

# PhD Regulations



APRIL 2022



**GANDHI INSTITUTE OF TECHNOLOGY AND MANAGEMENT**  
**GITAM (Deemed to be University)**  
**Regulations for the Degree of Doctor of Philosophy (Ph.D.)**  
**(April 2022)**

**1. Title and Commencement**

- 1.1. These Regulations may be called “Regulations for the Degree of Doctor of Philosophy (Ph.D.)” of GITAM (Deemed to be University), delineating the requirements for admission and procedures leading to the Degree of Doctor of Philosophy (Ph.D.).

**2. Definitions**

In these Regulations, unless the context requires otherwise, or it is specifically so defined

- 2.1. **Course Work:** the courses prescribed as a part of Ph.D. programme and in which the candidate has to qualify as a pre-requisite for submission of the dissertation/thesis.
- 2.2. **Entrance Test:** the Test conducted by the University for admission into Ph.D. programme.
- 2.3. **Extramural:** candidates working in a recognized research Centre by the University registered for Ph.D. programme.
- 2.4. **Fee:** the amount prescribed by the University for Registration in the concerned programme.
- 2.5. **Full-Time:** candidates registered for Ph.D. programme pursuing research full time leading to attainment of the Degree.
- 2.6. **Indexed Journals:** A journal with impact factor indexed by Scopus /Web of Science /PubMed / FT 50/ Indian Citation Index/SCI/ UGC Care, as approved by the respective departments.
- 2.7. **Part-Time:** candidates registered for the Ph.D. programme who devote part of their time towards pursuing research for obtaining the Degree, while discharging the official/professional obligations.
- 2.8. **Parent Department:** the department where a Candidate has registered for Ph.D. Program.
- 2.9. **Programme:** The Degree of Doctor of Philosophy (Ph.D.).
- 2.10. **Research Center:** external Institution / Industry / Research laboratory, engaged in research activities, having at least two persons qualified to supervise research and duly recognized by the University.
- 2.11. **Research Guide:**  
**Research Guide** means a recognized teacher from the parent Department to guide the candidates for Ph.D. programmes.  
**Co-Guide** means a recognized Research Guide within the parent department or other than the parent department.

### 2.12. **Research Committees:**

- (a) **Board of Research Studies (BRS):** the Board constituted by the University to monitor research activities in the University.
- (b) **Board of Studies (BoS):** the Board constituted by the University to monitor the curricular aspects of the concerned department.
- (c) **Common Board of Studies:** the Board constituted by the University to monitor the curricular aspects related to common courses offered by different departments.
- (d) **Departmental Research Committee (DRC):** the Committee constituted by the University to monitor the research activities in an academic department.
- (e) **Institution Research Committee (IRC):** the Committee constituted by the University to monitor research activities in an Institute.
- (f) **Research Advisory Committee (RAC):** the Committee comprising of the Research Guide, Co-Guide (if any) and two subject experts allotted by DRC.

2.13. **Synopsis:** means the summary of the research work to be submitted as a pre-requisite for submission of the Ph.D. thesis.

2.14. **University:** means Gandhi Institute of Technology and Management (GITAM) (Declared as Deemed-to-be-University u/s 3 of the UGC Act, 1956).

## 3. **Eligibility Criteria**

### 3.1. **Categories:**

- (a) Full time – (with stipend/ fellowships)
- (b) Part time – Internal and External
- (c) Extramural

Candidates seeking admission into Ph.D. programme can pursue research under Full-Time, Part-Time or Extramural categories, subject to eligibility criteria stipulated below:

3.2. **Educational Qualification:** Candidates should have been qualified in the discipline at the Master's level or in an allied discipline or an equivalent Professional Degree.

3.3. They should have secured at least 55% marks in aggregate or equivalent CGPA. However, a relaxation of 5% marks, or an equivalent grade is permitted for SC/ST/ OBC (non-creamy layer)/differently-abled candidates.

### 3.4. **Service requirement for Part-Time candidates**

- 3.4.1 Teachers working in PG Departments of recognized Universities and their affiliated Colleges with a minimum of one year of service.
- 3.4.2 Teachers working in Degree or Professional colleges affiliated to recognized Universities with at least two years of service.
- 3.4.3 Teachers working in recognized Junior Colleges with at least four years of service for admission to the Ph.D. programmes.

- 3.4.4 Executives/ Administrators/ Engineers/ Scientists with at least three years of service in Govt./ Quasi Govt./ Judiciary/ Public sector organizations/ Public and private limited companies and other organizations approved by the BRS.
- 3.4.5 Employees not covered in the above clauses with at least four years of service as approved by the BRS.
- 3.5. **Service requirement for Extramural Research candidates**
  - 3.5.1 Scientists working in research institutions recognized by the University with a minimum two years of experience.
  - 3.5.2 Research Fellows attached to institutions recognized by the University
- 3.6 **Duration of the Programmes**
  - 3.6.1 Ph.D. (FT) programme shall be for a minimum of three year and a maximum of six years.
  - 3.6.2 Ph.D. (PT) programme shall be for a minimum of four years (three years for M.Phil. Degree holders) and a maximum of six years.
  - 3.6.3 Part time candidates are required to be present in the campus for at least eight weeks (in one or more than one spell) during the period of course work.
  - 3.6.4 Women candidates and persons with disability (more than 40% disability) be allowed a relaxation of two years for Ph.D. in the maximum duration prescribed for the program.
  - 3.6.5 In addition, women candidates may be provided Maternity Leave / Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

#### **4 Procedure for Admission**

- 4.1. The Director (Research & Consultancy) will be the Chair of the Admission Committee with representatives from concerned disciplines. The admissions committee will supervise and monitor the admission process of all disciplines of the University and will report to the Vice-Chancellor.
- 4.2. There will be two cycles of admission every year for the Degree of Doctor of Philosophy (Ph.D.) in the month of April and October.
- 4.3. Candidates seeking admission into Ph.D. Programmes except those mentioned below, have to appear for an Entrance Test conducted by the University.
  - (a) Candidates who qualify in UGC-NET (including JRF)/UGC-CSIR NET (including JRF) / ICMR / GATE / GPAT / SLET / Teacher Fellowship and M.Phil. Degree holders, recognized Young Researcher by DST/ UGC/CSIR and Project Fellows working in the projects sponsored by national funding agencies, with a minimum of one year experience.

