



GANDHI INSTITUTE OF TECHNOLOGY AND MANAGEMENT (GITAM)
(Deemed to be University)
Visakhapatnam | Hyderabad | Bengaluru

Ph.D. Regulations

submitted by

Research & Development Cell (RDC)

GITAM Deemed to be University, Visakhapatnam

GANDHI INSTITUTE OF TECHNOLOGY AND MANAGEMENT

GITAM (Deemed to be University)

Regulations for the Degree of Doctor of Philosophy (Ph.D.) (January 2023)

1. Title and Commencement

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.). They supersede the Ph.D. Regulations 2022 and are in line with the new University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022.

2. Definitions

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

- 2.1. **University:** means Gandhi Institute of Technology and Management (GITAM) (Declared as Deemed-to-be-University u/s 3 of the UGC Act, 1956).
- 2.2. **Adjunct Faculty:** means a part-time or contingent instructor, but not full-time faculty member hired to teach by the University;
- 2.3. **Course Work:** means courses of study prescribed by the School/Department/ Centre to be undertaken by a student registered for the Ph.D. Degree and in which the candidate has to qualify as a pre-requisite for submission of the dissertation/thesis;
- 2.4. **Extramural:** candidates working in a recognized research Centre by the University registered for Ph.D. programme.
- 2.5. **Fee:** the amount prescribed by the University for Registration in the concerned programme.
- 2.6. **Foreign Educational Institution:** means - (i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode;
- 2.7. **Full-Time Ph.D.:** candidates registered for Ph.D. programme pursuing research full time leading to attainment of the Degree.
- 2.8. **Indexed Journals:** A journal indexed in Scopus /Web of Science /PubMed / FT50/ SCI, as approved by the respective departments.
- 2.9. **Interdisciplinary Research:** means research conducted by a Ph.D. scholar in two or more academic disciplines;

- 2.10. **Parent Department:** the department where a Candidate has registered for Ph.D. Program.
- 2.11. **Plagiarism:** means the practice of taking someone else's work or idea and passing them as one's own;
- 2.12. **Programme:** The Degree of Doctor of Philosophy (Ph.D.).
- 2.13. **Research Centre:** external Institution / Industry / Research laboratory, engaged in research activities, having at least two persons qualified to supervise research and duly recognized by the University.
- 2.14. **Research Proposal:** means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;
- 2.15. **Research Supervisor:** means an academician/researcher recognized by the University to supervise the Ph.D. scholar for his/her research;
Co-Supervisor means a recognized Research Supervisor within the parent department or other than the parent department.
- 2.16. **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 school level 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 Institute 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 constituted by the DRC to monitor the progress of the scholars.
- 2.17. **Synopsis:** means the summary of the research work to be submitted as a pre-requisite for submission of the Ph.D. thesis.

3. Eligibility Criteria

3.1. Categories:

- (a) Full time
- (b) Extramural
- (c) International

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

3.2. Educational Qualification:

- (a) A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme OR a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme OR qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.
- (b) OR an equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.
- (c) A candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.
- (d) Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme.

3.3. Service requirement for Extramural Research candidates

- 3.3.1 Scientists working in research institutions recognized by the University with a minimum two years of experience.
- 3.3.2 Research Fellows attached to institutions recognized by the University.

4. Duration of the Programmes

- 4.1. Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- 4.2. A maximum of an additional two (2) years can be given through a process of re-registration with prior approval of the Vice-Chancellor; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

- 4.3. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- 4.4. Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

5. Procedure for Admission

- 5.1. 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.
- 5.2. Candidates seeking admission into Ph.D. Programme have to appear for a National Level Entrance Test and an interview conducted by the University.
- 5.3. The following candidates will be exempted from the Entrance Test. However, they must appear in the interview.
 - (a) Candidates who qualify in UGC-NET/ UGC-CSIR NET/ GATE (only for engineering, with valid score).
 - (b) Eligible candidates under Extramural Category for Ph.D. programme.The admission will be based on the candidate's performance in the interview.
- 5.4. A notification for admission shall be issued in the Newspapers and University Website inviting applications for admission to Ph.D. programs.
- 5.5. **Details of the Entrance test**
 - 5.5.1. The syllabus will be published on the University website before the entrance test.
 - 5.5.2. The syllabus shall have 50% coverage on Research Aptitude/ Methodology and 50% on specific subject Area.
 - 5.5.3. The duration of the test is two hours.
 - 5.5.4. The test may comprise of a combination of descriptive & objective type questions.
 - 5.5.5. The maximum marks for written component of the Test is **160** (80 for Research Aptitude and 80 for specific subject Area).
 - 5.5.6. Candidates who secure 50% in the written component shall be eligible for the interview.
- 5.6. The Interview will be conducted for **40** marks.
- 5.7. Interviews will be conducted by a panel comprising of Dean/HoI, HoD, two external experts nominated by the Vice-Chancellor, and Director - R&D.
- 5.8. 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 generate new/additional knowledge.

