



# PhD Handbook

For Doctoral Research Scholars

Research & Development

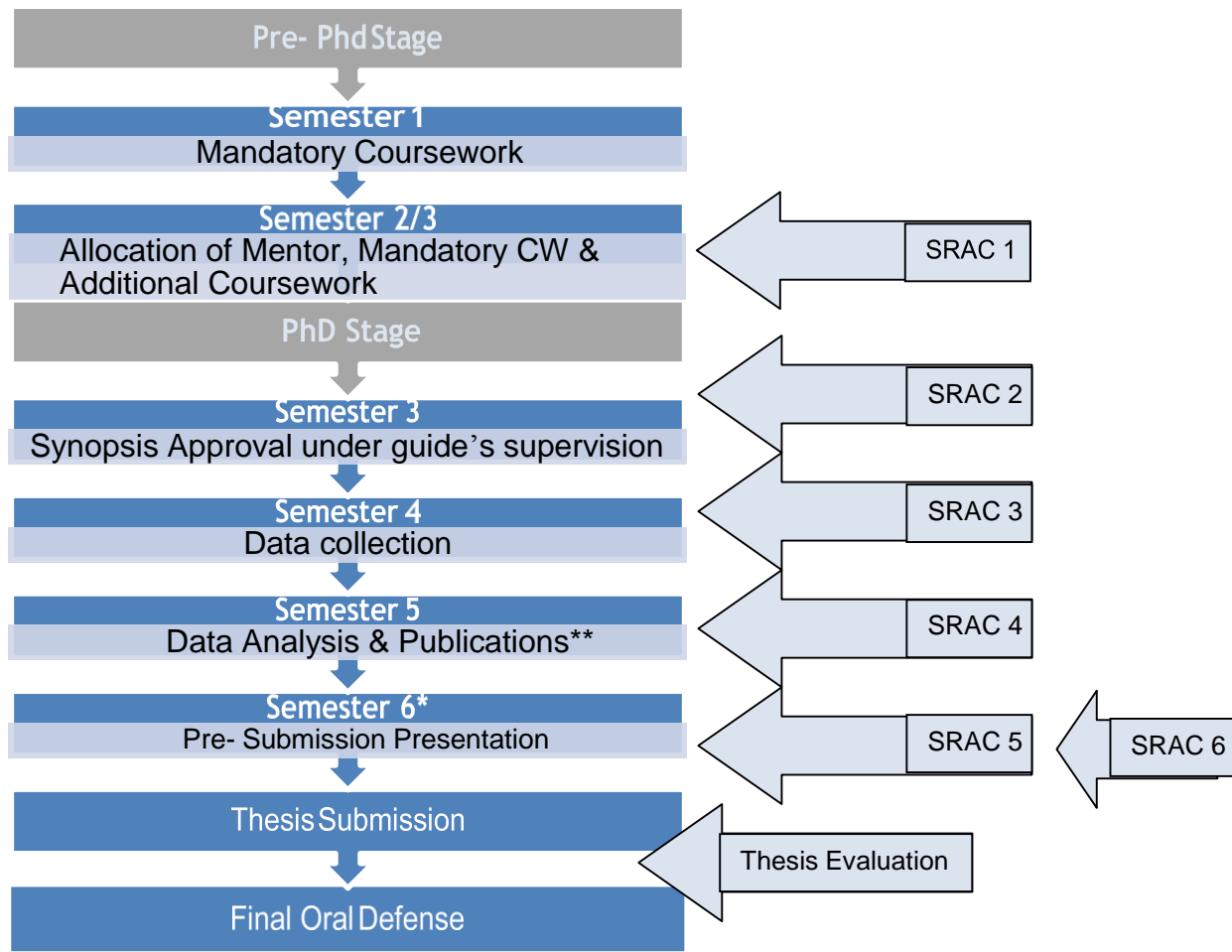
2023-2024

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## Program Flow Chart

Ideally, PhD scholars should follow the suggested the proposed timelines in order to complete their Program in the minimum prescribed duration. Their Program completion time may vary subject to their pace of progression.



