



विवेकख्यातिरविप्लवा हानोपायः

SIKKIM ALPINE UNIVERSITY

Kamrang, Namchi, South Sikkim – 737126

(Established under Sikkim Alpine University Act, 2021)

PH.D. FORMS, FORMATS & ANNEXURES MANUAL – 2026

(Companion Document to the Ph.D. Ordinance and Ph.D. Regulations & Guidelines)

Prepared by:

Office of the Assistant Director

Research & Development Cell

Sikkim Alpine University

Recommended by:

Academic Council: Date 11 September, 2026

Approved by:

Board of Governing Body: Date 05 October, 2026



1. TEMPLATES & ANNEXURES

To ensure uniformity, transparency, and regulatory compliance in the implementation of these Ph.D. Regulations, Sikkim Alpine University shall maintain a standardized set of approved templates and formats. These annexures form an integral part of the operational framework and shall be used by all scholars, supervisors, Departments, and research committees.

The purpose of these templates is to:

- a) Maintain consistency in documentation across all Schools and Departments;
- b) Facilitate systematic review by the Departmental Research Committee (DRC), Research Advisory Committee (RAC), and Research & Development Committee (RDC);
- c) Ensure compliance with UGC Regulations and University policies on academic integrity and ethics;
- d) Strengthen audit readiness for NAAC, NIRF, and other accreditation bodies;
- e) Streamline administrative processing and archival record-keeping.

All prescribed formats shall be made available through the Research & Development Cell in both digital and print form. Departments shall ensure strict adherence to these templates unless otherwise notified by the competent authority.

The following Annexures shall be notified under this Section:

- 22.1 Synopsis Format
- 22.2 Progress Report Format
- 22.3 Examiner Evaluation Format
- 22.4 Viva-Voce Report Format
- 22.5 Supervisor Consent Form
- 22.6 Ethics Application & Compliance Forms
- 22.7 Plagiarism Compliance Certificate Format
- 22.8 Thesis Format Guidelines



PART I: ADMISSION & REGISTRATION**Annexure A****Ph.D. Synopsis Format***(To be submitted after completion of Coursework)***PART A: Scholar Information**

Sl. No.	Particulars	Details to be Filled by Scholar
1	Name of Scholar	
2	Registration Number	
3	School / Department	
4	Discipline	
5	Category (Full-time / Part-time)	
6	Fellowship (If any)	
7	Name of Supervisor	
8	Name of Co-Supervisor (If any)	
9	Date of Coursework Completion	
10	Title of Proposed Research	

PART B: Research Proposal Structure

Section	Details Required	Page Limit
1	Introduction & Background of Study	2–3 pages
2	Review of Literature	5–8 pages
3	Research Gap Identification	1–2 pages
4	Research Questions / Hypothesis	1 page
5	Objectives of the Study	1 page
6	Scope & Delimitations	1 page
7	Research Methodology (Design, Tools, Sampling, Data Collection, Analysis Plan)	4–6 pages
8	Ethical Considerations (If applicable)	1–2 pages
9	Expected Outcomes	1 page
10	Potential Contribution (Societal / Academic / Regional / Policy)	1 page
11	Timeline (Gantt Chart format)	1 page
12	References (APA/MLA/Chicago/Discipline-specific format)	As required



PART C: Compliance Checklist

Parameter	Yes	No	Remarks
Coursework Completed	☐	☐	
Literature Updated (Last 5 Years Included)	☐	☐	
Clear Research Gap Identified	☐	☐	
Methodology Feasible	☐	☐	
Ethical Clearance Required	☐	☐	
Plagiarism Within Permissible Limits	☐	☐	
Interdisciplinary Component (If any)	☐	☐	

PART D: Ethical Clearance Status

• Category	Applicable (Yes/No)	Committee Approval Required
Human Participants		Human Ethics Committee (HEC)
Animal Study		Institutional Animal Ethics Committee (IAEC)
Biosafety / Microbial / GMO		Institutional Biosafety Committee (IBSC)
Indigenous Knowledge / Cultural Study		Indigenous Knowledge & Cultural Ethics Committee (IKCEC)
Environmental / Biodiversity Sampling		Fieldwork & Environmental Ethics Committee (FEEC)

PART E: DRC Review

Evaluation Parameter	Remarks
Originality & Novelty	
Relevance & Impact	
Feasibility	
Ethical Compliance	
Recommendation (Approved / Revision / Rejected)	

Signature of DRC Chairperson: _____

Date: _____



PART F: RAC Approval

Decision	Tick
Approved	☐
Approved with Minor Revisions	☐
Major Revision Required	☐
Rejected	☐

RAC Chairperson Signature: _____

Supervisor Signature: _____

Date: _____

Mandatory Attachments

- a) Coursework Completion Certificate
- b) Supervisor Consent Letter
- c) Plagiarism Similarity Report
- d) Ethical Clearance (If applicable)
- e) Publication Plan (Optional but Recommended)



Annexure B

Ph.D. Six-Monthly Progress Report Format

(To be submitted every six months to RAC → DRC → RDC)

PART A: Scholar Details

Sl. No.	Particulars	Details
1	Name of Scholar	
2	Registration Number	
3	School / Department	
4	Discipline	
5	Supervisor	
6	Co-Supervisor (if any)	
7	Date of Registration	
8	Reporting Period (From-To)	
9	Total Duration Completed (Months)	

PART B: Academic Progress Summary

Component	Status / Description
Coursework Completion (if applicable)	
Synopsis Approval Date	
Ethical Clearance Status	
Data Collection Status	
Data Analysis Status	
Chapters Drafted (Mention Titles)	
Publications Submitted / Published	
Conference Presentations	

PART C: Detailed Progress During Reporting Period

Provide a brief summary (300–800 words) covering:

- Research activities undertaken
- Fieldwork / Laboratory work completed
- Literature review updates
- Methodological developments
- Challenges faced
- Plan for next six months

(Attach additional sheets if required)



PART D: Publication & Academic Output

Type	Details
Journal Articles Published	
Journal Articles Under Review	
Conference Papers Presented	
Book Chapters (if any)	
Awards / Fellowships	

PART E: Ethics & Compliance Status

Compliance Parameter	Yes	No	Remarks
Ethics Approval Valid	☐	☐	
Plagiarism Check Conducted (if chapters drafted)	☐	☐	
Data Stored Securely	☐	☐	
AI Use Disclosure (if applicable)	☐	☐	