- 5.9. 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.
- 5.10. The Research & Development Cell will issue the provisional admission letter to the candidate indicating the start date of the programme with the prior approval of the Vice-Chancellor.
- 5.11. Candidates have to register with the respective Institute/School after paying the prescribed fee as per the provisional admission letter.
- 5.12. The degree shall be awarded in the concerned Faculty.

6. Research Supervisor

- 6.1. **Eligibility:** The criteria to be recognized as a Research Supervisor 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

- 6.2. In areas/disciplines where there is no or only a limited number of indexed journals, the recognition as a Research Supervisor will be done by subject experts consisting of Dean, HoI, HoD, two external experts nominated by the Vice-Chancellor, and Director-R&D.
- 6.3. 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 forward their recommendations to IRC. Dean, HoI and Director-R&D will review the applications before recognizing them as supervisors.
- 6.4. **Allocation of Candidates:** The maximum number of candidates (including Full-Time and Part-Time), an eligible faculty (Cadre-wise) can guide as a Supervisor (including being a Co- Supervisor) 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

Each supervisor can guide up to two international Ph.D. scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause above.

- 6.5. For Ph.D. scholars working in Central government/ State government research institutions who are registered for Ph.D. at the university, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.
- 6.6. Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.
- 6.7.
 - i. All eligible Research Supervisors of the Department with vacancies are required to follow the below process for allotment of Ph.D. scholars before each admissions cycle.
 - (a) Summary of the current research interests and future research areas.
 - (b) List of the research publications over the last five years.
 - (c) Statement of current funded research projects (both internal and external funding).
 - (d) Current Ph.D. scholars under their guidance and their areas of research.
 - (e) Current number of vacancies for the Ph.D. scholars.
 - Note:** Profiles of all the eligible Research Supervisors will be made available to the Ph.D. scholars prior to the interview.
 - ii. All admitted Ph.D. scholars may opt for Research Supervisors based on their area of research and in alignment with their proposed research area by giving at least two choices of Research Supervisor.
 - iii. The Research Supervisors may then choose the Ph.D. scholars under the supervision of DRC and may give their order of preference of the candidates.
 - iv: DRC will do the final allocation of the scholars in the best interests of the Scholars, Supervisors, and the University.
- 6.8. In case of inter-disciplinary research, Supervisors 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-Supervisor 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.
- 6.9. Under Extramural category, candidates shall identify a Co-Supervisor from their parent organization duly approved by the DRC and a Supervisor from the University.
- 6.10. Faculty members with remaining service of three years or less as regular faculty (before superannuation) are not allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise the Ph.D. scholars who are already registered until superannuation

and as a Co-Supervisor after superannuation, but not after attaining the age of 70 years.

- 6.11. A faculty member leaving the university while the Ph.D. work of his/her scholar is in progress shall cease to be the supervisor. One of the RAC members shall become the research supervisor, subject to the availability of a scholar vacancy. Upon recommendations from DRC, the respective RAC will be reconstituted. However, the faculty member leaving the university may continue as co-supervisor upon request and approval from the DRC.
- 6.12. In case, where the Supervisor leaves the University after the submission of the thesis, he/she shall be permitted to continue as a Supervisor till the award of the degree. The Chairperson, DRC will act as the convener for the Viva-Voce Committee.
- 6.13. **Change of Supervisor:** Change of Supervisor 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 Supervisor, on the request of the Candidate / Supervisor, with recommendations by the DRC. A Co- Supervisor can be permitted on request by the Research Supervisor with recommendations of DRC.

