

# **GANDHI INSTITUTE OF TECHNOLOGY AND MANAGEMENT (GITAM)**

(Deemed to be University, Estd. u/s 3 of UGC Act 1956)  
**VISAKHAPATNAM ★ HYDERABAD ★ BENGALURU**

**Accredited by NAAC with 'A+' Grade**



## **RESEARCH REGULATIONS** (December, 2016)

*A University Committed to Excellence*

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GANDHI INSTITUTE OF TECHNOLOGY AND MANAGEMENT  
(GITAM)  
RESEARCH REGULATIONS  
(December, 2016)

1. Title and Commencement

- 1.1. These Regulations may be called “Research Regulations” of GITAM University, delineating the procedure and requirements for admission leading to the Degrees of Master of Philosophy (M.Phil.) and Doctor of Philosophy (Ph.D.).
- 1.2. These Regulations approved by BRS shall come into force with the assent of the Academic Council.
- 1.3. Please refer Annexure 1 for regulations related to Doctor of Science (D.Sc.) and Doctor of Letters (D.Litt.).

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 M.Phil. or 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 M.Phil. or Ph.D. programme.
- 2.3. Extramural: candidates working in a recognized research centre by GITAM 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 M.Phil. or Ph.D. programme pursuing research full time leading to attainment of the Degree.
- 2.6. Indexed Journals: a journal indexed by Scopus /Web of Science /PubMed / FT 45/ Indian citation index.
- 2.7. Parent Department: the department where the Candidates are registered for M.Phil/ Ph.D. Programs.
- 2.8. Part-Time: candidates registered for the M.Phil. or Ph.D. programme who devote part of their time towards pursuing research for the attainment of the Degree, while discharging the official/professional obligations.
- 2.9. Programme : the Degree of Master of Philosophy (M.Phil.) and Degree of Doctor of Philosophy (Ph.D.).

2.10. Research Center: any duly recognized Institution / Industry / Research laboratory by the University, engaged in research activities and having at least two persons qualified to supervise research.

2.11. 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 supervisor, co-supervisor (if any) and two subject experts allotted by DRC.

2.12. Research Supervisors

Research Supervisor means a recognized teacher from the parent Department to guide the candidates for M.Phil. and Ph.D. programmes.

Co-supervisor means a recognized Research Supervisor either from a department other than the parent department or within the same department.

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. Categories of Admission : Full time / Part time / Extramural

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

3.1. Educational Qualification: They should have been qualified in the subject at the Master's level or in an allied subject or an equivalent Professional Degree.

They should have secured at least 55% marks in aggregate or its equivalent grade B in the UGC 7 – point scale/ or the point scale followed in the concerned Institutions. However, a relaxation of 5% marks, or an equivalent grade is permitted for SC/ST/ Differently abled candidates.



- 3.2. Service requirement for Part-Time candidates
  - 3.2.1. Teachers working in PG Departments of recognized Universities and their affiliated Colleges with a minimum of one year of service.
  - 3.2.2. Teachers working in Degree or Professional colleges affiliated to recognized Universities with at least two years of service.
  - 3.2.3. Teachers working in recognized Junior Colleges with at least three and four years of service for admission to M.Phil. and Ph.D. programmes respectively.
  - 3.2.4. 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.
  - 3.2.5. Employees not covered in the above clauses with at least four years of service as approved by the BRS.
- 3.3. Service requirement for Extramural Research candidates
  - 3.3.1. Scientists working in research institutions recognized by GITAM University with a minimum two years of experience.
  - 3.3.2. Research Fellows attached to institutions recognized by GITAM University.
- 3.4. Duration of the Programmes
  - 3.4.1. M.Phil. (FT) programme shall be for a minimum of one year and a maximum of two years.
  - 3.4.2. M.Phil. (PT) programme shall be for a minimum of two years and a maximum of four years.
  - 3.4.3. Ph.D. (FT) programme shall be for a minimum of three year (two years for M.Phil. Degree holders) and a maximum of six years.
  - 3.4.4. 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.  
Part time candidates are required to work for at least eight weeks (in one or more than one spell) each year including the period of course work in the concerned department.
  - 3.4.5. Women candidates and persons with disability (more than 40% disability) be allowed a relaxation of one year for M.Phil. and two years for Ph.D. in the maximum duration prescribed for the program.  
In addition, women candidates may be provided Maternity Leave / Child Care Leave once in the entire duration of M.Phil./Ph.D. for up to 240 days.

