

**GUJARAT TECHNOLOGICAL UNIVERSITY  
AHMEDABAD**

**THE PROCESS FOR SUBMISSION OF SYNOPSIS FOR DOCTORAL WORK**

- 1.1 A Research Scholar can submit the synopsis after completion of the following requirements:
  - 1.1.1 A Research Scholar whose registration has been confirmed and who has completed his/her research work and is sure of compiling the results into a thesis may submit the synopsis after the research scholar has successfully completed, the minimum duration of research as follows:-
    - a) A Full Time Research Scholar may submit the synopsis after successful completion of a minimum of six DPCs in six semesters of admission from date of enrollment.
    - b) A Part Time / Independent Research Scholar may submit the synopsis after successful completion of a minimum of eight DPCs in eight semesters of admission from date of enrollment.
- 1.2 The research scholar shall have to present their work at every annual research week organized by the University. Every scholars shall have to remain present in person, as per the schedule announced by the University. However, under very compelling circumstances, special permission for a presentation by SKYPE or any other electronic means and for the review may be given, if a student applies for it, well in advance, with specific reasons.
- 1.3 During the entire period of studentship under the doctoral program, the Research Scholars of all categories must submit half yearly and annual progress reports to the University through their respective Supervisors (or in case of Independent Research Scholar through the Doctoral Progress Committee) after conduction of DPC reviews. If the University declares a schedule for conduct of DPC reviews and submission of progress reports, the research scholar will be required to follow it.
- 1.4 The Research Scholar should have published a minimum of two research papers out of which at least one should be in a refereed journal indexed / listed in SCI, SCOPUS, SSCI, ABDC, EMERALD (mandatory from PhD batch 2013) before the submission of the thesis for adjudication and produce evidence for the same in the form of acceptance letter from the publisher or copies of the publication along with the submission of synopsis.
- 1.5 The PhD program culminates with the submission of a thesis of substantial original research work carried out by the Research Scholar under the guidance of the Supervisor. The thesis is expected to be potentially fit for publication and should stand peer review.
- 1.6 Before the submission of thesis the Research Scholar should present the synopsis of the thesis before the Doctoral Progress Committee, Faculty Members and Research Scholars at an open seminar, announced well in advance. The synopsis, along with name, designation and signature of attendees at the seminar and review cards of all the Doctoral Progress Committee meetings should be submitted to the Controller of Examination.

This open seminar is a prerequisite before submission of PhD synopsis. The seminar is for getting feedback and comments, which must be suitably incorporated into the thesis under the advice of the Supervisor.
- 1.7 All relevant documents (i.e. receipts of fees paid (including thesis evaluation fee), copies of all the review card reports, report of the PhD Open Seminar along with all enclosures) and copies of all the publications duly approved and endorsed by the DPC, shall be

- submitted by the Research Scholar to the University at the time of submission of the synopsis.
- 1.8 The Research Scholar has to submit 6 copies of the synopsis of the proposed thesis along with a soft copy in PDF on a CD to the Controller of Examination, Gujarat Technological University through the Supervisor or in the case of Independent Research Scholar through the Convener of the Doctoral Progress Committee. In case the convener has not been appointed, the University may be requested to do so.
- 1.9 The synopsis shall be in English and should include the following components:
- a. Title of the thesis and abstract
  - b. Brief description on the state of the art of the research topic
  - c. Definition of the Problem
  - d. Objective and Scope of work
  - e. Original contribution by the thesis.
  - f. Methodology of Research, Results / Comparisons
  - g. Achievements with respect to objectives
  - h. Conclusion
  - i. Copies of papers published and a list of all publications arising from the thesis
  - j. Patents (if any)
  - k. References
- 1.10 NO DUES certificate duly endorsed by the Account Section / department and Library / e-library as per the proforma provided by the University, must be submitted along with the synopsis.
- 1.11 The synopsis shall not be longer than twelve to fifteen pages, one and a half line spaced, A-4 size pages in a font size of 12 pt. and font style of Times New Roman, excluding the copies of papers published and the list of references.
- 1.12 The synopsis will not be accepted if it does not fulfil the above requirements.
- 1.13 The synopsis shall be uploaded on the University's website.
- 1.14 If a patent is being filed, the Supervisor may select the following option for evaluation of the thesis in the Synopsis submission form: -  
The thesis be sent for evaluation after the Non-Disclosure Agreement has been signed by the examiner to maintain confidentiality of proprietary information.