PART F: Supervisor's Assessment

Evaluation Parameter	Remarks
Quality of Work	
Timeliness	
Methodological Rigor	
Academic Integrity	
Overall Performance	

Supervisor Recommendation:

- ☐ Satisfactory – Continue Registration
☐ Satisfactory with Minor Improvements
☐ Unsatisfactory – Warning Issued
☐ Major Concern – Review Required

Supervisor Signature: _____

Date: _____

**PART G: DRC Review**

Decision	Tick
Approved for Continuation	☐
Conditional Continuation	☐

PART I: Annexure B

Review Required	☐
Recommendation for Termination	☐

Remarks (if any): _____

Signature of DRC Chairperson: _____

Date: _____

PART H: RAC Confirmation

RAC Decision: _____

RAC Chairperson Signature: _____

Date: _____

PART I: RDC Final Recording

Continuation Status Approved by RDC:

☐ Yes

☐ No

Remarks: _____

RDC Signature: _____

Date: _____



Annexure C

Ph.D. Thesis Examiner Evaluation Format

(Confidential – To be used by External Examiner)

PART A: Basic Information

Particulars	Details
Name of Scholar	
Registration Number	
Title of Thesis	
Discipline / Department	
Name of Supervisor	
Date of Receipt of Thesis	
Name of Examiner	
Designation & Institution	

PART B: Evaluation Parameters

1. Originality & Contribution

Parameter	Remarks
Originality of Research	
Novel Contribution to Knowledge	
Theoretical / Conceptual Contribution	
Regional / Societal / Policy Relevance (if applicable)	

2. Literature Review

Parameter	Remarks
Coverage of Relevant Literature	
Identification of Research Gap	
Critical Analysis	
Use of Recent References	

3. Research Methodology

Parameter	Remarks
Appropriateness of Research Design	
Sampling / Data Collection	
Analytical Tools Used	
Validity & Reliability (if applicable)	



Ethical Compliance	
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4. Analysis & Interpretation

Parameter	Remarks
Quality of Data Analysis	
Logical Interpretation	
Consistency with Objectives	
Clarity of Presentation	

5. Writing & Structure

Parameter	Remarks
Organization of Chapters	
Clarity of Expression	
Use of Tables / Figures	
Referencing & Citation Style	
Overall Presentation	

PART C: Publication Compliance

Parameter	Yes	No	Remarks
Mandatory Publication Requirement Fulfilled	☐	☐	
Conference Presentation Requirement Fulfilled	☐	☐	

PART D: Plagiarism & Ethical Compliance

Parameter	Yes	No	Remarks
Plagiarism Compliance Verified	☐	☐	
Ethical Approval Verified (if applicable)	☐	☐	

PART E: Overall Assessment

Please provide a detailed report (minimum 100–300 words) evaluating:

- Strengths of the thesis
- Weaknesses (if any)
- Suggested corrections / improvements
- Scholarly merit and originality

(Attach additional sheets if required)



PART F: Recommendation

Kindly tick one:

- ☐ The thesis is recommended for award of the Ph.D. degree.
- ☐ The thesis is recommended subject to minor corrections.
- ☐ The thesis requires major revisions and resubmission.
- ☐ The thesis is not recommended for award.

PART G: Questions for Viva-Voce

Please suggest at least 5–10 questions for the candidate to be addressed during the viva-voce examination:

1. _____
2. _____
3. _____
4. _____
5. _____

(Attach additional questions if required)

Signature of Examiner: _____

Date: _____

Official Seal: _____

Confidentiality Clause

This evaluation report is confidential and shall be used solely for academic purposes by Sikkim Alpine University.



Annexure D

Ph.D. Viva-Voce Examination Report Format

PART A: Basic Information

Particulars	Details
Name of Scholar	
Registration Number	
Title of Thesis	
Discipline / Department	
Date of Viva-Voce	
Venue / Mode (Offline / Online)	
Name of External Examiner	
Designation & Institution	
Name of Internal Examiner (if applicable)	
Chairperson of Viva Board	

PART B: Viva-Voce Board Composition

Sl. No.	Name	Designation	Signature
1			
2			
3			
4			

PART C: Presentation by Scholar

Parameter	Remarks
Clarity of Research Objectives	
Depth of Subject Knowledge	
Justification of Methodology	
Quality of Data Analysis	
Ability to Defend Findings	
Awareness of Limitations	
Publication Compliance	

PART D: Questions & Responses

Brief summary of key questions asked and quality of responses (attach additional sheets if required):

1. _____
2. _____
3. _____
4. _____

Overall Observations: _____

PART E: Compliance Verification



Parameter	Yes	No	Remarks
Coursework Completed	☐	☐	
Synopsis Approved	☐	☐	
Ethics Clearance Submitted	☐	☐	
Plagiarism Certificate Submitted	☐	☐	
Publication Requirement Fulfilled	☐	☐	
Conference Presentation Requirement Fulfilled	☐	☐	

PART F: Decision of the Viva Board

Kindly tick one:

- ☐ Recommended for Award of Ph.D. Degree
- ☐ Recommended subject to Minor Corrections
- ☐ Recommended subject to Major Revisions
- ☐ Not Recommended

If corrections are required, please specify nature and timeline:

PART G: Final Recommendation

We certify that the Viva-Voce examination was conducted in accordance with the Ph.D. Regulations of Sikkim Alpine University and UGC guidelines.

Signatures:

External Examiner: _____

Internal Examiner: _____

Chairperson: _____

Supervisor: _____

Date: _____

**Certification**

This report shall be forwarded to the Research & Development Committee and Academic Council for final approval of the award.

Annexure E

Supervisor Consent Form

(To be submitted at the time of Admission / Synopsis Approval)

PART A: Scholar Details

Particulars	Details
Name of Scholar	
Proposed Title of Research	
Discipline / Department	
Category (Full-time / Part-time)	
Fellowship (if any)	

PART B: Supervisor Details

Particulars	Details
Name of Supervisor	
Designation	
Department	
Highest Qualification	
Area of Specialization	
Total Number of Ph.D. Scholars Currently Supervising	
Number of Scholars Completed	
Contact Email	
Contact Number	

PART C: Eligibility Declaration

I hereby declare that:

- I fulfill the eligibility criteria to act as a Ph.D. Supervisor as per UGC Regulations and Sikkim Alpine University norms.
- The total number of Ph.D. scholars under my supervision does not exceed the maximum limit prescribed by UGC and the University.
- The proposed research topic falls within my area of expertise and academic competence.
- I agree to guide the above-mentioned scholar throughout the duration of the Ph.D. programme in accordance with University regulations.
- I shall ensure compliance with academic integrity, ethical standards, publication requirements, and research governance policies of SAU.



