



G-34

**GUIDELINES FOR
DOCTOR OF PHILOSOPHY (Ph.D)
PROGRAMMES - (REVISED)**

G-34: ¹GUIDELINES FOR DOCTOR OF PHILOSOPHY (Ph.D) PROGRAMMES - (REVISED)

(In exercise of powers conferred under the provisions of Sections 6 (a), 7(a), 7(c) & 28 (d) of AUUP Act 2005, Article 20 of First Statutes, Clause 7 & 10(7) of First Ordinances & AUUP Regulations No. 2, Amity University Uttar Pradesh, with an objective to formulate a Regulation for Research Degree Programme, hereby notifies these Guidelines).

1. INTRODUCTION

- 1.1 These Guidelines shall be called the “Guidelines for Doctor of Philosophy (Ph.D.) Programmes” and shall come into force from the date of approval of Executive Council.
- 1.2 The degree of Doctor of Philosophy (herein after referred to as the Ph. D. degree) of the Amity University Uttar Pradesh shall be conferred on the scholar who fulfills the requirements as specified in these Guidelines and University Regulations (02).

2 PROGRAMMES OFFERED

Ph.D. programmes are being offered on Full time and Part time basis at Amity University Uttar Pradesh. The list of disciplines in which Ph.D degrees are being offered under various faculties is available at the official website of the University: <https://www.amity.edu/phd/campuses.aspx>

3 ELIGIBILITY CRITERIA FOR ADMISSION

- 3.1 Candidates seeking admission to the Ph.D. Programme shall have to possess either M.Phil. degree with a minimum of 50% marks or equivalent grade point average or Master’s Degree with a minimum of 55% marks or equivalent grade point average in the relevant disciplines with excellent academic record.
- 3.2 In few Ph.D Programmes such as Ph.D (CSE/ECE/EEE etc.), the admission eligibility is little higher (For eligibility of all the Ph.D Programmes, refer official website of the University: <https://www.amity.edu/phd>)
- 3.3 A candidate shall be permitted to work for Ph.D. Degree in the subject in which he / she has obtained Master’s Degree. However, the candidates of relevant disciplines or subjects may also be allowed for admission in the concerned Ph.D. Programme.

¹ Guideline G-34 approved vide 18th Academic Council meeting held on 13th June 2014 (Item No 18.24) & revised vide 40th Academic Council meeting held on 15th December 2021 (Item No. 40.19)

4 CLASSIFICATION OF APPLICANTS

An applicant for admission to the Ph.D. Programme shall be classified under any one of the following categories:

- 4.1 Corporate Research Scholar: Candidates working with reputed organizations in India or abroad having at least five years experience and possessing minimum prescribed academic qualifications.
- 4.2 Regular Academic Staff of the University: Regular academic staff of Department/ Constituent Units of Amity University who are allowed to register for Ph.D. on part time basis.
- 4.3 Working Faculty Members: Faculty members on regular basis of other Universities/Schools and recognized/ approved institutions/schools in India and abroad, possessing minimum prescribed academic qualifications.
- 4.4 Non-academic Staff of University/Constituent Units: A regular member of non-academic staff of the University and its Departments/Constituent Units who satisfies eligibility qualifications and is allowed to be registered for a part-time Ph.D. Programme.
- 4.5 Sponsored Candidates: Sponsored candidates getting Government / Semi Govt. or other Scholarships/ Fellowships/stipends, who apply for admission through the sponsoring organizations.
- 4.6 Self financed Candidates from India.
- 4.7 Self financed Candidates from Foreign Countries.
- 4.8 Candidates working as Junior Research Fellow (JRF) / Senior Research Fellow (SRF) / Research Associate (RA) in Research Projects in Amity University and meeting the eligibility criteria.
- 4.9 Candidates working as Junior Research Fellow (JRF) / Senior Research Fellow (SRF) / Research Associate (RA) in Research Projects in Reputed organizations outside Amity University.
- 4.10 Candidates who are awarded National Fellowships through National Competitive Examinations.
- 4.11 ²Scholars who are awarded National Fellowships

² Para 4.11 added, and Para 4.12 & 4.13 renumbered vide 51st Academic Council held on 14th June, 2024 (Item No. 51.40) and vide 29th Executive Council held on 12th September, 2024 {(Item No. 29.02 (B)}

4.12 Amity Research Fellow (ARF): Candidates working under fellowship scheme of Amity Science, Technology & Innovation Foundation (ASTIF).

4.13 Candidates who are working in reputed Labs under MoU with Amity University Uttar Pradesh.

5 APPLICATION FOR ADMISSION AND ADMISSION PROCEDURE

5.1 The Applications for admission to Ph.D. programmes are received on-line through an online application form filled from Amity Website i.e. www.amity.edu/phd. Hard copy forms/CVs are not accepted.

5.2 Aspirants can fill their basic details, to generate a form number and password (these details are shared via mail). They can resume form filling anytime from the same portal using the same form number & password until filled completely and required documents are uploaded. Print view of the submitted application form is attached at Annexure-I.

5.3 Documents required/ to upload during form filling are:

- a) Recent colored passport size photo
- b) Class X marks sheet
- c) All marks sheets of Master's programme- annual/ semester wise
- d) Preliminary Research Idea of the proposed research work
- e) EVC- Employment Verification Certificate/ work proof, if applicable
- f) Any other document if required for clarification
- g) Equivalence certificate of Association of Indian universities (AIU) or authorized professional Indian body in case of any foreign degree.
- h) NOC of employer after selection/ at joining the programme
- i) National Level Exam Qualification certificate, if applicable

5.4 Aspirants shall submit the duly filled application form with application fee of Rs. 1100/-, paid online via various offered options.

5.5 In case of Foreign National applicants, Candidate should also provide following documents, in addition to those mentioned in Para 5.3 above for Indian Candidates:

5.5.1 All International students aspiring to join Ph.D. Programme shall be required to obtain prior security clearance from the Ministry of Home Affairs and the approval of Department of Secondary & Higher Education, Ministry of Human Resource Development, Government of India and this must be on the Research VISA endorsed to Amity

University. No other endorsement will be accepted. The visa should be valid for the prescribed duration of the course. This is applicable to diplomats also.

- 5.5.2 Submission of medical test report within a week from the date of admission from a Registered Medical Practitioner OR a Medical Practitioner nominated by Amity University.
- 5.5.3 Adequate Medical Insurance Cover. All Foreign / NRI students will be required to register themselves with the concerned District Foreigners Registration Officer / Foreigners Regional Registration Officers, within 14 days of their first arrival in India.
- 5.5.4 For any study / Programme to be undertaken at AUUP, approval of Ministry of External Affairs (MEA) is required through Protocol Division.
- 5.6 The Ph.D. applications will be screened by the office of Director Admissions of the University for its correctness.
- 5.7 For all eligible candidates with correct application an Entrance Test shall be conducted on dates given by the Admission Department of the University.
- 5.8 The Entrance Test shall be in two parts – Aptitude Test and Subject Test. The Qualifying Percentage of Marks in the Entrance Test shall be 50%.
- 5.9 The candidates, who qualify in the Entrance Test, shall appear before the Faculty Research Committee (FRC) for selection.
- 5.10 Chairperson FRC shall endorse the recommendations for suitability of the research proposal & candidature of applicant.
- 5.11 After recommendations of FRC, the candidates may be interviewed by the Vice Chancellor. The admission shall be approved by the Chairman, Admission Committee.
- 5.12 After the approval by the Chairman, Admission Committee, Admission Letter shall be issued by the office of Director Admissions.
- 5.13 Candidate will pay the prescribed fee and complete his / her registration for the Programme by the date specified by the University.
- 5.14 The registration of Scholar will be treated as provisional till successful completion of the prescribed Course Work and Comprehensive Examinations.

6 CONDUCT OF ENTRANCE TEST

6.1 The Entrance Test shall be a CBT of one and half hour duration (**i.e. 90 minutes**) and of 100 marks consisting of 100 MCQs. The Entrance Test shall have two Sections (administered in one go), as given below:

PARTICULAR	COMPONENT	QUESTIONS	WEIGHTAGE
SECTION 1 – GENERAL	Section 1 shall be common to all the Applicants for testing the General Knowledge & Research Aptitude, covering questions from following area: <ul style="list-style-type: none"> • General Awareness • English language • Logical reasoning • Quantitative Analysis • Data Analysis and Interpretation 	50 Questions in total, of 1 mark each	50 marks
SECTION 2 – PROGRAM SPECIFIC	<ul style="list-style-type: none"> • Section 2 shall be Program / Subject Specific i.e. as per proposed Ph.D. Programme of the applicant. (viz Management, Biotechnology, Food Technology, Physics, Law, Mechanical Engineering, Civil Engineering, Microbiology, Psy-chology, English etc • This section shall be divided into two parts – 25 questions shall be from Ph.D. Programme subject specific & 25 questions from Ph.D. Programme subject / allied subject. 	50 Questions of Master's level of 1 mark each	50 marks
Interview by Faculty Research Committee (FRC)			30 marks

There will be four options for each question but only one option will be correct answer.

6.2 Each question in Section 1 and Section 2 carries 1 mark. There shall be no negative marking for wrong answers.

- 6.3 The minimum qualifying marks in the written test for admission to Ph.D. Programme shall be 50%.
- 6.4 The candidates who qualify in the written test shall be required to appear in an Interview by Faculty Research Committee (FRC). The Interview will be of 30 Marks. For selection of candidates, a weightage of 70% to the entrance test and 30% to performance in the interview shall be given
- 6.5 For setting up the question papers for Entrance Test, following practice shall be adopted:
- 6.5.1 The required number of questions shall be uploaded on Amizone in a prescribed format. The link to upload the question papers, answer key and the prescribed format, in which it is to be done on Amizone, shall be available on Amizone ID of Director Admissions.
- 6.5.2 The HoIs shall provide Director admissions the subject specific questions (including for allied field if needed) in prescribed format and these will be uploaded by Admissions office on Amizone along with the answer key for Section 2. Section 1 questions will be framed and uploaded by Admissions office in coordination with Director Admissions.
- 6.5.3 The concerned HoI, Chairperson FRC and Director Admissions shall check and ensure the correctness of the question paper and answer keys.

6.6 EXEMPTION FROM WRITTEN TEST

Candidates who have cleared an All India National Level Competitive Examination like NET -LS/JRF of UGC / CSIR / ICAR (ASRB) / GPAT / ICMR / GATE / DST - INSPIRE or M.Phil. **within the last 2 years** of the Ph.D session (Jan or July) they are applying in at Amity, shall be exempted from the written test of the Ph.D. Selection Process.

7 ON-LINE REGISTRATION-CUM-ENROLLMENT OF SCHOLAR

- 7.1 Candidate gets admission offer letter by the Admission Department of University.
- 7.2 Candidate shall be required to pay the prescribed fee, as per the schedule mentioned in the Admission Letter.
- 7.3 On payment of the prescribed fee, Enrolment Number (provisional) shall be allotted automatically by the system and candidates get their login details at his / her admission microsite for his / her personalized Home page of Amity Intranet Zone (Amizone).

