side page (odd no. page).
	(xii) List of Publications Same formats as of References
	(xiii) References Either the Harvard system, in which the names and dates given in the body of the text and the references to be alphabetically listed at the end of the dissertation or a system in which numbers are inserted in the text e.g. [3], and references to those are given at the end of the dissertation as in BIS system such as IEEE.
	(xiv) Appendices

NATIONAL INSTITUTE OF TECHNOLOGY SIKKIM

PH.D. EXAMINER'S RECOMMENDATION FORM

Name of the candidate	
Title of the Thesis	

Please note: This form should be accompanied with a detailed report commenting on the strength and weakness as well as specific suggestions for improvement of the thesis as per the guidelines given in the covering letter. This recommendation form is to mainly facilitate the Dean Academic in deciding appropriate action. Please tick (✓) one of the option below.

My recommendations is as follows

Category - I	Thesis is recommended	(a) The thesis is recommended for the award of the Ph.D. degree in the present form.
		(b) The thesis is recommended for the award of Ph.D. Degree subject to minor corrections such as punctuation, grammar, spelling or language, minor technical mistakes, minor queries. (The corrections/queries shall be addressed at the time of the Thesis Oral Defense Examination).
Category - II	A revision is proposed in the Thesis	(a) I reserve my decision based on response of the research scholar to the major revisions/queries requiring rewriting a portion/chapter of the thesis and incorporating suggested additional works. (Please note that the response of the research scholar will be sent to you for final decision).
		(b) The research scholar be required to re-submit her/his thesis in the revised form (please provide the suggestions for revision).
Category - III	The Thesis is rejected	The thesis is rejected outrightly. (Please provide detailed report with justification for rejection).

(Name & Signature with Date of Examiner)

THESIS ORAL DEFENSE EXAMINATION BOARD REPORT

In compliance with Letter No.:, Dated:
the Ph.D. viva voce examination of Mr.
(Name of the research scholar) on the Ph.D. thesis
entitled.....
..... was held on (Date)
before the Thesis Oral Defense Examination Board in the Institute from
onwards.

The following members of the Thesis Oral Defense Examination Board (TODEB) were present:

1.
2.
3.
4.
5.
6.

At the outset the committee members examined all the reports of the thesis examiners provided by the Dean Academic and the revised thesis of the research scholar. The recommendations of all the examiners are found under category I (a) or I (b) (Thesis is recommended for the award of the Ph. D. degree after minor revision/queries during the viva voce). The candidate has satisfactorily incorporated all the suggestions and comments of all the examiners.

The plagiarism report of the thesis is also examined and found to be satisfactory. The Ph.D. candidate openly defended his work before the TODEB and successfully answered all the queries.

The Thesis Oral Defense Examination Board recommends the award of the Ph.D. (Doctor of Philosophy) of National Institute of Technology Sikkim to the research scholar.

(Signature of the Thesis Oral Defense Examination Board members)