PART D: Co-Supervisor (If Applicable)

Particulars	Details
Name of Co-Supervisor	
Designation	
Department / Institution	
Area of Expertise	

Declaration by Co-Supervisor (if applicable):

- I agree to act as Co-Supervisor and assist in interdisciplinary guidance as per University regulations (*Example*).

Signature of Co-Supervisor: _____

Date: _____

PART E: Endorsement

Signature of Supervisor: _____

Name: _____

Date: _____

Head of Department Signature: _____

Date: _____

Certification by Departmental Research Committee (DRC)

The proposed supervision arrangement is approved / not approved by the DRC.

Remarks (if any): _____

DRC Chairperson Signature: _____

Date: _____



PART II: ETHICS & ACADEMIC INTEGRITY**Annexure F****Ethics Application & Compliance Forms***(To be submitted before data collection begins)***PART A: General Research Information**

Particulars	Details
Name of Scholar	
Registration Number	
Department	
Supervisor	
Title of Research	
Nature of Study (Tick)	☐ Human ☐ Animal ☐ Biosafety ☐ Indigenous ☐ Environmental
Proposed Duration of Field/Lab Work	
Funding Source (if any)	

PART B: Risk Assessment

Question	Response
Does the study involve vulnerable populations?	
Does it involve physical/psychological risk?	
Does it involve animal experimentation?	
Does it involve biological agents or GMOs?	
Does it involve indigenous knowledge or cultural documentation?	
Does it involve biodiversity sampling or environmental disturbance?	

PART C: Ethics Compliance Checklist

Compliance Parameter	Yes	No	Remarks
Informed Consent Prepared	☐	☐	
Data Confidentiality Plan	☐	☐	
Animal Welfare Measures	☐	☐	
Biosafety Measures	☐	☐	
Community Consent (if applicable)	☐	☐	
Environmental Permits Obtained	☐	☐	

SECTION I: Human Ethics Committee (HEC) Form*(To be filled if research involves human participants)*

Parameter	Details
Type of Participants	
Estimated Sample Size	
Recruitment Method	
Consent Procedure	



Data Storage Plan	
Confidentiality Measures	
Risk Mitigation Strategy	

Declaration:

I confirm that participation will be voluntary and informed consent will be obtained.

Signature of Scholar: _____

Signature of Supervisor: _____

SECTION II: Institutional Animal Ethics Committee (IAEC) Form

(To be filled if animal study is involved)

Parameter	Details
Species Used	
Number of Animals	
Justification for Use	
Experimental Procedure	
Application of 3Rs (Replacement/Reduction/Refinement)	
Veterinary Supervision	

Declaration:

I confirm compliance with CPCSEA norms and humane practices.

Signature of Scholar: _____

Signature of Supervisor: _____

SECTION III: Institutional Biosafety Committee (IBSC) Form

(To be filled if microbial / GMO work is involved)

Parameter	Details
Type of Biological Agent	
Biosafety Level (BSL-1 / BSL-2)	
Laboratory Facilities	
Waste Disposal Plan	
Risk Containment Strategy	

Declaration:

I confirm compliance with DBT biosafety guidelines.



SECTION IV: Indigenous Knowledge & Cultural Ethics Committee (IKCEC) Form

(To be filled for tribal/indigenous/cultural documentation)

Parameter	Details
Community Name	
Nature of Documentation	
Individual Consent	
Community Consent	
Cultural Sensitivity Measures	
Benefit Sharing Plan	

Declaration:

I confirm respect for cultural boundaries and community rights.

SECTION V: Fieldwork & Environmental Ethics Committee (FEEC) Form

(To be filled for biodiversity/environmental research)

Parameter	Details
Location of Study	
Sampling Method	
Environmental Impact	
Permit Details	
Conservation Safeguards	

Declaration:

I confirm compliance with environmental laws and minimal ecological disturbance.

PART D: Ethics Committee Decision

Committee	Decision	Signature	Date
HEC	Approved / Revision / Rejected		
IAEC	Approved / Revision / Rejected		
IBSC	Approved / Revision / Rejected		
IKCEC	Approved / Revision / Rejected		
FEEC	Approved / Revision / Rejected		

Final Ethics Clearance Certificate

This research proposal has been reviewed and approved by the appropriate Ethics Committee(s) of Sikkim Alpine University.

Ethics Clearance No.: _____

Valid Until: _____

Chairperson Signature: _____

Date: _____



Annexure G

Plagiarism Compliance Certificate

(To be submitted at the time of Thesis Submission)

PART A: Scholar Details

Particulars	Details
Name of Scholar	
Registration Number	
Department / Discipline	
Title of Thesis	
Supervisor	
Date of Plagiarism Check	
Software Used (Turnitin / Ouriginal / etc.)	
Similarity Index (%)	

PART B: Permissible Similarity Compliance

As per the Plagiarism & Academic Integrity Policy of Sikkim Alpine University and UGC Regulations:

- Level 0: < 10% — Acceptable (No Penalty)
- Level 1: 10–40% — Minor Revision Required
- Level 2: 40–60% — Major Revision
- Level 3: > 60% — Severe Violation

Tick the applicable category:

- ☐ Similarity Below 10% (Acceptable)
- ☐ Similarity Between 10–40% (Revised & Compliant)
- ☐ Revised Version Submitted After Correction

Final Verified Similarity After Exclusion (if applicable): _____ %

PART C: Scholar Declaration

I hereby declare that:

- The thesis submitted is my original work.
- All sources have been properly acknowledged and cited.
- The similarity report has been obtained using an approved plagiarism detection software.
- Any similarity identified has been duly corrected prior to final submission.
- No part of the thesis has been generated through unauthorized AI tools in violation of University regulations.

Signature of Scholar: _____

Date: _____



PART D: Supervisor Certification

I certify that:

- a) I have examined the plagiarism similarity report.
- b) The similarity percentage falls within permissible limits as per SAU regulations.
- c) All necessary corrections have been made by the scholar.
- d) The thesis is fit for submission for evaluation.

