



# **MGM UNIVERSITY**

**Aurangabad, Maharashtra, PIN 431003, (INDIA)**

**(State Private University Established by Govt. of Maharashtra Act No. XXVI of 2019  
& Granted 2(f) Status of UGC, New Delhi)**

## **Ph.D. Ordinances**

**MGM UNIVERSITY**  
**Aurangabad**  
**Doctor of Philosophy (Ph.D.) Ordinances**

**O. 1. Short title, Application and Commencement:**

- (a) These Ordinances shall be called ‘MGM University Ph.D. Ordinances 2020’. The ordinances are based on University Grants Commission (UGC) (Minimum Standards and Procedure for Award of M.Phil/Ph.D. Degrees) Regulations 2016 dated 05<sup>th</sup> May 2016 and UGC (Minimum Standards and Procedure for Award of M.Phil/Ph.D. Degrees) (1<sup>st</sup> amendment) Regulations, dated 27<sup>th</sup> August, 2018.
- (b) This Ordinance shall apply to the Ph.D. studies conducted in different disciplines in the University’s post graduate Constituent Colleges / Institutions and centers of MGM University.
- (c) The ordinances govern the conditions for eligibility, imparting instructions for the courses, conduct of the entrance test, examinations, and evaluation of students' performance etc. leading to Ph.D. degree.
- (d) Programs leading to the degree of Ph.D. shall be offered in the faculties of MGM University as mentioned in sub-paras (i) to (vi) below. However co-guides may be appointed from two or more faculties in the case of inter-disciplinary research. Research scholar will be registered with only one faculty and his/her degree will be conferred from the faculty where he/she is registered.
  - (i) Faculty of Engineering and Technology
  - (ii) Faculty of Management and Commerce
  - (iii) Faculty of Basic and Applied Sciences
  - (iv) Faculty of Social Sciences and Humanities
  - (v) Faculty of Performing Arts
  - (vi) Faculty of Education and Physical Education (when established)
- (e) The provisions of these ordinances shall be applicable to any new disciplines that are introduced from time to time and added to the above list.
- (f) Notwithstanding any provisions contained in these ordinances, on the recommendation of the Academic Council (AC), the Board of Management (BoM) and Governing Body shall exercise its powers to change/amend/interpret/implement the decisions and actions concerned with academic matters, to change any or all parts of these Ordinances at any time as per UGC regulations and their modifications.
- (g) The University means MGM University, Aurangabad
- (h) The Act means the MGM University Act i.e. Govt. of Maharashtra act XXVI of 2019.
- (i) Foreign students are students who possess valid passport of a country other than India

**O.2. Eligibility Criteria for Admission to Ph.D. Program:** Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. program:

- (a) Master's Degree holders or a professional degree declared equivalent to the master's degree by the corresponding statutory regulatory body, 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 assessing accrediting or assuring quality and standards of educational institutions.
- (b) A relaxation of 5% of marks, from 55% to 50% , or an equivalent of grade, will be allowed for those belonging to SC/ST/VJ/NT/SBC/SEBC/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the decision of the state govt from time to time, or for those who had obtained their Master's degree prior to 19<sup>th</sup> 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.
- (c) Candidates who have cleared the M. Phil. course work 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) and successfully completing the M.Phil. degree shall be eligible to proceed to do research work leading to the Ph.D. Degree in the same institution in an integrated program. A relaxation of 5% of marks, from 55% to 50% , or an equivalent of grade, will be allowed for those belonging to SC/ST/NT/SBC/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the decision of the UGC from time to time.
- (d) Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, 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, shall be eligible for admission to Ph.D. program.
- (e) Registration of Ph.D. scholars in interdisciplinary topics will be considered and approved by respective Research Advisory Committee (RAC).

### **O.3. Duration of the Program:**

- (a) Ph.D. program shall be for a minimum duration of three years, including course work and a maximum of six years.
- (b) Extension for one more year may be given on request/requirement to the Vice Chancellor on the recommendation of the RAC.
- (c) The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days over and above the two year extension.

### **O.4. There shall be three types of students in the Ph.D. program:**

- (a) Regular (Full Time)
- (b) Part Time
- (c) Independent Research

**(a) Regular (Full Time).** The regular (full time) students are expected to work full time for their Ph.D. In addition, the students who are receiving assistantship/scholarship/fellowship from UGC/ICSSR or any other agency and/or from industry sponsored projects shall be regular (full time) students. In the case of regular (full time) students, the Guide shall be from the same institution where the student is doing the research work.

**(b) Part Time Students.** This category refers to employed persons who are admitted to the Ph.D. studies. "No objection certificate" from the Head of the institution where the person is employed should be submitted along with the application of such applicants. No fellowship or assistantship of any kind shall be awarded to such candidates.