- (b) Executives / Administrators / Engineers / Scientists with at least TEN years of service in Govt. / Quasi Govt. / Judiciary / Public sector organizations / Public and Private limited companies.
  - (c) Eligible candidates under Extramural Category for Ph.D. programme, as they are admitted any time during the year.
- 4.4. A notification for admission shall be issued in the Newspapers and University Website inviting applications for admission to Ph.D. programs. Statutory reservations as applicable to the University Candidates satisfying the eligibility criteria will apply.
- 4.5. **Details of the Entrance test**
- 4.5.1 The syllabus will be published on the University website before the entrance test.
  - 4.5.2 The syllabus shall have 50% coverage on Research Aptitude and 50% on specific subject Area.
  - 4.5.3 The duration of the test is two hours.
  - 4.5.4 The test comprises of a combination of descriptive & objective type questions.
  - 4.5.5 The maximum marks for written component of the Test is 140 (70 for Research Aptitude and 70 for specific subject Area).
  - 4.5.6 Candidates who secure 50% in the written component shall be eligible for the interview.
- 4.6. The Interview will be conducted for 60 marks.
- 4.7. The Dean/ HOI (if no dean is available) of concerned discipline will constitute the Interview Committee for conducting the interviews for Ph.D. program.
- 4.8. The interview shall also consider the following aspects, viz. whether:
- a. the candidate possesses the competence for the proposed research;
  - b. the research work can be suitably undertaken at the Institution/School;
  - c. the proposed area of research can contribute to new/additional knowledge.
- 4.9. The list of shortlisted candidates for admission shall be prepared on the basis of the total marks obtained by the candidates together in the entrance test and the interview of the respective institutions, cut-off marks of individual department and vacancies available in each department.
- 4.10. The Directorate of Research & Consultancy will issue the provisional admission letter to the candidate with the prior approval of the Vice-Chancellor.
- 4.11. Candidates have to register with the respective Institute/School after paying the prescribed fee as per the provisional admission letter.
- 4.12. The date of issue of the provisional admission letter shall be considered as the date of registration for the purpose of determining the duration of the program.

- 4.13. All the provisionally registered candidates shall complete the course work in the parent department.
- 4.14. The degree shall be awarded in the concerned Faculty.

## 5. Research Guide

- 5.1. **Eligibility:** The criteria to be recognized as a Research Guide is as per the following table:

Cadre	Qualification	Number of Publications in peer reviewed indexed journals
Professor	Ph.D.	5
Associate Professor	Ph.D.	5
Assistant Professor	Ph.D.	3

- 5.2. In areas/disciplines where there is no or only a limited number of indexed journals, the Institution may relax the above condition for recognition of a person as Research Guide with reasons recorded in writing.
- 5.3. All the newly recruited eligible faculty members may apply using the form in Annexure I to the DRC along with their credentials of qualifications. DRC will review the applications and intimate their recommendations to IRC and Directorate of Academic Affairs (DoAA) for approval.
- 5.4. **Allocation of Candidates:** The maximum number of candidates (including F.T. and P.T.), an eligible faculty (Cadre-wise) can guide as a Guide (including being a Co-Guide) at any point of time is furnished below.

S. No.	Designation	Maximum Number of Scholars Permitted
1	Professor	8
2	Associate Professor	6
3	Assistant Professor	4

- 5.5. Professionals working in Research Centers recognized by the University holding a Ph.D. degree with at least two years of experience and five refereed research publications are eligible to supervise as a co-guide under Extramural category.
- 5.6. All eligible research guides of the Department with vacancies are required to follow the below process for allotment of research scholars before each admissions cycle.

### **Step1:**

- (a) Submit a two-page summary of the research publications over the last five years

- (b) Summary of the current research interests and future research areas.
- (c) Statement of current funded research projects (both internal and external funding).
- (d) Current research scholars under their guidance and their areas of research
- (e) Current number of vacancies for the research scholars.

**Note:** Profiles of all the eligible research guides will be made available to the research scholars prior to the interview.

**Step 2:** All admitted research scholars may opt for research guides based on their area of research and in alignment with their proposed research area by giving at least two choices of research guide.

**Step 3:** The research guides may then choose the research scholars under the supervision of DRC and may give their order of preference of the candidates.

**Step 4:** DRC will do the final allocation of the scholars in the best interests of the Scholars, Guides, and the University.

- 5.7. In case of inter-disciplinary research, Guides have to submit a “**Statement of Purpose**” (SoP) justifying the need for interdisciplinary approach which has to be approved by the DRCs of the concerned departments. However, Co-Guide can be allowed in inter-disciplinary areas from within the department or other departments of the same Institute or from other related institutions with the approval of the Institute Research Committee.
- 5.8. Under Extramural category, candidates shall identify a Co-Guide from their parent organization duly approved by the DRC and a Guide from the University.
- 5.9. A faculty member leaving the University shall cease to be the Guide. However, he/she may continue as a Co-Guide on the request and with the approval of DRC. Superannuated Guide can continue as a Co-Guide with the approval of DRC.
- 5.10. In case, where the Guide leaves the University after the submission of the thesis, he/she shall be permitted to continue as a Guide till the award of the degree. The Chairperson, DRC will act as the convener for the Viva-Voce Committee.
- 5.11. **Change of Guide:** Change of Guide may be permitted under exceptional circumstances including but not limited to death or disability on health grounds or transfer or resignation or retirement of the Guide, on the request of the Candidate / Guide, with recommendations by the DRC. A Co-Guide can be permitted on request by the research guide with recommendations of DRC.