Signature of Supervisor: _____

Name: _____

Date: _____

PART E: Academic Integrity Verification

(For use by Departmental Academic Integrity Panel / DAIP)

Parameter	Verified	Remarks
Software Report Attached	☐	
Exclusions Verified	☐	
Permissible Similarity Confirmed	☐	
AI Disclosure Checked	☐	

DAIP Chairperson Signature: _____

Date: _____

Certification

This thesis complies with the Plagiarism & Academic Integrity Policy of Sikkim Alpine University and relevant UGC Regulations.



PART III: RESEARCH MONITORING

Annexure H

Ph.D. Thesis Format Guidelines

(To be followed by all Ph.D. Scholars of Sikkim Alpine University)

1. General Formatting Requirements

The thesis shall be prepared in English unless otherwise permitted by the University. In case of regional or indigenous language research, an English abstract shall be mandatory.

1.1 Page Specifications

Requirement	Specification
Paper Size	A4
Font Style	Times New Roman
Font Size (Text)	12 pt
Font Size (Headings)	14 pt (Bold)
Line Spacing	2
Paragraph Alignment	Justified
Margin (Left)	1.5 inches
Margin (Right)	1 inch
Margin (Top)	1 inch
Margin (Bottom)	1 inch
Page Numbering	Bottom Center

2. Structure of the Thesis

The thesis shall be organized in the following order:

2.1 Preliminary Pages

- a) Title Page
- b) Declaration by the Scholar
- c) Certificate from Supervisor
- d) Plagiarism Compliance Certificate
- e) Ethics Compliance Certificate (if applicable)
- f) Acknowledgement
- g) Abstract (300–500 words)
- h) Table of Contents
- i) List of Tables
- j) List of Figures
- k) List of Abbreviations (if any)



2.2 Main Body

The thesis shall normally contain:

1. Introduction
2. Review of Literature
3. Research Gap & Objectives
4. Methodology
5. Results / Findings
6. Discussion
7. Conclusion & Recommendations
8. References

(Chapters may vary depending on discipline but must maintain logical coherence.)

2.3 Supplementary Sections

- a) Appendices
- b) Questionnaires / Interview Schedules
- c) Ethical Approval Documents
- d) Published Papers (if included as annexures)

3. Citation & Referencing

The citation style shall follow discipline-specific norms such as:

- APA
- MLA
- Any other approved format

The selected citation style must be consistent throughout the thesis.

4. Tables, Figures & Illustrations

- a) All tables and figures must be numbered chapter-wise.
- b) Titles shall appear above tables and below figures.
- c) Sources must be acknowledged where applicable.
- d) High-resolution images shall be used.

5. Plagiarism & Similarity Compliance

The final thesis must:

- a) Fall within permissible similarity limits (<10% preferred);
- b) Be verified using approved software;
- c) Include a Plagiarism Compliance Certificate.



6. Binding & Submission

6.1 Hard Copy Submission

Stage	Requirement
Pre-Submission	Soft Copy Only
Final Submission	2 Hard Bound Copies
Cover Color	Blue (Gold Embossed Lettering)
Spine Details	Name, Year, Ph.D., SAU

6.2 Digital Submission

- One soft copy (PDF format) to be submitted to the University Repository.
- Mandatory submission to Shodhganga (INFLIBNET) after award.
- File must be searchable (not scanned image PDF).

7. Language & Quality

- The thesis shall be free from grammatical and typographical errors.
- Professional proofreading is recommended.
- AI-assisted formatting must comply with SAU AI policy.

8. Publication Inclusion (If Applicable)

If research papers derived from the thesis are included:

- They must be clearly cited.
- Copyright permissions (if required) must be attached.
- Joint publications must indicate scholar contribution.

9. Certification Page Format (Standardized Text)

The University shall provide standardized templates for:

- Declaration
- Supervisor Certificate
- Plagiarism Certificate
- Ethics Certificate

No alteration in prescribed wording shall be permitted without approval.

10. Final Compliance

Submission shall not be accepted unless:

- Publication requirement is fulfilled;
- Conference presentation proof is attached;
- Ethics clearance is valid;
- Plagiarism clearance is approved;
- RAC and DRC approvals are enclosed.



Annexure I

Ph.D. Registration Form

APPLICATION FOR REGISTRATION TO THE DOCTOR OF PHILOSOPHY (Ph.D.)
PROGRAMME:

A. Scholar Details

1. Name of the Scholar (in Block Letters): _____
2. Enrollment/Application No.: _____
3. Category:
☐ Full-Time ☐ Part-Time
4. Gender: _____
5. Date of Birth: _____
6. Nationality: _____
7. Category (UR/OBC/SC/ST/EWS/PwD): _____
8. Department/School: _____
9. Programme: Doctor of Philosophy (Ph.D.)
10. Correspondence Address: _____

11. Permanent Address: _____

12. Mobile No.: _____
13. E-mail ID: _____

B. Academic Qualifications

Examination	Board/University	Year of Passing	Percentage/CGPA	Division/Class
Bachelor's Degree				
Master's Degree				
M.Phil. (if any)				
Other Qualifications				



C. Admission Details

1. **Mode of Admission:**

☐ Entrance Test + Interview

☐ Exempted Category (Specify): _____

2. **Date of Admission:** _____

3. **Date of Provisional Admission Letter:** _____

4. **Research Area:**

5. **Tentative Title of Research Work:**

D. Supervisor Details

Research Supervisor

1. **Name:** _____

2. **Designation:** _____

3. **Department:** _____

4. **Mobile No.:** _____

5. **E-mail ID:** _____

Co-Supervisor (if applicable)

1. **Name:** _____

2. **Designation:** _____

3. **Institution/Department:** _____

4. **Mobile No.:** _____

5. **E-mail ID:** _____



E. Declaration by the Scholar

I hereby declare that the information furnished above is true and correct to the best of my knowledge and belief. I undertake to abide by the provisions of the Sikkim Alpine University Ph.D. Ordinance, Regulations, and all rules framed thereunder from time to time.

I further declare that the proposed research work shall be carried out in accordance with the principles of academic integrity, research ethics, and applicable statutory guidelines.

Signature of the Scholar

Name: _____

Date: _____

F. Recommendation of the Research Supervisor

I hereby agree to supervise the above-mentioned candidate for the proposed doctoral research work and certify that adequate research facilities are available for carrying out the proposed study.