- 7.4 After logging in Amizone, scholar shall be required to enter his / her profile for on-line registration process by clicking registration link on the left menu on Amizone and take a printout of the filled-in Registration-cum-Enrollment Form. This task can be completed by the candidates from any location using internet facility before reporting for registration at campus.
- 7.5 The HoI shall provide the list of selected Ph.D scholars, of concerned session to Ph.D coordinator for ensuring timely payment of prescribed fees of first semester.
- 7.6 The HoI /Chairperson DRC shall intimate fee paid Ph.D. candidates to upload their profile on-line, well before reporting for Registration cum Orientation Programme.
- 7.7 The HoI shall nominate a Faculty In-charge for Registration of Ph.D. Scholars of his/her respective Institution. The HoI shall also constitute "registration-cum-document verification team".
- 7.8 The Member Secretary of FRC shall be responsible for completing the on-line registration process of Ph.D. Candidates of FRC concerned.
- 7.9 Candidate shall report to registration-cum-document verification team, duly constituted by concerned HoI, as per the schedule & venue intimated to the candidate, for his / her on-line registration, through Amizone.
- 7.10 The HoI may allot staff roll of registration desk user on-line to the assigned faculty / staff prior to the day of registration and it is also to be ensured that online system for Registration is working for Registration of their new candidates.
- 7.11 The concerned institution shall prepare the dossier files and a checklist of documents for Registration:
 - 1) Documents, as per list, to be received from students at the time of Registration
 - 2) Documents, to be provided to the candidate, after completing on-line registration, if any.
 - 3) Documents to be returned after verification
- 7.12 A team from QAE department shall visit all concerned institutions one day before the commencement of programme and Registration to oversee the preparedness. A team of QAE may also visit the assigned classrooms for Guide interaction session to be conducted by the concerned FRCs.

7.13 A welcome letter shall be sent to the candidate. This letter should include following information such as:

- 1) Documents to be brought at the time of Registration
- 2) Venue & Time of reporting for Registration
- 3) Orientation Programme Schedule
- 4) A brief Academic Calendar
- 5) Brief Attendance Policy

Documents to be submitted by scholar at the time of Registration

S. No.	Document Description	Document Type	Compulsory
1.	X Mark Sheet	Academic	Yes
2.	XII Mark Sheet	Academic	Yes
3.	XII Certificate	Academic	Yes
4.	Graduation Mark-sheet	Academic	Yes
5.	Graduation Degree Certificate	Academic	Yes
6.	Post-Graduation Mark-sheet	Academic	Yes
7.	Post-Graduation Degree Certificate	Academic	No
8.	AIU Equivalence Certificate of last qualification (In case of Foreign Certificate / Diploma / Degree)	Academic	No
9.	Migration Certificate of last qualification obtained	Academic	No
10.	A brief writes up of the proposed research work	Academic	No
11.	Work Experience Certificate and No Objection Certificate by Employer (if scholar is working) (for Part-Time Scholar Non-Amity Employee)	Non-Academic	No
12.	Copy of admission offer letter	Non-Academic	Yes
13.	Duly completed online registration-cum-enrollment form	Non Academic	Yes
14.	Copy of Fee Receipt	Non Academic	Yes
15.	Aadhaar Card / Voter ID Card / Passport	Non Academic	No
16.	Self-Photograph	Non Academic	Yes
17.	Online submission of Two Anti-Ragging Affidavits, one by the student and the other by the parent.	Non Academic	Yes

18.	Online submission of Indemnity Bond by parents.{Original on Rs. 100/- non judicial stamp paper to be submitted at the institution on the first day of reporting at the Institution to attend face-to-face classes}	Non Academic	Yes
19.	Undertaking from student: Online submission	Non Academic	Yes

7.14 Candidate shall report at registration desk as per the date, venue and time intimated by the University.

7.15 The registration-cum-document verification team will mark the attendance of candidate who report for joining.

7.16 The registration-cum-document verification team will verify the original documents as per the document list, and return the same immediately after verification of documents. The concerned HoIs / Chairperson DRC shall ensure that the dossier files and checklist of documents / details for registration are maintained at the respective institutions.

7.17 If any document is not submitted by scholar, the registration-cum-document verification team shall inform the scholar to submit the documents, within 24 hours for verification. The registration of scholar shall not be done till all the compulsory documents (Mark sheets & Degrees / Certificates) are made available for verification.

7.18 The concerned institution will ensure the on-line confirmation of those candidate who:

- meet the eligibility criteria after document verification
- have paid full academic fee for the semester,
- have entered their profile,
- have submitted all the required documents, undertakings, affidavits and indemnity bond etc.

7.19 The Registration team shall ensure that the candidate has fulfilled all the criteria's pertains to the Registration process.

8 SEMESTER & BATCH SYSTEM

8.1 The Course work shall be conducted in first semester of each batch starting from January/February or from July/August.

8.2 The date of registration of the candidates shall be the date of actual registration on Amizone.

8.3 ACADEMIC CALENDAR

The Academic Calendar for Ph.D. Programmes shall be issued by the University HQ prior to commencement of the session. The Chairperson FRC and Head of Institution shall be responsible for full adherence to Academic Calendar & norms of Ph.D. Programmes.

9 APPOINTMENT OF GUIDE:

9.1 Scholar shall discuss his/her research proposal with the concerned area expert faculty member(s) and submit names of any three faculty members in chronological order on Amizone in the form of Online Guide Preference Form.

9.2 The name of Guide opted by scholar shall be recommended by the chairperson DRC and FRC and subsequently approved by the Vice Chancellor, as per University Regulations.

9.3 List of faculty members, who are approved Ph.D Guides is available on Amizone.

10 APPOINTMENT OF EXTERNAL CO-GUIDE :

10.1 To promote the research work, each Ph.D scholar preferably should have a suitable 'External Co-guide', i.e. from outside Amity University, Uttar Pradesh whether the scholar is registered as Full Time or Part Time basis. Here, an "External Co-guide" shall mean an additional Guide from an outside organization, approved by the Vice Chancellor, on the recommendations of DRC / FRC, to help in the accomplishment of research work of the scholar.

³The external co-guide may be minimum Associate Professor from a University / Institution or working in a good profile in Research Organization / Corporate House / Industry of repute from India or abroad with adequate number of publication in Scopus/WoS/UGC care group-1 indexed journals. The overall view in appointing / selecting a guide from another organization should be excellence of the facilities available in the concerned organization. External Co-guide may also be named as a Joint Supervisor.

³ Para 10.1 (2nd Para) amended vide 51st Academic Council held on 14th June, 2024 {Item No. 51.40) and vide 29th Executive Council held on 12th September, 2024 {(Item No. 29.02 (B))}

- 10.2 All Chairpersons of FRCs and DRCs have to ensure appointment of a suitable external Co-guide for each Ph.D. scholar, so that the excellence of the facilities available in the concerned Institutes / Departments in other organizations can be utilized by the Ph.D. Scholars of Amity University.
- 10.3 For the purpose of appointing an external co-guide, a letter of acceptance from the concerned co-guide needs to be obtained by the scholar. Detailed resume of the Co-Guide should be put up before the DRC / FRC and DRC / FRC to decide about the expertise and suitability of the person as Co-Guide, before recommending to Vice Chancellor. The appointment of Co-Guide requires permission from concerned organizations. The 'No Objection' from the concerned organization / University, from where Co Guide may be chosen, should be obtained otherwise it will get challenged. Explicit written consent from concerned organization / university / HoD from where co-guide has to be appointed should be taken. The research work done in the labs of other institutions can be contented by those very institutions, when research papers are published. The issue of Intellectual property rights is also of consideration in this regard. Without the consent / prior permission / No Objection of the concerned organization, there can be stalemates & controversies, with regard to filing Patents or publications. Therefore, No objection / permission should be taken from the concerned Organization / Institution.
- 10.4 Following important points are to be followed, for appointment of External Co-Guide:
- Detailed resume of the proposed co-guide to decide about his / her expertise and recommendations by the DRC.
 - NOC from the concerned Organization where co-guide is working.
 - Consent of the Co-guide with the confirmation that he / she will be available throughout the period of the research (NOC from the concerned University / Institution / Organization is necessary so that there is no scope left for their claiming credit or part ownership of the out-come of the research which may become an Intellectual Property Right (IPR) issue.)
- 10.5 Exemption for submission of Long Abstract and Thesis without consent/ signature of External Co-Guide
- 10.5.1 After appointment of External Co-Guide if scholar faces difficulties in obtaining guidance from him/ her and any unavoidable below mentioned circumstances arise, then with due approval of DRC and Vice-Chancellor, scholar may be exempted for submission of Long Abstract & Thesis without consent / signature of External Co-Guide :
- (i) Death of External Co-Guide just before Pre-Ph.D Seminar or after signing of Long Abstract.

- (ii) On extreme medical grounds of External Co-Guide where External Co-Guide is unable to sign due to physical inability due to accident or medical grounds. Such claim to be duly supported with medical evidence.
- (iii) External Co-Guide not responding intentionally even after repeated requests and same is certified by Guide in writing that in spite of best efforts of the Ph.D Scholar, Guide and Chairperson DRC, External Co-guide has not been responding to any communication.
- (iv) External Co-Guide refused to guide the scholar after giving consent and same is certified by Guide in writing that in spite of efforts of the Ph.D Scholar, Guide and Chairperson DRC, External Co-guide has refused to give any guidance and/or refused to sign Long Abstract and Thesis.
- (v) External Co-Guide gives NOC that Long Abstract and Thesis can be submitted without his signature.
- (vi) Any other unforeseen circumstances/issues.

10.5.2 Under above mentioned circumstances, following Guidelines will be followed by all concerned:

- (i) Submission of request of the scholar in writing to Guide & HoI regarding Non Co-operation of Co-Guide well in time / within six months of such refusals.
- (ii) Case will be examined and Scrutinized by the Guide. He/She will put in best efforts to convince External Co-Guide. If External Co-Guide does not get convinced, Guide will intimate the brief history of case & efforts made by him in writing to HoI.
- (iii) HoI will personally contact External Co-Guide and obtain reasons for his/her not extending guidance in spite of giving his/her consent. He/She will also make all efforts to convince External Co-Guide to co-operate and extend guidance.
- (iv) In case, Co-Guide is still not willing to co-operate or appears to be prejudiced to the scholar/Amity University due to past experience or under influence of his/her colleagues, then HoI will put up case with summary of efforts made by the scholar, Guide & HoI and recommend exemption for submission of Long Abstract & Thesis without signature of External Co-Guide for approval of the Competent Authority.

- (v) After approval of the Competent Authority; HoI will inform External co-guide that permission of the Competent Authority has been accorded (stating circumstances) for submission of Long Abstract and Thesis without signature / consent of External Co-Guide.

11 COURSE WORK

- 11.1 FRC / DRC shall draw a list of Doctoral level courses which can be offered to Ph.D. scholars.
- 11.2 Each Ph.D Scholar shall be required to undertake Pre-Ph.D Course Work of minimum 14 Credit Units including two Domain/Faculty specific Compulsory Courses based on (Research Methodology and Quantitative Techniques of 4 credit units each), Area Specific Course(s) of 4 credits and Research and Publication Ethics (RPE) of 2 credits.
- 11.3 The minimum passing criteria in the Courses shall be B+. A scholar will earn credits for a Course Unit only if he obtains a minimum of Grade B+. Further, if a Scholar fails to get qualifying Grade B+, he will be given second opportunity to improve his minimum qualifying Grade B+, failing which his provisional registration shall be terminated.
- 11.4 The Scholars shall be required to undertake course work within first semester.
- 11.5 A scholar is expected to have full attendance (i.e. 100%) in each course. However, a minimum of 75% attendance shall be mandatory for becoming eligible to appear in the end semester examinations. A maximum of 5% attendance may be condoned by the Vice Chancellor on recommendations of the Guide and Head of Institution for valid reasons.
- 11.6 The scholars registered for Ph.D. Programmes in Departments / Constituent Units can be allowed to complete the Course Unit requirements, if considered necessary, through outside department courses, with the approval of the Vice Chancellor.
- 11.7 Each Scholar, after successful completion of the prescribed Course Work, shall be required to take comprehensive examinations.
- 11.8 The enrollment of scholar shall be treated as provisional till successful completion of the prescribed Course Work and Comprehensive Examinations.