## **6. Institution Research Committee and its functions:**

- 6.1 **Constitution of Institutional Research Committee:** The Vice-Chancellor in consultation with Dean of respective disciplines and campus heads (where applicable), will select and appoint the members of the IRC. The composition of the IRC is as below:

Dean	Chairperson
Director/Principal	Co - Chair
All HoDs in the Institution	Members
All the DRC Chairs in the Institution	Members
One of the DRC Chair nominated by the HOI.	Convener

**Note:** In case there is no Dean appointed for a particular discipline, the Director/Principal will become the Chairperson of the Committee.

## 6.2 Functions of the IRC:

- 6.2.1 To formulate and implement the Institute's/School's Research Strategy
- 6.2.2 To facilitate the development of research infrastructure and resources of the Institute
- 6.2.3 To evaluate and approve the Department Research Strategies
- 6.2.4 To review the progress of Departments/Research Groups against the deliverables and Key Performance Indicators
- 6.2.5 To monitor the PhD Program, including admissions, the constitution of DRC, RAC and the progress of all the research scholars
- 6.2.6 To facilitate and promote interdisciplinary research between Departments and other Institutes (internal and external to the University)
- 6.2.7 To encourage faculty to apply for external funding opportunities
- 6.2.8 To promote research ethics and best practices among the faculty and students

## 7 Department Research Committee and its functions:

- 7.1 **Constitution of Departmental Research Committee:** The Chairperson of IRC in consultation with Head of the Institute, will select and appoint the members of the DRC from the applicants based on the criteria set in Annexure II.

Department Research Committee should comprise of:

One of acknowledged researcher of the Department	Chairperson
One member from the Board of Studies of the Department	Member
Up to five eligible Research Guides of the Department. (In case of smaller departments all the eligible research supervisors will be a part of the DRC)	Members
One member from the eligible Research Guides of the Department.	Convener



**Note:** Where the departments of any Institute/School at individual campuses are small, constitution of DRC is not possible. In such circumstances, the Deans/Directors/Principals can determine the DRC of which Institute/School the smaller department can operate under.

**7.2 Functions and responsibilities of the Departmental research committee:**

- 7.2.1 To formulate and implement the Department Research Strategy
- 7.2.2 To monitor the research activities in the Department including funded projects, publications and patents
- 7.2.3 To review the progress of the faculty members and research scholars of the department
- 7.2.4 To support the early career researchers and other researchers of the Department in determining the research priorities
- 7.2.5 To identify leading journals in the discipline where the faculty can publish
- 7.2.6 To review the research infrastructure required by the Department
- 7.2.7 To allocate research supervisors' and constitute the Research Advisory Committee for each research scholar
- 7.2.8 To encourage faculty to apply for external funding opportunities
- 7.2.9 To promote research ethics and best practices among the faculty and students

**8 Research Advisory Committee and its functions:**

- 8.1 Constitution of the Research Advisory Committee:** Each research scholar will be guided and monitored by a Research Advisory Committee.

Research Advisory Committee should comprise of:

Research Guide	Chairperson
Co-Guide in case of Extramural Scholar/ Inter Disciplinary Research	Member
Two Subject Experts in the related area	Members
One University representative from outside the Institute/School nominated by DoAA	Member

**8.2 The Committee shall have the following responsibilities:**

- (i) To guide the research scholar to develop the research plan and methodology.
- (ii) To identify the course(s) that need to be pursued for advancement of Ph.D. work and review of progress of coursework.
- (iii) To review the research proposal and finalize the topic of research.

- (iv) To periodically review and assist in the progress of the research work of the research scholar.
- 8.3 A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The minutes of the Research Advisory Committee meeting should be appended along with the six-month progress report.
- 8.4 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Institution/School with specific reasons for cancellation of the registration of the research scholar.

## 9 Course Work

- 9.1 Course work is mandatory for Full-time, Part-time and Extramural Ph.D. scholars.
- 9.2 Candidates have to put in a minimum of 75% attendance per course to be eligible to appear for the examinations.
- 9.3 The course work comprises the following to be completed in the first Two Semesters.
 

Course - I	: Research Methodology – I
Course - II	: Critical Thinking and Academic Writing
Course - III	: Advanced topics in the Area of Research-I
Course - IV	: Advanced topics in the Area of Research-II
Course - V	: Research Methodology – II
Course - VI	: Advanced topics in the Area of Research-III
Course – VII	: Research and Publication Ethics
Course – VIII	: Comprehensive Viva-Voce
- 9.4 **Research Progress Seminars** - Candidates have to present their progress of research work once in every 6 months, after the completion of coursework, in a seminar organized by the Department. These seminars will be open to all and are a part of the progress review of the candidates.
- 9.5 **Classes for Course** – I, II, V and VII shall be arranged by the Institute, and that of Course – III, IV, and VI (Advanced topics in the area of research approved by respective BoS) by the DRC.
- 9.6 **Syllabus for Course** – I, II, V and VII shall be given by the IRC and approved by the Common BoS and that of Courses– III, IV, and VI shall be suggested by Research Advisory Committee (from the list of approved courses approved by BoS) and approved by DRC.
- 9.7 The Scheme of the Course Work for Full Time/Part Time/Extramural Scholars

**a. For Full Time Scholars:**

**Semester –I**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
1	XXXX (I)	Research Methodology - I	2
2	XXXX (II)	Critical Thinking and Academic Writing	2
3	XXXX (III)	Advanced topics in the area of research-I	2
4	XXXX (IV)	Advanced topics in the area of research-II	2

**Semester –II**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
5	XXXX (V)	Research Methodology – II	2
6	XXXX (VI)	Advanced topics in the area of research-III	2
7	XXXX (VII)	Research and Publication Ethics	2
8	XXXX (VIII)	Comprehensive Viva-Voce	2