- 3.5. 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 Registrar through the RAC and IRC for early submission, nine/fifteen months before the completion of minimum duration prescribed for the programme.

- 3.6. Extension of Time: M.Phil. and Ph.D. candidates may be permitted for extension of time upto one year beyond the maximum duration. The scholar shall make an appeal to the Registrar through the RAC and IRC for extension of time, three months before the completion of maximum prescribed duration.

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

- 3.7. 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 course work on request to the Registrar through the RAC and IRC. The relevant Regulations apply.

#### 4. Procedure for Admission

- 4.1. Candidates seeking admission into M. Phil. or 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) Eligible candidates under Extramural Category for Ph.D. / M.Phil. programme, as they are be admitted any time during the year.

- 4.2. Admission to M.Phil. and Ph.D. programmes (Full-time & Part-time) is through an Entrance Test.

- 4.3. The Director of Admissions shall issue a Notification in the News Papers and GU Website inviting applications for admission to research programs, with the discipline-wise intake and the statutory reservations as applicable to the University Candidates satisfying the eligibility criteria can apply.

- 4.4. Details of the Entrance test

4.4.1. The Syllabus for the entrance test can be downloaded from [www.gitam.edu](http://www.gitam.edu)

4.4.2. The syllabus shall have 50% coverage on Research Methodology and 50% on specific subject.

- 4.4.3. The duration of the test is two hours.
- 4.4.4. The test comprises of a combination of conventional & objective type questions.
- 4.4.5. The Maximum marks for written component of the Test is 160 (80 for Research Methodology and 80 for specific subject).
- 4.4.6. Candidates who secure 50% in the written component shall be eligible for interview.
- 4.5. Interview is conducted for 40 Marks.
- 4.6. The merit list for admission shall be prepared on the basis of marks obtained together in the Entrance test and interview.  
Admission shall be carried out by the respective Heads of Institutes.
- 4.7. Candidates have to register with the Institute after paying the requisite fee as per the proceedings.
- 4.8. The date of issue of the proceedings shall be considered as the date of registration.
- 4.9. All the provisionally registered candidates shall complete the course work in the parent department.
- 4.10. The degree shall be awarded in the concerned Faculty.

## 5. Course Work

- 5.1. Course work is mandatory for M.Phil. and Ph.D. scholars. However, Ph.D. candidates with M.Phil. degree are exempted.
- 5.2. Candidates have to put in a minimum of 75% attendance per course to be eligible to appear for the examinations.
- 5.3. The course work comprises the following:
 

Course - I	: Research Methodology	100 marks
Course - II	: Advanced topics in the Area of Research	100marks
Course - III	: Comprehensive Viva-voce	50 marks

Each course shall have 40 contact hours. Classes for Course - I shall be arranged by the Institute, and that of Course - II by the concerned Research Supervisor.
- 5.4. Syllabus for Course - I shall be given by the IRC and approved by Common BoS and that of Course - II shall be given by Research Supervisor and approved by BoS.
- 5.5. The Scheme of the Course Work

S.No.	Course Code	Course Title	C
1	XXXXXX	Research Methodology	4
2	XXXXXX	Advanced topics in the area of research	4
3	XXXXXX	Comprehensive Viva-Voce	2

- 5.6. M.Phil. candidates have to qualify in the prescribed courses within 6 months and the Ph.D. candidates within 12 months from the date of registration
- 5.7. Candidates have to secure at least a “P” grade in each of all the three courses simultaneously to be declared to have completed the course work.
- 5.8. Unsuccessful candidates shall be provided only two more chances to complete the course work.
- 5.9. The registration of the candidates who could not complete even after reappearance stands cancelled and they have to re-register for the programme.
- 5.10. Candidates whose registration is cancelled for any reason can submit a request to the Registrar through the RAC and IRC for re-registration.
- 5.11. Candidates have to pay the prescribed fee at the time of re-registration.
- 5.12. Evaluation of Course Work:

5.12.1. Paper Setting: The Vice-Chancellor will nominate the paper setter for Course - I from the list of paper setters prepared by the BoS, and for Course - II, from the list of paper setters nominated by the members of RAC.