Signature of the Research Supervisor

Name: _____

Designation: _____

Date: _____

G. Recommendation of the Departmental Research Committee (DRC)

The Departmental Research Committee has examined the application and recommends the registration of the candidate for the Ph.D. programme in the proposed area of research.

☐ Recommended☐ Recommended with Modifications☐ Not Recommended

Remarks:

_____**Chairperson, DRC**

Name: _____

Date: _____

Signature: _____



H. Approval of the Research Degree Committee (RDC)

The Research Degree Committee has considered the recommendations of the DRC and approves the registration of the candidate for the Ph.D. programme.

- ☐ Approved
- ☐ Approved with Modifications
- ☐ Not Approved

Remarks:

Chairperson, RDC

Name: _____

Date: _____

Signature: _____

I. Office Use Only

Registration No.: _____

Date of Registration: _____

Academic Session: _____

Remarks:

Assistant Director (Research)

Sikkim Alpine University

Registrar

Sikkim Alpine University



Annexure J

DEPARTMENTAL RESEARCH COMMITTEE (DRC) RECOMMENDATION FORM

(To be used for Synopsis Approval, Registration Recommendation, Progress Review, Modification of Research Title, and Thesis Submission Recommendation)

A. Scholar Details

Particulars	Details
Name of Scholar	
Registration Number	
School / Department	
Discipline	
Category (Full-Time / Part-Time)	
Date of Registration	
Name of Supervisor	
Name of Co-Supervisor (if any)	
Title of Research Work	

B. Purpose of DRC Review

The recommendation is sought for:

1. Registration of Ph.D. Scholar
2. Approval of Synopsis
3. Six-Monthly Progress Review
4. Modification of Research Title
5. Change of Supervisor / Co-Supervisor
6. Extension of Registration Period
7. Pre-Submission Review
8. Recommendation for Thesis Submission
9. Other (Specify): _____

C. DRC Meeting Details

Particulars	Details
Date of DRC Meeting	
Venue / Mode	
Meeting Reference No.	
Number of Members Present	
Number of Members Absent	



D. Evaluation by the DRC**Academic and Research Assessment**

Evaluation Parameter	Remarks
Relevance of Research Topic	
Originality and Novelty	
Adequacy of Literature Review	
Research Gap Identification	
Methodological Soundness	
Feasibility of Research Work	
Availability of Research Facilities	
Ethical Considerations	
Academic Progress (if applicable)	
Compliance with University Regulations	

E. Specific Observations of the DRC

F. Recommendation of the DRC

The Departmental Research Committee, after due consideration of the documents submitted and deliberations held, makes the following recommendation:

1. Recommended
2. Recommended with Minor Modifications
3. Recommended with Major Modifications
4. Deferred for Further Review
5. Not Recommended

G. Conditions / Modifications Suggested (If Any)



H. Resolution of the DRC

Resolution No.: _____

I. Signatures of DRC Members

Sl. No.	Name	Designation	Signature
1	Chairperson		
2	Member		
3	Member		
4	Member		
5	Member		

J. Forwarding to the Research Degree Committee (RDC)

The Departmental Research Committee hereby forwards this recommendation to the Research Degree Committee (RDC) for consideration and further necessary action.

Chairperson, Departmental Research Committee (DRC)

Name: _____

Department: _____

Signature: _____

Date: _____

Official Seal



Annexure K

RESEARCH ADVISORY COMMITTEE (RAC) REVIEW & RECOMMENDATION FORM

(To be used for Synopsis Approval, Six-Monthly Progress Review, Research Monitoring, Title Modification, Extension of Registration, Pre-Submission Review, and Thesis Submission Recommendation)

A. Scholar Details

Particulars	Details
Name of Scholar	
Registration Number	
School / Department	
Discipline	
Category (Full-Time / Part-Time)	
Date of Registration	
Name of Supervisor	
Name of Co-Supervisor (if any)	
Title of Research Work	

B. Purpose of RAC Review

The review is being conducted for:

1. Synopsis Approval
2. First Six-Monthly Review
3. Subsequent Six-Monthly Progress Review
4. Modification of Research Title
5. Change of Research Scope/Methodology
6. Extension of Registration Period
7. Pre-Submission Review
8. Recommendation for Thesis Submission
9. Other (Specify): _____

**C. RAC Meeting Details**

Particulars	Details
Date of RAC Meeting	
Venue / Mode	
Meeting Reference No.	
Reporting Period (if applicable)	
Number of Members Present	
Number of Members Absent	

D. Progress Review and Assessment**1. Research Progress**

Parameter	Remarks
Progress since Previous Review	
Completion of Planned Activities	
Literature Review Updates	
Data Collection Status	
Data Analysis Status	
Chapter Writing Progress	
Publication Status	
Conference Presentations	

2. Academic and Research Quality Assessment

Evaluation Parameter	Remarks
Originality and Novelty	
Methodological Rigor	
Quality of Data and Analysis	
Relevance to Research Objectives	
Compliance with Approved Synopsis	
Scholarly Contribution	
Overall Research Quality	

3. Compliance Verification

Compliance Parameter	Yes	No	Remarks
Coursework Completed (where applicable)	☐	☐	
Ethics Approval Obtained	☐	☐	
Progress Reports Submitted Regularly	☐	☐	
Plagiarism Compliance Maintained	☐	☐	
Publication Requirement Progressing	☐	☐	
Conference Presentation Requirement Progressing	☐	☐	
Academic Integrity Maintained	☐	☐	

E. Guidance and Recommendations of the RAC

The Research Advisory Committee reviewed the progress of the scholar and provided the following academic guidance:

F. Recommendation of the RAC

The Research Advisory Committee, after careful review, makes the following recommendation:

1. Satisfactory Progress – Continue Registration
2. Satisfactory Progress with Minor Improvements
3. Additional Work Required
4. Major Revision Required
5. Extension Recommended
6. Thesis Submission Recommended
7. Review Required Before Next Registration Continuation
8. Registration Not Recommended for Continuation

G. Action Points for the Next Review Period

Sl. No.	Action Item	Timeline
1		
2		
3		
4		

H. Resolution of the RAC

Resolution No.: _____

I. Signatures of RAC Members

Sl. No.	Name	Designation	Signature
1	Chairperson		
2	Supervisor		
3	Subject Expert		
4	Member		
5	Member		



J. Forwarding Remarks

The Research Advisory Committee certifies that the scholar's research work has been reviewed in accordance with the Ph.D. Ordinance, Regulations, and Guidelines of Sikkim Alpine University and recommends the above action for consideration by the competent authority.