7. Research Advisory Committee and its functions

- 7.1. **Constitution of the Research Advisory Committee:** Each registered Ph.D. scholar will be guided by a Research Supervisor. The progress of the work will be monitored the Research Advisory Committee.
- 7.2. Research Advisory Committee should comprise of:

Research Supervisor	Chairperson
Co- Supervisor 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 Director R&D in consultation with Vice-Chancellor	Member

- 7.3. The Committee shall have the following responsibilities:
- (a) To guide the Ph.D. scholar to develop the research plan and methodology.
 - (b) To identify the course(s) that need to be pursued for advancement of Ph.D. work and review of progress of coursework.
 - (c) To review the research proposal and finalize the topic of research.
 - (d) To periodically review at the end of each semester and assist in the progress of the research work of the Ph.D. scholar.

8. Course Work

- 8.1. Course work is mandatory for Full-time and Extramural Ph.D. scholars.

- 8.2. Candidates have to put in a minimum of 75% attendance per course to be eligible to appear for the examinations.
- 8.3. The course work comprises the following to be completed in the first two Semesters.

Semester – I

S. No.	Course Code	Course Title	Credits
1	XXXX (I)	Research Methodology	4
2	XXXX (II)	Critical Thinking and Academic Writing	2
3	XXXX (III)	Research and Publication Ethics	2

Semester – II

S. No.	Course Code	Course Title	Credits
4	XXXX (IV)	Advanced topics in the area of research-I	3
5	XXXX (V)	Advanced topics in the area of research-II	3
6	XXXX (VI)	Comprehensive Viva-Voce	2

- 8.4. The Research Advisory Committee can also recommend UGC recognized online courses as a part of the credit requirements for the Ph.D. programme.
- 8.5. **Classes for Course:** I, II and V shall be arranged by the Institute, and that of Course – III and IV (Advanced topics in the area of research approved by respective BoS) by the DRC.
- 8.6. **Syllabus for Course:** I, II and V shall be given by the IRC and approved by the Common BoS and that of Courses– III and IV shall be suggested by Research Advisory Committee (from the list of approved courses approved by BoS) and approved by DRC.
- 8.7. Ph.D. coursework (Course I-VI) has to be completed within 24 months from the date of registration. The registration stands automatically cancelled if the candidate is not able to complete the coursework in this duration.
- 8.8. 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.
- 8.9. All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching/education/pedagogy/writing related to their chose Ph.D. subject during their doctoral period.
- 8.10. Ph.D. scholars may also be assigned 4-6 hours per week teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

9. Evaluation of Course Work

- 9.1. **Paper Setting:** The Dean (or equivalent) will nominate the paper setters for Course – I, II, III, IV and V.

- 9.2. **Evaluation:** The evaluation of Course – I, II, III, IV and V shall be carried out by an examiner nominated by the Dean of School from the panel of examiners recommended by BoS.
- 9.3. 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. Grading System

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

11. Ph.D. Progression and Monitoring

- 11.1. There should be at least one formal meeting between the scholar and their Research Supervisors every month. This contact should be in person for the full-time scholars. The 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 HoD/Hol/Dean/Director – R&D following each meeting.
- 11.2. Each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance.
- 11.3. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report certified by supervisor/HoD/ Hol and Dean to the Director - R&D.
- 11.4. Failure to submit two consecutive six monthly progress reports will entail cancellation of registration of the scholar.
- 11.5. In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Institution/School (IRC through DRC) with specific reasons for cancellation of the registration of the Ph.D. scholar.

12. Submission of Ph.D. Thesis

- 12.1. To be eligible for the submission of the thesis, the Ph.D. scholars shall complete the Coursework with at least CGPA of 7 (Aggregate “B” Grade) and above and a minimum of “P” grade in each course.
- 12.2. Ph.D. scholars must publish at least One (1) research paper as a first author, followed by the research supervisor with either the Research Scholar or Research Supervisor as the Corresponding Author, in the approved list of indexed journals of the institute/school and make two paper presentations in peer-reviewed conferences/seminars as approved by the institute/school before the submission of the thesis or at least two (2) research papers in the approved list of journals of the institute/school before the submission of the thesis for adjudication and produce evidence for the same.
- 12.3. 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 DRC through the Research Supervisor.
- 12.4. Candidates shall give an open Pre-Ph.D. Seminar before the members of both DRC and Research Advisory Committee, which shall also be open to all the faculty members and other research scholars/students.
- 12.5. Upon approval by the DRC, the Supervisor shall circulate the synopsis to the external experts to seek their consent who can then be included in the list of adjudicators.
- 12.6. Based on the inputs and on receipt of consent from external experts, the Supervisor, in consultation with DRC Chairperson shall prepare the list of adjudicators and submit to Director-R&D through DRC Chairperson, confidentially.

