



Thursday, the 10<sup>th</sup> November, 2016

**ORDINANCE No. 1 of 2016**

**An Ordinance for Award of Degree of Doctor of Philosophy (Ph.D.) (आचार्य पदवी), Recognition of Supervisor and Research Center in all Faculties in accordance with the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil. / Ph.D. Degrees) Regulations 2016.**

Whereas it is expedient to provide an ordinance for Award of Degree of Doctor of Philosophy (Ph.D.) (आचार्य पदवी), Recognition of Supervisor and Research Center in all Faculties, the Management Council is hereby pleased to make the following Ordinance :-

1. This Ordinance may be called, 'An Ordinance for Award of Degree of Doctor of Philosophy (Ph.D.) (आचार्य पदवी), Recognition of Supervisor and Research Center in all Faculties in accordance with the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil. / Ph.D. Degrees) Regulations 2016'
2. This Ordinance shall come into force with effect from the date of its approval by the Management Council.
3. This Ordinance is applicable to the following faculties
  - 1) Faculty of Arts (including Fine Arts)-Doctor of Philosophy (वाङ्मय आचार्य)
  - 2) Faculty of Science-Doctor of Philosophy (विज्ञान आचार्य)
  - 3) Faculty of Law-Doctor of Philosophy (विधि आचार्य)
  - 4) Faculty of Medicine (Pharmaceutical Sciences) -Doctor of Philosophy (आयुर्विज्ञान आचार्य)
  - 5) Faculty of Commerce-Doctor of Philosophy (वाणिज्य आचार्य)
  - 6) Faculty of Education-Doctor of Philosophy (शिक्षण आचार्य)
  - 7) Faculty of Engineering and Technology-Doctor of Philosophy (अभियांत्रिकी व तांत्रिकी आचार्य)
  - 8) Faculty of Social Sciences-Doctor of Philosophy (समाजविज्ञान आचार्य)
  - 9) Faculty of Home Science-Doctor of Philosophy (गृहविज्ञान आचार्य)

**PART – A**

**Procedure for Recognition of Ph.D. Supervisor and Research Center**

**A-1. Recognition of Ph.D. Supervisor**

Any Regular teacher of the University / Recognized Institution / affiliated Colleges of the University may apply for recognition as a Ph.D. Supervisor in prescribed form (**Appendix-1**) on fulfilling the following norms and procedure.

**Norms and Procedure for recognition of Ph.D. Supervisor**

A teacher seeking recognition as a Ph.D. Supervisor shall submit the application in the prescribed form (**Appendix-1**) along with non-refundable fees as prescribed by the University from time to time on or before 31<sup>st</sup> August every year and shall satisfy the following conditions :-

- i) Must possess Master's Degree in the relevant / interdisciplinary subject.
- ii) Must have Ph.D. in the relevant subject in which recognition is sought.
- iii) Must be a full time regular teacher of the University / Recognized Institution / affiliated Colleges of the University.

- iv) Must have at least three years of Post Graduate Teaching Experience or six years of Under Graduate Teaching Experience as an approved teacher or six years of working experience of Librarian / Director of Physical Education.
- v) Must have at least two research publications in the concerned subject in the referred journals after award of Ph.D. degree.
  - a) Provided that in areas / disciplines where there is no referred journals, the Board of University Teaching and Research (BUTR) may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing on recommendations of Research and Recognition Committee (RRC).
  - b) However if the teacher is a principal investigator of one completed major research project/ has obtained the Patent, will be waived from research publications.

## **A-2. Recognition of Research Center**

Colleges / Post-Graduate Department Affiliated to the University / Research laboratories of Central / State Government shall apply for recognition of research centre in the relevant subject/s in the prescribed format (**Appendix-2**) along with the prescribed fees, under any of the following categories.

- i) Affiliated Colleges shall have standing of ten years and at least one recognised Ph.D. supervisor in the relevant subject.
- ii) Post-Graduate Department of Affiliated Colleges / Research laboratories of Central/ State Government/ having two teachers / scientists with Ph.D. degree within the jurisdiction of the University.

However, the institution(s) applying under category (i) or (ii) shall have to fulfill the following conditions:

- i) Must have other academic administrative and supporting staff.
- ii) Must have required infrastructure and research promotional facilities.
- iii) Research laboratory/s with sophisticated instruments as required for research in the concerned subject.
- iv) Adequate space for research scholar, computational facilities with essential software, uninterrupted power and water supply.
- v) Earmarked library resources including latest books, Indian and International journals, e-journals, extended working hours for all subject/s, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials.