\*Minimum Program Completion Duration is 3 years and Maximum is 6 years. During Covid 19, there may be a provision for extension in duration of submission of Thesis by 6 months as per the guidelines received from the Regulators.

\*\*Publications done only after synopsis approval shall be counted towards Program requirement

**Mandatory Course  
Work Subjects**

Semester	Course Work	Credits
I	Research Methodology	5
I	Literature Review	5
II	Research & Publication Ethics	2
Additional coursework subject, if any, may be allocated by DRC		

Format for Research Proposal

A research proposal/intent/idea is a detailed description of the proposed study. It is not the end product of your research, but is simply the first step towards your journey of creating new knowledge that you would embark on if the Proposal is approved. You express your interest in the proposed research area to the DRC through this proposal and it also suggests the basic idea about what you intend to investigate and how. The emphasis of the proposal should also be on demonstrating the relevance and feasibility of your research.

The research proposal should comprise of the following components:

1. The proposed Title of your Research
2. The research question your study intends to answer based on preliminary review of literature.
3. Relevant review of related Literature. You need to identify how your research question relates to the literature. (Situating your question involves a discussion of how it contributes to or builds on existing literature or responds to puzzles left unexplained or unexplored.)
4. The proposed research design. (You should discuss how the research will proceed and why the approach you are taking is appropriate to address the question you pose. This will vary depending on your topic, subfield, and method. As appropriate, you should address issues such as your theoretical framework, text selection, approach to textual interpretation, case selection, hypotheses, and research methodology.)
5. A preliminary chapter breakdown.

The entire proposal should be about 8-10 pages long.

Once you actually embark on your dissertation research, it is very common to modify your project.

The proposal is simply to get you started. You would be developing upon this proposal along with your guide for the presentation before the SRAC for approval of your synopsis.

## Format for Synopsis

*Synopsis approval would mean that your Research Topic, approach to research and the Methodology have been approved by the SRAC. REC (Research Ethics Committee's) approval will happen at this stage. The synopsis must be presented only with the approval of the Guides. Once the synopsis is approved, any further change in the Methodology/ Topic, would require SRAC's approval. You must include the following in the synopsis:*

1. Title of the Research
2. Problem statement
3. Background Motivation/need for the research – what prompts you to do the research?
4. Review of literature – instead of re-inventing the wheel, one must refer to the previous researches done in the similar area. This helps in – clarity of concepts, restricts duplication of research, and exposes the gap between established knowledge and the present situation. In fact, at times, the topic of research may be derived from the gap in literature available. A critical review of Literature would lead to the emergence of strong Research Objectives.
5. Objectives – In order to draw the boundaries of Research work, objectives help in clarifying the dimensions that we would explore based on availability of resources.
6. Research methodology
  - Theoretical framework – explains the model or the set of theories related to the phenomenon being studied.
  - Sources of data – Primary or secondary or both the kinds of data may be used. What could be the probable sources of the secondary data applicable to the research?
  - Sampling – in case primary data is to be collected, the technique of collection needs to be explained (refer to the study material on Research Methodology)
  - Statistical tools, if applicable. (for e.g. histograms, pie-charts, correlation, regression, tests of significance etc.)
  - Kindly ensure, wherever relevant, a schematic flow diagram is shown
7. Tentative structure/chapter outline of the thesis
8. Bibliography / References

**Long Abstract Format would be similar to the Thesis Format. The guide decides what is be included in the Long Abstract Presentation.**

## Format of Thesis

*Like the Synopsis, 4 Spiral bound Copies of the Long Abstract, along with the Power point presentation to be submitted a week before presentation to the Program Leader*

### A) Number of copies to be submitted:

**For Evaluation: Four spiral bound copies** of the thesis along with 3 soft copies on CD is to be submitted to CoE.

**For ODC: One Black cover Hardbound thesis** (with side printing- Name, Enrollment ID, Year, Topic & School) if any major correction, suggested by the thesis examiners soft- copy of it has to be submitted with thesis.

**B) Besides various existing requirements for thesis submission** such as submission of a list of examiners, additional copies of synopsis/long abstract, and payment of thesis examination fees (for Ph.D. only), scholars and their thesis supervisors should ensure that the guidelines have been adhered to. While submitting the thesis, every scholar is required to provide the CoE, signed checklist in the following format.