- 11.9 The classes of Compulsory courses i.e. Research Methodology, Quantitative Techniques / Fundamentals of Life Sciences shall be held FRC-wise, as per the syllabus approved by the Competent Authority.
- 11.10 The concerned Chairperson Faculty Research Committee (FRC) shall be responsible for conduct of classes for compulsory courses.
- 11.11 The course work classes shall be conducted in two modes viz
 - a) During weekdays and
 - b) On weekends.

The Full-Time Ph.D. Scholars are to attend course work classes on weekdays and the Part-Time Ph.D. scholars on weekends. However, Amity Faculty members who are registered for Part Time Ph.D. Programmes to be allowed to attend course work classes on weekend mode only, so that their regular teaching or other job responsibilities are not affected during weekdays.

- 11.12 The Chairperson, Faculty Research Committee (FRC) shall take necessary action for on-line academic planning i.e. allocating faculty and scheduling the classes on Amizone. The Programme structure of Course Work and courses syllabi are to be uploaded on Amizone for on-line Academic Planning of Ph.D. Programmes prior to the commencement of the course work classes, as per Ph. D Academic Calendar.
- 11.13 The remunerations shall be paid to the concerned faculty members, as per AUUP rules, to conduct classes on weekends / other institutions / domains.

12 IMPORTANT ON-LINE PRE EXAMINATION ACTIVITIES:

- 12.1 **Submission of student handbook declaration form at the institution by Ph.D. scholars & on - line confirmation by HoI/ PL - AUUP**
 - 12.1.1 The extracts from regulations on attendance, scheme of evaluation, passing criteria, discipline among students in examinations, discipline in university, scholarships and hostel regulations etc. published as "STUDENT HANDBOOK" (for guidance & compliance by students) on Amizone & "DECLARATION FORM" is uploaded on Amizone for all Ph D scholars of AUUP NOIDA & LUCKNOW campuses which can be accessed by the Ph D scholar by clicking on the link "Student Handbook" on the left menu on his / her respective personalized home page on Amizone.

- 12.1.2 It is mandatory that a Ph D scholar submits the “Declaration Form” duly completed in all respects to the concerned Head Of Institution, as per the date specified by University HQ, which will be maintained in Ph D scholar’s personal dossier.
- 12.1.3 Declaration Form is to be downloaded by the Ph D scholars from their respective personalized home page on Amizone by accessing the link “Student Handbook” on the left menu.
- 12.1.4 Head of institution / Program leader can monitor the status of Ph D scholars programme / batch wise who have read the “Student Handbook” & downloaded the “Declaration Form” by accessing the link Amizone Home under Academics, Misc Reports, Student Handbook confirmation.
- 12.1.5 The Ph D scholar shall be permitted to appear in the end semester examinations if he / she has submitted the “Declaration Form” duly completed in all respects at their respective institution.”

12.2 Verification of original documents:

- 12.2.1 The Office of Director Admissions shall be verifying the original documents of Ph.D. scholars (FT and PT). After verification of original documents by the Office of Director Admissions, the office of Registrar shall confirm the enrollment no. on-line through Amizone, and accordingly it shall be reflected as ‘Final’.
- 12.2.2 The concerned chairpersons DRCs/HoIs shall send their representative to the office of Director Admissions for verification, with the dossiers of original documents of academic qualifications of their Ph.D. Scholars.

On-line submission of faculty feedback by scholar:

- 12.2.3 Faculty feedback shall be taken twice in a semester to assess the course curriculum, its delivery, practical implementation, evaluation and behavioral aspects of the faculty.
- Post commencement faculty feedback: It shall be taken after 4 - 6 weeks of commencement of the programme
 - Pre examinations faculty feedback: It shall be taken 2 weeks prior to the last class of the semester.

12.2.4 Chairpersons FRC and Concerned HoIs shall have to take a print of the analysis report and discuss the faculty feedback given by the scholars individually with the faculty. This will help the faculty in identifying individual strengths and weaknesses. Based on the faculty feedback if needed the Chairpersons FRC and HOIs can guide the faculty to improve on his / her weak areas. Chairpersons FRC and HoIs shall have to inform concerned Ph.D. scholars of FRC / Institution and ensure that all Ph.D. scholars submit it on-line, as per the dates mentioned in the Academic Calendar of Ph.D. Programmes issued by University HQ.

12.3 On - line closing of entries of marks for courses:

12.3.1 It shall be mandatory for each allotted course faculty to make entries of internal / external marks on-line on Amizone for all the courses taught by them in the semester. HoI shall ensure that all allotted faculties enter marks on - line of Ph.D. Scholars, as per the date specified by the University HQ.

12.3.2 The purpose of closing on-line entries of marks is that no change can be affected once marks are entered on Amizone and print out of the same duly signed by the allotted faculty & countersigned by concerned Head of Institution is submitted to the examination department.

12.4 On-line blocking of attendance, after conduct of required number of classes as per norms:

12.4.1 Minimum sessions of teaching for a course shall be as prescribed in the syllabus, duly recommended by Board of Studies and approved by Academic Council, shall be required to be considered while deciding minimum no. of classes to be conducted for a course.

For example - 1 credit course shall have:

Minimum 15 sessions per lecture i.e. minimum number of sessions for the course is number of Lecture (mentioned in LTP structure of the course) × 15 sessions.

The concerned Chairperson FRC / Head of Institution shall ensure that the minimum number of classes must be held for all the courses well before the last teaching date as mentioned in Ph.D Academic Calendar.

12.4.2 Concerned Chairperson FRC / Head of Institutions shall approve Examination Forms for the End Semester Examinations only when the classes held is equal or more than the minimum classes required for the course, as per norms. The Examination Admit Cards shall be generated only, if classes are found equal or more than the required numbers.

12.4.3 The attendance shall be blocked on-line as per date mentioned in Ph.D Academic Calendar, on receipt of confirmation from concerned Chairperson FRC / Head of Institution only.

13 EXAMINATIONS (COURSE WORK)

Examinations of Course work of Ph.D. Programmes shall be conducted as per the Ph.D Academic/Examination Calendar.

14 COMPREHENSIVE EXAMINATIONS

14.1 Purpose

14.1.1 The comprehensive examination is intended to ensure and demonstrate that Ph.D. scholars have the back ground preparation necessary for the successful completion and defence of the Doctoral thesis.

14.1.2 Its intent is both normative and pedagogical: serving as a mid-degree check on scholar's performance as appropriate to the doctoral degree, and assisting in best-possible preparation of the scholar to write and successfully defend an excellent Ph.D. thesis.

14.1.3 After Comprehensive Examination the scholar should demonstrate:-

- (i) evidence of substantial understanding of the thesis subject area;
- (ii) evidence of good scholarship i.e: command of the literature, use of primary references, originality of written text and thought, intellectual honesty;
- (iii) appropriateness of answers given: i.e. at a level suitable to the doctoral degree (versus, say, the Master's or Bachelor's degree levels);
- (iv) ability to analyze the scientific/engineering literature and synthesize broader concepts derived thereupon;
- (v) grasp of the deeper issues in scientific and engineering knowledge

14.2 Objective

14.2.1 To ensure by written and oral examination that the scholar is in command of the multidisciplinary scientific/engineering literature broadly underpinning his/her thesis. If not, then areas of deficiency should be identified and the necessary remedial action taken to gain this knowledge.

14.2.2 To provide a quality check on the candidate's approach to their science, and their ability to function at a high level of scholarship. The candidate should be functioning at a high level with the right motivations, intellectual rigour and honesty, that typify the academic model for the highest degree the university awards.

14.3 Timing

Comprehensive examination will be conducted on successful completion of course work within First semester.

14.4 Conduct of Comprehensive Examination

14.4.1 Comprehensive Examination shall be conducted by Comprehensive Examination Committee constituted as under:-

- (a) Chairperson FRC / DRC / Head of Institution/Department
- (b) Guide/Co-Guide of the Scholar
- (c) Subject Expert

14.4.2 Comprehensive Examination Committee should be formed for each scholar at least 1 month in advance of the proposed comprehensive examination.

14.5 Scheme of Evaluation:

Comprehensive examination shall have written and oral parts with the mark distribution as under:-

14.6 Written Examination:

14.6.1 Written examination shall be of 50 or 70 marks as decided and promulgated by Departmental Research Committee.

14.6.2 The comprehensive examination committee shall prepare question papers as per the scheme given below:-

- Comprehensive examination committee with specific expertise in one or more of the core areas specified for study should be identified and be asked to draft 10 questions. The questions should pose the

requirement of demonstrating thorough understanding of the topic and ability to analyze, synthesize and interpret the literature.

- Questions should be reviewed by all members of the comprehensive examination committee to ensure that the scope of examination addresses the topics identified at least 2 weeks in advance of the scheduled examination.
- Any five questions be given to the Research scholar for solving.

14.7 Procedure for Written and Oral Components of the Examination

14.7.1 It is expected that the scholar will be familiar with the literature on the topics selected for examination prior to the exam: for instance in preparing and defending the thesis proposal and through normal study of the scientific/engineering literature. It is also expected that the scholar will have an understanding of the general thesis topic area.

14.7.2 Therefore, the examination will focus on the ability of the scholar to summarize this knowledge, critically analyze the literature, synthesize that information, and directly answer the questions posed. The scholar should anticipate that he/she will be required to devote his / her academic time exclusively to provide quality written documents and then successfully defend those documents and his/ her knowledge at the oral examination.

14.8 Oral Component of the Examination:

14.8.1 The Oral component of the comprehensive examination should normally occur in the afternoon as the written examination in the forenoon. Thus, the committee will normally have time to review the written examination and consider their acceptability. The scholar will be invited to defend the documents (answers of written examination) and his/her back ground knowledge of research thesis area in 30-45 minutes oral examination. The examination shall be conducted on a notified date and time.

14.8.2 Success in the comprehensive examination will be based on consideration of both the written documents and oral defence. The scholar must score minimum 60% of the marks (B+ Grade) to qualify the comprehensive examination.

14.9 Evaluation of Written Paper and Oral Examination

14.9.1 Comprehensive Examination Committee will evaluate written paper considering the following:-

1. Did the candidate answer the questions posed?
2. Did the documents satisfy the expected level of academic performance?
3. Were the answers written at such grammatical and scientific levels as would be expected in writing a successful Ph.D. thesis?

14.10 Oral Examination:

14.10.1 Comprehensive Examination Committee shall observe the following:-

1. Did the candidate provide convincing answers to the questions posed during the oral examination?
2. Did the answers to the questions posed during the examination satisfy the expected level of academic performance.
3. Was the candidate able to support his/her answers with evidence from the literature?
4. Was the candidate able to engage in scientific dialogue appropriate to function in scientific meetings, presentations, etc.?

14.10.2 The marks of Comprehensive Examination will be forwarded to Examination Department in the format given at Annexure- II.