5.12.2. Evaluation: The evaluation of Course - I shall be carried out by an examiner nominated by the Vice-Chancellor from the panel of examiners recommended by BoS. Valuation of Course - II shall be done by the Research Supervisor.

The Comprehensive Viva-Voce shall be conducted and assessed by the RAC.

#### 5.12.3. 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	-

## 6. Research Supervisor

6.1. Eligibility: Any regular teacher satisfying the following criteria shall be recognized as Research Supervisor:

- (a) With a minimum of two years of teaching experience after obtaining Ph.D. or ten years of teaching experience with a Ph.D.

(b) A minimum of five research publications in refereed journals for Professors and two for Associate/Assistant Professors.

- 6.2. Allocation of Candidates: The maximum number of candidates (both Full-time and Part-time), an eligible teacher (Cadre-wise) can guide at any point of time is furnished below.

S.No.	Designation	Ph.D.	M.Phil.
1	Professor	8	3
2	Associate Professor	6	2
3	Assistant Professor	4	1

- 6.3. 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 under Extramural category.

#### Allocation of Research Supervisor

- 6.4. The allocation of a Research Supervisor for the selected candidates shall be decided by the DRC.
- 6.5. In case of inter-disciplinary research, candidates 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. The teacher from the parent department shall be the Research Supervisor and the teacher from the other department will be the co-supervisor.
- 6.6. Under Extramural category, candidates shall identify a Research Supervisor from their parent organization and a co-supervisor from GITAM University duly approved by DRC.
- 6.7. The proceedings of the Principal of the concerned Institute indicating the provisional admission shall be issued to the candidate with the prior approval of the Vice-Chancellor.
- 6.8. A faculty member leaving the University shall cease to be the Research Supervisor.
- 6.9. Superannuated Research Supervisors can continue as a Research Guide up to a maximum period of two years.
- 6.10. Change of Research Supervisor: Normally, change of Research Supervisor shall not be entertained. Change of Research Supervisor can be considered under exceptional circumstances such as death or disability on health grounds or transfer or resignation or retirement of the Research Supervisor, on the request of the Candidate / Research Supervisor, with recommendations by the DRC.
- 6.11. However, in such cases, candidates are permitted to submit their thesis only after one year from the date of change.
- 6.12. In case, where the Research Supervisor leaves the University after the submission of the thesis, he/she shall be permitted to continue as a Research

Supervisor till the award of the degree. The Convener, DRC will act as the convener for the Viva-Voce Committee.

7. Submission of M.Phil. Dissertation/Ph.D. Thesis

- 7.1. Candidates have to qualify in the course work as in Clause 5 above to be eligible for submission.
- 7.2. Candidates have to submit half yearly progress report after the completion of the course work. In case of unsatisfactory progress or failure to submit the progress reports the University shall take appropriate action on the recommendations of RAC.
- 7.3. Candidates shall publish at least one research paper in an indexed journal before the submission of the thesis.
- 7.4. Candidates have to submit ten (10) copies of synopsis and a draft copy of the thesis in the prescribed proforma as per Annexure II & III to the Department through the Research Supervisor.
- 7.5. Candidates shall give a pre-submission Seminar before the members of both DRC and RAC.
- 7.6. Upon approval by the DRC/RAC, the candidates shall submit the synopsis to the Research Supervisor. The Research Supervisor shall circulate the synopsis among twenty external subject experts and the members of the DRC to suggest the names of experts to be included in the panel of adjudicators.
- 7.7. Based on the inputs, the Research Supervisor, in consultation with the Convener, DRC shall prepare the panel of adjudicators.
- 7.8. Candidates shall submit the approved 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.
- 7.9. 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 department (HoD) and IRC before the due date.
- 7.10. The HoD shall issue the "Thesis Submission Certificate" to Candidates after the approval of IRC.