### C) Manuscript Specifications:

i. The thesis needs to be prepared using a standard text processing software (based on the APA format) and must be printed in black text (color for images, if necessary) using a laser printer or letter quality printer in standard typeface (Times New Roman or Sans Serif font).

ii. The thesis must be printed or photocopied on single side of white paper. All copies of thesis pages must be clear, sharp and even, with uniform size and uniformly spaced characters, lines and margins on every page of good quality white paper of 75gsm or more.

iii. Thesis should be free from typographical errors.

iv. Size and Margins: A4 is the recommended thesis paper size. The top, bottom and right side margins should be 25mm, whereas the left side margin should be 35mm for both textual and non-textual (e.g. figures, tables) pages.

Content should not extend beyond the bottom margin except for completing a footnote, last line of chapter/subdivision, or figure/table caption.

A sub-head at the bottom of the page should have at least two full lines of content below it. If the sub-head is too short to allow this, it should begin on the next page.

All tables and figures should conform to the same requirements as text. Color may be used for figures. If tables and figures are large, they may be reduced to the standard size (provided the reduced area is not less than 50% of the original) and/or folded just once to flush with the thesis margin (if the page size does not exceed 250x360mm).

#### **D) Structure of the thesis (indicative):**

**Cover page:** The title of the thesis, author, department, month and year of submission along with the emblem of the University will be included on the first cover. This may be made in special quality paper like plastic coated paper.

**Inner cover:** Contents can be same as that of the front cover, but on ordinary A4 size paper (Perhaps Bond Paper). Three main parts of the thesis can be easily identified.

These include the preliminary part, body of the thesis, and reference and appendices (if any) as the concluding or final part. The order of these items is as given below.

#### **Preliminary Part**

- Acknowledgements
- Declaration by the author
- Certificate from supervisor. (Thesis correction and thesis completion)
- Contents
- Executive Summary (Max 10 Pages)
- List of symbols, (if any)
- List of abbreviations, (if any)
- List of figures, (if any)
- List of tables, (if any)

#### **Body of the Thesis (Indicative):**

##### **Chapter I**

- **Introduction**
- Motivation/need and overview
- Objectives
- Research methodology
- Chapter scheme

##### **Chapter 2**

Literature Review

##### **Chapter 3**

Results

##### **Chapter 4**

Discussion

##### **Chapter N**

Conclusions and limitations & suggestions for further work



**References**

References Bibliography (if any) Appendix or Appendices Index

**Title Page**

This may be like: Title/Author/A thesis submitted for the degree of Doctor of Philosophy in the SoE/SoC/SoM/SoL/SoMAS/SOBAS/SoFD/SoAP/SoHSS/SoH/SoED full along with the year and month of submission.

**Acknowledgements**

The author of the thesis can acknowledge the help and guidance received from different persons in this section. Any financial support received from funding /Co-operating agencies for the research should definitely state here.

**Contents**

The contents should list the chapter headings, sections and subsections of the different chapters along with page numbers of each. It should be possible to get a complete picture of the thesis by looking at the contents. While the contents cannot be as brief as listing only the chapter headings, it need not be as elaborate as to list all paragraph titles within subsections. It is preferable to include the chapter, section and subsection headings only in the contents with appropriate page numbers.

**List of Symbols**

List the Greek symbols first English letters next, lower case letters and upper case letters in this order. Each group should be arranged in alphabetic order.

**List of Figures**

List the number and captions of the figures with page numbers.

**List of Tables**

List the number and titles of the tables with page numbers

**Page Numbering**

The preliminary parts are numbered in roman numerals (i, ii, etc). The first page of the first chapter (Introduction) onwards will be numbered in Arabic numerals 1 2 3 etc.

**Numbering Sections, Subsections, Equations, Figures, etc.**

A word on numbering scheme used in the thesis is in order. It is common practice to use decimal numbering in the thesis. If the chapter number is 2, the section numbers will be 2.1, 2.2, 2.3 etc. The subsections in section 2.2 will be numbered as 2.2.1, 2.2.2 etc. Unless essential, it is not necessary to use numbers to lower levels than three stages. Headings of paragraphs below the subsections may be bold faced and in sentence case.