**(c) Independent Research.** On the recommendation of the Research Advisory Committee (RAC), the Vice-Chancellor may permit a candidate fulfilling the eligibility and other conditions given below:

- (i) Having at least 10 years of research experience with proven research credentials with documentary evidence (adequate number of high quality publications in Scopus and UGC Approved journals with high impact factor) in constituent colleges/institutes/departments of MGM University or an institution of repute/national importance and recognized/approved by MGM University to apply for pursuing his/her Ph.D. research program

- independently.
- (ii) while seeking permission from the Vice-Chancellor, the candidate shall have to submit certificates from two members of the concerned faculty of this University having experience in guiding research testifying the fitness of the candidate to pursue independent research.
  - (iii) All other provisions and conditions of these ordinances e.g. procedure of RAC, submission of reports, payment of fee and submission of synopsis and the final thesis shall be applicable to all such students working independently.
  - (iv) A student having registered once under a guide shall not be permitted to submit his/her thesis independently.

**O.5. Procedure for Admission.** MGM University shall admit Ph.D. students through an Entrance Test conducted at the level of the University. Terms and conditions for Ph.D. Entrance Test for those students who qualify UGC-NET (including JRF)/UGC- CSIR NET (including JRF)/SLET/MGM University fellowship holder or have passed M.Phil programme have been given in subsequent ordinances. The following will apply:

- (a) The University shall:
  - (i) decide on an annual basis, through their academic bodies, a predetermined and manageable number of Ph.D. scholars to be admitted in each discipline depending on the number of available Research Guides and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio (as indicated in subsequent ordinance), laboratory, library and such other facilities in each discipline.
- (b) Notify well in advance in the university website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language that the university is inviting applications for Ph.D program and the time schedule for the entire admission process. Name of the website will be given which will provide information about the number of seats for admission, subject/discipline wise distribution of available seats, criteria and procedure for admission, entrance test centers and any other important information.
- (c) Forty percent seats will be reserved for students domiciled from the state of Maharashtra. For this 40 percent seats, state government reservation policy will be adhered to. Remaining 60 % seats will be treated as open seats which will be offered to candidates (who may be domiciled in Maharashtra or any other state) based on the common merit list made by the university.
- (d) The candidates will apply to MGM University for Ph.D. program online on the university website and pay the application fee as mentioned.
- (e) The university shall admit eligible candidates by a two stage process through:
  - (i) An Entrance Test. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The Online Entrance Test shall be conducted at the centre(s) notified in advance in the university website (changes to test centres will also be notified well in advance).

- (f) Personal interview/viva-voce where the candidate will be required to discuss their research interest/area through a presentation before duly constituted Department Research Committee (DRC).
- (g) If the seats allotted for the reserve categories remain unfilled, a Special Admission Drive for that particular category students will be launched within one month from the date of closure of admission of admission of General Category to ensure that the seats of reserved categories are filled.

#### **O.6. Structure of the Online Test (MGM University Ph.D. Entrance Test)**

- (a) All those who are not exempted from the entrance test will be required to take the MGM University Ph.D entrance test (PET).
- (b) The test will consist of two parts as under:
  - (i) **Research Methodology.** This part will have 50 questions of MCQ type to be attempted in one hour. Each question will carry two marks.
  - (ii) **Subject Test.** The test will have 50 MCQ type questions to be attempted in one hour. Each question will carry two marks.
- (c) There will be no negative marking in the entrance test.
- (d) Candidates securing 50% or more marks in the entrance test will be declared as successful and will be eligible for Personal Interview and Presentation to Department Research Committee (DRC). Relaxation of 5 % marks (from 50% to 45%) shall be allowed to candidates belonging to SC/ST/VJNT/SEBC/OBC (Non creamy layer)/Differently abled category in the pass marks for Ph.D. entrance test. Passing of MGM PET does not guarantee admission to the Ph.D. program.
- (e) The online Ph.D Entrance Test will be conducted by examination section of MGM University on the date and time as approved in the admission schedule of Ph.D program.
- (f) The entrance test may be conducted offline in case of emergency.
- (g) Syllabus of UGC NET /SET, where applicable, will be the syllabus for MGM PET. Where UGC NET/SET is not conducted, the university will upload the syllabus of the subject on its website.
- (h) The score of PET will be valid for one academic year only. PET Score card will be issued to the applicant after the result of PET is declared.

#### **O.7. Exemption from Entrance Test (but required to undergo Interview by DRC).** The candidates fulfilling one of the following conditions shall be exempted from the Ph.D. entrance test:

- (a) Qualified in SET/NET/JRF/GATE or examinations of bodies such as CSIR/UGC/ ICAR/DBT, etc. However only 10 percent seats will go to the applicants under this category.
- (b) M.Phil. degree candidates from any statutory University whose admission at

M.Phil. had been done through an entrance test.