8. Evaluation of M.Phil. Dissertation

- 8.1. The dissertation will be subjected to plagiarism check by a panel nominated by the Vice-Chancellor.
- 8.2. The overall plagiarized content should not exceed 10% overall and 3% from a single source.
- 8.3. The dissertation shall be evaluated by two external examiners.

- 8.4. The dissertation will be evaluated by each examiner for 100 Marks where one of the examiner has to be from outside the state.
- 8.5. The dissertation is also evaluated for 100 Marks through Viva-Voce examination.

S.No.	Course Code	Course Title	C
1	XXXXXX	Dissertation	16

- 8.6. Candidates should secure 'P' grade in Dissertation to be eligible to face Viva-Voce. Otherwise, the candidate can submit the revised Dissertation after three months. The Dissertation will be sent to new examiners for evaluation and once the candidate secures 'P' grade in dissertation the Viva-Voce will be conducted.
- 8.7. The Viva-Voce shall be conducted by a Committee constituted by the University comprising of the following.
1. Head of the Department Member
  2. One subject expert nominated by the Vice-chancellor Member
  3. Research supervisor Convener

#### 9. Award of M.Phil. Degree

- 9.1. 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 Registrar for the award of the Degree.
- 9.2. M.Phil. scholars shall be declared as passed and the class is declared based on the Cumulative Grade Point Average (CGPA) secured.

CGPA required for award of Class	
Class	CGPA Required
First Class with Distinction	$\geq 8.0$
First Class	$\geq 7.0$
Second Class	$\geq 6.0$
Pass Class	$\geq 5.5$

- 9.3. M.Phil. scholars shall be issued a Consolidated Grade Sheet.
- 9.4. The University issues a Notification of declaring the award of the Degree and a Provisional Certificate.
- 9.5. The scholar shall submit one hard copy and a soft copy of the thesis to the University after incorporating the suggestions if any, by the adjudicators into the thesis for keeping it in the University Library.

## 10. Adjudication of Ph.D. Thesis

- 10.1. The thesis will be subjected to plagiarism check by a panel nominated by the Vice-Chancellor
- 10.2. The overall plagiarized content should not exceed 10% overall and 3% from a single source.
- 10.3. The thesis shall be adjudicated a three examiners of whom one should be from outside the State, and one from foreign country. The foreign examiner should not be of Indian origin.
- 10.4. In case, the Indian/Foreign examiners do not convey acceptance within one month or do not send their reports within four months from the date of receipt of the thesis, the Vice-Chancellor may consider substituting such examiners with alternative examiners, in each category.
- 10.5. 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 Supervisor in consultation with Convener, DRC.
- 10.6. 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.

Case	Examiner I	Examiner II	Examiner III	Action to be initiated
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 after three months and it is to be sent to the same examiners for reevaluation.
4	M	M	M	
5	A	A	R	The examiner(s) who rejected the thesis shall be replaced with new examiner(s). The candidate has to resubmit the thesis after six months. The adjudication process continues as per regular procedure.
6	A	R	M	
7	A	R	R	
8	R	M	M	Appointment of new examiner(s) from the original panel. The candidate has to resubmit the thesis after one year. The adjudication process continues as per regular procedure.
9	R	R	M	
10	R	R	R	Registration gets cancelled
A – Approved, M – To be Modified, R – Rejected				



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

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

- |  |          |
|--|----------|
| 1. Head of the Department  | Member   |
| 2. BoS, Chairperson  | Member   |
| 3. One of the Indian adjudicators nominated<br>by the Vice-chancellor        | Member   |
| 4. Two subject experts of the University nominated<br>by the Vice-chancellor | Members  |
| 5. Co-supervisor (if any)  | Member   |
| 6. Research supervisor   | Convener |

11.2. The viva-voce shall be open to faculty members of the concerned and allied departments, members of the RAC, PG students, research scholars and other interested experts/researchers.