14.11 Re-appearing for Comprehensive Examination

14.11.1 Scholars who fail to qualify in the comprehensive examination may be given one additional opportunity to re-sit in the examination and thereby meeting the expected standard as laid down by the comprehensive examination committee. If a scholar fails in the comprehensive examination in the first attempt, he/she may be allowed to re-appear within 60 days but not before 30 days from the date of declaration of result of the comprehensive examination without lowering the batch of the scholar. As deemed appropriate, the committee members should provide detailed guidance to the scholars regarding improvement in the written and oral examination performance as under:

- (i) directed study of certain areas of the scientific/ engineering literature to supplement perceived areas of weakness;
- (ii) presentation of specified ideas/literature to a Supervisory Committee meeting;
- (iii) additional coursework; or
- (iv) other work as is deemed appropriate. These recommendations will be made with the understanding that the remedial process should not unduly inhibit the continuation of the candidate's experimental/ theoretical work towards his/her thesis.

15 CONFIRMATION OF ENROLLMENT OF THE SCHOLAR

The enrolment of scholar shall be confirmed after successful completion of the prescribed course work and comprehensive examinations by the scholar.

16 PERFORMANCE EVALUATION PROCESS

16.1 The performance of the each scholar must be monitored by respective guide regularly and the same should be recorded monthly as per approved Ph.D Academic Calendar. Further, Semester academic/research progress of each scholar shall be monitored by the Student Research Committee (SRC) and Departmental Research Committee (DRC). For this purpose each candidate shall submit a progress report in the prescribed proforma, as per Annexure-III, at the end of each semester to the Chairperson DRC through his / her Guide(s). DRC shall evaluate the work of the Scholar and award 'S' (Satisfactory) or 'U' (Unsatisfactory) grade.

- a) If the progress is "unsatisfactory", on the first appearance of "U" grade, a warning will be issued to the scholar.
- b) If a scholar gets three "Us" or two consecutive "Us", his/her registration of Ph.D. is liable to be terminated.

16.2 The HoI / HoD shall submit the Progress Report of scholar and minutes of DRC and SRC meetings at University HQrs, for the approval of the Vice Chancellor / University Research Council.

17 RENEWAL OF REGISTRATION AND PRESCRIBED FEE :

(Applicable for the Scholars of July 2016 Batch onwards). *The Ph.D scholars of old batches i.e. prior to July 2016 Batch will be required to pay re-admission charges after N+N period as applicable.*

17.1 A Scholar shall be required to re-register in every semester by the date specified in the Academic Calendar of Ph.D. Programmes by the university HQ till the submission of his / her thesis.

17.2 The permission for on-line re-registration of Ph.D. scholar in the respective semester shall be given by the University HQ (from the Ph.D. Department) through Amizone, to the concerned HoI, after verification of certain terms and conditions, as specified hereunder:

Semester	Terms & Conditions
Re-registration for Semester -II (For Part Time & Full Time Scholars)	<ol style="list-style-type: none"> 1. Fee paid for Semester I & II 2. Approval of progress report of Semester - I by URC / VC 3. Cleared the Ph.D Course Work including Comprehensive Examination 4. Guide & Co-guide (External) allotted / assigned

Re-registration for Semester -III (For Part Time & Full Time Scholars)	<ol style="list-style-type: none"> 1. Fee paid for the Semester I, II & III 2. Approval of progress report of Semester - II by URC / VC 3. Approval of Research topic & Synopsis by DRC & URC
Re-registration for Semester -IV onwards till maximum period i.e. six years (For Part Time & Full Time Scholars)	<ol style="list-style-type: none"> 1. Fee paid for the previous Semesters and present Semester. 2. Approval of progress reports of all previous Semesters by URC / VC
Re-registration for Extended Period upto one year beyond N+N for Full Time and N+1.5 years for Part Time Scholars	<ol style="list-style-type: none"> 1. On approval of the Competent Authority based on the request of scholar and recommendations of concerned Guide and Chairperson DRC. 2. Fee paid i.e. 25% of the prescribed Academic fee for the extended semester(s).
Re-registration after expiry of extended period i.e. 7 years for both Full Time and Part Time Scholars	<ol style="list-style-type: none"> 1. On approval of the Competent Authority based on the request of scholar and recommendations of concerned Guide and Chairperson DRC as a very special case, if any. 2. Fee paid i.e. 50% of the prescribed Academic fee for the extended semester(s).

17.3 The scholar who fails to fulfill the above conditions shall not be re-registered in respective semester.

17.4 **PRESCRIBED FEE FOR PH.D. PROGRAMMES***

(a) Registration Fee : Rs 10,000/-

(b) Security Deposit : Rs 10,000/- (refundable after completion of Ph.D.)

(c) Academic Fee :

Sl. No.	Category	Prescribed Academic fee	Waiver in prescribed Academic Fee & Fee after concession
1.	Full Time Scholars	Rs. 1, 00,000/- per annum / Rs. 50,000/- per semester	As per AUUP notification AUUP/Financial Orders/Ph.D/162/2013 dated 07 th November 2019, the Full-time scholars of July 2016 batches onward shall be entitled for fee concession as mentioned at Annexure-IV

2.	Part Time Scholars	Rs. 67,000/- per annum / Rs. 33,500/- per semester	--
3.	Regular Academic Faculty of Amity	Rs. 67,000/- per annum / Rs. 33,500/- per semester	<ul style="list-style-type: none"> • Faculty less than three years service at Amity will get 20% waiver in Academic Fee and • Faculty more than three years service at Amity will get 50% waiver in Academic Fee. • In case the Faculty leaves the institution within 2 years from the date of completion of his/ her Ph. D., he/ she shall refund the entire amount of Fee concession provided to him/ her during the Ph. D. Programme (Bond has to be submitted at the time of registration).
4.	Non-Teaching Staff of Amity	Rs. 67,000/- per annum / Rs. 33,500/- per semester	<ul style="list-style-type: none"> • Non-Teaching Staff less than three years service at Amity will get 20% waiver in Academic Fee and • Non-Teaching Staff more than three years service at Amity will get 50% waiver in Academic Fee. • In case the Non Teaching Staff leaves the institution within 2 years from the date of completion of his/ her Ph. D., he/ she shall refund the entire amount of Fee concession provided to him/ her during the Ph. D. Programme (Bond has to be submitted at the time of registration).
5.	JRFs / SRFs / RAs employed in Research Projects in the University (Full-Time)	Rs. 1, 00,000/- per annum / Rs. 50,000/- per semester	75% waiver: Rs. 25,000/- per annum / Rs. 12,500/- per semester
6.	Amity Research Fellows (ASTIF Fellows) (Full-Time)	Rs. 1, 00,000/- per annum / Rs. 50,000/- per semester	75% waiver: Rs. 25,000/- per annum / Rs. 12,500/- per semester

7.	a) Scholars from such Govt. Institutes/ National Labs which funds projects and faculty/ students of AUUP uses their labs for research, internships, major projects or projects/ dissertation where Amity University has Memorandum of Understanding (MoUs) (Part-Time)	Rs. 67,000/- per annum / Rs. 33,500/- per semester	62% waiver: Rs. 25,460/- per annum / Rs. 12,730/- per semester
	b) Other institutes/ labs (Part-Time)	Rs. 67,000/- per annum / Rs. 33,500/- per semester	50% waiver: Rs. 33,500/- per annum / Rs. 16,750/- per semester
8.	Scholars who are awarded National Fellowships through National Competitive Examinations (Full-Time)	Rs. 1, 00,000/- per annum / Rs. 50,000/- per semester	Scholars may be considered for 50% concession in the prescribed Academic Fee, on being selected for PhD Registration in AUUP, on case to case basis, based on the merit and prescribed criteria

9. ⁴	Scholars who are awarded National Fellowships	Rs. 1, 00,000/- per annum / Rs. 50,000/- per semester	Scholars may be considered for 50% concession in the prescribed Academic Fee. As they awarded 'Savitribai Jyotirao Phule Fellowship for Single Girl Child' by the UGC and registered herself in regular, full-time Ph.D programme
10.	Foreign Nationals	For Full Time Scholars: Rs. 1, 50,000/- per annum / Rs. 75,000/- per semester For Part Time Scholars: Rs. 75,000/- per annum / Rs. 37,500/- per semester	--
11.	Existing scholar who has taken admission under Self-Financed category and later on got appointment as JRF / SRF / RA in Amity Projects or get fellowship or Join as Faculty / Non-Teaching staff of AUUP, in between the Ph.D. programme.	<u>Full-Time Scholars:</u> <u>Rs. 1,00,000/- per annum</u> <u>Part-Time Scholars:</u> <u>Rs. 67,000/- per annum</u>	<ul style="list-style-type: none"> JRF / SRF / RA in Amity Projects: will get 75% waiver in Academic Fee Faculty / Non-Teaching Staff: Less than three-year service at Amity will get 20% waiver in Academic Fee In case the Faculty/ Non Teaching Staff leaves the institution within 2 years from the date of completion of his/ her Ph. D., he/ she shall refund the entire amount of Fee concession provided to him/ her during the Ph. D. Programme (Bond has to be submitted at the time of registration).

⁴ Para 17.4 C-SI. No. 9 added and Para 10 & 11 renumbered vide 51st Academic Council held on 14th June, 2024 {Item No. 51.40} and vide 29th Executive Council held on 12th September, 2024 {(Item No. 29.02 (B))}

Note: Change of Fee Category at a later stage after Registration in Ph.D. Programme:

The Ph.D. Scholars taken admission under Self-Finance Category and later on got appointed as JRF/SRF/RA in projects or got fellowship or joined as Faculty/Non-Teaching Staff of the University, the fee concessions may be considered to such Scholars on receipt of their request duly recommended by Chairperson DRC and approval of Vice Chancellor on case to case basis.

The fee concession be effective from the next semester, the fee already paid/deposited will not be adjusted in impending semesters.

18 TEMPORARY WITHDRAWAL (ACADEMIC BREAK) FROM THE PROGRAMME

18.1 A scholar admitted to the Ph.D. programme may be permitted by the Vice Chancellor, on the recommendation of the Guide and DRC to temporarily withdrawal from the programme on some specific reasons, and later allowed to join back to complete the research and submit the thesis, without exceeding the maximum prescribed time limit for the thesis submission as per University rules. This withdrawal may be granted for the semester(s) provided it does not affect the coursework. The temporary withdrawal may be permitted on any one of the following reasons:

- (i) If the scholar is suffering due to prolonged illness, supported by medical certificates.
- (ii) On the event of illness/ death of scholar's parents/guardians/spouse.
- (iii) If the scholar gets a professional employment. In the case of a scholar who has to undergo course work as part of the programme, he/she shall be allowed to take up the job only after completing the course work.
- (iv) Any other event such as Maternity Leave, etc. in which the Vice-Chancellor is convinced that the situation faced by the research scholar warrants his/her temporary withdrawal from the programme without exceeding the maximum time-limit provided in the regulations for submission of thesis.

18.2 During the period of withdrawal the scholar may not be required to pay any fee. However, fee already paid (temporary withdrawal involving part of a semester) shall be adjusted.

18.3 The residential requirement of the scholar, who are allowed temporary withdrawal, shall be automatically extended by a period equivalent to the duration of the withdrawal, without exceeding the maximum period laid down in the regulations.