**Semester –III**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
9	XXXX (IX)	Research Progress Seminar -1 and Report	3
10	XXXX (X)	Quality Improvement Workshop-I	Audit

**Semester –IV**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
11	XXXX (XI)	Research Progress Seminar-2 and Report	3
12	XXXX (XII)	Quality Improvement Workshop- II	Audit

**Semester –V**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
13	XXXX (XIII)	Research Progress Seminar-3 and Report	3
14	XXXX (XIV)	Quality Improvement Workshop –III	Audit

**Semester –VI**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
15	XXXX (XV)	Pre-submission Seminar	3

**b. For Part Time/Extramural Scholars:**

**Semester –I**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
1	XXXX (I)	Research Methodology - I	2
2	XXXX (II)	Critical Thinking and Academic Writing	2
3	XXXX (III)	Advanced topics in the area of research-I	2
4	XXXX (IV)	Advanced topics in the area of research-II	2

**Semester –II**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
5	XXXX (V)	Research Methodology – II	2
6	XXXX (VI)	Advanced topics in the area of research-III	2
7	XXXX (VII)	Research and Publication Ethics	2
8	XXXX (VIII)	Comprehensive Viva-Voce	2

**Semester –III**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
9	XXXX (IX)	Research Progress Seminar -1 and Report	3
10	XXXX (X)	Quality Improvement Workshop-I	Audit

**Semester –IV**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
11	XXXX (XI)	Research Progress Seminar-2 and Report	3
12	XXXX (XII)	Quality Improvement Workshop- II	Audit

**Semester –V**

<b>S. No.</b>	<b>Course Code</b>	<b>Course Title</b>	<b>Credits</b>
13	XXXX (XIII)	Research Progress Seminar-3 and Report	3
14	XXXX (XIV)	Quality Improvement Workshop –III	Audit

**Semester –VI**

S. No.	Course Code	Course Title	Credits
15	XXXX (XV)	Research Progress Seminar-4 and Report	3
16	XXXX (XVI)	Quality Improvement Workshop- IV	Audit

**Semester –VII**

S. No.	Course Code	Course Title	Credits
17	XXXX (XVII)	Research Progress Seminar-5 and Report	3
18	XXXX (XVIII)	Quality Improvement Workshop –V	Audit

**Semester –VIII**

S. No.	Course Code	Course Title	Credits
19	XXXX (XIX)	Pre-submission Seminar	3

- 9.8 PhD coursework (Course I-VIII) has to be completed within 12 months from the date of registration
- 9.9 Candidates have to secure at least CGPA of 7 (Aggregate B Grade) and above and a minimum of “P” grade in each course to complete the coursework.
- 9.10 Unsuccessful candidates (fail/absent) shall be provided a maximum of two more attempts to complete the course work.
- 9.11 The registration of the candidates who could not complete even after reappearance stands cancelled and they have to re-apply for admission into the programme.

**10 Evaluation of Course Work:**

- 10.1 **Paper Setting:** The Dean will nominate the paper setters for Course – I, II, III, IV, V, VI and VII.
- 10.2 **Evaluation:** The evaluation of Course – I, II, III, IV, V, VI and VII shall be carried out by an examiner nominated by the Dean of Faculty from the panel of examiners recommended by BoS.
- 10.3 The Comprehensive Viva-Voce shall be conducted and assessed by the Research Advisory Committee. It will include presentation of literature review along with the proposed title and objectives of the research.
- 10.4 **Research Progress Seminars**
- Research Scholars have to submit a 2000 words (Full Time/Part Time/ Extramural) progress report to the respective Research Advisory Committee at least one week prior to research seminar presentation.

- All the research seminars will be open seminars in the presence of research scholars, faculty members, and students.

## 11 Grading System

S. No.	Grade	Grade Points	Absolute Marks
1	O (Outstanding)	10	90 and above
2	A <sup>+</sup> (Excellent)	9	80 to 89
3	A (Very Good)	8	70 to 79
4	B (Good)	7	60 to 69
5	P (Pass)	5	55 to 59
6	F (Fail)	0	Less than 55
7	Ab. (Absent)	0	-

## 12 Ph.D. Progression and Monitoring

- 12.1 There should be at least one formal meeting between the scholar and their research guides every month. This contact should be in person for the full-time scholars. The part-time and extramural scholars can do these meetings on video conferencing, but it should be kept up in person when possible. These meetings and their outcomes must be recorded and reported to the Research Office/HoD/HoI/Dean following each meeting.
- 12.2 Scholars have to present Research seminar and submit half yearly progress report to the Research Advisory Committee after the completion of the coursework. Failure to submit two consecutive six monthly progress reports will entail cancellation of registration of the scholar. Continuation may be recommended by the Research Guide and Research Advisory Committee with valid reasons.
- 12.3 Conversion from Full time to Part time: The full-time registration can be converted to part time only after the candidate qualifies himself/herself in the coursework, on request to the DoAA through the Research Advisory Committee, DRC and IRC. The relevant Regulations apply.
- 12.4 To be eligible for the submission of the thesis, the Research Scholars have to fulfill the following criteria:
  - (a) Coursework with at least CGPA of 7 (Aggregate “B” Grade) and above and a minimum of “P” grade in each course
  - (b) Research Seminars with “P” grade
  - (c) Research Report with “P” grade
  - (d) Satisfactory participation in the QIP workshops
  - (e) Pre-Submission Seminar with “P” grade