11.3. Candidates have to successfully defend their thesis work during the Viva-Voce, failing which they have to reappear for Viva-Voce within a period of three months.

11.4. In case the Research Supervisor left the University after submission of the thesis, the HoD shall act as a convener of the committee to conduct the viva-voce.

## 12. Award of Ph.D. Degree

12.1. 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 Registrar for the award of the Degree.

12.2. The University issues a notification declaring the award of the Degree and a Provisional Certificate to the candidate.

12.3. 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 for keeping it in the University Library.

## 13. Depository with UGC-INFLIBNET

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

## 14. Discretionary Power

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

## List of Committees

### Academic Council

1	Vice-Chancellor	Chairperson
2	Pro Vice-Chancellor(s)	Member
3	Dean(s) of Faculties	Member
4	Heads of the Departments	Member
5	All Professors other than the Heads of the Departments (by rotation of seniority)	Member
6	Two Associate Professors from the Departments other than the Heads of the Departments by rotation of seniority.	Member
7	Two Assistant Professors from the Departments by rotation of seniority	Member
8	Three persons from amongst educationalists of repute or persons from any other field related to the activities of the Institution deemed to be University who are not in the service of the deemed to be University, nominated by the Vice-Chancellor	Member
9	Three persons who are not members of the teaching staff, co-opted by the academic council for their specialized Knowledge.	Member
10	The Registrar, who shall be the Secretary of the Academic Council	Member

### Board of Research Studies

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

### Institution Research Committee

1	Director/Principal	Chairperson
2	All Faculty Deans in the Institution	Members
3	All HoDs in the Institution	Members
4	Senior most HoD	Convener

### Departmental Research Committee

1	Head of the Department	Convener
2	Faculty Dean	Member
3	The Board of Studies Chairman in the Department	Member
4	Two Senior Professors in the Department	Members
5	One Associate Professor	Member
6	One Assistant Professor	Member

#### Board of Studies

- |   |   |             |
|---|---|-------------|
| 1 | Dean of Faculty/Head of the Department  | Chairperson |
| 2 | All Professors of the faculty/ Department   | Member      |
| 3 | Two Associate Professors of the faculty/Department by rotation of seniority   | Member      |
| 4 | Two Assistant Professors of the faculty/Department by rotation of seniority   | Member      |
| 5 | Not more than 2 persons to be co-opted for their expert knowledge including those belonging to the profession or industry concerned | Member      |

#### Research Advisory Committee

- |   |   |          |
|---|---|----------|
| 1 | Research Supervisor                     | Convener |
| 2 | Two Subject Experts in the related area | Members  |

## D.Sc./D. Litt. Regulations

### 1. Eligibility

Candidates qualified for the Doctor of Philosophy (Ph.D.) from this University or from any other University recognised by University Grants Commission or any other recognised foreign university or research centre or research institute are eligible for the Degree of Doctor of Science (D.Sc.)/Doctor of Letters (D.Litt.), the highest degrees of this University in the Faculty of Science, Arts, Education and Management.

The candidates seeking admission into D.Sc./D.Litt. should fulfil the following conditions:

- 1.1. For D.Sc. degree, he/she should have published at least 40 research publications in SCI journals in which he/she should have been a Corresponding Author or First Author in at least 20 research publications.
- 1.2. For D.Litt. degree, he/she should have published at least 30 research publications or 20 refereed research publications and 5 books by reputed Publisher.
- 1.3. The publications or thesis submitted by him/her for consideration for the award of D.Sc./D.Litt. shall not form part of research work which have been already considered for the award of any degree/diploma of this University or any of the above categories of institutions.
- 1.4. The h-index of the candidate should be equal or greater than 5.
- 1.5. A candidate already holding D.Sc./D.Litt. degree in a particular faculty is eligible to register for D.Sc./D.Litt. in another faculty after two years, provided that he/she fulfils the conditions laid down in 1.1 to 1.4.