## **2. Period of Registration – Norms for Extension**

- 2.1 A Full Time Research Scholar shall be registered for a maximum period of five years and a Part Time / Independent Research Scholar for a maximum period of six years from the date of enrollment. This period may be extended by one year by the Vice Chancellor based on the recommendation of the Supervisor (or in case of Independent Research Scholar, the convener of the Doctoral Progress Committee) stating valid reasons. The Research Scholar will have to pay the semester fees till the submission of synopsis. However, under very special and compelling circumstances, the Vice Chancellor may grant an additional grace period, at double the normal semester fees, till the submission of synopsis.
- 2.2 No Research Scholar shall be permitted to submit the thesis after the permitted maximum period.
- 2.3 In case the Research Scholar fails to submit the thesis within this period, the Research Scholar shall have to get re-registered. For re-registration, the fees and period shall be the

same as for a fresh candidate. But the Research Scholar shall be exempted from writing the entrance test and appearing for the research proposal presentation / interview.

- 2.4 The Research Scholar may be given time extension for 6 months after the submission of synopsis but within the maximum permitted period stated in the section on period of registration – norms for extension, upon the recommendation of the Supervisor (or in case of Independent Research Scholar, the convener of the Doctoral Progress Committee). Such extension may only be granted by the Vice Chancellor. For each 6 (six) months of extension, the research scholar has to pay the due semester fee as prescribed by the University from time to time.

### **3. Submission of Thesis:**

- 3.1 Within 6 (six) months from the date of submission of the synopsis, the Research Scholar will submit a soft copy of the thesis in PDF on CD / DVD and 5 hard copies (including all certificates in original only) to the Controller of Examination, Gujarat Technological University through the Supervisor or, in the case of Independent Research Scholar, through the Convener of the Doctoral Progress Committee.
- 3.2 The Research Scholar will also submit all subject matter, figures, tables, models, etc. References must be clearly provided for any part of the synopsis and thesis which is not original.
- 3.3 Every Research Scholar must check his / her thesis with any reputed anti-plagiarism software like “turnitin” and must submit the certificate of plagiarism check along with the thesis as per the format provided by the University. For the first batch of PhD student a similarity index less than equal to 25% ( $\leq 25\%$ ) will be required. The University reserves the rights to conduct a plagiarism check of its own before the submission of thesis as per University norms.

Please see the notification about unfair means for plagiarism in a thesis on the University’s website. The present notification is available at [http://gtu.ac.in/ImpCircular/UFM\\_notification\\_10\\_ME.pdf](http://gtu.ac.in/ImpCircular/UFM_notification_10_ME.pdf)

- 3.4 The Research Scholar shall submit all the necessary documentation for the research work, as stated above, along with copies of the papers published / accepted for publication and produce evidence of publication with ISSN / ISBN numbers including acceptance letters from the publishers or copies of publications.
- 3.5 Every Research Scholar shall submit with the thesis a certificate from the Supervisor under whom he/she worked, that the thesis submitted is a record of original research work done by the Research Scholar during the period of study under his/her supervision and that the thesis has not previously formed the basis for the award to the candidate of any Degree, Diploma, Associateship, Fellowship or other similar titles and that the thesis represents independent research work on the part of the Research Scholar.

In case of Independent Research Scholar such a certificate must be submitted by the Research Scholar himself with the counter signature of the Convener of the DPC stating that to the best of his / her knowledge the research work done by the Research Scholar during the period of study has not previously formed the basis for the award to the candidate of any Degree, Diploma, Associateship, Fellowship or other similar titles and that the thesis represents independent research work on the part of the Research Scholar.