References can be numbered as 1, 2, 3 etc in the order in which they are referred to in the body of the thesis. A typical reference in the body of the thesis will appear as “as stated in [3] or in [3] – [5]” etc. An alternate way as mentioned in some journals is to arrange the references in the alphabetical order of the names of authors in which case the reference in the body of the thesis looks like “as mentioned in (Adam and Eve 1946)”. However, for uniformity and brevity, the first method (like the one followed in IEEE journals) is to be used.

Bibliography contains materials that were useful for the preparation of the thesis in a general way and is not directly referred to in the thesis. IT is not essential, but will be of immense help for a scholar who tries to read and understand the contents of the thesis.

References to journal papers should contain the name of the author(s), title of the paper, name of the journal, volume number, issue number, particular pages (pp) and year of publication.

Similarly, it is useful and convenient to number the figures also chapter-wise. The figures in chapter 4 will be numbered Fig. 4.1, Fig 4.2 etc. This helps you in assembling the figures and putting it in proper order. Similarly, the tables also numbered as Table 4.1 Table 4.2 etc. Usually the figure captions are written below the figure and table captions on top of the table. All figures should have proper description by legends, title of the axes and any other information to make the figures self explanatory. Figures in color are not essential, but if it is essential, can be given. If used, all copies submitted should have figures in color.

The same numbering scheme can be used for equations also. Only thing to be remembered is that references to the figures are made like Fig 4.2 and equations as Eqn. (5.8) and tables as Table 3.8. If there are some appendices, these can be numbered as A1, A2, and A3 etc. The equations in these appendices can be numbered as (A1.1), (A2.3) etc.

### **E) Referencing**

American Psychological Association (APA) Citation Style Should follow as it is the standard across the Researcher Community across world.

For referencing an article in a scientific journal the suggested format should contain the following information: authors, title, name of journal, volume number, page numbers and year.

For referencing an article e published in a book, the suggested format should contain, authors, the title of the book, editors, publisher, year, page number of the article in the book being referred to.

For referencing a thesis, the suggested format should contain, author, the title of thesis, where thesis was submitted or awarded, year.

Example:

#### 1. Citing a journal article in print - APA format structure:

Author, A.A.(Publication Year). Article title. Periodical Title, Volume(Issue), pp.-pp.

APA format example:

Nevin, A. (1990). The changing of teacher education special education. *Teacher Education and Special Education: The Journal of the Teacher Education Division of the Council for Exceptional Children*, 13(3-4), 147-148.

#### 2. Citing a journal article found online - APA format structure:

Author, A.A.(Publication Year). Article title. Periodical Title, Volume(Issue), pp.-pp. doi:XX.XXXXX or Retrieved from journal URL

APA format example:

Jameson, J. (2013). E-Leadership in higher education: The fifth “age” of educational technology research. *British Journal of Educational Technology*, 44(6), 889-915. doi: 10.1111/bjet.12103

Similarly, conference papers should mention the name of author(s), title of the paper, name of the conference, place in which the conference was held and date, month and year of the conference along with the page numbers of the paper in the proceedings of the conference.

### **F) Appendices**

Some items which are typically included in appendices are: major derivations or theoretical developments, important and original computer programs, data files that are too large to be represented simply in the results chapters, pictures or diagrams of results which are not important enough to keep in the main text etc.

Supplementary illustrative material, original data, and quotations too lengthy for inclusion in the text or which is not immediately essential to an understanding of the subject can be presented in Appendix or Appendices (as Appendix A, Appendix B, etc.)

Each appendix with its title should be listed separately in the table of contents. Likewise, tables and figures contained in the Appendices are to be included in the lists of tables and figures, respectively

### **G) Curriculum Vitae with List of Publications**

Briefly indicate your relevant background. You can list your publications. Only publications published or accepted for publication need be listed. If communicated and under review, the date of submission should be indicated.

### **Certificate by the Thesis Supervisor (Standard format)- Specimen**

This is to certify that the thesis entitled <name> submitted by <name> to GDGU (Full) for the award of the degree of Doctor of Philosophy is a bona fide record of the research work carried out by her/him under my(our) supervision and guidance. The content of the thesis, in full or parts have not been submitted to any other Institute or University for the award of any other degree or diploma.