S. No.	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 re-evaluation.
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 re-evaluation.
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 re-evaluation.
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>				

- 12.7. Candidates shall submit one hard copy and soft copy of the thesis approved by the Supervisor as per the guidelines in Annexure IV 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.
- 12.8. The Convener, DRC shall forward the copy of the approved thesis along with the documents specified in Annexure V to the Director-R&D through the Dean/Hol.
- 12.9. The Dean/Hol shall issue the "Thesis Submission Certificate" to the Candidate.
- 12.10. The Director-R&D will perform the plagiarism check with an approved software and issue a "Plagiarism Check Certificate" along with the Similarity Index Report.
- 12.11. The plagiarized content should not exceed 10% overall exclusive of references and their own research publications.
- 12.12. Early Submission of Ph.D. Thesis: Ph.D. scholars may be permitted for early submission, not exceeding six months provided they fulfill all the requirements for the submission of the thesis. Candidates shall make an appeal to the Director-R&D through the Research Advisory Committee, DRC and IRC for early submission, one/two months before the proposed submission date.

13. Adjudication of Ph.D. Thesis

- 13.1. The thesis shall be adjudicated by three examiners, one of whom should be from outside the state and one from a foreign country. The duration of the adjudication process shall be completed within 12 months from the thesis's submission date. However, when the university doesn't succeed in appointing a foreign examiner within six months from the date of submission of the thesis, by the scholar, then the evaluation by the foreign adjudicator could be replaced by one Indian examiner as approved by the Vice-chancellor on a case to case basis.
- 13.2. 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.
- 13.3. In case, the Indian/Foreign examiners do not convey acceptance within four 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 alternate examiners with the approval of the Vice Chancellor.
- 13.4. 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 and approved by Research Advisory Committee in consultation with Convener, DRC.
- 13.5. 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:

14. Viva-Voce for Ph.D. Degree

- 14.1. 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- Supervisor (if any)	Member
HoD	Member
Research Supervisor	Convener

- 14.2. The viva-voce shall be open to faculty members of the concerned and allied departments, members of the Research Advisory Committee, PG students, Ph.D. scholars and other interested experts/researchers.
- 14.3. Candidates have to successfully defend their thesis work during the Viva-Voce, failing which they have to reappear for Viva-Voce within 3 months.
- 14.4. In case the Research Supervisor leaves the University after submission of the thesis, the DRC Chair shall act as the convener of the committee to conduct the Viva- Voce.
- 14.5. The University shall complete the entire process of evaluating a Ph.D. thesis, including the declaration of the viva-voce result, within a period of twelve (12) months from the date of submission of the thesis.

15. Award of Ph.D. Degree

- 15.1. 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 Directorate of Academic Affairs (DoAA) through IRC, Chairperson/HoI for the award of the Degree.
- 15.2. 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 Directorate of Academic Affairs and Library.
- 15.3. The University issues a notification declaring the award of the Degree and a Provisional Certificate to the candidate.

16. Depository with UGC-INFLIBNET

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the university shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

17. Discretionary Power

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

Date:

To,

The Director – Research & Development,

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. 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: _____ Ph.D. 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

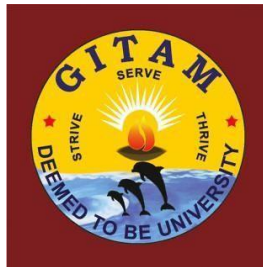
(Font: Times New Roman – 16-point size –Bold – centered)

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 Ph.D. 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)

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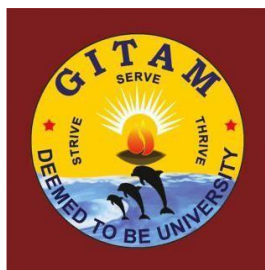
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Department of _____

GITAM (Deemed to be University)

VISAKHAPATNAM

MONTH, YEAR

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

(SAMPLE OF 1st 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:

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:

CONTENTS

a. Title page (mandatory)	...without page number
b. Declaration page (mandatory)	...with page number (lower case roman numeral no. i)
c. Certificate (mandatory)	...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 Supervisor/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.	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 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, defense 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

1st Nominated Member

2nd Nominated Member

Chairperson, BoS

Research Supervisor & Convenor