

। अंतरी पेटवू ज्ञानज्योत ।

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Circular No. 115 /2014

Subject: New Revised Rules for Ph.D.

It is hereby notified for the information to all concerned, that the authorities of the North Maharashtra University, Jalgaon have further revised the Rules for the degree of Doctor of Philosophy (Ph.D.). The said rules are approved by the Academic Council of the university vide resolution no. A-134/2014 in its meeting held on 27 May 2014. A copy of the same is enclosed herewith. These rules satisfy UGC regulations 2009, (minimum standards and procedure for award of Ph.D. degree)

No. NMU/11/Ph.D. Rules/ 1059 /2014

Date: 20.06.2014


(Prof. D. G. Hundiwale)
Director

To,

1. The Principals/Director
All Colleges and Institutions
Affiliated to NMU, Jalgaon
2. The Directors/Heads
All Schools/Departments on the campus,
NMU, Jalgaon

Teach one, Each one and Tree one
"TOEOTO"



**NORTH MAHARASHTRA UNIVERSITY,
JALGAON**

**NEW REVISED RULES FOR THE DEGREE OF
DOCTOR OF PHILOSOPHY (Ph.D.)**

[With effect from 27 May 2014]

NORTH MAHARASHTRA UNIVERSITY, JALGAON

NEW REVISED RULES FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)

- Ref :** 1) University Grants Commission's minimum standards and procedure for awards of M. Phil/Ph.D. degree Regulation, 2009 published in the Gazette of India, No. 28 dated July 11-17, 2009 in Part III, Section 4.
2) Revised rules for Ph.D. issued vide circular No. 107/2010, dtd. 21.06.2010.
3) Revised rules for Ph.D. issued vide circular No. 147/2012, dtd. 31.07.2012.

The new revised rules are framed for the candidates who have applied/registered for the degree of Doctor of Philosophy (Ph.D.) in the North Maharashtra University, Jalgaon. The candidates registered before the date, will be governed by the earlier rules.

The North Maharashtra University, Jalgaon offers research programmes in different subjects and in inter-disciplinary areas leading to the Degree of Doctor of Philosophy. A regular full time candidate shall ordinarily work in a University Schools/Departments, Research Institutes/Centers (In colleges or industries) or recognized place of research by North Maharashtra University, Jalgaon. The rules regarding eligibility, procedure for conduct of entrance examination, structure of entrance examination, interview, allotment of Research Guide, submission of application, provisional registration, course work, supervision, submission and evaluation of thesis, appointment of external examiners, viva-voce/defense, depository with UGC, declaration of result of thesis shall be as follows :

1. Eligibility:

For admission to the Ph.D. programme in a related subject in the faculty, applicants fulfilling the following criteria shall be treated as eligible:

- a) Persons having passed Post Graduate Degree (Master Degree) Examination with at least 50 % marks or equivalent Cumulative Grade Point Average (CGPA) from any recognized statutory University which is a member of AIU, New Delhi.
- b) Persons holding the rank of Asstt. Director/Scientist B or above and working in National Laboratories / Institutes / Government/Private Organizations nominated/sponsored by the respective employer.

Above mentioned rules will also be applicable to the foreign candidates who have obtained a Masters' Degree from the statutory Indian Universities.

- c) Persons with exceptional abilities who have passed Graduate Degree Examination with 50 % of marks and with 15 years experience after graduation in related fields at the discretion of the Vice-Chancellor.
- d) Graduate Senior citizens of age 60 years and above in exceptional cases at the discretion of Vice-Chancellor.
- e) The members of the Institute of Chartered Accountants and / or Institute of Cost and Works Accountants and / or having qualification of Institute of Company Secretaries of India shall be considered eligible for registration for

Ph.D. in any subject in the faculty of Commerce and Management provided that they possess a Bachelor's Degree of any statutory University.

- f) Applications for research in inter-disciplinary areas satisfying rule 1 (a) above and from applicants belonging to a faculty or subject other than the faculty or subject in which the research is proposed to be done and from international candidates (those who have not obtained the Master's degree from Indian Universities) shall be considered on the basis of the proven ability and aptitude of the researcher for such kind of research. The decisions in this regard shall be taken by the concerned Research and Recognition Committee(s)/ Interdisciplinary Research Board after presentation by the research student. In such cases, the guide should be from the subject in which the candidate has completed his/her Master Degree and the Co-guide from the allied subject. The guide and co-guide for one particular thesis cannot be from same subject.
- g) The admission for Ph.D. degree to foreign candidates who have obtained Master's degree from Indian Universities or Foreign Universities with at least 50 % marks or equivalent CGPA shall be governed by Foreign Students Cell of the University.
- h) The candidates having passed Masters' degree (Partly by Paper Partly by Research) from North Maharashtra University, Jalgaon.

