

Process Manual

Allocation Process for Supervisor and Co-Supervisor for PhD Scholars

Objectives:

- a) The objective of the allocation process is to assign PhD scholars to a Supervisor and Co-Supervisor whose specializations align with the scholar's research topic. This ensures relevant guidance and effective support throughout the research journey.
- b) Additionally, the university ensures that the allocation must adhere to the UGC regulations regarding the allowable number of PhD scholars per faculty member.

Process Overview:

1. Identification of Faculty Expertise:

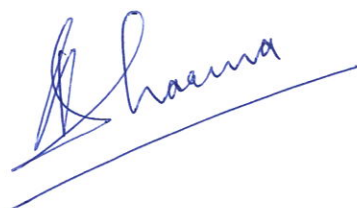
- i. **The first step, clearing the Entrance Examination:** After the scholar successfully clears the PhD entrance examination and viva conducted by the university and department respectively, the department identifies faculty whose research interests align with those of the scholar (Reference, page no: (12), (section 7.2, page 7), (section 7, pages 10 to 13) of SMU PhD regulation 2016, 2019, 2022) respectively.
- ii. **Website Link:** <https://smu.edu.in/smu/research/phd-smu.html>

2. Research Topic Submission:

- i. **Initial Proposal:** PhD scholars submit a detailed research proposal to the department, outlining their research topic, objectives, and key areas of focus.
- ii. **Topic Review:** The research proposal is reviewed at the department level committee (Department Research Committee) called DRC to understand the specific needs and challenges associated with the research.



3. **Allotment of Supervisor/ Co-supervisor Process:**
- i. **Primary Supervisor:** Identify a university recognized faculty member (Duly recognized by Academic Senate) with substantial expertise in the primary research area of the scholar as the Supervisor. This individual provides overall guidance and strategic direction.
 - ii. **Co-Supervisor:** Identify a junior faculty member or a faculty member with complementary expertise as the Co-Supervisor. This individual's specialization should complement the Supervisor's expertise and address additional aspects of the research.
4. **Adherence to Capacity Limits as laid down by UGC and complied by the University (Reference: SMU REGULATIONS FOR RESEARCH PROGRAMME LEADING TO AWARD OF Ph.D. DEGREE)**
- i. **Assistant Professors:** Can supervise up to 4 PhD scholars.
 - ii. **Associate Professors:** Can supervise up to 6 PhD scholars.
 - iii. **Professors:** Can supervise up to 8 PhD scholars. Ensure that the number of PhD scholars allocated to each faculty member does not exceed these limits as per UGC regulations.
 - iv. **Maximum limit per calendar year/academic year:** In addition, a faculty member cannot register more than two PhD scholars in a calendar year. However, even if a faculty member can supervise up to the maximum allowable number of scholars (e.g., up to 8 for Professors), they are restricted to registering no more than two PhD scholars in any given calendar year.
5. **Minimum Criteria for Supervisors and Co-Supervisors: (2016, 2019, 2024)**
- i. **Eligibility Criteria: (2016)**
 - ii. **Eligibility Criteria: (2019)**
 - iii. **Eligibility Criteria: (2024)**





- a. **Supervisor:** Should have a Ph.D. from a recognized University/Institute and preferably two years of post-doctoral experience. For Medical Allied Health Sciences, 5 years of teaching experience after Post Graduation/Ph.D. from a recognized University/College. Desirable: 3 publications in indexed/peer-reviewed national/international journals.
- b. **Co-Supervisor:** Must be a faculty member with a degree from a recognized University/Institute or a postgraduate with adequate experience/academic work comparable to a Ph.D. For Medical Allied Health Sciences, 3 years of teaching experience after Post Graduation/Ph.D. from a recognized University/College.
- iv. **Approval:** The Academic Senate will approve the appointment of Guides/Co-Guides while approving research proposals. Criteria may be relaxed in exceptional cases.
- v. **External Recognition:** SMU may recognize eminent research scholars from outside SMU institutions as Guides for interdisciplinary research areas.
- vi. **Annual Updates:** Updated lists of Guides and Co-Guides will be approved by the Academic Senate twice a year, whenever applicable.
- vii. **External Co-Guides:** Candidates registered for Ph.D. at SMU may choose eminent persons from outside their institutions as Co-Guides with university approval.
- viii. **Registration Limits:** Approved Guides shall normally not register more than two candidates in one academic year. The total number of Ph.D. candidates registered with a Guide at any given time will not exceed eight in case of a professor. (Please refer point 4 of this allocation Process manual). Reference:
- ix. **Relational Constraints:** The Guide and Co-Guide(s) shall not be closely related to the candidate.

- x. **Replacement:** In the absence of the Guide for a prolonged period (more than one year), the Vice Chancellor may appoint another person as Guide with the recommendation of the IRC (Institute Research committee), to the chairman URC (University Research Committee), the Vice Chancellor of the University.

6. Formal Allocation:

- i. **Agreement:** Upon the scholar's acceptance of the proposed Supervisory Team, the Department Research Committee (DRC) will proceed with the formal allocation.
- ii. **Documentation:** The DRC, Supervisor, and Co-Supervisor will maintain an official record of the allocation, including the research topic alignment, areas of specialization, and adherence to capacity limits.
- iii. **Formal Communication:** The department, represented by the DRC Chairman, will formally communicate the allocation to the Institutional Research Committee (IRC) for approval. This request will then be forwarded to the University Research Committee (URC) for final approval and record-keeping.
- iv. **Final Approval:** The scholar's registration is finalized once the University records the details of the scholar, research title, Supervisor, Co-Supervisor, and coursework. This information is recorded as part of the URC-approved agenda and is ratified in the Academic Senate meeting of the University.

References:

(a) This Manual has been prepared and compiled based on the SMU PhD Regulations of 2012, 2016, 2019, and 2024 and these regulations are available at the following link: [<https://smu.edu.in/smu/research/phd-smu.html>].

(b) SMU PhD regulations are duly approved by URC and ratified in the Academic Senate whenever some changes are made in the regulation.





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A handwritten signature in blue ink, appearing to read 'Kalpana', is written above a horizontal line. Below the line, the date '20/08/2024' is written in blue ink.

Prof (Dr) Kalpana Sharma,
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A small, handwritten signature in blue ink, consisting of a stylized 'K' followed by a flourish.