19 SUBMISSION OF THE THESIS

19.1 Performance of every scholar shall regularly be monitored by the DRC, as per rules.

A scholar registered for full time Ph.D Programme shall be allowed to submit his / her thesis after completion of minimum period of three years from the date of his / her registration and part-time candidates after four & half years, provided the scholar has completed mandatory requirements, as per regulations. However, the minimum period of four & half years for Part-time Scholars having rich experience while working with reputed organizations in India and abroad may, on the recommendations of DRC, be reduced to three years & six months. Part time PhD scholar shall be allowed to submit thesis after completing 3.5 years but he/she has to pay the due fees of rest of the one year i.e. minimum period of four and half year.

A checklist for submission of the Long Abstract is placed at Annexure -V

19.2 A format of Ph.D. thesis including Guidelines and Synopsis are given at Annexure-VI and Annexure-VII respectively

20 UNFAIR MEANS AND PLAGIARISM

20.1 To ensure academic integrity & avoid plagiarism, University has a Plagiarism Software.

20.2 The Ph.D. Thesis of scholar shall be checked by the Plagiarism Software, prior to acceptance for evaluation. The Head of Institution shall ensure that no thesis is submitted by the scholar without Plagiarism check. The Plagiarism level should not be more than 10%.

20.3 In case a scholar is found adopting or suspected of adopting unfair means or lifting of other's work and inserting it in his/her work without proper acknowledgement, credit and reference, such penal action shall be taken by the University as may be necessary to uphold the sanctity and the integrity of the examination system/research work, and the credibility of the University.

20.4 The concerned HoI shall submit a certificate, mentioning that the thesis of scholar has been checked by Plagiarism Software. The plagiarism report shall also be produced for verification and records.

21 RESEARCH COMMITTEES:**21.1 FACULTY RESEARCH COMMITTEE (FRC)****21.1.1 COMPOSITION OF FACULTY RESEARCH COMMITTEE (FRC)**

The composition of the Faculty Research Committee will be as under:

Chairperson	Dean of the Faculty/Nominee of Vice Chancellor from amongst the senior most HoIs /Scientists or equivalent
Members	Upto 5 HoIs of the concerned disciplines (Members) by rotation
	Upto 3 senior Professors by rotation
	One of the Professors of the Faculty (proposed by the Dean and approved by the Vice Chancellor) as Member Secretary
External Experts	Upto 6 External Experts
	Special Invitees as required & proposed by the Chairperson and approved by the Vice Chancellor

50% of the total strength shall form the quorum.

21.1.2 FUNCTIONS OF FACULTY RESEARCH COMMITTEE (FRC):

FRC shall perform the following functions:

- (i) To recommend admissions in Ph.D. Programmes offered by the Faculty, in coordination with Admission Department.
- (ii) To introduce the Faculty Guides of the domain to newly admitted Ph.D. scholars during Orientation Programme.
- (iii) To recommend name of faculty for appointment of Ph.D. Guide, on submission of Scholar's preference.
- (iv) To constitute the SRC for each scholar, in consultation with Chairperson DRC.
- (v) To conduct and monitor the course work classes of compulsory courses and to recommend names of faculty who will teach 'Research Methodology' & 'Quantitative Techniques' / 'Fundamentals of Life Sciences' to Ph.D. Scholars, in consultation with concerned HoIs.
- (vi) To take necessary action for online academic planning i.e. allocating faculty and scheduling the classes on Amizone

- (vii) To monitor the course work classes of area specific courses for each scholar in coordination with concerned HoIs.
- (viii) To consider the recommendation of DRC for Pre-Ph.D Seminar for the approval of the Competent Authority.
- (ix) Full adherence to Academic Calendar & norms of Ph.D. Programmes.

21.1.3 DURATION

The tenure of members of the FRC other than the Dean of the Faculty, Heads of Departments/Constituent Units shall be two years. A member can be re-nominated for another term.

21.2 DEPARTMENTAL RESEARCH COMMITTEE (DRC):

21.2.1 COMPOSITION OF DEPARTMENTAL RESEARCH COMMITTEE (DRC)

The composition of the Departmental Research Committee will be as under:

Chairperson	The Head of the Department/ Constituent Unit
Members	Maximum three Professors and three other faculty members of the Department by rotation
External Experts	Maximum three external experts including those from other Departments/Constituent Units, nominated by the Vice Chancellor.

Provided, however, the total number of internal and external members shall not exceed six.

21.2.2 FUNCTIONS OF DEPARTMENTAL RESEARCH COMMITTEE (DRC):

DRC shall perform the following functions:

- (i) DRC shall function as progress monitoring authority approving the topics & synopsis.
- (ii) Progress monitoring of the scholar, semester-wise.

- (iii) To send the Semester Progress Report of the scholars to Ph.D Department.
- (iv) Registration & re-registration of the scholar.
- (v) To constitute SRC for each scholar, in consultation with the Chairperson FRC.
- (vi) To consider the recommendations of SRC for action, as required, till final submission of the thesis.
- (vii) To send the recommendations to FRC / URC, as applicable.
- (viii) To recommend area specific course work to each scholar, in addition to the compulsory course work of RM & QT.
- (ix) To monitor the course work classes of compulsory courses of Ph.D. Scholars in consultation with Chairperson FRC.
- (x) To conduct and monitor the course work classes of area specific courses for each scholar and to recommend names of faculty who will teach courses to Ph.D. Scholars in consultation with Chairperson FRC.
- (xi) To take necessary action for online academic planning i.e. allocating faculty and scheduling the classes on Amizone.
- (xii) Full adherence to Academic Calendar & norms of Ph.D. Programmes.

21.2.3 DURATION

The tenure of members of the DRC other than the Heads of Departments/ Constituent Units shall be two years. A member can be re-nominated for another term.

21.3 STUDENT RESEARCH COMMITTEE (SRC):

21.3.1 COMPOSITION OF STUDENT RESEARCH COMMITTEE (SRC)

The Student Research Committee shall comprise Guide(s), two other teachers in the related area and HOD as the Chairman.

21.3.2 FUNCTIONS OF STUDENT RESEARCH COMMITTEE (SRC):

SRC shall perform the following functions:

- (i) Invite the candidate for scrutinizing his research proposal to ensure that the proposal is suitable
- (ii) Ascertain the availability of facilities required for the proposed research
- (iii) Prescribe the Area Specific Course to be taken by the candidate
- (iv) Recommend to DRC about the suitability or otherwise of the candidate and his proposal along with relevant details and documents
- (v) Periodically monitor the performance of the work of the candidate and provide advice to candidate, where necessary
- (vi) To approve the long abstract of the thesis on its completion and the final title of the thesis.
- (vii) To recommend the panel of examiners.
- (viii) Full adherence to Academic Calendar & norms of Ph.D. Programmes.

22 CANCELLATION OF REGISTRATION:

The registration of a Ph.D. Scholar shall be cancelled in any one of the following eventualities:

- (a) If he / she fails to get qualifying Grade B+ in Courses offered, in a maximum of two attempts.
- (b) If he / she fails to get qualifying Grade B+ in Comprehensive Examination, in a maximum of two attempts.
- (c) If his / her Progress Report is assessed as 'Unsatisfactory' in two consecutive Semesters or his / her Progress Reports in any three Semesters is assessed as 'Unsatisfactory' in entire duration.
- (d) If he / she fails to submit his / her thesis within the maximum registration period.
- (e) If the Scholar absents himself / herself for a continuous period of six weeks without sanction of leave by his / her Guide / HoI.
- (f) If scholar fails to deposit the prescribed academic fee in the given time frame.

- (g) If the Scholar withdraws from the Ph.D. programme on his / her request duly forwarded by his / her Guide and Chairperson DRC.

23 CHANGE OF REGISTRATION STATUS OF SCHOLAR

A scholar may be allowed for valid reasons to change his status from part-time to full-time or vice-versa, as per University Regulations (R-02) Para 4.13.

24 CHANGE OF PROGRAMME AND/ OR DISCIPLINES

- 24.1 **Before admission:** Any request for change of Ph.D. programme and / or branch / discipline before admission may be considered by the Admission Department based on the eligibility of the programme and availability of the seats in the concerned programme where scholar is seeking transfer.
- 24.2 **After admission:** Any request for change of Ph.D. programme and / or branch / discipline after admission shall be considered based on the recommendation of Chairperson DRC/FRC and merit of each individual case.

25 ADMISSION OF AMITY EMPLOYEES TO PH.D. PROGRAMMES

- 25.1 These guidelines are refereed to all such Amity employees who are residing and serving in Amity campuses outside Noida or outside India

25.2 Admission Procedure:

- 25.2.1 The Applications for admission to Ph.D. programmes should be submitted online through Amity Website (www.amity.edu/phd).
- 25.2.2 The scrutiny of the application is to be done by the office of Director Admissions, AUUP. The Admission Department of University shall conduct the Entrance Test, as per the University Guidelines, in coordination with concerned Campus Head, where applicant is working.
- 25.2.3 After clearing the entrance exam, candidates shall be interviewed by the concerned Faculty Research Committee (FRC) for selection, as per the date and time given by the Director Admissions, AUUP.
- 25.2.4 After recommendations from FRC, the candidature will be approved by the Chairman, Admission Committee for admission to Ph.D. Programme. After the approval by the Chairman, Admission Committee, Admission shall be offered by the Director Admissions.

- 25.2.5 Candidate shall pay the prescribed fee, as per the University rules and complete his / her registration for the Programme by the date specified by the University.
- 25.2.6 The registration of Scholar will be treated as provisional till successful completion of the Course work.
- 25.2.7 The FRC shall recommend names of experts for the related research work for appointment of Guide and eligible Co-guide (from outside AUUP), as per University Rules and Regulations.

25.3 Course Work:

- 25.3.1 Each Ph.D Scholar is required to undertake Pre-Ph.D Course Work of minimum 14 Credit Units including two Domain/Faculty specific Compulsory Courses based on (Research Methodology and Quantitative Techniques of 4 credit units each), Area Specific Course(s) of 4 credits and Research and Publication Ethics (RPE) of 2 credits.
- 25.3.2 Course work classes may be conducted at the Amity Institution where scholar is employed. Concerned Campus Head shall recommend name of the Faculty members for teaching the courses. The course work classes to be held as per the Academic Calendar for the Ph.D. Programmes, issued by the University. Minimum 75% attendance in course work is mandatory to appear in end semester examinations.
- 25.3.3 As per the prevalent rules, the Full-Time Ph.D. Scholars are to attend course work classes on weekdays and the Part-Time Ph.D. scholars on weekends. Amity Faculty members, who are registered for Part Time Ph.D. Programmes to be allowed to attend course work classes on weekend mode only, so that their regular teaching or other job responsibilities are not affected during weekdays.
- 25.3.4 Coursework Examination shall be conducted at the Amity Institution where scholar is employed / serving under supervision of concerned Campus Head. The concerned Campus Head will be responsible for conducting the course work examination as per University rules. The schedule of Course Work Examinations shall be provided by the Office of CoE, AUUP. The question papers shall be provided by the office of CoE, AUUP. The answer sheets to be sent to Noida campus for evaluation and result declared by the office of CoE AUUP.
- 25.3.5 Each Scholar, after successful completion of Course work, shall be required to take a comprehensive examination which will test his

comprehension or knowledge in his broad field of research and his academic preparation and potentials to carry out the research work. The comprehensive examination shall be a combination of both written and oral examination and shall be conducted by the Department/Constituent Unit. The candidate should secure at least Grade B+ i.e. 60% marks in comprehensive examination.