### **13 Submission of Ph.D. Thesis**

- 13.1 Ph.D. scholars must publish at least One (1) research paper in the approved list of journals of the institute/faculty and make two paper presentations in peer reviewed conferences/seminars approved by the institute/faculty or at least two (2) research papers in the approved list of journals of the institute/faculty before the submission of the thesis for adjudication and produce evidence for the same. A patent published or awarded will be considered equivalent to a publication.
- 13.2 Candidates have to submit two (2) copies of synopsis and a draft copy of the thesis in the prescribed proforma as per Annexure III & IV to the Department through the Research Guide.
- 13.3 Candidates shall give an open Pre-submission Seminar before the members of both DRC and Research Advisory Committee, research scholars and faculty members.
- 13.4 Upon approval by the DRC/ Research Advisory Committee, the candidates shall submit the synopsis to the Guide. The Guide shall circulate the synopsis among the members of the DRC to suggest the names of experts to be included in the panel of adjudicators. Examiners list shall be recommended by DRC.
- 13.5 Based on the inputs, the Guide, in consultation with DRC shall prepare the panel of adjudicators.
- 13.6 Candidates shall submit one hard copy approved by the guide along with soft copy of the thesis as per the guidelines in Annexure III to the Department before the due date, failing which candidates have to pay the tuition fee for the next academic year also in order to obtain no-dues certificate.
- 13.7 The Convener, DRC shall forward the copy of the approved thesis along with the documents specified in Annexure IV to the University through the Head of the Institute (HoI).
- 13.8 The HoI shall issue the "Thesis Submission Certificate" to the Candidate.
- 13.9 Early Submission of Ph.D. Thesis: FT/PT Ph.D. candidates may be permitted for early submission, not exceeding six months/one year respectively provided they fulfill all the requirements for the submission of the thesis. Candidates shall make an appeal to the DoAA through the Research Advisory Committee, DRC and IRC for early submission, one/two months before the proposed submission date.
- 13.10 Extension of Time: Ph.D. candidates may be permitted for extension of time upto one year beyond the maximum duration by the Vice-Chancellor based on the merit and progression of the research scholar. The scholar shall make an appeal to the DoAA through the Research Advisory Committee, DRC and IRC for extension of time, three months before the completion of maximum prescribed duration.

- 13.11 The registration of candidates stands automatically cancelled if they are unable to submit the thesis within the extension period.

#### **14 Adjudication of Ph.D. Thesis**

- 14.1 The thesis will be subjected to plagiarism check by a panel nominated by the DoAA.
- 14.2 The plagiarized content should not exceed 10% overall exclusive of references and their own research publications.
- 14.3 The thesis shall be adjudicated by three examiners of whom one should be from outside the State, and one from foreign country. The foreign examiner shall not be an Indian citizen.
- 14.4 The following details of examiners should be presented in a tabular form (i) Name, designation, e-mail, phone and postal address (ii) area of research with contribution like number of publications, research guidance in the area.
- 14.5 In case, the Indian/Foreign examiners do not convey acceptance within two weeks or do not send their reports within eight weeks from the date of receipt of the thesis, the DoAA will substitute the examiners with alternative examiners in consultation with the Vice Chancellor.
- 14.6 In case, none of the Indian/Foreign examiners in the panel convey acceptance, the Vice Chancellor may substitute the adjudicators from a new panel submitted by the Research Guide and approved by Research Advisory Committee in consultation with Convener, DRC.
- 14.7 The adjudicators shall send specific recommendations in the prescribed format along with a summary report, possible questions to be asked / clarifications to be sought during the Viva-Voce. The following table depicts suitable action to be taken in this regard:

<b>S. No.</b>	<b>Examiner I</b>	<b>Examiner II</b>	<b>Examiner III</b>	<b>Action to be initiated</b>
1	A	A	A	Conduct Viva-Voce
2	A	A	M	The candidate has to resubmit the thesis and it is to be sent to the same examiner for revaluation.
3	A	M	M	The candidate has to resubmit the thesis with the approval of Research Advisory Committee and it is to be sent to the same examiners for reevaluation.
4	M	M	M	
5	A	A	R	The examiner who rejected the thesis shall be replaced with



				new examiner. The adjudication process continues as per regular procedure.
6	A	M	R	The examiner who rejected the thesis shall be replaced with new examiner. The adjudication process continues as per regular procedure. In case of Modification, the candidate has to resubmit the thesis with approval from DRC and it is to be sent to the same examiner for reevaluation.
7	A	R	R	The candidate has to resubmit the revised thesis with the approval of DRC. The adjudication process continues as per regular procedure.
8	M	M	R	Appointment of new examiner(s) from the original panel. The candidate has to resubmit the revised thesis with the approval of DRC. The adjudication process continues as per regular procedure.
9	M	R	R	
10	R	R	R	Registration gets cancelled
<p>A – Approved, M – Modifications, R – Rejected</p> <p>R-Rejected: If the adjudicator rejects the thesis without stating any specific reasons, the original thesis shall be sent to another adjudicator. If the adjudicator rejects the thesis by specifying the reasons for rejection/suggestions for improvement, the thesis shall be revised and resubmitted with the approval of DRC and the revised thesis shall be sent to another adjudicator.</p>				

## 15 Viva-Voce for Ph.D. Degree:

15.1 On the receipt of satisfactory reports from the adjudicators, an open viva-voce shall be conducted by Viva-Voce committee comprising the following.

DRC, Chairperson	Chairperson
BoS, Chairperson	Member
One of the Indian adjudicators nominated by the VC	Member
Two subject experts of the University nominated by the VC	Members
Co-Guide (if any)	Member
Research Guide	Convener

- 15.2 The viva-voce shall be open to faculty members of the concerned and allied departments, members of the Research Advisory Committee, PG students, research scholars and other interested experts/researchers.
- 15.3 Candidates have to successfully defend their thesis work during the Viva-Voce, failing which they have to reappear for Viva-Voce within 3 months.
- 15.4 In case the Research Guide left the University after submission of the thesis, the DRC, Chairperson shall act as the convener of the committee to conduct the viva-voce.

## **16 Award of Ph.D. Degree**

- 16.1 After the successful completion of the Viva-Voce, the Convener of the Viva-Voce committee shall send a Report in the prescribed proforma (Annexure-V) along with a brief report on the thesis and a photograph of the candidate to the DoAA through HoI for the award of the Degree.
- 16.2 The University issues a notification declaring the award of the Degree and a Provisional Certificate to the candidate.
- 16.3 The Candidate shall submit one hard copy and a soft copy of the thesis to the University after incorporating the suggestions, if any, by the adjudicators. The thesis shall be placed in the University Library. The candidate should also submit in the ShodhGanga format to the University Library, after getting NOC from DoAA and Library.