- (c) Candidates sponsored under an MoU between MGM University and a University/Institution/industry, with 10 years experience at managerial level (with grade pay more than Rs. 6900/- per 6<sup>th</sup> pay commission) in India or abroad where specific clause(s) exist for registration of candidates for Ph.D. degree by the university and/or those selected under international cultural/educational exchange schemes of Government of India/UN bodies.
- (d) Teachers working in government/aided/unaided institutions having at least three years of continuous approved teaching experience at degree and/or post-graduate level in the subject concerned and granted leave for pursuing Ph.D. program and are awarded fellowship under Quality Improvement Program or equivalent program to do full-time Ph.D.
- (e) In case a teacher/researcher, who is a recognized guide of MGM University, receives funding for a major research project with the approval of MGM University, the fellows selected for the project as per the guidelines of the funding agency will also be exempted from entrance test and the Interview.

#### **O.8. Personal Interview/viva-voce and Presentation of the Topic of Research.**

- (a) There shall be, subject wise DRC, in which the candidates are required to discuss their research interest/area through a presentation by way of interview/viva-voce.
- (b) The DRC will be approved by the Vice-chancellor. The constitution of DRC will be as under:

1	Dean of concerned faculty	Chairperson
2	Chairman of Board of Studies	Member
3	Two internal subject experts ( to be nominated by the Vice-chancellor)	Members
4	External expert (from any other College/Institute) nominated by the VC	Member

- (i) All the above members necessarily shall be the research supervisors for Ph.D.
  - (ii) The quorum for D.R.C. meeting will be three.
  - (iii) The tenure of the D.R.C. will be one academic year
- (c) The interview/viva-voce of the selected meritorious (PET qualified candidates) and PET exempted candidates shall be organized by the University within the period of not more than thirty days from the date of declaration of result of entrance test.

- (d) The schedule of the interview shall be notified on the university website [www.mgmu.ac.in](http://www.mgmu.ac.in) well in advance.
- (e) Based on the number of vacant seats available in the concerned subjects as notified by the university, qualified candidates shall be called for interview. The candidates are required to discuss their research interest/area through a presentation before the DRC at the time of the interview/viva-voce.
- (f) The following aspects shall be considered during the interview/viva-voce:-
  - (i) Whether the candidate possesses the competence for the proposed research;
  - (ii) Whether the research work can be suitably undertaken at the university/research centre;
  - (iii) Whether the proposed area of research has can contribute to new/additional knowledge.
  - (iv) Whether the proposed area of research has some innovative idea (thought)
- (g) DRC shall prepare a merit list and submit the same to the Registrar, of the University within a period of not more than two days from the date of completion of the interview process. The Registrar shall publish the list of candidates selected for admission, within a period of not more than seven days of completion of the interview process in the faculty concerned.
- (h) The university shall maintain the list of all the Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, and name of his /her guide/co-guide and date for enrolment/registration.
- (i) The research guides for qualified candidate shall be allotted by the university as per the vacancy of research supervisors and UGC regulations, 2016.

**O.9. Research Guide: Eligibility Criteria and Recognition Research Guide and Co- Guide.**

- (a) Any regular, full time Professor or Associate/Assistant professor of the University/constituent Institute/College with at least five research publications in UGC listed referred journals and any regular full time Associate/Assistant Professor of the university/institution/college with a Ph.D. degree and at least two research publications in UGC listed referred journals may be recognized as Research Guide of MGM University. Provided that in areas/disciplines where there is no or only a limited number of referred journals, the Vice Chancellor with recommendation of Research & Recognition Committee (RRC) may relax the above condition for recognition of a person as Research Guide with reasons recorded in writing.
- (b) Only a full time regular teacher of the University/College/Institute can act as a research guide.



External guides are not allowed. However, co-guide can be allowed in inter-disciplinary areas from other department of the same institute/college or from other related institute with the approval of the Research Advisory Committee (RAC).

(c) **Recognition of Research Guides.**

(i) The university will invite applications (online) from the full time and regular faculty members of MGM University for recognition as research guides. The applications will be securitized by the Office of Registrar (Acad.). Research and Recognition Committees (RRCs) will be constituted for each faculty/department on the recommendation of the Deans of respective faculties and with approval of the Vice-Chancellor. The RRC will consist of the following:

1	Dean of the Faculty	Chairperson
2	Chairman of BoS	Member
3	Two external experts (from any other university/autonomous HEI in same discipline who have guided at least 2 students each successfully). Nominated by the Vice-chancellor	Members
4	Internal expert (from the college/institute of the university meeting the eligibility criteria) nominated by the Dean of faculty	Member
5	HoD of the concerned discipline	Member Secretary

(ii) Quorum of RRC will be three members in which the presence of the dean and one of the external members is essential. The RRC will conduct an interview and approve suitable candidates as Research Guides for Ph.D.