Chairperson, Research Advisory Committee (RAC)

Name: _____

Signature: _____

Date: _____

Official Seal

Forwarded to:

1. Departmental Research Committee (DRC)
2. Research Degree Committee (RDC)
3. Research & Development Cell
4. Office File



PART IV: THESIS SUBMISSION & EVALUATION**Annexure L****PRE-SUBMISSION SEMINAR EVALUATION REPORT**

(To be completed by the Pre-Submission Seminar Evaluation Committee prior to submission of the Ph.D. Thesis)

A. Scholar Details

Particulars	Details
Name of Scholar	
Registration Number	
School / Department	
Discipline	
Category (Full-Time / Part-Time)	
Date of Registration	
Name of Supervisor	
Name of Co-Supervisor (if any)	
Title of Research Work	

B. Seminar Details

Particulars	Details
Date of Presentation	
Time	
Venue / Mode	
Seminar Notification No.	
Number of Participants Attended	

C. Compliance Status

Requirement	Yes	No	Remarks
Coursework Successfully Completed	☐	☐	
Minimum Registration Period Completed	☐	☐	
Six-Monthly Progress Reports Submitted	☐	☐	
RAC Recommendations Complied With	☐	☐	
Ethics Clearance Obtained (where applicable)	☐	☐	
Plagiarism Check Completed	☐	☐	
Publication Requirement Fulfilled (if applicable)	☐	☐	
Conference Presentation Requirement Fulfilled (if applicable)	☐	☐	



D. Summary of Research Presented**Research Objectives**

Major Findings

Contribution to Knowledge

E. Evaluation of Presentation

Evaluation Parameter	Excellent	Good	Satisfactory	Needs Improvement
Knowledge of Subject	☐	☐	☐	☐
Research Methodology	☐	☐	☐	☐
Quality of Analysis	☐	☐	☐	☐
Interpretation of Results	☐	☐	☐	☐
Originality of Research	☐	☐	☐	☐
Presentation Skills	☐	☐	☐	☐
Ability to Respond to Questions	☐	☐	☐	☐
Overall Quality of Research Work	☐	☐	☐	☐

F. Suggestions / Modifications Recommended by the Committee

G. Recommendation of the Committee

The Committee, after reviewing the presentation and considering the research progress made by the scholar, recommends:

1. The scholar may proceed with submission of the Ph.D. Thesis.
2. The scholar may submit the thesis after incorporating the suggestions made during the seminar.
3. The scholar shall conduct a revised pre-submission seminar after major modifications.
4. The scholar is not yet ready for thesis submission.



H. Resolution

Resolution No.: _____

I. Signatures of the Evaluation Committee

Sl. No.	Name	Designation	Signature
1	Chairperson		
2	Supervisor		
3	Subject Expert		
4	Member		
5	Member		

J. Certification

This is to certify that the above-named Ph.D. scholar has successfully delivered the Pre-Submission Seminar as required under the Ph.D. Ordinance and Regulations of Sikkim Alpine University.

Chairperson, Evaluation Committee

Name: _____

Signature: _____

Date: _____

Official Seal

Forwarded to:

1. Departmental Research Committee (DRC)
2. Research Degree Committee (RDC)
3. Research & Development Cell
4. Office of the Registrar
5. Office File



Annexure M

THESIS SUBMISSION CHECKLIST

(To be submitted by the Ph.D. Scholar at the time of submission of the thesis. All documents must be verified by the Research Supervisor and the Research & Development Cell before acceptance of the thesis.)

A. Scholar Details

Particulars	Details
Name of Scholar	
Registration Number	
School / Department	
Discipline	
Category (Full-Time / Part-Time)	
Name of Supervisor	
Name of Co-Supervisor (if any)	
Title of Thesis	
Date of Registration	
Date of Thesis Submission	

B. Academic Requirements

Sl. No.	Requirement	Submitted	Verified
1	Coursework Completion Certificate	☐	☐
2	Minimum Registration Period Completed	☐	☐
3	All Six-Monthly Progress Reports Submitted	☐	☐
4	RAC Recommendations Complied With	☐	☐
5	DRC Recommendations Complied With	☐	☐
6	Pre-Submission Seminar Successfully Conducted	☐	☐
7	Pre-Submission Seminar Report Attached	☐	☐
8	Publication Requirement Fulfilled (if applicable)	☐	☐
9	Conference Presentation Requirement Fulfilled (if applicable)	☐	☐

C. Ethics and Academic Integrity Compliance

Sl. No.	Requirement	Submitted	Verified
1	Ethics Approval Certificate (where applicable)	☐	☐
2	Ethics Compliance Declaration	☐	☐
3	Plagiarism Similarity Report Attached	☐	☐
4	Plagiarism Compliance Certificate Attached	☐	☐
5	AI Use & Disclosure Declaration Submitted (where applicable)	☐	☐
6	Academic Integrity Declaration Submitted	☐	☐



D. Thesis Submission Documents

Sl. No.	Document	Submitted	Verified
1	Soft Copy of Thesis (PDF Format)	☐	☐
2	Hard Bound Copies of Thesis (if required)	☐	☐
3	Thesis Abstract	☐	☐
4	Supervisor's Certificate	☐	☐
5	Candidate's Declaration	☐	☐
6	Copyright Declaration (if applicable)	☐	☐
7	List of Publications Arising from the Research	☐	☐
8	List of Conference Presentations	☐	☐
9	Contact Details of the Scholar	☐	☐

E. Thesis Formatting Compliance

Requirement	Yes	No	Remarks
Thesis prepared as per University Format Guidelines	☐	☐	
References and Citations Properly Formatted	☐	☐	
Tables, Figures and Appendices Properly Numbered	☐	☐	
Title Page as per Approved Format	☐	☐	
Abstract Included	☐	☐	
Keywords Included	☐	☐	

F. Declaration by the Scholar

I hereby certify that all documents and information submitted in connection with my Ph.D. thesis are true and complete. I further declare that the thesis has been prepared in accordance with the Ph.D. Ordinance, Regulations, and Guidelines of Sikkim Alpine University.

Signature of Scholar: _____

Name: _____

Date: _____

G. Certification by the Research Supervisor

I certify that the scholar has satisfactorily completed the prescribed requirements of the Ph.D. programme and that the thesis is fit for submission for evaluation.