Signed by Research Supervisor(s) with Name(s) and Date

Place: Date:

### **Declaration (standard format submitted by the scholar) – Specimen**

"I hereby declare that this submission is my own work and that, to the best of my knowledge and belief, it contains no material previously published or written by another person nor material which has been accepted for the award of any other degree or diploma of the university or other institute of higher learning, except where due acknowledgment has been made in the text.

(Signature/name/date)

**Certificate of Publications endorsed by Supervisor:**

Certified that (Scholar name) has conducted research on the Title (Title o Thesis) under my guidance at GD Goenka University, Gurgaon.

Following papers authored jointly with me or individually, have been published/ presented to conference by the candidate:

Jointly Authored

Individually Authored

Signature of Supervisor(s) Name(s)  
Department(s)  
GD Goenka University

Month, Year

**H)** These Thesis Guidelines list only the basic requirements for preparing the thesis. Over and above the aforementioned points, a thesis should be reader-friendly in both its appearance and presentation. Several aspects of thesis preparation, particularly style of writing and presentation, have not been discussed in great detail. The scholar should follow appropriate ideas from standard literature of his/ her area of research, and adopt a uniform style and format throughout the thesis, such as in the structural divisions/subdivisions of the thesis, in the mode of citing references and foot notes in the text, in using dimensions, units and notations, and in preparing tables and figures, etc.



## Checklist for Thesis Submission

- 1.** Thesis Submission form  
(Please write your name same as in registration Letter from DRC or name correction/change letter from Academic Branch)
- 2.** Registration Letter from DRC
- 3.** Joining Report
- 4.** Title Change/Conformation Letter (if required)
- 5.** All Extension Letters (if required)
- 6.** Supervisor Change letter (if required)
- 7.** Synopsis approval and Title approval certificate
- 8.** Approval of Pre-Submission and a letter duly signed by the Supervisor certifying that the suggestions of the Panel given at the time of Pre-submission, have been duly incorporated in the thesis.
- 9.** Certificate of Originality along with Thesis Submission Form & in Thesis (Scholar Sign).
- 10.** Scholar Approval Form along with Thesis Submission Form & in Thesis (duly signed by Supervisor & President with Seal)
- 11.** Plagiarism Verification Report Duly Signed by Supervisor/Head and Librarian with Seal.

**12.** Two research papers in refereed journal (as approved by SRAC/Expert Panel/UGC approved list) should be published/accepted at the time of thesis submission. The paper must be related to the Ph.D research work.

*(Attached Hard Copy of Published Paper/Acceptance Letter (with paper of publication) & Scholar Name same as Registered in GD Goenka University & ISSN No.)*

**13.** Two conference/seminar/conclave papers presented (or published in conference proceedings) in the national/international seminar/conferences/conclave (as approved by SRAC/Expert Panel) at the time of thesis submission. The paper must be related to the Ph.D research work

*(Attached Hard Copy of Published Paper/Acceptance Letter (with paper of publication) & Scholar Name same as Registered in GD Goenka University & ISBN No.)*

**14.** 4 Copies of Thesis

**15.** Long synopsis 2 Copies with Scholar and Name & Title.

**16.** 03 CDs (Chapter wise with Abstract in PDF) Write Name, Department/School & Supervisor Sign on CD.

ANNEXURES:



**Annexure A:**

Sample Format for Cover Page for LONG ABSTRACT/SYNOPSIS

Name of Scholar.....Roll no..... (Centered on top of page)

Degree for which submitted..... (Department..... ) Thesis  
Title.....  
.....

Name(s)of Thesis Supervisor(s) Single spacing  
1.....  
2.....