(iii) Approved Research Guides. Research guides already approved by any recognized university will also be appointed as Research Guides after the approval of the Vice-chancellor.

(d) The allocation of research guide for a selected research scholar shall be decided by the RAC depending on the number of scholars per guide, the available specializations among the guides and research interests of the scholars as indicated by them at the time of interview/viva-voce.

(e) **Co-guide:** In case of topics which are of interdisciplinary nature where the Department concerned feels that the expertise in the Department/college/institute has to be supplemented from outside, the Department college/institute may appoint a research guide from the department itself, who shall be known as the research guide and a co guide from outside the department/faculty/college/institute on such terms and conditions as may be specified and agreed upon by the consenting institutes/colleges or departments.

(i) Co-guides from Outside of MGM University: The Vice-Chancellor on the recommendation of RRC may recognize any scientist/professional/academician

associated with a recognized/approved institution national labs, national/overseas universities by MGM University and faculty members from Nationally Renowned Institutions/other universities as co-guides. The following are the qualifications required for such candidates:

- Ph.D. Degree of recognized University in the subject or in a related discipline,  
**and**

- At least five years of P.G. teaching/research/industrial experience or professional experience.

**and**

- Five research papers in the subject published in a referred/indexed UGC listed journals of national/and/or international standing or referred e-journal, out of which at least three should be after getting the Ph.D. degree.

**or**

- Where publications are not applicable in disciplines like Drama/fine arts, Music, etc., the person should have certificates of at least five national level performances/exhibitions, as the case may be.

- (f) A recognized Ph.D. guide must guide at least one successful Ph.D. student during the first five years of his/her recognition, failing which his/her recognition as Ph.D. guide may be cancelled and in that case he/she will have to get re-recognition for Ph.D. guide-ship.

#### **O.10. Research Advisory Committee (RAC) and Its Functions:**

(a) There shall be a RAC for each Ph.D. Scholar. The research guide of the scholar shall be the convener of this committee. The committee shall have the following responsibilities:

- (i) To review the research proposal submitted by students after the interview and finalize the topic of research;
- (ii) To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- (iii) To periodically review and assist in the progress of the research work of the research scholar.
- (iv) A research scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the RAC to the Institute/College with a copy to the research scholar.
- (v) In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend to the

Institute/College with specific reasons for cancellation of the registration of the research scholar.

(b) There shall be a RAC of the College/Institute for each Ph.D. scholar which will be approved by the Vice-chancellor. Composition of RAC will be as under:

1	Dean of the concerned faculty	Chairperson	Quorum  3 (Dean and One External is essential)
2	Chairman of BoS	Member	
3	Two External Subject Experts (Ph. D guides who have successfully guided two scholars each) from other university/college who may be changed due to non-availability if he/she is not able to continue	Members	
4	HoD of the concerned discipline	Member	
5	Concerned Guide (Internal Member	Convener	

#### **O.11. Procedure for Registration and of Research Work:**

- (a) As soon as the students are admitted to the Ph.D. program, as per the merit list of declared by DRC and approval by the Vice-Chancellor they shall be provisionally registered for the program.
- (b) The student shall be required to finalise and submit a brief research proposal of about 1000 words containing the title, significance and scope of the topic, theory and research methods/techniques proposed, references, bibliography, place of research, etc., through the guide. The RAC shall either confirm the acceptance of the research proposal or ask the student to make changes.
- (c) After the title clearance by RAC their Ph.D. registration shall be confirmed. This process shall be completed within the first term/semester of provisional registration.
- (d) A student admitted to the Ph.D. program as per the procedure described earlier shall be registered as a Ph.D. student by the University. The period of registration shall start from the date of admission. After the title clearance of the research proposal, the University shall notify the student about approval of the topic of the thesis.
- (e) A registered Ph.D. student shall not be allowed to pursue any other course/program from any University simultaneously. If any such violation is noticed, the registration of the student shall be cancelled.
- (f) A student shall not be permitted to submit a thesis for which a degree has been conferred on him/her in this or in any other University. But a student shall not be precluded from incorporating any work which he/she has already submitted for a degree in this or any other university, in a thesis covering a wider field, provided that he/she shall indicate in a written statement accompanying the thesis any work which has been so incorporated.

**O.12. Change in the type of Ph.D.:** In the case of request for interchange from regular student to part time/or part time to regular student, the Vice-Chancellor shall consider such requests under compelling circumstances on the recommendation of RAC and may give approval on the merits of the case.