### **A-2.1 Committee for recognition of Research Center:**

- i) Dean of the concerned Faculty - Chairperson
- ii) Chairman B.O.S. of the concerned Subject in the respective Faculty - Member
- iii) Head of the University Department of the concerned Subject. - Member  
(where there is no University Department in the University then the Head of PG Department of the affiliated college having P.G. Studies in the subject to be nominated by the Vice Chancellor)

Committee shall visit the college / institute / department and submit its report to the University as per **Appendix-3**.

The recommendations of this committee shall be placed before the Board of University Teaching and Research (BUTR) for approval. The University shall communicate the decision of the BUTR to the concerned college regarding recognition of Research Center.

#### **A-2.2 Intake Capacity of the Center :**

The maximum intake capacity of Research Center shall be 30 per subject. A Research Supervisor / Co-supervisor who is a Professor / Associate Professor / Assistant Professor can guide upto Eight (8) / six (6) / four (4) Ph.D. scholars respectively.

Every recognized supervisor shall submit the declaration about the details of the scholars working under him/her in a prescribed format as per **Appendix-4** before 31<sup>st</sup> March of the year.

### **PART – B**

#### **Procedure for Admission and Award of Ph.D. Degree**

##### **B-1. Announcement of predetermined seats :**

Subject-wise seats for admission, criteria and procedure for admission and all other relevant information shall be notified on the University website on or before 31<sup>st</sup> May every year.

Vacant seats shall be displayed on the University website in the following table:

<b>Sr. No.</b>	<b>Faculty</b>	<b>Subject</b>	<b>Name of Research Center</b>	<b>Total Seats</b>	<b>Vacancies Available</b>

##### **B-2. Eligibility and Procedure for admission to Ph.D. Programme :**

A candidate shall be eligible to apply for admission to Ph.D. programme subject to fulfillment of the conditions mentioned in forthcoming paragraphs.

###### **B-2.1 Eligibility for admission :**

- i) Master Degree of the University or an equivalent degree of any other recognized University in a relevant / interdisciplinary subject with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

- ii) A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC / ST / OBC (non-creamy layer) / Differently-Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
- iii) Shall have qualified the Ph.D. Entrance Test (PET) conducted by the University.

Provided that, eligible candidates satisfying any of the following criteria shall be exempted from the Ph.D. Entrance Test -

- a) UGC/CSIR-NET (Including JRF)/SLET/GATE/GPAT/M.Phil. Qualified.  
b) Teacher Fellowship.

#### **B-2.2 Procedure for Ph. D. admission and allocation of supervisor :**

There shall be a Research Advisory Committee (RAC) for every subject. The constitution of the committee shall be as under :

**a) For University Departments/Centers :-**

- |      |   |   |                  |
|------|---|---|------------------|
| i)   | Head of concerned Department / Center   | - | Chairperson      |
| ii)  | One subject experts (must be recognized supervisors)<br>Nominated by the Head of Department / Center. | - | Member           |
| iii) | Research Supervisor of concerned subject  | - | Member Secretary |

**b) For Affiliated/Autonomous Colleges :-**

- |      |  |   |                  |
|------|--|---|------------------|
| i)   | Principal  | - | Chairperson      |
| ii)  | HoD of concerned subject   | - | Member           |
| iii) | One subject expert (must be recognized supervisors)-<br>Nominated by the Principal | - | Member           |
| iv)  | Research Supervisor of concerned subject   | - | Member Secretary |

The eligible candidate shall apply to the Research Center (RC) for admission to the Ph.D. programme in the prescribed format on or before 1<sup>st</sup> December every year. (**Appendix-5**).

The RC shall prepare and display the list of eligible candidates along with the schedule of interview. The schedule of the interview shall be notified 15 days in advance.

The Candidate shall have to appear for interview before the Research Advisory Committee (RAC) for discussing proposed research interest / area of doctoral degree. The allocation of research supervisor for a selected research scholar shall be decided by the concerned RAC depending on the number of scholars per research supervisor, the available specialization among the supervisors and research interests of the scholars as indicated by them at the time of interview.

In case if RAC feels that topic selected by the candidate is interdisciplinary then a co-supervisor may be allowed who must be the recognized supervisor of the University.