#### **4. Panel of Examiners:**

- 4.1 A Panel of 7 External Examiners shall be recommended for the approval of the Vice Chancellor, by the Supervisor (or in case of Independent Research Scholar, the convener of the Doctoral Progress Committee) for adjudicating the thesis. Out of 7 at least 3 should be from outside Gujarat (preferably from IITs, NITs, IISc, IIITs, IIMs, NIPER, etc.). Out of 7 at least 2 should be from reputed Universities outside India.
- 4.2 The Vice Chancellor will have a look at the list of names on the Panel. Then he will select three persons to adjudicate the thesis as external examiners. The acceptance from any two examiners will be deemed fit to start the examination process.
- 4.3 If the acceptance to examine is not received from the two of the three examiners within 30 days, the Vice Chancellor may select additional persons to work as the external examiners. If required, an additional panel of names from the Supervisor (or in case of Independent Research Scholar, the convener of the Doctoral Progress Committee) may be invited.

#### **5. Adjudication of the Thesis:**

- 5.1 The thesis shall be referred by the University for evaluation to a Board of Examiners, consisting of Supervisor and three external examiners. The *viva voce* shall be conducted if any two of the three external examiners send their positive review.
- 5.2 In case, the Research Scholar's doctoral work was supervised by more than one Supervisor jointly, all the Supervisors and Co-Supervisors and three external experts will evaluate the thesis. Out of the three external examiners, the University may attempt to have one expert from outside India. If there are more than one Supervisor for a research scholar, one of them can be appointed as a convener for the *viva voce*.
- 5.3 In the case of Independent Research Scholar, the Board of Examiners will consist of three external examiners and one Convener of the Board of Examiners. The Convener of the Doctoral Progress Committee may work as the Convener of the Board of Examiners. In case the Convener of the Doctoral Progress Committee is not available, the Vice Chancellor may appoint another person from the DPC or any other person as the Convener of the Board.
- 5.4 After due verification of fulfilment of research papers as per the provisions mentioned above at sr. no. 1.4, the University shall take steps to finalize the Board of Examiners without waiting for the receipt of the thesis.
- 5.5 The examiners shall be informed and sent a copy of the synopsis for reviewing and acceptance for adjudicating the thesis. The examiners has to inform about their acceptance within 30 days of the receipt of synopsis.
- 5.6 Each Examiner appointed by the University to adjudicate the thesis shall be requested to send his/her report, within 2 months from the date of receipt of thesis, to the Controller of Examination, GTU.

The report of each examiner should include:

- a. A critical review of the work carried out by the candidate as expressed in the thesis;
- b. Suggestions, if any, for modifications/further research or analysis required to be done;
- c. A definite recommendation as to whether the thesis has attained the standard for PhD degree or not;
- d. Points to be clarified at the public viva- voce examination.

- 5.6 In case only two of the three external examiners send their recommendations within the stipulated time and if one of the examiners gives a definite recommendation against the award of the Degree, the thesis will be referred to an additional examiner, to be appointed by the Vice Chancellor, for adjudication. In total, if two examiners, out of the three, give definite recommendation against the award of the Degree, the thesis will be rejected.
- 5.7 If the thesis is rejected, the Doctoral Progress Committee may grant to the candidate a period of 1 (one) year for working on the thesis, based on the examiner's reviewing comments. The research scholar has to submit the fees during each of the two semesters till the submission of synopsis again. However, University regulations on the time limit will not change due to the rejection.