**O.13. Change of Topic and Title:** A student shall select and finalize the research title within a period of six months from the date of provisional registration, in consultation with the guide. If a change of topic/title becomes necessary, the RAC may, on the recommendation of the guide, permit to change the topic/title already given within a period of one year from the date of registration. When such a change is permitted, the thesis shall be submitted only after three years from the date of approval of such change of topic/title.

**O.14. Allocation of Research Guides**

- (a) The candidates figuring in the merit lists shall not have any automatic right for allocation of guide and enrolment for Ph.D. studies in the University. This shall be subject to availability of seats/guides/resources already notified.
- (b) The allotment/allocation of guide shall not be left to the individual student or guide. The RAC shall have the sole authority to decide the allocation of guide to a student subject to availability of academic resources including the availability and acceptance by the concerned guide, the number of students per faculty, required infrastructure, research interest of the student as indicated in the interview. The RAC may, however, consider the choice indicated by the student in the application, if found feasible.
- (c) The RAC shall finalize and communicate the name of the guide and/or co-guide wherever applicable within a month of admission of the student.
- (d) Notwithstanding anything contained in this ordinance, no guide or co-guide shall be under an obligation to accept any student for Ph.D. studies.
- (e) A candidate shall be allowed to conduct research study for Ph.D. degree in an interdisciplinary subject/approach provided that his/her guide is qualified with the required specialization(s) for the purpose. In case of topics which are of inter-disciplinary nature where the College/Institute/Department concerned feels that the expertise in the College/Institute/Department has to be supplemented from outside, the RAC may appoint a Research Guide from the College/Institute/Department itself, who shall be known as the Research Guide, and a Co-Guide approved by RRC from outside the Department/Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting institutions/colleges and on the approval of the Vice-Chancellor.
- (f) **Number of Ph.D. Scholars Permissible for a Guide.** A Research Guide (with a co-guide if applicable) who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Guide can guide up to

a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars. The students who are JRF scholars/any other fellowship holders, students who are working in interdisciplinary areas with him being a co-guide shall be in addition to the above numbers, i.e., they will be considered as supernumerary.

- (g) In case of relocation of an a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/Guide from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.
- (h) Students from foreign countries shall be treated at par with Indian students for eligibility, selection, allotment of guides, conduct of program, submission of their thesis evaluation and award of the degree.

#### **O.15. Responsibilities of the Guides**

- a) The Ph.D. guide is responsible to guide the academic progress of the student throughout the period of study. He/she will counsel the student in academic matters, and provide guidance on the nature of course work and research, the standards expected, adequacy of progress, and the quality of work.
- b) A guide, who will be superannuating in less than two years' period, may not take a new Ph.D. student, unless specifically permitted by the Vice-Chancellor, on the recommendation of the RAC, for a period not exceeding one year.
- c) To ensure the successful and timely completion of the program, it is essential that Ph.D. guides and their students maintain regular contacts. The guides must give their students advance notice if they plan to be absent from the University for an extended period of time, i.e., three months or more, and make suitable arrangements for the continued guidance of the student during his/her absence.

#### **O.16. Change of Guides**

- a) In the case of absence of the Ph.D. guide for more than six months and up to one year, a guide-in-charge may be allotted from the same College/Institute/Department or related Department with the approval of RAC, if the student so desires.
- b) In case the Ph.D. guide leaves the University permanently or goes on deputation elsewhere or otherwise for a period of more than one year, the student may be permitted to change the guide, if he/she so desires on the recommendation of RAC. However, change of topic/title of research will not be permitted.
- c) Under exceptional circumstances, a change of guide may be allowed by the Vice-

Chancellor, on the recommendation of RAC.

**O.17. Course Work: Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.**

- (a) The College/Institute Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the RAC.
- (b) All candidates admitted to the Ph.D. programs shall be required to complete the course work prescribed by the Department during the initial one or two semesters. RAC shall conduct the course work at one of the institutes/colleges/departments.
- (c) The credit assigned to the Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.
- (d) The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree.
- (e) All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- (f) Candidates already holding M. Phil. degree and admitted to the Ph.D. program, or those who have already completed the course work in M.Phil from a recognized university of similar CHs and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the College/Institute/Department from the Ph.D. course work on the production of a certificate from the university that they have completed the course work with the number of credit hours. All other candidates admitted to the Ph.D. program shall be required to complete the Ph.D. course work prescribed by the Department.
- (g) Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the RAC and the Department and the final grades shall be communicated to the College/Institute/Department.
- (h) A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the program and submit the dissertation/thesis.
- (i) The course work may also be carried out by the students in a sister department/ institutions either within the University, with the approval of the RAC, for which due credit shall be given to them,

if found necessary.