25.4 **Research Work:**

- 25.4.1 Research would be done under the supervision of a Guide and Co-guide.
- 25.4.2 The Semester wise progress report of the Scholar shall be recommended by SRC/DRC. The concerned Guide & SRC/DRC will recommend "S" satisfactory or "U" unsatisfactory, as per rules.
- 25.4.3 The re-registration of scholar to the next semester will be done, as per University rules.
- 25.4.4 After completion of research, thesis would be submitted by the scholar at Noida Campus, as per University Regulations and Guidelines.

ANNEXURES

Particulars	Title of Annexures
Annexure – I	Print view of the submitted application form for admission in Ph.D Programme
Annexure – II	Award list of Ph.D Comprehensive examination
Annexure – III	Format for submission of Semester Progress Report
Annexure – IV	AUUP notification AUUP/Financial Orders/Ph.D/162/2013 dated 07th November 2019 regarding fee concession to Full-time Ph.D scholars
Annexure – V	Checklist for submission of Long Abstract
Annexure – VI	Format and Guidelines of Ph.D. thesis
Annexure – VII	Format of Ph.D. Synopsis



ONLINE
Form No : 9009500

Basic Details

Name :SUHANI GIDWANI

Program & Campus
Ph.D in Commerce Noida

Category :GEN

Date Of Birth28/02/1990

Hostel AccommodationNo

Mobile+91 7741953112

Landline

E-mail*SUHANI.GIDWANI@GMAIL.COM



Payment Details

Your payment transaction number: 70983940152

Your payment transaction date : 26 Apr 2021

If you have any questions, email to admissions@amity.edu,
or call us at 0120-2445252 / 4713600

Personal Details

Marital Status **Married**

Gender **Female**

Nationality* **Indian**

Passport **No**

Correspondence Address

For all communication related to your admission.

FLAT NO 102 DEVIKA SAKSHI 2,
NEAR JARIPATKA POLICE STATION,
NAGPUR, Maharashtra - 440014
India

Permanent Address

☒ same as correspondence address

FLAT NO 102 DEVIKA SAKSHI 2,
NEAR JARIPATKA POLICE STATION,
NAGPUR, Maharashtra - 440014
India

Spouse Details

Do you suffer from any chronic ailment **No**

Have you ever been suspended, dismissed or put on academic probation or warning at any school or college? **No**

Classification of Candidate

Indian Candidate

National Level Examination Qualified (within last 2 years)

UGC

LS

Test Name : UGC NET IN COMMERCE

Date of Qualification : 4/15/2019 12:00:00 AM

Family Information

Name_

E-mail

Qualification

Organisation

Age

Mobile

Profession

Designation

Father Details

Name DILIP KUMAR VASWANI

E-mail

Qualification School Level

Organisation NA

Age 58

Mobile +91 9752523360

Profession RETIRED

Designation NA

Mother Details

Name * ASHA VASWANI

E-mail SUHANI.GIDWANI@GMAIL.COM

Qualification School Level

Organisation NA

Age 55

Mobile +91 7741953112

Profession HOME MAKER

Designation NA

Family at Amity - Any of your associated with Amity

Family Member : no

Education Details

It is mandatory to fill all details of educational qualification (as applicable) from class X onwards till last completed semester / year. If the system of marking of your school / college is on grading pattern, convert grade into marks as applicable and fill in the respective columns. In absence of complete information, form will be rejected.

Class X

Board CBSE
 Passing Year 2006
 Aggregate Percentage 78.60

Class XII

Board CBSE
 Passing Year 2008
 Medium of instruction English
 School Name MITHI GOBINDRAM PUBLIC SCHOOL
 City BHOPAL
 Pin / Zip Code 462030
 XII Board Name CBSE
 Board Roll No 1236177

Mark Type Marks

Class XII Board Result Details (Provide details of all subjects as in class XII marksheet)

SNo	Subject Name	Marks obtained	Maximum Marks
1	COMMERCE	411	500
2	ENGLISH	83	100
3	ECONOMICS	90	100
4	ACCOUNTANCY	87	100
5	BUSINESS STUDIES	78	100
6	INFORMATICS PRACTICE	73	100

Graduation Details

Degree BBA
 Medium of Instruction English
 Branch / Subject of Specialization (if any) MARKETING MANAGEMENT
 Duration of Degree 3.0
 Scheme of Examination Semester
 Discipline Management
 Mode of Study FT

Graduation Year AttendedForm : 2008 To : 2011

University Enrollment NoR9-19605

Name of College (Graduation)SANT HIRDARAM GIRLS COLLEGE

CityBHOPAL

Pin / Zip Code462030

Name of the University (Graduation)BARKATULLAH UNIVERSITY

Semester / Year wise MarksMark

Semester / year	Marks obtained	Maximum Marks	No of Back Papers	Result not declared
1	209.00	250.00	0	<input type="checkbox"/>
2	208.00	250.00	0	<input type="checkbox"/>
3	202.00	250.00	0	<input type="checkbox"/>
4	208.00	250.00	0	<input type="checkbox"/>
5	209.00	250.00	0	<input type="checkbox"/>
6	292.00	350.00	0	<input type="checkbox"/>

Post Graduation Details

DegreeMASTER IN COMMERCE

Medium of InstructionEnglish

Duration2.0

Examination SchemeAnnual

Branch / Subject of Specialization (if any)INTERNATIONAL BUSINESS AND MANAGEMENT

DisciplineCommerce

Mode of StudyCorrespondence

Post Graduation Year AttendedForm : 2017 To : 2019

University NameINDIRA GANDHI NATIONAL OPEN UNIVERSITY

College name

CityNAGPUR

University Enrollment No177395188

Semester / Year wise MarksMark

Semester / year	Marks obtained	Maximum Marks	No of Back Papers	Result not declared
1	386.00	600.00	0	<input type="checkbox"/>
2	422.00	600.00	0	<input type="checkbox"/>

Other Information

Details of Publications(If Applicable)

Sno.	Type / Title / Published In	Publisher / Year of publishing / Co-Authenticity
1	Type : Research Paper Title : APPLICATION OF ICT Publication In : Journal	Publisher : IOSR Year of publishing : 2019 Co-Authenticity (if any) : NA
2	Type : Research Paper Title : E GOVERNANCE IN INDI Publication In : Journal	Publisher : VIJEM Year of publishing : 2017 Co-Authenticity (if any) : NA
3	Type : Research Paper Title : EMERGING TRENDS IN E Publication In : Journal	Publisher : IJMDR Year of publishing : 2014 Co-Authenticity (if any) : NA
4	Type : Research Paper Title : ROLE OF ICT IN CRM Publication In : Proceedings	Publisher : SINHGAD INSTITUTE PUNE Year of publishing : 2014 Co-Authenticity (if any) : NA
5	Type : Research Paper Title : BLUE OCEAN STRATEGY Publication In : Proceedings	Publisher : TIRPUDE INSTITUTE Year of publishing : 2014 Co-Authenticity (if any) : NA

Employment

Work Experience ☒ Yes

if Yes: Years 0 Months 11

Last salary drawn per month in INR 32000

Working Mode ☒ Full Time

Current Organisation Name MUDRA INSTITUTE OF COMMUNICATIONS AHMEDABAD

Current Designation : RESEARCH ASSOCIATE

Date From 27/04/2020 To 26/04/2021

Previously Applied

Have you previously applied to Amity? ☒ No

AWARD LIST OF Ph.D. COMPREHENSIVE EXAMINATION

Please strike out extra columns.



AMITY UNIVERSITY

UTTAR PRADESH

Research Scholar's Progress Report for Session

PART-A

(To be submitted by the Research Scholar for each Session)

Note: Research candidate shall prepare a short report stating the progress made (i) since registration, (ii) in the last six months and (iii) targets to be met in the next six months in the light of the 'End of the Prescribed Period' of registration and submit the report along with this form to the Guide(s) to be forwarded to the Head of Department/Institution. Student should photocopy this form and submit it to the Guide(s) after filling in the relevant columns along with an envelop to be sent through registered post to the Head of Department / Institution in duplicate, original copy to be retained by the Institution and duplicate copy to be sent to University.

1. Name of Research Scholar: _____
2. Name of Institute / Department: _____
3. Name of the Ph.D. Programme: _____
4. Batch: _____ Semester: _____
5. Date of Registration: _____ Enrolment No: _____
6. Status (please tick) (a) Full Time (b) Part Time
7. Mobile No. _____ Email ID: _____
8. Aadhar No: _____ Category (SC/ST/OBC/Gen) _____
9. Admission Category (please tick) :
 - a) Self Financed Indian Candidate
 - b) Self Financed Foreign Candidate
 - c) Amity Faculty
 - d) Amity Non Teaching Staff
 - e) Junior Research Fellow / Senior Research fellow
 - f) Amity Research Fellow (ASTIF)
 - g) Scholar employed in such lab where Amity has MOU
 - h) Scholars awarded National Fellowship through National Competition
10. Topic of Research (**in Capital Letters**) : _____

11. Details of Residency Period:

Place	From	To

12. Name of Guide & Co-Guide:

S. No.	Name	Designation	Department / Institution	Address with Phone No.
1				
2				
3				

13. Grade obtained in approved course units:

S. No.	Course Code	Course Title	Credits assigned	Grade obtained	Session/ Semester	Overall Grade
1						
2						
3						
4						

14. Date of comprehensive examinations: _____

15. Date of Seminar presentation: _____

16. Date of submission of long abstract: _____

17. Date of submission Thesis : _____

18. Date of Oral Defence committee : _____

19. Any other Information regarding work : _____

20. Status of Previous Progress Reports, recommended by DRC:

S. No.	Semester	Period	Recommendations as per DRC (i.e. Satisfactory / Unsatisfactory)

21. Details of Fee Payments:

a) Total amount of fee paid, as on date : _____

b) Total outstanding amount, as on date (If any): _____

22. **Performance Report** (If the space is insufficient, please attach separate sheet)

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There is no handwriting or other markings on the paper.

Date _____

Signature of Research Scholar

PART- B

(To be filled by the Department / Institute)

23. Report of the Guide(s)/Co-Guide(s)

(a) Performance (Satisfactory / Unsatisfactory) _____

(b) Recommendations _____

Date _____

Name and Signature of Guide(s)

24. Report of Chairperson, DRC:

(a) Performance (Satisfactory/Unsatisfactory) _____

(b) Specific Recommendations of Chairman DRC _____

Date _____

Name and Signature of Chairperson, DRC

PART- C
(To be filled by the University)

Recommendations of DRC are Examined & found			
OK	<input style="width: 50px; height: 20px;" type="text"/>	NOT OK	<input style="width: 50px; height: 20px;" type="text"/>
Signature of Ph.D. Department, AUUP HQs			
Approval of Vice-Chancellor			
Approved	<input style="width: 50px; height: 20px;" type="text"/>	Not Approved	<input style="width: 50px; height: 20px;" type="text"/>
Vice Chancellor			

ANNEXURE-IV*** NOTIFICATION**

AUUP/Financial Orders/Ph.D/162/2013

7th November 2019**Sub: Fee Concession of 25% for Full-Time Ph.D. Scholars after successful completion of six semesters ("N" period)**

With the approval of the Competent Authority, after successful completion of six semesters ("N" period) by Full-Time Ph.D Scholars of July 2016 Batch onwards, fee concession of 25% w.e.f Academic fee payment due for Jan-2020 semester onwards, is hereby notified, as shown below:

Prescribed Academic Fee (For Full Time Scholars)	Existing fee	Revised fee (For Full Time Scholars of July 2016 Batch onwards who have successfully completed six semesters)
Rs.50,000/- per semester	'N' period : Full Payment of prescribed Academic Fee	"N" period : Full Payment of prescribed Academic Fee
	'N' + period : Full Payment of prescribed Academic Fee	' period : 25% fee concession
	Beyond N+N period : Re-admission charges + 25% prescribed academic fee	Beyond N+N period : Re-admission charges + 25% prescribed academic fee

Note: Scholars who are availing fee concession under existing fee concession categories like MoU; JRF/SRF/RA; National Fellowships through National Competitive Examinations; Regular faculty, teaching/Non-teaching staff of AUUP or any other fellowship will not be entitled for above mentioned 25% fee concession.