Signature of Research Supervisor: _____

Name: _____

Designation: _____

Date: _____



H. Verification by the Research & Development Cell

The documents submitted by the scholar have been verified and found to be complete/incomplete as indicated above.

Remarks:

☐ Accepted for Further Processing

☐ Returned for Compliance

Assistant Director (Research)

Signature: _____

Date: _____

Official Seal

I. Office Use Only

Thesis Submission Receipt No.: _____

Date of Receipt: _____

Verified by: _____

Remarks:



Annexure N**Panel of Examiners Recommendation Form****SIKKIM****ALPINE****UNIVERSITY**

Kamrang, Namchi, South Sikkim – 737126

RECOMMENDATION OF PANEL OF EXAMINERS FOR Ph.D. THESIS EVALUATION

(To be submitted by the Research Supervisor through the Departmental Research Committee (DRC) and Research Degree Committee (RDC) to the Research & Development Cell for approval by the Competent Authority.)

A. Scholar Details**Particulars****Details**

Name of Scholar

Registration Number

School / Department

Discipline

Category (Full-Time / Part-Time)

Name of Supervisor

Name of Co-Supervisor (if any)

Title of Thesis

Date of Registration

Date of Thesis Submission

B. Proposed Panel of Examiners**Instructions:**

1. The panel shall consist of experts in the relevant field of specialization.
2. Examiners shall not have any conflict of interest with the scholar or supervisor.
3. The list shall remain confidential.
4. The University shall appoint examiners in accordance with the provisions of the Ph.D. Ordinance and Regulations.



Sl. No.	Name of Examiner	Designation	Institution/University	Area of Specialization	Email ID	Contact No.
1						
2						
3						
4						
5						
6						
7						
8						

C. Declaration by the Research Supervisor

I hereby certify that the above-mentioned experts possess the necessary expertise in the subject area of the thesis and, to the best of my knowledge, have no conflict of interest that may affect the impartial evaluation of the thesis.

I further certify that the proposed panel has been prepared in accordance with the Ph.D. Ordinance and Regulations of Sikkim Alpine University.

Signature of Research Supervisor: _____

Name: _____

Designation: _____

Date: _____

D. Recommendation of the Departmental Research Committee (DRC)

The Departmental Research Committee has examined the proposed panel of examiners and recommends the same for consideration by the Research Degree Committee.

☐ Recommended

☐ Recommended with Modifications

☐ Not Recommended

Remarks:



Chairperson, DRC

Name: _____

Signature: _____

Date: _____

Official Seal

E. Recommendation of the Research Degree Committee (RDC)

The Research Degree Committee has reviewed the proposed panel of examiners and recommends the panel for approval by the Competent Authority.

☐ Recommended

☐ Recommended with Modifications

☐ Not Recommended

Remarks:

Chairperson, RDC

Name: _____

Signature: _____

Date: _____

Official Seal

F. Approval of the Competent Authority

The panel of examiners is hereby:

☐ Approved

☐ Approved with Modifications

☐ Returned for Revision

Remarks:



Vice-Chancellor / Competent Authority

Signature: _____

Date: _____

Official Seal

G. Office Use Only

Reference No.: _____

Date of Dispatch to Examiners: _____

Names of Examiners Appointed:

1. _____

2. _____

3. _____

Remarks:

Verified by:

Research & Development Cell

Sikkim Alpine University



Annexure N

RECOMMENDATION OF PANEL OF EXAMINERS FOR Ph.D. THESIS EVALUATION

(To be submitted by the Research Supervisor through the Departmental Research Committee (DRC) and Research Degree Committee (RDC) to the Research & Development Cell for approval by the Competent Authority.)

A. Scholar Details

Particulars	Details
Name of Scholar	
Registration Number	
School / Department	
Discipline	
Category (Full-Time / Part-Time)	
Name of Supervisor	
Name of Co-Supervisor (if any)	
Title of Thesis	
Date of Registration	
Date of Thesis Submission	

B. Proposed Panel of Examiners**Instructions:**

1. The panel shall consist of experts in the relevant field of specialization.
2. Examiners shall not have any conflict of interest with the scholar or supervisor.
3. The list shall remain confidential.
4. The University shall appoint examiners in accordance with the provisions of the Ph.D. Ordinance and Regulations.

Sl. No.	Name of Examiner	Designation	Institution/University	Area of Specialization	Email ID	Contact No.
1						
2						
3						
4						
5						
6						
7						
8						



C. Declaration by the Research Supervisor

I hereby certify that the above-mentioned experts possess the necessary expertise in the subject area of the thesis and, to the best of my knowledge, have no conflict of interest that may affect the impartial evaluation of the thesis.

I further certify that the proposed panel has been prepared in accordance with the Ph.D. Ordinance and Regulations of Sikkim Alpine University.

Signature of Research Supervisor: _____

Name: _____

Designation: _____

Date: _____

D. Recommendation of the Departmental Research Committee (DRC)

The Departmental Research Committee has examined the proposed panel of examiners and recommends the same for consideration by the Research Degree Committee.

☐ Recommended

☐ Recommended with Modifications

☐ Not Recommended

Remarks:

Chairperson, DRC

Name: _____

Signature: _____

Date: _____

Official Seal



E. Recommendation of the Research Degree Committee (RDC)

The Research Degree Committee has reviewed the proposed panel of examiners and recommends the panel for approval by the Competent Authority.

- ☐ Recommended
☐ Recommended with Modifications
☐ Not Recommended

Remarks:

Chairperson, RDC

Name: _____

Signature: _____

Date: _____

Official Seal

F. Approval of the Competent Authority

The panel of examiners is hereby:

- ☐ Approved
☐ Approved with Modifications
☐ Returned for Revision

Remarks:

Vice-Chancellor / Competent Authority

Signature: _____

Date: _____

Official Seal



G. Office Use Only

Reference No.: _____

Date of Dispatch to Examiners: _____

Names of Examiners Appointed:

1. _____
2. _____
3. _____

Remarks:

Verified by:

Research & Development Cell

Sikkim Alpine University



Annexure O

FINAL RECOMMENDATION FOR AWARD OF THE DOCTOR OF PHILOSOPHY (Ph.D.) DEGREE

*(To be completed after successful evaluation of the thesis and conduct of the Viva-Voce Examination
and submitted to the Competent Authority for approval of the award of the Ph.D. Degree.)*