- (j) Regular (full-time) students shall attend their respective departments and/or laboratories according to the pre-arranged time-table and the records of their attendance shall be maintained by the concerned Guide/s.
- (k) Part-time/independent students shall be required to take leave from their duty to complete the course work or adjust their course work during the weekends if it is feasible at the University level.
- (l) After the successful completion of the course, a certificate regarding course completion shall be given to the student.

**O.18. Commencement of Research Work, Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:**

- (a) Upon satisfactory completion of course work, and obtaining the marks/grade, Ph.D. scholar shall be required to undertake research work and produce a draft thesis within a reasonable time, as stipulated by the RAC.
- (b) Ph.D. scholars must publish at least two (2) research papers in Scopus / UGC referred journals and make two paper presentations in conferences/seminars of national or international levels, before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints. Research guide will ensure that the papers published or presented are of good quality.

**O.19. Progress Review:**

- (a) **Submission of Progress Report:** Research scholar and the guide must interact at least once in a month to discuss the progress of the research work. A brief record of such meetings will be kept with the research guide. The registered research scholars have to give presentations to RAC and submit progress reports after every six months. The report shall include an elaborate description of the reading, writing, data collection or any other work done in relation to the research. The student can also mention difficulties encountered, if any.
- (b) The guide is expected to certify the report and mention in unambiguous terms whether the progress is satisfactory or not and whether the work done during the period under consideration is relevant and adequate or not. Only after the guide's approval regarding the satisfactory progress of the work, the student shall be allowed to continue his/her research in the next term/semester.
- (c) The RAC shall meet to review the progress of the Research Program of the student at the end of every term/semester.

## **O.20. Research Process**

- (a) After completion of research work to the satisfaction of the guide, the Ph.D. student shall produce a thesis within a reasonable time as stipulated in these ordinances.
- (b) The Ph.D. program culminates with the submission of a thesis of a substantial work of original research carried out by the student under the guidance of the guide. It is expected to be potentially fit for publication and should stand peer review.
- (c) The student shall state generally in the preface and specifically in notes, the sources from which the information is derived, the animal and human ethical approvals, obtained, if any, the extent to which the work of others has been made use of, and the portion of the work the researcher claims as original.
- (d) The institute/college/department shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Guide attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.
- (e) Plagiarism check of the thesis will be carried out by the main library and UGC (Promotion of Academic Integrity and prevention of Plagiarism in Higher Education Institutes) Regulations, 2018 will be followed. Certificate to the effect that the level of plagiarism is within the acceptable level (Level 0 i.e. 10 percent) will be procured and submitted with the synopsis.

## **O.21. Submission of Synopsis:**

- (a) A synopsis is viewed as a mini version of the thesis. It shall provide a clear idea about what the thesis is. It shall (a) state the objectives, nature and scope of the work done,
- (b) state the principal conclusions, (c) state the contribution made to the body of knowledge on the subject, and (d) bibliography. The expected length of the synopsis is ten double-spaced A-4 size pages. The synopsis shall be placed on the University website.
- (c) The synopsis shall contain introduction, chapter -wise brief account of the work done and overall conclusions. The synopsis shall be in English.
- (d) The student shall submit the soft copy and 10 hard copies of the synopsis of his/her thesis with a fee of Rs10,000 (Rs. Ten Thousand Only) through the guide and Principal/Director, to the university.



- (e) A Ph.D. student may submit the synopsis after a minimum five semesters of admission and the thesis after a minimum of six semesters.
- (f) After the submission of the synopsis, the research scholar shall make a presentation in the Department before the RAC of the Institution concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the RAC of the Institution/College/Department concerned. Another presentation will be made after the amendments are made based on the feedback of RAC.

#### **O.22. Format of the thesis**

- (a) The Ph.D. student shall submit all the necessary research work stated above and produce evidence for the same in the form of acceptance letters from the publishers or reprints/copies of the publication.
- (b) Every student shall submit with his/her thesis a certificate from the guide under whom he/she worked, that the thesis submitted is a record of original research work done by the student during the period of study under his/her supervision and that the thesis has not previously formed the basis for the award to the candidate of any Degree, Diploma, Associate ship, Fellowship or other similar titles and that the thesis represents independent research work on the part of the student.
- (c) The thesis shall be submitted in a compact bound form along with a soft copy. Along with the thesis five copies of the abstract should be submitted.
- (d) The final thesis shall be presented in accordance with the following specifications:
  - (i) The paper used for printing shall be of A4 size.
  - (ii) The printing shall be in a standardized form on one side of the paper and in one and- half spacing.
  - (iii) A margin of one-and-a half inches shall be on the left hand side.
  - (iv) The title of the thesis, name of the student, degree, name of the guide, place of research and the month and year of submission shall be printed on the title page and the front cover.
- (e) The color of the cover should be preferably dark. Side cover should mention “Ph.D. thesis” on the top, name of the student, month and year.
- (f) The thesis shall also contain certificates as per the format.