The above revised fee will be effective with immediate effect i.e. for **Jan-2020 semester onwards.**

-Sd-
(Dr B L Arya)
Registrar

Submission of Long Abstract and Appointment of External Examiners For
Ms Enrolment No.Batch, ,
Full Time / Part TimeInstitution....., Ph.D in.....

Date of DRC.....

1. In accordance with Ph.D Regulations 4.20 and Guidelines for PhD Programmes, please provide following confirmations / details in hard copy as well as soft copy alongwith Long Abstract :

- (i) Name of the Scholar:.....
- (ii) Enrollment No:.....
- (iii) Classification of scholar (Part Time/ Full Time).....
- (iv) Category:-SFIC/SFFC/Faculty/Non-Teaching/JRF/SRF/ASTIF/MoU/
Scholar awarded by National Fellowship (Please Tick as applicable)
- (v) Date of Birth of the Scholar:
- (vi) Educational qualifications of scholar with name(s) of the university:
- (vi) Name of the Institution:.....
- (vii) Date of registration for PhD Program:.....
- (vii) Name of the Program (Doctor of Philosophy.....)
- (viii) Date of conversion of mode from Full Time to Part Time & vice versa (if applicable)
.....
- (ix) Title of Thesis:.....
- (x) Name of the Guide _____
Co-guide _____
External Co-Guide _____
Addl. Ext. Co-Guide(if any)_____
- (xi) Date of Pre PhD Presentation Seminar.....
- (xii) Name of both parents of the scholar: Father.....(M).....
Mother.....(M).....

2 Confirmation that following details have been provided in hard copy as well as soft copy:-

S.No	Requirements for submission of Long Abstract	Details attached	Annexure Details e.g Annexure-I, II,III.....
(a)	Submission of Course Work Marksheet (Amizone Print out)	<input type="checkbox"/>	
(b)	Completion of Comprehensive Examination (Marksheet enclosed)	<input type="checkbox"/>	
I	Publication of Minimum Two Research Papers in Scopus/WoS indexed high impact Journal where PhD scholar is First Author followed by Guide & Co-Guide as Co-author and its evidence in the form of acceptance letter or print.	<input type="checkbox"/>	
(d)	Details of payment of the prescribed Ph.D Fee (Re-admission Fee, Change of Mode Conversion Fee, Late Fee etc as applicable) for the entire duration alongwith receipts. Copy of No dues certificate from Accounts Deptt.	<input type="checkbox"/>	
I	Confirmation whether Pre PhD presentation in a Seminar in which DRC & other faculty members, PhD Research Scholars	<input type="checkbox"/>	

	& PG Students were present alongwith office notice and attendance sheet.		
(f)	Recommendations of Long Abstract by DRC alongwith duly signed minutes of DRC & SRC by all attendees and Attendance Sheets.	<input type="checkbox"/>	
(g)	Confirmation whether Long Abstract submitted to DRC for assessment / recommendation submitted to Competent Authority within two months of presentation in the seminar. If not reasons thereof.	<input type="checkbox"/>	
(h)	<p>Recommendations of panel of 5 external Examiners by DRC in a sealed envelope their detailed CVs in hard copies as well as soft copies. Please confirm that</p> <p>(j) CVs must contains following details:-</p> <ul style="list-style-type: none"> · Complete Address · Telephone & Mobile Numbers · E-mail Id · Educational Qualification including year of award of Ph.D. · Teaching & Professional Experience · Area of Expertise · No of Publications (Journals; Books; Book Chapters; Articles; Patents) · Key Achievements (Awards, Medals, Projects) · Research Guidance <p>(ii) At least one expert/examiner shall be from outside the state.</p> <p>(iii) No common names of expert repeated for the Ph.D scholars of concerned Institution</p> <p>(iv) Same examiner not examining more than one thesis in one academic session.</p>	<input type="checkbox"/>	
(i)	Reasons for delay / long gaps in attendance, if any alongwith approval of Competent Authority.	<input type="checkbox"/>	
(j)	Reasons for delay in submission of Long Abstract, if any, alongwith condemnation of delay by the Competent Authority. Guide.....	<input type="checkbox"/>	
(k)	<p>(i) Name of Originally approved External Co-guide.....</p> <p>(ii) In case, any change, details thereof with approval letter of competent authority. Name of changed External Co- G</p> <p>(iii) In case, Exemption to submit Long Abstract without signature/consent of External Co-Guide under exceptional cases as per Guidelines, details thereof with approval letter of Competent Authority.</p>		

3 Details of approved Satisfactory Semester Progress Reports (SPRs) (minimum Four for Full Time and Six for Part Time scholars prior July 2016 Batches and minimum 06 for Full Time & 09 for Part Time scholars from July 2016 Batch onwards)

S.No.	Period of SPR	Semester	Date of DRC	SPR Status	DRC Recommendations (Sat/Unsat)

4. Details of Publications of minimum Two Research Papers in Scopus/Web of Science Indexed, High Impact Factor Journals as First Author (Copies attached):

S. No.	Name of all the Author(s) in the sequence as mentioned in the publication	Title of the Research Article	Name of Journal	Date of publication	Name and address of Publisher	Specify if published in Scopus / Web of Sciences indexed journal	Volume	Issue	Pages	Impact Factor	Citation Index

5. Details of Publications of minimum two paper presentations in Conferences / Seminars (Copies attached alongwith Presentation Certificates)

S. No.	Name of all the Author(s) in the sequence as mentioned in the publication	Title of the Research Paper	Name of Conference	Organiser of Conference	Date of Conference	Level of Conference (National / International)	Edition of the Conference	Indexing Agency of Conference Proceedings

6. (a) Confirm if title modified till submission of Long Abstract. If so, date of Modification and copy of approval of Competent Authority. ☐

(b) Status of Research Title approvals (**originally** approved & subsequently recommended for by modification of Title by DRCs) date wise.

Date of DRC	Recommended Titles of PhD	Date of approval by VC

7. Self-declaration certificate from the scholar and certificate from the Guide/Co-Guide/HoI on the front page of Long Abstract stating that research carried out by the scholar is original research work and has not been submitted for any other degree / diploma of any other University / Institution's etc.
8. (i) Confirm Formal invitation letter was sent to External Co-Guide. ☐
- (ii) Confirm Consent Letter, NOC, CV of the External Co-Guide was received (Enclose documents) ☐
9. Proof of correspondence (letter, e-mails, record of skype interaction etc.) between Ph.D scholar and external Co-Guide (Zerox Copies in a separate folder duly labelled and signed by scholar, Guide and HoI). Correspondence to be filed chronologically in ascending order. ☐
10. Submission of eight copies of Long Abstract duly signed by Guide, Co-Guide and External Co-Guide.
11. All above documents duly flagged with details marked boldly in a Folder / File alongwith Long Abstract with a sticker pasted on an envelope giving details of Name of PhD Scholar, Enrolment No, Batch, PhD Programme, and Contact Nos of scholar & PhD Coordinator to Ph D Section alongwith cover note from HoI with a list of documents enclosed. All documents to be numbered serially (except Long Abstract) and total pages mentioned on the cover note.
12. Please note that Thesis will be submitted with the following documents directly to CoE, AUUP within four months of approval of Long Abstract by DRC, failing which scholar will be required to re-submit Fresh Abstract for fresh approval.
- (a) Five copies of PhD Thesis alongwith DRC Chairperson Recommendations.
- (b) Turnitin Report of the Thesis duly signed by Scholar and Guide alongwith CD.
13. A copy of submission of Thesis to CoE be forwarded to PhD section of AUUP also.

Checked and verified

Signature of Guide

Name

Contact No.....

Date.....

Signature of Ph.D Co-ordinator

Name.....

Contact No.....

Date.....

Signature of HoI

Name.....

Date

Member Secretary, FRC

Name

Date.....

Chairperson, FRC

Name.....

Date.....

List of Enclosures:

(i)

(ii)

(iii)

(iv)

AMITY UNIVERSITY UTTAR PRADESH (AUUP)**Guidelines, Print Requirements and Formats for Ph.D. Thesis Preparation**

5 copies of the thesis in hard cover binding must be submitted in the Department.

1. Cover page (Maroon color: CMYK – 12-95-59-54, hard cover binding with golden print) – Annexure - A
2. The format for the spine/back bone (written as **Ph.D. Thesis** (left) **Name of the Scholar** (Center) **Year** (Right))
3. Inner cover page (same as cover page, printed on white A4 sheet)
4. Undertaking from the Ph.D. Scholar - Annexure - B
5. Declaration Certificate - Annexure - C
6. Certificate from the Guide (in Department's letter head) – Annexure - D
7. Certificate from the Co-Guide (in her/his Department's letter head) – Annexure - E
8. Course work and comprehensive examination completion certificate - Annexure - F
9. Pre-submission seminar completion certificate - Annexure - G
10. Copyright transfer certificate - Annexure - H
11. Acknowledgement
12. Table of Contents -
13. List of Abbreviations, Symbols, Figures and Tables
14. Abstract of the thesis
15. Text (usually divided into chapters and sections)
16. References

- The citation style must be consistent with most recent edition. Scholars are advised to follow their respective citation style of their domain as under:

S. N.	NAME OF THE FRC	CITATION STYLE
1.	Faculty of Management Studies	American Psychological Association (APA)
2.	Faculty of Bio-Sciences & Biotechnology	Vancouver
3.	Faculty of Hospitality & Tourism	American Psychological Association (APA)
4.	Faculty of Law	Indian Law Institute (ILI)
5.	Faculty of Health & Allied Sciences	American Psychological Association (APA)
6.	Faculty of Education	American Psychological Association (APA)
7.	Agriculture Sciences Domain	Chicago
8.	Engineering & Technology Domain	IEEE
9.	Science & Technology Domain	IEEE

10.	Natural Resources & Environmental Sciences Domain	IEEE / Chicago
11.	Faculty of Applied Arts, Journalism & Communication, Humanities & Social Sciences	American Psychological Association (APA) Modern Language Association (MLA)
12.	Faculty of Architecture, Planning & Design	American Psychological Association (APA)
13.	Faculty of Rehabilitation Sciences	American Psychological Association (APA)
14.	Faculty of Applied Arts / Fine Arts / Performing Arts / Visual Arts	American Psychological Association (APA)

17. List of paper published/ accepted/ presented

- (i) **In Journals** - Minimum two research papers out of his / her Ph.D. work in refereed Journals (indexed in reputed database such as Scopus, Web of Science, ABDC, PubMed, etc.) as First Author and Guide as corresponding author/co-author as per AUUP Ph.D. Regulations.
- (ii) **In Conferences** - Two research paper presentations in conferences/seminars related to Ph.D. research work.