A. Scholar Details

Particulars	Details
Name of Scholar	
Registration Number	
School / Department	
Discipline	
Category (Full-Time / Part-Time)	
Name of Supervisor	
Name of Co-Supervisor (if any)	
Title of Thesis	
Date of Registration	
Date of Thesis Submission	

B. Thesis Evaluation Details

Particulars	Details
Number of Examiners Appointed	
Number of Evaluation Reports Received	
Date of Receipt of Final Evaluation Report	
Overall Recommendation of Examiners	

Summary of Examiners' Recommendations

- ☐ Thesis Accepted
☐ Accepted Subject to Minor Corrections
☐ Accepted Subject to Major Revisions
☐ Re-submission Recommended
☐ Not Recommended

Remarks:



C. Viva-Voce Examination Details

Particulars	Details
Date of Viva-Voce Examination	
Venue / Mode	
Chairperson of Viva Board	
External Examiner Present	
Internal Examiner / Supervisor Present	

Recommendation of Viva-Voce Board

- ☐ Candidate Successfully Defended the Thesis
☐ Candidate Successfully Defended the Thesis Subject to Minor Corrections
☐ Further Clarifications/Modifications Required
☐ Candidate Not Recommended for Award

Remarks:

D. Compliance Verification

Requirement	Yes	No	Remarks
Coursework Successfully Completed	☐	☐	
Minimum Registration Requirements Fulfilled	☐	☐	
RAC Reviews Completed	☐	☐	
Pre-Submission Seminar Conducted	☐	☐	
Plagiarism Compliance Verified	☐	☐	
Ethics Compliance Verified (where applicable)	☐	☐	
Thesis Evaluation Completed	☐	☐	
Viva-Voce Successfully Conducted	☐	☐	
Corrections Incorporated (if any)	☐	☐	



E. Recommendation of the Research Degree Committee (RDC)

The Research Degree Committee, having considered:

- The thesis evaluation reports;
- The recommendations of the examiners;
- The report of the Viva-Voce Examination Board; and
- Compliance with the Ph.D. Ordinance, Regulations, and Guidelines of Sikkim Alpine University,

hereby recommends:

- ☐ Award of the Degree of Doctor of Philosophy (Ph.D.)
- ☐ Award of the Degree after Incorporation of Minor Corrections
- ☐ Further Revision Required Before Award
- ☐ Not Recommended for Award

Remarks:

F. Resolution of the Research Degree Committee

Resolution No.: _____

Date of RDC Meeting: _____

G. Certification by the Assistant Director (Research)

This is to certify that all procedural requirements prescribed under the Ph.D. Ordinance and Regulations of Sikkim Alpine University have been duly complied with and the matter is placed before the Competent Authority for consideration.

Assistant Director (Research)

Name: _____

Signature: _____

Date: _____

Official Seal



H. Approval of the Competent Authority

Upon consideration of the recommendations of the Research Degree Committee and the records placed before it, the University hereby:

- ☐ Approves the Award of the Degree of Doctor of Philosophy (Ph.D.)
- ☐ Approves the Award subject to Compliance of Specified Conditions
- ☐ Defers the Award Pending Further Compliance
- ☐ Does Not Approve the Award

Remarks:

Registrar

Signature: _____

Date: _____

Official Seal

Approved

Vice-Chancellor

Signature: _____

Date: _____

Official Seal

I. Office Use Only

Ph.D. Award Notification No.: _____

Date of Award Approval: _____

Date of Degree Conferment: _____

Entry Recorded in University Register: ☐ Yes ☐ No

Verified by: _____

Remarks:



PART V: MISCELLANEOUS COMPLIANCE**Annexure P****ARTIFICIAL INTELLIGENCE (AI) USE & DISCLOSURE DECLARATION**

(To be submitted by every Ph.D. Scholar at the time of Thesis Submission in accordance with the University's Academic Integrity, Research Ethics, and Responsible Use of Artificial Intelligence Guidelines.)

A. Scholar Details

Particulars	Details
Name of Scholar	
Registration Number	
School / Department	
Discipline	
Category (Full-Time / Part-Time)	
Name of Supervisor	
Name of Co-Supervisor (if any)	
Title of Thesis	

B. Declaration on the Use of Artificial Intelligence (AI) Tools

Please tick the appropriate option:

- ☐ No AI tools were used in the preparation of this thesis.
- ☐ AI tools were used in the preparation of this thesis and have been fully disclosed below.

C. Details of AI Tools Used (If Applicable)

Sl. No.	Name of AI Tool/Software	Purpose of Use	Chapters/Sections Affected
1			
2			
3			
4			



D. Nature of AI Assistance Utilized

Please indicate the purpose(s) for which AI tools were used:

- ☐ Language editing and grammar correction
- ☐ Formatting and citation assistance
- ☐ Literature search support
- ☐ Data organization and summarization
- ☐ Coding or computational assistance
- ☐ Translation assistance
- ☐ Preparation of tables, figures, or visualizations
- ☐ Other (Specify): _____

E. Declaration by the Scholar

I hereby declare that:

1. Any use of Artificial Intelligence (AI) tools in the preparation of this thesis has been fully disclosed in this form.
2. AI tools, if used, were employed only as supportive tools and not as authors or contributors to the research.
3. The research design, data collection, analysis, interpretation, conclusions, and intellectual content of this thesis are my original work.
4. I accept full responsibility for the accuracy, authenticity, and integrity of all content presented in the thesis.
5. No AI-generated content has been presented as original research findings without appropriate verification.
6. The use of AI tools, where applicable, complies with the Ph.D. Ordinance, Regulations, and Academic Integrity Policies of Sikkim Alpine University.

I understand that failure to disclose the use of AI tools or misrepresentation of AI-generated content may constitute academic misconduct and may attract disciplinary action as per University rules.

Signature of the Scholar: _____

Name: _____

Registration Number: _____

Date: _____



F. Certification by the Research Supervisor

I certify that I have reviewed the above declaration and, to the best of my knowledge, the scholar has appropriately disclosed the use of Artificial Intelligence (AI) tools, if any, in the preparation of the thesis.

Signature of Research Supervisor: _____

Name: _____

Designation: _____

Date: _____

Official Seal

G. Verification by the Research & Development Cell

The above declaration has been examined and recorded as part of the thesis submission documents.

Remarks:

Assistant Director (Research)

Signature: _____

Date: _____

Official Seal