#### **O.23. Language of the thesis**

- (a) The candidate should submit the Ph.D. thesis in English except when it is related to an

- Indian/foreign language, where the thesis should be in the language concerned. Thesis in the field of performing arts and social sciences may be in English, Hindi or Marathi.
- (b) Before submitting the final thesis, the student should submit a synopsis in English/language concerned.

#### **O.24. Submission of the thesis**

- (a) The thesis shall be submitted to the University for evaluation not later than six months after the submission of the synopsis, through the guide and the Head of the University Department/Head of the Institution.
- (b) If the student fails to submit the thesis within six months from the date of submission of the synopsis, a maximum of two extensions of three months each may be given by the VC on the recommendation of RAC. If the student wants to submit the thesis thereafter, it can be done only with the approval of the RAC. In that case, the student shall have to submit the synopsis afresh, as also pay the required fees again.
- (c) Prior to the submission of the thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee of the Institution concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the Research Advisory Committee.
- (d) The student shall submit four copies of the thesis along with soft copies in read only format to the University through the guide and the HoD/The Principal/Director of the department/college/institute.
- (e) Supplementary papers to the thesis, printed copies of any contributions to the knowledge of the subject or of any cognate branch of science that may have been published in journals or periodicals may also be included along with the thesis or given as bibliography.
- (f) In the cases of exceptional research work, RAC may recommend submission of thesis immediately after the completion of such research work but not less than a year after the registrar. Evaluation viva voce and award of degree will be done as done in normal cases.

#### **O.25. Approval of Examiners**

- (a) The RAC shall prepare a list of 20 external examiners, five from the state, ten from the states other than Maharashtra and or five from abroad. The Vice-Chancellor shall appoint two examiners, from the above list. In the case of independent Ph.D. students,

the Vice-Chancellor shall nominate a third examiner, based on the recommendation of RAC, who shall be a Ph.D. guide from any concerned department of the University.

**O.26. Evaluation of the Thesis:**

- (a) The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are not in employment of the Institution/College, of whom one examiner may be from outside the country. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.
- (b) Two examiners who evaluate the thesis shall report on the merit of the student's thesis for the Ph.D. degree in one of the following terms:
  - (i) The thesis to be accepted for the award of Ph.D. degree in the present form.
  - (ii) The thesis is recommended for conduct of viva-voce examination for the award of Ph.D. degree after minor corrections/revisions.
  - (iii) The thesis can be passed after obtaining clarifications at the time of *viva voce*.
  - (iv) The thesis be revised and resubmitted for evaluation.
  - (v) The thesis is rejected.
- (c) The format of the examiner's adjudication report shall be sent to every examiner while sending the thesis.

**O.27. Opinion of Examiners on Evaluation of the Thesis:**

- (a) If the thesis is commended (approved) by both the external examiners, proceedings for viva voce will be started. Each examiner may seek clarifications/questions, if any, to be answered at the time of *viva voce*.
- (b) In case both the external examiners have not commended the thesis (not considered the thesis acceptable for Ph.D. degree), then the thesis shall be rejected and the registration cancelled.
- (c) In case, one of the external examiners has not commended the thesis, then the thesis shall be again referred to a third external examiner appointed by the VC, either in India or abroad as the case may be. If the third examiner commends the thesis, the student shall be allowed to appear for the *viva voce* examination. If the report of the third examination is also unsatisfactory the thesis shall be rejected and the research scholars shall be declared ineligible for

the award of the degree.