## **17 Depository with UGC-INFLIBNET**

After the announcement of the award of Degree, the University shall host the Ph.D. thesis in INFLIBNET.

## **18 Discretionary Power**

The Vice Chancellor's decision is final and binding on any interpretation / issue related to these Regulations.

## List of Committees

### Board of Research Studies

1	Vice-Chancellor	Chairperson
2	Pro Vice-Chancellor(s)	Member
3	All Directors/Principals of the University Institutions	Members
4	Registrar	Member
5	Director-Academic Affairs	Convener

### Institution Research Committee

1	Dean	Chairperson
2	Director/Principal	Co - Chair
3	All HoDs in the Institution	Members
4	All the DRC Chairs in the Institution	Members
5	One of the DRC Chair nominated by the HOI.	Convener

### Department Research Committee

1	One of acknowledged researcher of the Department	Chairperson
2	One member from the Board of Studies of the Department	Member
3	Up to five eligible Research Guides of the Department. (In case of smaller departments all the eligible research supervisors will be a part of the DRC)	Members
4	One member from the eligible Research Guides of the Department.	Convener

### Research Advisory Committee

1	Research Guide	Chairperson
2	Co-Guide in case of Extramural Scholar/ Inter Disciplinary Research	Member
3	Two Subject Experts in the related area	Members
4	One University representative from outside the Institute/School nominated by DoAA	Member



## Annexure I

Date:  
To,  
The Director of Academic Affairs,  
GITAM Deemed to be University,  
Visakhapatnam – 530045.

Re: Requisition for approval as Research Supervisor

I, \_\_\_\_\_ working as Professor / Associate Professor / Assistant Professor in the Department of \_\_\_\_\_ at (Name of the Institute/ School), would like to seek your approval to supervise Ph.D. Research scholars. Please find enclosed, the required documents as per GITAM Deemed to be University's Research Regulations for your kind perusal and further process.

S. No.	Document Name	Remarks
1	Updated CV	
2	Ph. D. certificate	
3	Publications (Referred Journals)	
4	Key Research Areas	

Thanking you.

Yours Truly,

Signature: \_\_\_\_\_

Employee ID: \_\_\_\_\_

### Encl:

For official use only:

Ref:

CV Verified: \_\_\_\_\_ PhD Certificate Verified: \_\_\_\_\_ Publications Verified: \_\_\_\_\_

Approved/ Not Approved: \_\_\_\_\_ Comments: \_\_\_\_\_

Signature: \_\_\_\_\_ Signed by: \_\_\_\_\_

**Criteria for the selection of the Chairperson of the DRC**

1. Top 5 research papers along with the metrics such as citations, impact factor etc.
2. Any books/ book chapters written (provide details of the publisher also).
2. Research guidance: Yes/No
3. How many scholars have been guided and awarded?
4. Number of Completed and Ongoing research projects along with fund amount.
5. Number of patents filed/published/granted.
6. Previous academic administrative experience.
7. Plan for the next 3 years if you're selected to the DRC Chairperson/ Members  
(Please write this in not more than one page)

**Guidelines for Preparation of Synopsis**

1. Synopsis shall be limited to 15 pages (excluding cover page)
2. A4 (210mm x 297mm) paper size only shall be used.
3. Synopsis shall be tape bound.

**Proforma for the Synopsis**

1. Cover page of synopsis shall be as per the sample cover page.
2. The synopsis shall contain:
  - (i) Introduction
  - (ii) Objectives and scope of the research work.
  - (iii) Work carried out
  - (iv) Results and Discussion
  - (v) Contributions from the present work
  - (vi) Thesis organization: chapter-wise titles of the thesis

**Journal papers:** the references shall be presented in the APA style (American Psychological Association).

**Example:**

Van der Geer, J., Hanraads, J.A.J., Lupton, R.A., 2010. The art of writing a scientific article. J. Sci. Commun. 163, 51–59.

**Textbook:**

Strunk Jr., W., White, E.B., 2000. The Elements of Style, fourth ed. Longman, New York.

3. List of publications from Ph.D. work.

**Note:** All citations in the body of the thesis shall be in following style:

- a. The author's name shall be mentioned without initials. e.g. Mettam, 2009
- b. Single author: the author's name and the year of publication; e.g.: Allan, 1999.
- c. Two authors: both authors' names and the year of publication; e.g.: Allan and Jones, 1999.
- d. Three or more authors: first author's name followed by 'et al.' and the year of publication, e.g.: Kramer et al., 2010.
- e. More than one reference from the same author(s) in the same year must be identified by the letters 'a', 'b', 'c', etc., placed after the year of publication. e.g.: Allan, 2000a; Allan, 2000b.

(SAMPLE OF COVER PAGE)

**Synopsis of the Thesis**

**THE TITLE OF THE THESIS**

**SHALL LOOK EXACTLY LIKE THIS TITLE**

(Font: Times New Roman – 16-point size –Bold – centered)

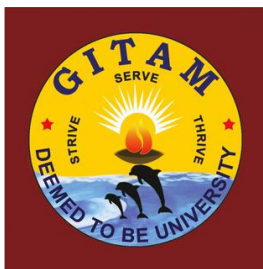
Thesis submitted to GITAM (Deemed to be University)  
as a partial fulfillment of the requirements for the award of  
the Degree of Doctor of Philosophy in \_\_\_\_\_

(faculty)

(Font: Times New Roman – 12 point size – Italics)

**(Name of the Scholar)**  
**(PIN Number)**

(10 lines gap) - ‘Times New Roman’ – 14-point size – Bold – centered



(3 lines gap) – Square Logo of GITAM Deemed to be University – 1.5 inch side

**Department of \_\_\_\_\_**

**GITAM (Deemed to be University)**

**VISAKHAPATNAM**

**MONTH, YEAR**

(1 line gap) - ‘Times New Roman’ – 14-point size – Bold – centered



## **Thesis Specifications**

### **Thesis Size**

1. A thesis should be preferably not exceeding 250 pages (not considering the prefacing materials of the thesis that are paginated in small Roman numerals; see the section on Page Numbering).