### 2. Application & Registration

- 2.1. The Registration fee for D.Sc./D.Litt. is ₹ 10,000/-
- 2.2. The application form for registration can be downloaded from the University website. Hard and soft copies of duly filled in application shall be submitted to the Director, Admissions, GITAM University.

### 3. Submission of Thesis

- 3.1. Thesis submission fee is ₹ 20,000/-
- 3.2. The Candidate shall submit his/her thesis after a period of one year from the date of registration.
- 3.3. The following format may be normally adopted for the D.Sc./D.Litt. Thesis:
  1. Cover Page (as per the format given in Annexure - VI).
  2. Declaration by the Candidate (as per the format given in Annexure - VII).

3. Certificate from the Head of the University / Institute (as per the format given in Annexure - VIII).
  4. Contents
  5. The main theme of the thesis shall be presented in 50 to 100 pages extracting the work carried out and the findings made in the enclosed publications along with logical explanations as how far the work is original and contributing to the advancement of knowledge.
  6. Reprints of the published work by the candidate, in the relevant subject, in the form of research papers, abstracts of books/ monographs, chapter contribution to books/ monographs/ citations of candidate's work by others.
  7. List of publications
  8. A personal profile of the candidate with photograph, not exceeding five pages.
- 3.4. The candidate shall submit Four (4) copies of the thesis to the office of the Director, Academic Affairs, GITAM University.
- 3.5. In addition, the candidate shall submit the soft copy of his/her thesis in a CD.

#### 4. Mode of Submission

The application and the thesis must be submitted to the Principal/Director of concerned Institute with the prescribed fee. The Principal/Director shall forward it to the University with a list of panel of atleast 12 foreign examiners (preferably not of Indian origin), prepared in consultation with three subject experts nominated by Vice-Chancellor.

#### 5. Evaluation of the Thesis

The thesis together with papers contributed shall be referred to a three member Board of Examiners constituted by the Vice-Chancellor from the panel of examiners accepted by the Board of Management. After receipt of the report on the thesis and supporting contributions and papers, the Board of Management may decide whether the candidate is qualified or not for the award of D.Sc./D.Litt. degree.

- a) If all the three examiners recommend positively, the thesis is to be considered qualified for the award of degree.
- b) If two examiners recommend for the award and one rejects, then the thesis may be referred to another examiner. If that examiner recommends for the award, the thesis is to be considered qualified for the award of degree and in all other cases, the degree shall not be awarded and shall not be permitted for resubmission.

6. Depository with UGC-INFLIBNET

After the announcement of the award of Degree, the University shall host the D.Sc./D.Litt. thesis in INFLIBNET.

7. Discretionary Power

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

Guidelines for Preparation of Synopsis

1. Synopsis shall be limited to 10 to 15 pages (excluding cover page)
2. A4 (210mm x 297mm) paper size only shall be used.
3. Synopsis shall be tape bound.
4. Tables and figures should not be included in the synopsis.

Proforma for the Synopsis

1. Cover page of synopsis shall be as per the sample cover page given in Page No. 24
2. The synopsis shall contain:

- (i) Introduction
- (ii) Objectives and scope of the research work.
- (iii) Thesis organization: chapter-wise description of the titles of the thesis
- (iv) References:

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.

Text book:

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. eg. Mettam, 2009
- b. Single author: the author's name and the year of publication; eg: Allan, 1999.
- c. Two authors: both authors' names and the year of publication; eg: Allan and Jones, 1999.
- d. Three or more authors: first author's name followed by 'et al.,' and the year of publication, eg: 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. eg: Allan, 2000a; Allan, 2000b.



## 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 only.

### Binding

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

### Format for the Thesis

#### Font

5. The font type shall be Arial, Cambria, Tahoma, Times New Roman or use fonts that look similar.
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 and sentence case.