- (d) If the Examiner/Examiners explicitly suggest/s the need for revision and re-submission of the thesis for further examination, then the revised thesis, duly certified by the guide, shall be sent to the same examiner/s for further evaluation. In the absence of such a statement or if the examiner concerned specifically instructs that the revised thesis need not be sent back to him/her, the revised thesis duly certified by the guide shall be examined by the RAC and accepted, if found in order, and the student shall be allowed to appear for *viva voce*.
- (e) Where the student has been asked to revise/resubmit the thesis, the same shall be done within the shortest possible period and in any case not later than three months from the date of the communication regarding the same by the University.
- (f) In case the candidate fails to submit the revised thesis within three months, the process of thesis evaluation gets cancelled. Then, the candidate shall submit the synopsis again, along with the fees, to start the process of thesis evaluation afresh.
- (g) The external examiners are expected to send the evaluation report within two months from the date of receipt of the thesis. In case of undue delay by the examiner to send the report, the University may, with the approval of RAC, send the thesis to another external examiner from the panel prepared by the University.
- (h) Viva Voce:**
  - (i) On receipt of satisfactory evaluation reports, either in hard copy or through authenticated e-mail, the Ph.D. student shall undergo a *viva voce* (oral examination) where he/she shall defend the research work in the thesis.
  - (ii) In cases where the thesis has been approved, and on receipt of communication from the University, the guide shall coordinate the conduct of *viva voce* for the candidate.
  - (iii) The guide shall fix the date and time of the *viva voce* in consultation with the external examiner, who shall be appointed by the Vice-Chancellor for conducting the *viva voce* examination. The guide shall give wide publicity and at least 10 working days' notice for scheduling of the examination. The maximum time limit for conducting *viva voce* shall be three months from the date of receipt of evaluation reports from the examiners. If the student fails to take *viva voce* within three months on valid grounds, the Vice-Chancellor may permit two three-month extensions on specific request/s from the guide through the RAC. If the student fails to take the *viva voce* even after the extension/s, the Ph.D. registration shall stand cancelled.
  - (iv) The *viva voce* shall be held on any working day of the University. In case the *viva voce* Examiner is not in a position to travel to the University, the guide can arrange a *viva voce* with the participation of the external examiner through video-

conferencing or the examiner from the nearby location may be called, with the permission of the Vice-Chancellor on the recommendation of RAC.

- (v) In the *viva voce*, the guide shall introduce the External examiner, who shall then conduct the *viva voce*. The student shall make a 30-minute presentation about the research work. After the presentation, the external examiner and the guide shall conduct the *viva voce*. Teachers and students and research scholars in the related fields shall be invited. The guide shall notify about the presentation well in advance.
- (vi) If the student passes the *viva voce* examination, the *viva voce* examiner and the guide shall consolidate the recommendations and submit the same to the University, as per the format available with the RAC, for the award of the degree based on the reports of the examiners who adjudicated the thesis and the evaluation of the student's performance in the *viva voce* examination.
- (vii) The student who is successful in the *viva voce* examination shall be declared to have qualified for the Ph.D. degree.
- (viii) If a student does not satisfy the Examiners at the *viva voce* examination, he/she shall be re-examined after a period of not less than three months. The student shall not be declared eligible for the degree unless all the Examiners unanimously declare him/her eligible for the degree.
- (ix) In the event of both the external examiners being unavailable for the *viva voce*, a third (external) examiner from within the state shall be appointed by the Vice-Chancellor, in consultation with the RAC to conduct the *viva voce*.
- (x) Entire process of evaluation of Ph.D. thesis will be completed within a period of six months from the date of submission of the thesis.

#### **O.28. Award of degree**

- (a) Award of degree to Ph.D. program shall be governed by the provisions of the UGC (Minimum Standards and Procedures for Awards of M.Phil/Ph.D. Degree) Regulation 2016.
- (b) A candidate becomes eligible for the award of the Ph.D. degree after fulfilling all the academic requirements prescribed by the University.
- (c) The Ph.D. degree shall be awarded in the discipline of the Faculty in which the student is registered for the Ph.D. program. The title of the Ph.D. thesis and subject/faculty shall be mentioned in the Notification.
- (d) When the thesis is recommended for award of the Ph. D. degree after the *viva voce*, as mentioned in O 27 (h) (vii) above, the Registrar, with the approval of the VC, shall declare the result. A notification to this effect shall be issued by the Registrar to the successful student research scholar.

**O.29. Depository with INFLIBNET:**

- (a) Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Institution concerned shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.
- (b) Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

**O.30. Grievance Committee.**

Research scholars will be able to put up their grievances to the committee consisting of the Dean of the Faculty, One Professor of the Department and one Professor from any other faculty of the university. The committee will be approved by the Vice-chancellor.

**O.31. General Rules applicable**

- (a) The students shall follow the rules and regulations prescribed by the University from time to time, even if they are not included in these Ordinances. The University shall have the right to modify, change or add to the rules and regulations which shall be binding on the students.
- (b) The Ph.D. students shall be entirely responsible for any duplication or plagiarism (beyond the laid down limit of the UGC), piracy or infringement of IPRs occurring in the thesis. In case any such acts are detected even after the award of the degree, the student shall be held accountable for the irregularity and this may even lead to cancellation of the degree. The decision of the University in this regard shall be final and binding on the student.
- (c) Accrual of intellectual property in the research work. Patents, Transfer of Technology, start-ups or the monetary proceeds accruing from the research work carried out in the colleges/institutes/departments or any other centers of the university shall be processed as per the regulations to be formed subsequently.