### **Paper**

2. A4 (210mm x 297mm) bond un-ruled paper (80 GSM) shall be used.
3. The thesis shall be printed on one side of the paper.

### **Binding**

4. The thesis shall be hard bound and the spine of the thesis shall be provided with the title of the thesis, year of submission and name of the candidate.

### **Format for the Thesis**

#### **Font**

5. The font type shall be Times New Roman.
6. The font size for the regular text in the thesis shall be 12 point.
7. The font size for chapter headings shall be 15 point and bold print and all uppercase.
8. The font size for section headings shall be 12 point and bold print and all uppercase.
9. The font size for subsection headings shall be 12 point and bold print with lead letter in uppercase.
10. The font size for sub-subsection headings shall be 12 point and bold print and sentence also.

#### **Line Spacing**

11. Spacing between the lines shall be 1.5.
12. The space between consecutive paragraphs shall be 2.0.
13. All paragraphs in the thesis must be justified.
14. Double space shall be given between Chapter title and first sentence of a Chapter, and Last line of a section / sub-section and the title of the next section / sub-section.
15. Use single space between the title of the table/figure and the table/figure.
16. Use two spaces between the table / caption of the figure and the next paragraph.
17. Use single space for footnotes and endnotes for text and explanatory notes for tables and figures.

18. Use one and half space in references and double space between references.

### **Margins**

19. A margin of 3.75 cm (1½ inch) is to be given on the binding edge while on the other sides it is to be 2.5 cm (1 inch). The text of the thesis, including headings, figures, tables, and notes, but excluding page numbers, must be accommodated within the page area.

### **Tables, Figures and Equations**

20. All tables (tabulated data) and figures (charts, graphs, maps, images, diagrams, etc.) should be prepared, wherever possible, on the same paper used to type the text and conform to the specifications outlined earlier. They should be inserted as close to the textual reference as possible. If borrowed from others, it should be acknowledged below the table, map, chart, figure, diagram etc.

21. Tables, figures and equations should be numbered sequentially either throughout the thesis or Chapter-wise using Arabic numerals. They are referred to in the body of the text capitalizing the first letter of the word and number, as for instance, Table 17, Fig. 24/Eqn. (33)/ or Table 5.3/ Fig. 3.11/ Eqn. (4.16).=

22. If tables and figures are of only half a page or less, they may appear on the same page as text but separated above and below by triple line spacing. Font size for title text should be the same as for the general text.

23. Good quality Line Drawings/figures must be drawn using standard software that provides vector rather than bit-map graphics. Figures must be scalable. *Images, Photographs, etc.* must be scanned in resolution exceeding 200dpi with 256 grayscales for the monochrome images and 24 bit per pixel for the color images.

### **Page Numbering**

24. Page numbers for the preface/acknowledgements materials of the thesis shall be in small Roman numerals and should be centered at the bottom of the pages.

25. Page numbers for the body of the thesis should be in Arabic numerals and should be centered at the bottom of the pages. The pagination should start with the first page of Chapter 1 and should continue throughout the text (including tables, figures, and appendices)

### **Acknowledgements**

26. Acknowledgements should be limited to a maximum of one page.

### **Abstract**

27. The Abstract of the thesis should be limited to two pages (a requirement for its inclusion in the Dissertation Abstracts International). A list of keywords should

follow the abstract.

### **Body of the Thesis**

28. The thesis should be written in either British or American English, not in a mixed mode. However, because of increasing acceptance of both styles and blurring of the distinction between the two, what is important is that consistency should be maintained throughout the text. However, use of standard dictionaries like Oxford chambers dictionary / Oxford learners dictionary is suggested for spellings, symbols, quotations, punctuation etc.,
29. Each chapter should be numbered in Roman numerals and should be written as Chapter I, Chapter II, etc., and should be followed by its title (e.g., Introduction, etc.). The chapter title shall be printed bold and in 15-point font.
30. Units should be in International System of Units (SI) format.

### **References**

31. Author-year style of referencing is preferred for a PhD thesis of the University. Foot note must be given at the bottom of the page. It should not be combined with reference. All references cited in a chapter may be given at the end of each chapter/at the end of all chapters.
32. References– All research sources including those not mentioned in the body of the thesis have to be listed.

### **Appendices /Annexures**

33. Each appendix/annexure should be labeled (e.g., Appendix A, Appendix B, etc.).
34. It should also have a title (e.g. Evolution of wireless technologies).
35. Appendices /Annexures should be listed in the Contents.

(SAMPLE OF COVER PAGE)

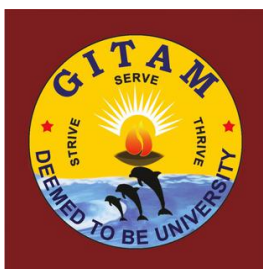
**THE TITLE OF THE THESIS  
SHALL LOOK EXACTLY LIKE THIS TITLE**

(Font: Times New Roman – 16-point size – Bold – centered)

Thesis submitted to GITAM (Deemed to be University)  
as a partial fulfillment of the requirements for the award of  
the Degree of Doctor of Philosophy in \_\_\_\_\_  
(faculty)  
(Font: Times New Roman – 12 point size – Italics)

**(Name of the Scholar)  
(PIN Number)**

(10 lines gap) - ‘Times New Roman’ – 14-point size – Bold – centered



(3 lines gap) – Square Logo of GITAM Deemed to be University – 1.5 inch side

**Department of \_\_\_\_\_  
GITAM (Deemed to be University)  
VISAKHAPATNAM  
MONTH, YEAR**

(1 line gap) - ‘Times New Roman’ – 14-point size – Bold – centered

**(SAMPLE OF 1<sup>st</sup> PAGE OF THESIS)**

*(Same as Cover Page)*

**DECLARATION**

I declare that the research work contained in the thesis is original and it has been done by me under the supervision of \_\_\_\_\_ (name of the Research Supervisor, with Designation). The work has not been submitted to any other University for the award of any degree or diploma.