The Research Advisory Committee shall take care of reservation policy of the State while allotment of the supervisor.

RC shall display the list of selected candidates along with the allocated supervisors who shall be acting as internal evaluators for the Ph.D. thesis. After the interview process, the selected candidate shall confirm the admission by paying the prescribed fees and depositing essential original documents, on or before 31<sup>st</sup> December of the year.

### **B-2.3 Course work :**

After having been admitted, the scholar shall have to complete a course work of one semester duration (16 weeks) at respective Research Center. However, the scholar who desires to carry the course work at other Research Center within the University area, the scholar may do so with prior permission of both the Research Centers.

Scholar who has already completed M.Phil. (as per UGC Regulation 2009) shall be exempted from the Ph.D. course work.

The syllabus of the Ph.D. course work, teaching scheme and scheme of examination shall be as prescribed by the University.

### **B-3. Ph.D. Registration and Duration :**

#### **B-3.1 Procedure for Ph.D. Registration:**

- a) Head of the Research Center shall forward the applications of Ph.D. scholar in prescribed format (**Appendix- 6**) to the University for registration on or before 31<sup>st</sup> August of every year along with following documents.
  - i) Certificates and Statement of Marks for all relevant qualifying examinations.
  - ii) Certificates of qualifying PET/ UGC-CSIR NET (Including JRF) /SLET /GATE/ GPAT/ Teacher Fellowship holder.
  - iii) Certificate of completion of Course Work issued by the University (**Appendix-7**)
  - iv) Seven copies of the Synopsis as recommended by the RAC along with soft copy.
- b) All eligible scholars shall be called for presentation of research topic before the RRC. The concerned Supervisor may remain present during presentation. The decision of Research and Recognition Committee shall be made available on the University website. The concerned RC, the supervisor/s and the scholar shall be informed about the decision of RRC accordingly on or before 31<sup>st</sup> October of the year.
- c) The date of registration shall be 1<sup>st</sup> September of the concerned year and the registration shall be valid for six years from the date of registration.

#### **B-3.2 Duration :**

- a) The duration of Ph.D. programme including course work shall be minimum three years to maximum six years from the date of admission. However, extension for a period of maximum one year may be granted on the recommendation of the RAC and with the approval of the RRC.

Provided, the person with disability (more than 40% disability) may be allowed a relaxation up to two years.

Provided, the lady scholar may be allowed a relaxation of up to the period equal to maternity leave / child care leave once in the entire duration of Ph.D. programme.
- b) The change of the supervisor(s) or minor change in synopsis may be permitted on the recommendation of the RAC and approval of the RRC. Scholar shall have to work for minimum period of one calendar year after change of supervisor(s).
- c) A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance.
- d) Scholar shall have to submit the yearly progress report of research in the prescribed format through RAC to the University on or before 31<sup>st</sup> August. If the scholar fails to submit the progress report consecutively for two years, the registration shall stand cancelled.

#### **B-4. Submission of Thesis :**

##### **B-4.1 Submission of Draft-Thesis**

The scholar shall be allowed to submit the Draft- Ph.D. Thesis for pre-defense to the concerned RC not earlier than two years from the date of registration. The submission should accompany the reprint of published/accepted research paper/s on the topic of Ph.D. work in the referred journal/s. The scholar shall get the draft thesis checked and certified for any kind of plagiarism from the University Library.

##### **B-4.2 Process of pre-Defense on draft thesis :**

- a. The scholar shall have to publish at least one research paper in referred journal and shall have to present at least two papers in national / international level conferences / seminars in the relevant subject before the submission of draft thesis and produce the evidences for the same in the form of reprints and presentation certificates. The scholar shall be allowed to submit the final thesis for evaluation to the University after successful pre-defense.
- b. On receipt of the copy of draft thesis submitted by the scholar to the RC, the Chairperson of RAC shall decide the date and time of pre-defense and arrange the defense accordingly.
- c. The date of presentation of draft thesis shall be communicated to the scholar at least ten days before the date of presentation.
- d. The Chairperson of RAC shall notify the schedule and details of the pre-defense by wide publicity. The notice should be uploaded on the website of the RC at least ten days in advance.
- e. The scholar has to give presentation before RAC, faculty members, and research scholars in the concerned area from the department/RC and invitees along with the Supervisor/Co-Supervisor (if any).
- f. In case the presentation is found unsatisfactory or the scholar fails to present the research topic before RAC on the schedule date, the scholar shall be given an opportunity for presentation within three months.
- g. The scholar shall accommodate the changes in the thesis as suggested by the RAC in final copy of the thesis.
- h. RC Shall issue a Certificate in the prescribed format (**Appendix-8**) mentioning successful completion of the Pre-defense.