### Line Spacing

10. Spacing between the lines shall be 1.5.
11. The space between consecutive paragraphs shall be 2.0.
12. All paragraphs in the thesis must be left justified.
13. 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.
14. Use single space between the title of the table/figure and the table/figure.
15. Use two spaces between the table / caption of the figure and the next paragraph.
16. Use single space for footnotes and endnotes for text and explanatory notes for tables and figures.
17. Use one and half space in references and double space between references. *See sample page 10.*

### Margins

18. 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

19. 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. *See sample pages 8 & 9.* If borrowed from others, it should be acknowledged below the table, map, chart, figure, diagram etc.
20. 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, Figure 24, Equation (33), or Table 5.3, Figure 3.11, Equation (4.16).

21. 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.
22. 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

23. 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.
24. 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)

#### Preparatory Material

##### Acknowledgements

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

##### Abstract/Preface

26. The Abstract/Preface of the thesis should be limited to one 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

27. 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.,

28. 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. (*see sample page 7*).
29. Units should be in International System of Units (SI) format.

#### References (*See page 10*)

30. Author-year style of referencing is preferred for a PhD thesis of the University. *See sample page 10*. 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 the all chapters.
31. References(*see page 10*) – All research sources including those not mentioned in the body of the thesis have to be given.

#### Appendices /Annexures

32. Each appendix/annexure should be labeled (e.g., Appendix A, Appendix B, etc.).
33. It should also have a title.
34. 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 the GITAM University  
in Partial fulfillment of the requirements for award of  
Degree of Doctor of Philosophy in \_\_\_\_\_  
(faculty)*

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

(Name of the Scholar)

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



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

DEPARTMENT OF \_\_\_\_\_

GITAM 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 guidance 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:

CERTIFICATE

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

Date:

Signature of the Supervisor(s)

Name:

Designation:

Department:

Institute:



## CONTENTS

a. Title page (mandatory)	...without page number
b. Declaration page (mandatory)	...without page number (lower case roman numeral no.i)
c. Certificate (mandatory)	...without page number (lower case roman numeral no.ii)
d. Acknowledgements (optional)	...with page number (lower case roman numeral no.iii)
e. Table of contents (mandatory)	...with page number (... numbering to continue)
f. List of tables, list of figures (mandatory)	...with page number (... numbering to continue)
g. List of appendices (mandatory)	...with page number (... numbering to continue)
h. List of abbreviations, acronyms, symbols (optional)	...with page numbers (... numbering to continue)
i. Preface/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

#### 2.2 Section

Chapter 3	}	Result analysis on present investigation
Chapter 4		
Chapter 5, etc		
.....		

## Chapter 6      Summary, Findings and Suggestions

### References

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.

## Annexure – IV

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

- 1) Ph.D. Thesis submission application form duly filled in.
- 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 / D.D for Rs. 20,000/- in favour of Registrar, GITAM University,  
Visakhapatnam
- 6) Ten hard copies of Ph.D. synopsis.
- 7) One hard & 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 pdf/word format (File  
size should be <20MB).
- 9) Synopsis circulation certificate duly forwarded by the Chairperson, BoS.
- 10) The panel of subject experts for plagiarism check (sealed cover) duly forwarded by the  
Principal.
- 11) The panel of Adjudicators (sealed cover) duly forwarded by the Chairperson, BoS.
- 12) Proceedings of IRC approving Submission of Ph.D. thesis.
- 13) No-dues certificates from
  - a. Principal/Director's office of the Institute
  - b. Head of the Department
  - c. University Library (KRC)
  - d. Hostel
- 14) Copy of a research paper published in a refereed journal

## Annexure – V

## 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.	Members of Ph.D. Viva-voce committee		
	i)	The nominated teacher experts	:
	ii)	Head of the Department	:
	iii)	Chairperson, BoS	:
	iv)	External Examiner	:
	v)	Research Director (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 University.

Head of the Department

External Examiner

1<sup>st</sup> Nominated Member2<sup>nd</sup> Nominated Member

Chairperson, BoS

Research Director &amp; 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