Month and year of thesis submission..... (Double spacing)

[Text of Synopsis/ abstract begins here]

**Annexure B:**

Cover Page and certificates:

Title of the Thesis

---

A Thesis Submitted  
In Partial Fulfillment of the Requirement for the Degree Of  
Doctor of Philosophy

By  
Name of the Scholar  
Enrollment ID  
SCHOOLOFMANAGEMENT

Under the Supervision Of  
Name of the Guide  
Name of Co-Guide  
To,  
GD Goenka University, Gurgaon  
Month/Year





**Certificate 1:**

**GD Goenka University**

**DOCTOR OF PHILOSOPHY**

To,  
The Controller of Examinations  
GD Goenka University  
Sohna, Gurugram-

122103

Sir,

I have been pursuing a course of PhD as a student of this University with effect from ..... and now I wish to apply for submission of my thesis for the Degree of Doctor of Philosophy. Five printed/typed copies of the thesis and required particulars are submitted herewith.

Yours faithfully

Signature.....

Name in full.....

Address.....

Tele. No. ....

Mob. No. ....

Dated.....



**Certificate 2:**

**PARTICULARS TO BE FILLED BY THE CANDIDATE**

1. Name of applicant (in block letter).....

(Name must correspond with the name on the enrolment form)

2. Father's Name.....

3. Enrolment No: .....

4. Date of Birth: .....

5. Religion: .....

6. If the scholar belongs to Schedule Caste/Schedule Tribe/OBC he/she must mention it clearly.

S/C: Yes/No .....

S/T: Yes/No .....

OBC: Yes/No .....

7. Permanent residence: .....

.....  
.....  
.....

8. Has he/she submitted three copies of the synopsis? Yes/No...

If yes when.....

Title of the Thesis (in block letters)

(The title of the thesis should be correctly and clearly recorded as approved by the Academic Council)

-----  
-----  
-----

(Signature of the applicant)

Address .....

.....  
.....

Phone No..... ,

Mob. No. ....

Dated: .....



**Certificate 3:**

**Clearance Certificate**

**Certified that < Name of the candidate> has been a bonafide Ph.D. student of GDGoenka University since < Date of admission>. She\He has now completed her Ph.D. dissertation titled“<Title of the thesis>”. The submission of this thesis by him/her has my approval.**

Vice Chancellor: .....

Date:-.....

**Certificate 20:**

To,

**Vice Chancellor**  
**GD Goenka University**  
**Sohna, Gurugram -122103**

**Subject:**

Sir,

This is to certify that Mr./Ms. \_\_\_\_\_ has conducted research on the topic (Title) \_\_\_\_\_

\_\_\_\_\_ under my guidance in the School of Management, GD Goenka University.

Following papers, authored jointly with me or individually related to research area, have been published/ presented at conferences/ seminars by the candidate:

Jointly Authored

- 1.
- 2.

Individually Authored

- 1.
- 2

To the best of my knowledge, she/he has not submitted the thesis for award of any other degree/diploma certificate of GD Goenka University or any other University.

**Yours Faithfully,**

**Supervisor**

**(Signature and Seal)**

Certificate 21:

GD Goenka University



Plagiarism Verification

- Title of the thesis  
.....
- .....
- ..... Total Pages.....
- Researcher.....
- Supervisor.....
- Co-Supervisor(If any)  
.....
- School/Department.....
- University.....

This is to report that the above thesis was scanned for similarity detection. The outcome is given below:

- Software used..... Date.....
- Similarity Index..... Total Word Count.....

The complete report is submitted for review by the Supervisor.

Checked by

Signature:

Name

Librarian

The complete report of the above thesis has been review by the undersigned. (Check Box)

- The similarity index is below accepted norms
- The similarity index is above accepted norms, because of the following reasons:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

The thesis maybe considered for the award of Ph.D. (Relevant documents attached)

Supervisor Signature

**Certificate 22:**

**Candidate Certificate of Originality**

The research work embodied in this thesis titled

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has been carried out by me at the department / school of \_\_\_\_\_ GD Goenka

University, India. The manuscript has been subjected to plagiarism check by

\_\_\_\_\_ Software. The work submitted for consideration of award of Ph.D is original.

**Name and Signature of the Student**

**Certificate 23:**

**ACADEMIC COUNCIL  
GD GOENKA UNIVERSITY, GURUGRAM**



(CERTIFICATE TO BE GIVEN BY THE HEAD OF THE DEPARTMENT/SCHOOL AFTER PRE SUBMISSION)

Certified that \_\_\_\_\_ a PhD student in the department  
of

\_\_\_\_\_ has  
given a Departmental seminar / Demonstration of his/her research work  
on \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

And his/her work has been assessed as Satisfactory by the DRC.