18. Copies of acceptance letter in case the paper is accepted.

19. Copies of first page of manuscripts/reprints of the papers published/ accepted.

20. A personal profile not exceeding one page with photograph of the candidate.

PRINT REQUIREMENTS:

- Text must be set in 12-point Times New Roman.
- One side/Two sides (other than preliminary pages) printed
- Font Size (Chapter Separator): Times New Roman 22

PAPER REQUIREMENTS: The original report to be printed on regular white A4 sheet (80gsm - 100gsm).

MARGINS

- The text of the document must be justified.
- The left and right margin will be set at 1.25". The top and bottom margin will be set at 1".
- A subheading at the bottom of a page will be followed by at least two full lines of type. If space does not permit two lines plus a 1" margin, the subheading will begin on the next page. Similarly, a new paragraph toward the bottom of a page will run for at least two lines or be started on the next page. The final few words of a paragraph will not be continued on the next page. At least two full lines of type are required to continue a paragraph on the next page.

PAGINATION

- Each page must be numbered, with the exception of the Title Page, which counts as page i but does not show a number.

- The preliminary pages—including the undertaking from the scholar, self-declaration from the scholar, certificates from guide and Co-guides, Copyright transfer certificate, Table of Contents, List of Tables, List of Figures, Abstract, etc. —will be numbered with lower-case Roman numerals (ii, iii, iv, etc.) centred 0.83” from the bottom edge of the page. The first page that will show a page number is page ii.
- All remaining pages—including text, illustrations, appendices, and references—carry consecutive numerals (1, 2, 3, etc.). The page number will be - Bottom Centre.

SPACING

- The text of the document will follow line spacing of 1.5”.
- Exceptions are made for the following material, which will be single-spaced:
 - Table and figure captions
 - Tabular material as necessary
 - Appendix material as appropriate

CENTRING

Centred material is to be centred between the left and right margins.

INDENTATION

The first line of all paragraphs of running text will be indented 0.5”.

TABLES AND FIGURES

Definitions

- The word “Table” is used for tabular data in the body of the thesis and in the appendices.
- The word “Figure” designates all other illustrative material used in the body and in the appendices, including, for example, graphs, charts, drawings, images, and diagrams.

Preparation

- All figures and tables, including numbers and captions, will fit within a 6” by 9” area in order to comply with margin regulations.
- Where material for figures and tables is too large to fit within margin requirements, it may be reduced either by xerography or by means available to the word processing programs (reduction of point size in fonts). Care must be taken that the final reduction is clear and legible.
- Page numbers, table titles, and figure captions must be the same size as the rest of the text (not reduced).

Placement

- Tables and figures that must be positioned horizontally (landscaped) will face the outer edge of the page, with the widest margin at the binding edge.
- Tables and figures less than one half-page in length will be included on the same page with the text whenever possible, separated from the text above or below by double spacing. If they exceed a half-page in length, they will be placed on a separate page. Two or more small tables or figures may be placed on a single page.
- The placement of the table or figure does not affect the position of the page number.

Numbering

- Tables and figures appearing in the body of the report must be referred to in the text, and will follow as closely as possible the first reference to them.
- Table numbers and titles will be consistent with APA/IEEE/CHICAGO/MLA/ILI/Vancouver format.
- Figure numbers and captions will be consistent with APA/IEEE/CHICAGO/MLA/ILI/Vancouver format.
- Tables and figures are numbered in separate series. Each table and figure, including any in the appendices, has a number in its own series. Each series is numbered consecutively in Arabic numerals within chapters (e.g., Figure 10.1, Figure 10.2, and Figure 10.3).
- Each table and figure will be separately numbered. Figures will be complete on one page.
- If a table continues to the following page, the top line should read “Table 10.1 (continued).” The title is not repeated. Column headings should be repeated.

Titles and Captions

- Tables will be identified by the word “Table” and be numbered consecutively using Arabic numerals. Double space after the table number and type the table title in italics. Capitalize all major words of the table title, including prepositions of four or more letters (e.g., use “With” and “Between” and “of” and “to”). See the APA/IEEE/CHICAGO/MLA/ILI/Vancouver manual for sample table titles.
- Figures will be identified by the word “Figure” and be numbered consecutively using Arabic numerals. The word “Figure” and its corresponding number are typed in italics. Captions for figures are continued on the same line as the figure number. The captions are not italicized. Figure captions are placed *below* the figure and must follow APA/IEEE/CHICAGO/MLA/ILI/Vancouver style for capitalization: capitalize *only* the first word of the caption, any proper noun or adjective, and the first word after a colon.
- These titles/captions will appear in the preliminary pages in the List of Tables or List of Figures

Citations

- When referring to a table or figure in the text, the full word and number will be used (e.g., Table 10 or Figure 6). The table or figure reference must *precede* the table or figure itself.

TITLE

<Capital letters, font Arial bold 18>

Thesis Submitted For the Award of the Degree of

DOCTOR OF PHILOSOPHY <capital letters, font Arial 16>

(Name of Area)

By

<NAME OF THE PhD SCHOLAR> <capital letters, font Arial bold 16>

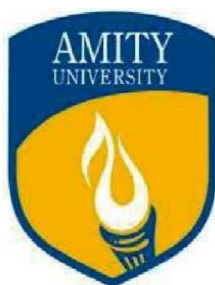
Under the Supervision of

<NAME OF THE GUIDE> < capital letters, font Arial 16>

(Guide)

<NAME OF THE CO-GUIDE(s)> < capital letters, font Arial 16>

(Co-Guide)



<NAME OF THE INSTITUTION, NOIDA/LUCKNOW/DUBAI> <capital letters, font Arial 14>

AMITY UNIVERSITY UTTAR PRADESH <capital letters, font Arial 14>

INDIA <capital letters, font Arial 14>

20_____

UNDERTAKING FROM THE PhD SCHOLAR

I hereby declare that I,, have completed the PhD thesis work on the title “ ”

under the supervision of (Guide) and (Co-Guide) for the degree of Doctor of Philosophy, Amity University Uttar Pradesh.

This is my own work & I have not submitted it earlier elsewhere for award of any degree/certificate.

Date:

<Sign of the Scholar>

Place:

<Name of the Scholar>

DECLARATION CERTIFICATE

I, <Name of Scholar> S/o / D/o <Name of Father>, and <Name of Mother> certify that the work embodied in this Ph.D. thesis is my own bonafied work carried out by me under the supervision of <Name of Guide>(Guide) and <Name of Co-Guide>(Co-Guide) for a period of <Month, Year> to <Month, Year> at Amity University Uttar Pradesh. The work embodied in this Ph.D. thesis has not been submitted for the award of any other degree/ diploma except where due acknowledgement has been made in the text.

I, hereby declare that I have faithfully acknowledged, given credit to and refereed to the research workers wherever their works have been cited in the text and the body of thesis. I further certify that I have not willfully lifted up some other's work, para, text, data, results, etc. reported in the journals, books, magazines, reports, dissertations, thesis, etc. or available at websites and included them in this Ph.D thesis and cited as my own work.

Date :

<Sign of the Scholar>

Place :

<Name of the Scholar>

<Enrolment No.....>

CERTIFICATE FROM THE GUIDE

This is to certify that research work embodied in this thesis entitled “_____” submitted to Amity University Uttar Pradesh, for the award of the degree of **Doctor of Philosophy (<Name of Area>)** has been carried out by <Name of Scholar> (Enrolment No.....) under my supervision and guidance at <Name of Institution> <Location>, AUUP.

To the best of my knowledge and belief, this work is original and has not been submitted elsewhere in part or in full for the award of any degree or diploma of any University/ Institute.

<Signature of Guide>

<Name of Guide>

<Designation, Name of Institution>

Amity University Uttar Pradesh

<Date:.....>

CERTIFICATE FROM THE CO-GUIDE

This is to certify that research work embodied in this thesis entitled “_____” submitted to Amity University Uttar Pradesh, for the award of the degree of Doctor of Philosophy (<Name of AREA>) has been carried out by <Name of Scholar> (Enrolment No.....) under my co-supervision and guidance at <Name of Institution / Organisation>.

To the best of my knowledge and belief, this work is original and has not been submitted elsewhere in part or in full for the award of any degree or diploma of any University/Institute.

<Date:>

<Signature of Co-Guide>

<Name of Co-Guide>

<Designation, Name of
Institution/Organisation>

COURSE WORK AND COMPREHENSIVE EXAMINATION

COMPLETION CERTIFICATE

This is to certify that, Enrollment No....., a bonafide PhD Scholar of <Name of Institution, Noida/Lucknow/Dubai> has successfully completed the course work and comprehensive examination, which is part of his/her Ph.D research thesis entitled

“ ”

<Signature of Guide>

<Name of Guide>

(Guide)

<Signature of the Hol>

<Name of the Hol>

<Name of the Institution, Noida/Lucknow/Dubai>, AUUP

Date:

PRE-SUBMISSION SEMINAR COMPLETION CERTIFICATE

This is to certify that Mr./Ms....., Enrollment
No....., Ph.D Scholar of <Name of Institution,
Noida/Lucknow/Dubai > has successfully completed the pre-submission seminar
(held on) requirement, which is part of his/her Ph.D programme on
his/her thesis entitled, “
..... ”

<Signature of Guide>

<Name of Guide>

(Guide)

<Signature of the Hol>

<Name of the Hol>

<Name of the Institution, Noida/Lucknow/Dubai>, AUUP

Date:

COPYRIGHT TRANSFER CERTIFICATE

Title of the Thesis:

PhD Scholar's Name:

Enrollment No.....

COPYRIGHT TRANSFER

The undersigned hereby assign to the Amity University Uttar Pradesh copyright that may exist in and for my thesis submitted for the award of the Ph.D degree.

<Signature of the Scholar>

<Name of the Scholar>

Date.....

Note: However, the author may reproduce or authorize others to reproduce material extracted verbatim from the thesis or derivative of the thesis for author's personal use provide that the source and the University's copyright notice are indicated.

OUTLINE OF PROPOSED RESEARCH WORK

Title: “_____”

In partial fulfilment of the requirement for Award of Degree of
Doctor of Philosophy (.....)

Submitted by

Name of scholar:

Enrolment No.:

Batch:

Mode (Full-Time / Part-Time):

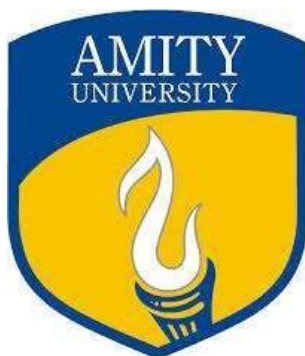
Name of Institute:

Under Supervision of

Name of Guide:

Designation:

Institute:



AMITY UNIVERSITY UTTAR PRADESH
(..... CAMPUS)

Note: The Synopsis must cover the following:

1. Introduction
2. Rational of proposed research work
3. Background/Review of the Literature
4. Research gaps identified
5. Scope of the proposed study
6. Method and Design
7. Tentative Chapter Plan
8. Plan of Work & Time Schedule
9. References

Signature of the scholar

Outline Recommended

Name & Signature of Supervisor(s) with date _____

Name & Signature of SRC Members:

1. _____

2. _____

3. _____

Chairperson SRC/DRC