Date:

Signature of the Scholar

Name:

**Sample Page 4**

**CERTIFICATE**

This is to certify that the thesis entitled\_\_\_\_\_, submitted by Mr./Ms.\_\_\_\_\_ in the Department/School of \_\_\_\_\_ GITAM Deemed to be University for the award of the degree of Doctor of Philosophy in the Faculty of \_\_\_\_\_ is a record of bonafide research work carried out under my (our) guidance and supervision.

Date:

Signature of the Supervisor(s)

Name:

Designation:

Department:

Institute:

## **Sample Page 5**

### **CONTENTS**

a. Title page (mandatory)	...without page number
b. Declaration page (mandatory)	...with page number
c. Certificate (mandatory)	(lower case roman numeral no.i) ...with page number (... numbering to continue)
d. Acknowledgements (optional)	...with page number (... numbering to continue)
e. Table of Contents (mandatory)	...with page number (... numbering to continue)
f. List of Tables (mandatory)	...with page number (... numbering to continue)
g. List of Figures (mandatory)	...with page number (... numbering to continue)
h. List of Appendices (mandatory)	...with page number (... numbering to continue)
i. List of abbreviations, acronyms, symbols (mandatory)	...with page numbers (... numbering to continue)
j. Abstract of the thesis	... with page numbers (... numbering to continue)
Chapter 1: INTRODUCTION	
1.1 SECTION	
1.2 SECTION	
1.3 SECTION	
Chapter 2: LITERATURE REVIEW	
2.1 SECTION	
2.1.1 Sub Section (lead letters of words in uppercase)	
2.1.1.1 Sub section level 2 (only first letter upper case)	
2.2 Sub Section	
2.2.1 Sub Section	
Chapter 3	} Methodology and Result analysis on present investigation
Chapter 4	
Chapter 5, etc.	



Chapter 6          Summary, Conclusion, Contributions from the present work and  
Suggestions for future work

References (alphabetical order)

Appendix A: Title of Appendix A

Appendix B: Title of Appendix B

Appendix C: Title of Appendix C etc.

List of Research Publications as part of the study (in the following order)

- (a) International Journals
- (b) National Journals
- (c) International conferences
- (d) National conferences

**List of documents to be enclosed along with the copy of the thesis**

- 1) Ph.D. Thesis submission application form (duly filled) forwarded by the Principal/Director.
- 2) Photostat copy of Ph.D. admission proceedings.
- 3) Photostat copy of proceedings of change of guide /extension of time proceeding/ Conversion from part-time to full-time (vice-versa), if applicable.
- 4) Photostat copy of Lower Degree Certificate.
- 5) Challan for Rs. 25,000/-.
- 6) Two hard copies of Ph.D. synopsis.
- 7) One spiral & soft copy of the thesis (Four hard copies of Ph.D. thesis should be submitted after plagiarism check).
- 8) Soft copy should comprise synopsis and the complete thesis in word format.
- 9) The panel of subject experts for plagiarism check (sealed cover) duly forwarded by the Principal.
- 10) The panel of Adjudicators (sealed cover) duly forwarded by the Chairperson, DRC.
- 11) Proceedings of DRC approving Submission of Ph.D. thesis.
- 12) No-dues certificates from
  - a. Principal/Director's office of the Institute
  - b. Head of the Department
  - c. University Library (KRC)
  - d. Hostel
  - e. FA&CAO
- 13) Pre Ph.D. pass certificate
- 14) Copy of the research paper(s) published in refereed journal(s)

**Report of Ph.D. Viva-Voce Examination Committee \_\_\_\_\_**

Ref: Letter No. Ph.D. V.V/Year

1.	Candidate	:	
2.	Thesis title	:	
3.	Department	:	
4.	Date of Viva-voce	:	
5.	<b>Members of Ph.D. Viva-voce committee</b>		
	i)	The nominated teacher experts	:
	ii)	Head of the Department	:
	iii)	Chairperson, BoS	:
	iv)	External Examiner	:
	v)	Research Supervisor (Convener)	:

The Ph.D. Viva-Voce is held as per the schedule by the members of the Viva Voce Committee for \_\_\_\_\_ hours. \_\_\_\_\_ Members have attended the presentation and Viva-Voce. Staff Members \_\_\_\_\_ and allied Departments have attended the presentation.

The candidate \_\_\_\_\_ has made a detailed presentation of his/her thesis. The External Examiner of the Committee, \_\_\_\_\_ has raised several questions on the topic and the candidate has defended with suitable answers much to the satisfaction of the Examiners.

Doubts raised by the other two external examiners, \_\_\_\_\_ have been answered suitably. Questions raised by other attendees have been justified.

Based on the presentation, defence and justification, the Committee has unanimously recommended that Ph.D Degree be awarded to \_\_\_\_\_ in the faculty of \_\_\_\_\_ GITAM (Deemed to be University).

**Head of the Department****External Examiner****1<sup>st</sup> Nominated Member****2<sup>nd</sup> Nominated Member****Chairperson, BoS****Research Supervisor & Convener**

## ABBREVIATIONS

1.	BRS	Board of Research Studies
2.	BoS	Board of Studies
3.	CGPA	Cumulative Grade Point Average
4.	DRC	Departmental Research Committee
5.	FT	Full time
6.	HoD	Head of the Department
7.	IRC	Institution Research Committee
8.	PT	Part time
9.	DoAA	Directorate of Academic Affairs