##### **B-4.3 Submission of final thesis for evaluation :**

The Ph.D. Scholar shall have to submit four copies of his / her bound thesis along with a soft copy in both MS Word and searchable PDF format on CD to the RC through the Supervisor within three months from the date of pre-defense along with following enclosures.

- i) At least one research paper published in referred journal and certificates of at least two paper presentations in national/international level conference / seminar in the concerned research area shall be enclosed with the thesis.
- ii) A copy of approved Synopsis shall be enclosed with the thesis.
- iii) Summary of thesis in minimum of 3000 words along with the keywords in the form of four hard copies and soft copy of the same.
- iv) Certificate of successful completion of pre-defense from RC.

The thesis shall be presented according to following specifications:-

- a) The thesis must be typed in MS-Word 2007 or latest version.
- b) The thesis must be printed on both side of A4 size Bond paper minimum 90 gsm.

- c) The text should be in Times New Roman, Font size 12 with 1.5 spacing. In case of Marathi / Hindi it should be in Krutidev, Font size 14 except Urdu / Persian.
- d) Each page must have 1.5 inches left margin and 1.5 inch right margin .The top and bottom margins should also be of 1 inch.
- e) Bibliographical details of the references should be in standardized citation format. (IEEE/ACM/APA/MLA/Chicago/IS style/ILI/Blue Book (Law)).
- f) The thesis shall be written in English/Marathi/Hindi except where it relates to foreign or other Indian languages. In the faculty of Science, Law, Engineering and Technology, Medicine (Pharmaceutical Science) the thesis shall invariably be written in English only.
- g) Following Certificates/Documents should be included in the thesis as preliminary pages as per the Appendices mentioned below:-
  - i) Ph.D. Course work completion certificate from the University (**Appendix-7**)
  - ii) Certificate of Head of the Department / Research Center (**Appendix-8**)
  - iii) First inner page of the thesis (**Appendix-9**)
  - iv) Declaration by the scholar (**Appendix-10**)
  - v) Certificate of the Supervisor (**Appendix-11**)
  - vi) Acknowledgement.

Head of Research Center shall forward four (4) hard bound copies of thesis along with soft copy to the University with necessary fees as prescribed by the University from time to time, for further necessary action along with the list of at least six (6) experts comprising three (3) from within the State (but out of the University jurisdiction and not associated with the University) and three (3) from out of the State/India.

#### **B-5. Evaluation of thesis :**

On receipt of four hard bound copies of the thesis, the same shall be placed before the concerned Research and Recognition Committee (RRC), along with the evaluation report of the supervisor, for recommending panel of referees, for external evaluation of the thesis, comprising of not less than six referees not below the rank of Associate Professor/Equivalent grade with their full address, pin code, e-mail, telephone/cell number, fax number (if any). The RRC shall recommend two panels of three referees each. First panel shall include the referees from within Maharashtra State (not belonging to the jurisdiction of this University and not associated with the University) and the other panel, from outside the State/India.

Provided that if language of thesis is vernacular and referees from out of the State are not available, the panel of referees shall be recommended from within the State (Out of the University Jurisdiction and not associated with the University) .

The panel of external referees, recommended by the Research and Recognition Committee, shall be placed before the Board of Examinations (BoE). The BoE shall recommend the names of the external referees in order of preference from each panel.

The University shall initiate the process of thesis evaluation by sending the letters along with the copy of the summary of the thesis to the referees. For this the referees shall be communicated through official e-mail and also by surface mail within one week from the date of approval of referees from BoE requesting them to communicate their consent for evaluation of thesis within fifteen days. In addition, the University shall take care to remind the referees telephonically.

If such consent is not received within thirty days from the date of communication, the university shall send the letter for consent to the next referee from the panel. In case, the complete panel is exhausted, the fresh panel shall be requested from the RRC.

On receipt of the consent from the referee, the University shall forward the copy of thesis within one week. Further the referee shall be requested to submit the detail evaluation report in the prescribed format along with the queries/comments (if any) within forty five (45) days.