## **6. Public Viva-Voce:**

- 6.1 A public *viva-voce* examination shall be arranged if two of the external examiners who adjudicated the thesis have recommended the award of the Degree either in hard copy or through authenticated e-mail or fax. The Research Scholar shall undergo a *viva-voce* where Research Scholar shall defend the research work in the thesis.
- 6.2 The public *viva-voce* examination shall be conducted in a place, to be decided by the Controller of Examination.
- 6.3 The Supervisor or the convener of the DPC shall convene the *viva-voce* for the Research Scholar. If there are more than one Supervisor for a research scholar, one of them can be appointed as the convener of the *viva-voce*). The Supervisor jointly with the Controller of Examination shall fix the date and time of the *viva-voce* in consultation with the external. The maximum time limit for conducting *viva-voce* shall be three months from the date of receipt of evaluation reports from the examiners.
- 6.4 The Supervisor shall give at least 15 working days prior notice for scheduling of the examination; including publication at University's website.
- 6.5 If the Research Scholar fails to take the *viva-voce* on the date which is scheduled by the University, the PhD registration of the Research Scholar is likely to be cancelled.
- 6.6 The Board of Examiners, constituted for adjudication of the thesis, will constitute the Board for conducting public *viva-voce*. However, examiners from outside India will / may join the *viva-voce* electronically / digitally (like Skype, etc.). At least two external examiners other than supervisor, appointed to adjudicating the thesis should be present in person at the time of *viva-voce*. In case they are unavailable, the Vice Chancellor may appoint additional examiner(s) for the *viva-voce*.
- 6.7 The *viva-voce* shall primarily be designed to test the understanding of the Research Scholar on the subject matter of the thesis and the competence in the general field of study. The Research Scholar shall be asked to make a brief presentation before the audience and the *viva-voce* will end when all the questions raised by the examiners and the audience are answered.
- 6.8 Passing the *viva-voce* is compulsory. If a Research Scholar fails in the examination, he/she shall be allowed to re-appear before an exam panel constituted for this purpose by the Vice Chancellor once again after 3 months from the date of first *viva-voce* upon request of the Supervisor or request of Independent Research Scholar and upon paying thesis evaluation fees again. If the Research Scholar fails again, his/her candidature for the Degree will be rejected.

- 6.9 If the Research Scholar passes the *viva voce* examination, the *viva voce* examiners and the Supervisor shall consolidate the recommendations and submit the same to the University, for the award of the degree based on
- a. The reports of the examiners who adjudicated the thesis and
  - b. The evaluation of the Research Scholar's performance in the *viva voce* examination.

**7. Deposit of thesis with the UGC:**

- 7.1 Following the successful completion of the evaluation process and announcement of the award of the PhD by the University, the University shall submit a copy of the PhD thesis within a period of 30 days, for record and for hosting at INFLIBNET which will be accessible to all Institutions / Universities.
- 7.2 The Research Scholar's name, title of the thesis and an extended abstract shall be placed on the University website.
- 7.3 The University shall issue a provisional certificate certifying to the effect that the Research Scholar is found eligible for the award of PhD degree.

The decision of the Vice-Chancellor shall be final and binding regarding interpretation of any provision contained in these rules and regulations.

**Attached:**

1. Form for PhD Open Seminar –Report Page 7
2. Format of Attendance Sheet of Open Seminar Page 9
3. Certificate in connection with submission of synopsis Page 10
4. Form for recommendation of Panel of Examiners for PhD Thesis Page 12
5. No DUES Certificate Page 14

# GUJARAT TECHNOLOGICAL UNIVERSITY

## PhD Open Seminar –Report (Pre requisite before submission of PhD Synopsis)

To  
**The Controller of Examination,**  
Gujarat Technological University,  
Ahmedabad

The following Research Scholar, Full Time / Part Time / Independent registered for the PhD program at Gujarat Technological University, presented Open Seminar, as per the details below.

Name of the Research Scholar: Mr. / Ms. /Mrs. \_\_\_\_\_

Enrollment No.: \_\_\_\_\_ Date of Enrollment: \_\_\_\_\_

Branch Name: \_\_\_\_\_

Date of Open Seminar: \_\_\_\_\_ Time: \_\_\_\_\_ Venue: \_\_\_\_\_

### REPORT OF THE DPC ON THE OPEN SEMINAR

The Research Scholar submitted a comprehensive report of the research work carried out by the Research Scholar and made an oral presentation of the same before the DPC Members and others (attendance sheet enclosed Annexure-I). The DPC makes the following observations and recommendation:

- 1) The work done by the Research Scholar towards the degree of Doctor of Philosophy (PhD) is, as of date: (Please tick ONE of the two options (a) or (b) below).
  - a) Adequate for the submission of the PhD Synopsis and Thesis, **within 60 days** of this date, incorporating the suggestions (if any) made at sr. no. 2, in consultation with the Supervisor.
  - b) Inadequate for the submission of Synopsis and Thesis in its present form and major modifications / additions / changes are required. The Research Scholar must incorporate the improvements / modifications / changes suggested at sr.no.2, and give the Open Seminar again on \_\_\_\_\_ (date).
- 2) Additional comments / observations recommendations of the panel (Please write on a duly endorsed separate sheet and attach. The Research Scholar must also be given a copy).
- 3) Copies of all publications duly approved and endorsed by the DPC shall be submitted by the Research Scholar to the University.
- 4) Other Recognition of the work done in the Thesis work in the form of patents / award / etc. (Please attach a duly endorsed separate sheet with complete details).

**Names and Signature with date of all the Members present at the Open Seminar:**

**Date:**

	<b>Name</b>	<b>Address</b>	<b>Mobile No.</b>	<b>Signature with Date</b>
Supervisor				
Co-Supervisor (If any)				
Doctoral Progress Committee Member 1				
Doctoral Progress Committee Member 2				

(Note: DPC Members should be the same as appointed by the University)

Number of Additional Sheets attached: \_\_\_\_\_

**Recommended for Submission**

**Not Recommended for Submission**

Signature of Supervisor with Date: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_

Seal:





**GUJARAT TECHNOLOGICAL UNIVERSITY**

**CERTIFICATE IN CONNECTION WITH SUBMISSION OF SYNOPSIS**

Certificate No. 1 (To be completed by the Research Scholar)

I herewith submit 6 (Six) copies of the synopsis of my PhD Thesis, to The Controller of Examination, Gujarat Technological University, Ahmedabad through the Supervisor (in case of Part Time Research Scholar) or the Supervisor and Head of the Department (in case of Full Time Research Scholar) or the Convener of the Doctoral Progress Committee (in case of Independent Research Scholar). I have also enclosed the soft copy of the synopsis on a CD in the Portable Document Format (PDF).

My address for communication will be as follows:

(I hereby undertake to intimate the PhD section of any change of address)


Signature of Research Scholar: \_\_\_\_\_

Full Name of Research Scholar: \_\_\_\_\_

Enrolment No.: \_\_\_\_\_

Date: \_\_\_\_\_

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CERTIFICATE No. 2 (To be completed jointly by the Research Scholar & Supervisor)

Certified that the Research Scholar with details as above, in Certificate No.1 has carried out the research work detailed in the Synopsis and Thesis being submitted, during the period

\_\_\_\_\_ to \_\_\_\_\_.

(Date of Enrolment )

(Date of submission)

**Further certified that:**

1. There is a prima facie case for consideration of the thesis.
2. The Research Scholar has published a minimum of 2 research papers out of which one should be in referred journal such as SCI / SCOPUS / SSCI / ABDC / EMERALD. Copies of the publications or acceptance letters are enclosed herewith (mandatory from Batch 2013).
3. To the best of our knowledge the synopsis / thesis does not include any work which has, at any time, previously, been submitted for the award of a degree except to the extent of point 4 below.

4. The following section(s) (if any) of the synopsis / thesis relate to collaborative work:  
(mention briefly, or state that there are none)

If patent is being filled, it is recommended that to please tick the following option:

- The Thesis be sent for evaluation after the Non-Disclosure Agreement (NDA) has been signed by the examiner and there is a need to maintain the confidentiality of proprietary information (the student has been informed that obtaining NDA from prospective examiners may delay the thesis evaluation)

Signature of Research Scholar: \_\_\_\_\_

Name of Research Scholar: \_\_\_\_\_

Signature of Supervisor(s): \_\_\_\_\_

Name(s) of Supervisor(s): \_\_\_\_\_

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CERTIFICATE No. 3 (To be completed by the Head of Department (In case of Full Time Research Scholar))

Certified that the Research Scholar with details as above, in Certificate No.1, has presented the results of his / her investigations to a panel, duly constituted for the purpose, during the Pre-synopsis Seminar Examination conducted on \_\_\_\_\_. A copy of the report of the Pre-Synopsis Seminar Examination is attached herewith, for reference.