**SIGNATURE  
DEAN OF SCHOOL**

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

**NOTE:** The candidate is required to submit the thesis with, in 120 days from the date of pre-  
Ph.D. Seminar.

**Certificate 8:**

The  
Dean, School of----  
GD Goenka University,  
Sohna Road, Gurugram.



Dear Sir/Madam,

In conformity with the provisions of PhD I am writing this to inform you that  
Mr/Ms \_\_\_\_\_  
who has been pursuing research on \_\_\_\_\_  
\_\_\_\_\_ under<supervisor Name>  
and has completed his/her work. This work is considered by panel worthy of consideration  
for award of the Ph.D. Degree and can be submitted within four months from the date of  
Pre submission Colloquium. I hereby request that necessary steps for the appointment of  
examiners to evaluate the thesis may kindly be taken.

Yours faithfully,  
PhD Program Leader.

**Copy to:**

The Controller of Examinations, GD Goenka University, Sohna, Gurugram-122103.



## Student Approval Form



Name of the Author	
Department /School	
Degree	
University	
Supervisor	
Thesis Title	
Year of Award	

### Agreement

1. I here certify that, if appropriate, I have obtained and attached here to a written permission /statement from the owner (s) of each third party copyrighted matter to be included in my thesis, allowing distribution as specified below.
  
2. I hereby grant to the university and its agents the non-exclusive license to archive and make accessible, under the conditions specified below, my thesis, in whole or in part in all forms of media, now or hereafter known. I retain all other ownership rights to the copyright of the thesis. I also retain the right to use in future works (such as articles or books) all or part of this thesis.

**Conditions:**

1. Release the entire work for access worldwide	
2. Release the entire work to „My University“ only for  1 Year 2 Year 3 Year  and after this time release the work for access worldwide.	
3. Release the entire work to „My University“ while at the same time releasing the Thesis on Shodh Ganga	
Following parts of the work (e.g. because other parts relate to publications) for worldwide access.  (a) Bibliographic details and Synopsis only.  (b) Bibliographic details, synopsis and the following chapters only.  (c) Preview/Table of Contents only.	
4. View Only (No Downloads) (worldwide)	

Signature of the Scholar

Signature and seal of the Supervisor

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

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

Candidate Details to be filled by Student

*(“Please fill all the details Correctly/Clearly and format as will Appear on the Result/Degree”)*

<b>SI No.</b>	<b>Student’s Name</b>	<b>Mr./Ms.</b>					
1	( )						
2	<b>Enrolment No.</b>						
3	<b>School</b>						
4	( )						
5	<b>Department</b>						
6	( )						
7	<b>Title of Thesis</b>	<table border="1" style="width: 100%; height: 100%;"> <tr><td> </td></tr> <tr><td> </td></tr> <tr><td> </td></tr> <tr><td> </td></tr> </table>					
8	<b>(Title should be written in as Pronounced)</b>	<table border="1" style="width: 100%; height: 100%;"> <tr><td> </td></tr> <tr><td> </td></tr> <tr><td> </td></tr> <tr><td> </td></tr> <tr><td> </td></tr> </table>					

### Personal Details

<b>9</b>	<b>Full Address (Resident)</b>													
		<b>State:</b>												
<b>10</b>		<b>Pin Code:</b>												
<b>11</b>	<b>E-mail Address</b>													
	<b>Contact No. (Landline)</b>													
<b>12</b>	<b>Mobile No.</b>													
<b>13</b>	<b>Supervisor Name</b>													
<b>14</b>	<b>Supervisor Contact No.</b>													
<b>15</b>	<b>Supervisor E-mail ID</b>													
<b>If required:-</b>														
<b>16</b>	<b>Co-Supervisor Name</b>													
<b>17</b>	<b>Co- Supervisor Contact No.</b>													
<b>18</b>	<b>Co-Supervisor E-mail ID</b>													

**Supervisor/Head/Dean  
(Signature with Seal)**

**Signature of Candidate**