If the report of referee is not received within the stipulated period, the University shall send a reminder to the referee through e-mail/telephonically to submit the report within next fifteen (15) days. If there is no response from the referee even within the extended period, appointment of referee shall deemed to be cancelled and the University shall appoint the next referee from the panel.

After receipt of the reports of both referees on thesis:

- i) If both the referees have recommended acceptance of the thesis, the thesis shall be treated as accepted.
- ii) If both the referees have recommended rejection of the thesis, the scholar shall not be eligible for the award of Ph.D. Degree.
- iii) If both the referees recommend the revision of thesis, then scholar shall submit the revised thesis incorporating the suggestions made by both the referees, in three copies within six months. The revised copies of thesis then shall be sent to the referees along with their suggestions. After revision if both the referees recommends acceptance, the thesis will be treated as accepted.
- iv) If one referee recommends acceptance and the other recommends rejection, then a third referee shall be appointed from amongst the approved panel at office level. In such case the decision of the third referee shall be final.
- v) If one referee recommends acceptance and the other recommends revision then scholar shall submit the revised thesis in three copies within six months. The revised copy of thesis then shall be sent to the same referee who has suggested revision, whose decision shall be final.
- vi) If one referee recommends revision and other recommends rejection, then thesis will be treated as rejected.

If the thesis has been accepted under the conditions mentioned above, the scholar shall be eligible for open defense and the process for the same shall be initiated within fifteen days. The entire process of evaluation of Ph.D. thesis shall be completed within a period of six months from the date of submission of the thesis.

#### **B-5.1. Open defense of the thesis :**

If the scholar is entitled for open defense, the date, time and the place for the open defense shall be decided and notified by the University, preferably fifteen days in advance. The open defense shall be arranged at the respective RC in presence of all faculty members, research scholars, and invitees. The record of attendance for open defense should be maintained at the RC.

The committee for the open defense shall be as follows –

- |   |   |                  |
|---|---|------------------|
| i) Head of the Department/Research Center | - | Chairperson      |
| ii) Member/s of RAC                       | - | Member/s         |
| iii) Referee of the thesis                | - | Member           |
| iv) Co-Supervisor, if any                 | - | Member           |
| v) Supervisor of the candidate -          | - | Member Secretary |

The Research Center shall submit referee's report in prescribed form on open defense in sealed envelope to the University. After the satisfactory viva-voce, the student shall become eligible for the award of Ph.D. Degree.

In case the defense is not satisfactory the referee may recommend with reasons that a fresh open defense of the thesis be organized within a period of not less than one month. If the defense is still not-satisfactory the candidate shall not to be considered for the award of the Ph.D. degree.



The result shall be officially declared by the University on approval of the Vice-Chancellor within a week from the date of the receipt of the favorable report on the defense of the thesis; however, the date of final submission of the thesis shall be treated as the date of award of Ph.D. Degree.

The University shall issue a Certificate stating that the degree has been awarded in accordance with the provisions of UGC Regulations, 2016.

The Ph.D. degree shall be conferred on the candidate in the ensuing convocation of the University.

## **PART-C**

### **C-1. Depository with INFLIBNET :**

Following the successful completion of the evaluation process and declaration of the award of Ph.D., the Ph.D. Cell shall provide the soft copies to the University Library for hosting the thesis in INFLIBNET within a period of thirty days.

### **C-2. Transitory Provisions :**

- 2.1 All regular teachers / academic staff of this University already recognized as supervisors by the University as per the earlier norms shall get continuation of their recognition as supervisor from the University by submitting the willingness in accordance with the norms given in this ordinance within six months from the date of approval to this ordinance by the Management Council.

However, if the scholar has been already registered under the supervisor who is not regular teacher / academic staff of the University, that supervisor shall be continued to supervise such scholar till award of Ph.D. degree or otherwise.

- 2.2 All research centres of this University already recognized as per the earlier norms shall get continuation of their recognition as research centres from the University by submitting the willingness in the prescribed format within six months from the date of approval to this ordinance by the Management Council.
- 2.3 The scholar who had been registered for Ph.D. prior to this ordinance and willing to complete the course work shall be eligible to complete the course work as prescribed by this ordinance.
- 2.4 Nothing in this ordinance shall apply to the candidates already registered under old ordinances viz. 39/2005 and 19 of 2009 except evaluation of thesis.
- 2.5 The Ordinance No. 19/2015 is hereby repealed.

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