The publication requirements for submission of the Ph.D. thesis have been fulfilled as per GTU guidelines.

Date:

\_\_\_\_\_  
Signature of Head of the Department  
Name:

Seal:

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CERTIFICATE 4 (To be completed by the Supervisor)

The Synopsis and Thesis, with details as above, may be accepted by the University for evaluation by external examiners.

\_\_\_\_\_  
(Signature of Supervisor with date)

Name : \_\_\_\_\_

Date : \_\_\_\_\_

**GUJARAT TECHNOLOGICAL UNIVERSITY**  
**Form for Recommendation of PANEL OF EXAMINERS FOR PhD THESIS**  
**(To Be Submitted in Sealed Envelope marked Confidential by Supervisor)**

Name of Research Scholar: \_\_\_\_\_

Enrolment No.: \_\_\_\_\_ Date of Enrolment: \_\_\_\_\_

Branch Name: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_

Title of the Thesis: \_\_\_\_\_

\_\_\_\_\_

Names of Examiners with Addresses: (Give fax / email address, if available)

The Panel should have at least 2 names from overseas and 3 names outside Gujarat (within India (Preferably from IITs / NITs / IIITs / IIMs / NIPERs / etc.))

Name: Present Position: Postal Address:  Phone: Mobile No.: Fax: E-Mail:	Name: Present Position: Postal Address:  Phone: Mobile No.: Fax: E-Mail:
Name: Present Position: Postal Address:  Phone: Mobile No.: Fax: E-Mail:	Name: Present Position: Postal Address:  Phone: Mobile No.: Fax: E-Mail:
Name: Present Position: Postal Address:  Phone: Mobile No.: Fax: E-Mail:	Name of Internal Examiner / Supervisor Present Position: Postal Address:  Phone: Mobile No.: Fax: E-Mail:
Name: Present Position: Postal Address:  Phone:	

Mobile No.:	
Fax:	
E-Mail:	

It is certified that the above recommended examiners names are at arm's length relationship or does not have persons with close relation.

The term **close relation** includes father, mother, wife, husband, daughter, son, grandson, granddaughter, brother, sister, nephew, niece, grandnephew/niece, uncle, aunty, son in law, sister in law, father in law, mother in law and the first cousin.

The term at **arm's length** relationship from a person, who is recommended for appointment as external examiner can mean the following:

- 1) The Supervisor and / or the Research Scholar should not have published a joint paper or book, during the last 5 years, with the person who is recommended as an external examiner.
- 2) The Supervisor and / or the Research Scholar should not have worked in the same institution, during the last 5 years, with the person who is recommended as an external examiner.
- 3) The Supervisor and / or the Research Scholar should not have any joint research project or consulting work, during the last 5 years, with the person who is recommended as an external examiner.

\_\_\_\_\_  
Signature of Supervisor

Name(s) of Supervisor(s): \_\_\_\_\_

Date: \_\_\_\_\_

Place: \_\_\_\_\_

**1. Certificate for Fees:**

This is to certify that Mr./Ms./Mrs. \_\_\_\_\_

PhD Research Scholar of Batch \_\_\_\_\_ Enrolment No. \_\_\_\_\_

has paid the fees as per following:

Semester	Amount (Rs.)	DD / Challan No.	Date
1			
2			
3			
4			
5			
6			
7			
8			
Thesis Evaluation	8000/-		

Verified by PhD Section: \_\_\_\_\_

Name of the Verifier: \_\_\_\_\_

Date: \_\_\_\_\_

Chief Accounts Officer: \_\_\_\_\_

(Signature and Stamp)