2. Admission:

a) Provisional Admission:

The provisional admission for the Ph.D. degree shall be given in the University after undergoing the following procedures:

- i) The candidates who are eligible as per the above criteria mentioned in (1) and qualified the Entrance Test devised and conducted by the University and those who are exempted under provision 4 (b).
- ii) The above candidates have to appear for an interview before the committee constituted for the allocation of the Research Guides.
- iii) After allocation of the Research Guide, an eligible candidate seeking admission to the Ph.D. programme shall confirm the topic of research of his/her thesis and prepare a brief outline under the guidance of allocated research guide and apply to the Director, Board of Colleges and University Development in the prescribed application form along with registration fee as may be prescribed from time to time by the University. The candidate shall also submit 05 copies of his/her Ph.D. research proposal (outline) along with the application through his/her allocated Research Guide.
- iv) The provisional admission will be issued to the candidates only after the submission of outline of Ph.D. topic.
- v) The candidates who have qualified JRF or awarded INSPIRE FELLOWSHIP will be given provisional admission to Ph.D. on the recommendation of Director, BCUD and approval of the Hon'ble Vice-Chancellor.

b) Confirmation of Admission:

- i) The admission of the candidates for the Ph.D. degree shall be considered as confirmed only after successful completion of the Pre-Ph.D. theory course work, followed by presentation of Outline (Research Proposal) before R.R.C.
 - ii) The applicant shall be required to make a brief presentation before the Concerned Research and Recognition Committee. The date of meeting of the committee for the presentation shall be communicated at least 15 days in advance by letter/fax/e-mail to the applicants.
 - iii) The committee will prepare a report on the basis of presentation. In case of any suggestions given by the committee for improvement in the topic of research, the candidate shall make changes accordingly in the research proposal (research outline) within one month from the presentation. On the recommendation of the Head of the concerned University Department, Chairman (BOS) in the concerned subject, Dean of concerned faculty will approve the revised research outline.
 - iv) His date of registration will be considered from the date of allotment of the guide.
- c) As per the provision in the Ordinance No. 116, no candidate shall be allowed to simultaneously register for Ph.D. and for any other degree course in the same or different University.

3. Additional Ph.D. degree:

- i) A candidate seeking admission for the additional Ph.D. degree within the same subject, need not to appear for the Entrance Test and Pre-Ph.D. theory course work.
- ii) A candidate seeking admission for the additional Ph. D. degree other than the subject in which the candidate has been previously awarded, the candidate shall have to appear for the Entrance Test and Pre-Ph.D. theory course work in the subject for which the candidate wishes to register for Ph.D. degree.

4. Rules for conducting Online Ph.D. Entrance Test:

The conduction of PET and registration for Ph.D. are two separate processes.

- (a) An Entrance Test will be conducted by an online process. The programme will be displayed on University Website along with the Notification.

(b) Exemption for Entrance Test:

The candidates fulfilling one of the following conditions will be exempted from Entrance Examination.

- (i) Teachers serving in North Maharashtra University jurisdiction and students of North Maharashtra University qualified in GATE/GPAT and SET/NET/JRF examinations of the apex bodies such as CSIR/UGC/ICAR/ ICMR/DBT and INSPIRE FELLOWS.

- (ii) Persons with exceptional abilities and Senior Citizens as mentioned in 1 (c & d) on the recommendation of concerned RRC and approval of Vice-Chancellor.
- (iii) A) Approved Teachers/Librarians/Physical Directors working in the affiliated colleges/recognized institutes of North Maharashtra University, Jalgaon having at least 5 years experience at U.G./P.G. level.
B) Teachers with M. Phil. degree working in the affiliated colleges and institutes recognized with North Maharashtra University, Jalgaon.
- (iv) Foreign and NRI students.
- (v) Chartered Accountant having Post-graduation from Commerce & Management discipline.
- (vi) Non-teaching staffs of the North Maharashtra University, Jalgaon who have secured Post-Graduate degree and having 10 years of experience with the approval of Vice-Chancellor.

c) Schedule of Entrance Examination:

Entrance Examination for Ph. D. programme will be conducted once in a year i.e. in the month of September/October of every year. The structure and syllabi of which will be available on the website of the University.

d) Declaration of result:

The list of the qualified candidates in Entrance Examination will be published on University Website.

e) Application for Guide allotment and Registration:

Candidates who are eligible and qualified as per above conditions and desirous of doing research work for the Ph.D. Degree shall apply Online for the registration to the Director, B.C.U.D., North Maharashtra University, Jalgaon. A hard copy of application along with supporting documents and registration fee must be submitted to the BCUD office.

5. Allocation of Research Guide:

- (a) The allocation of Research Guide will be done by the constituted committee consisting of –
 - (i) Dean of the concerned faculty - Chairman
 - (ii) Vice-Chancellor's nominee in the relevant subject - Member
 - (iii) Director of the concerned University School - Member
 - (iv) Chairman, Board of Studies in the concerned subject- Member

In case of non availability of University School/Department in the concerned subject at the University campus, one expert from respective subject will be nominated as a Member by Hon'ble Vice-Chancellor.

- (b) The committee constituted in 6 (a) shall allocate Research Guide to the candidates on the basis of interview in a formal manner depending on the availability of seats with Research Guide and willingness of the Research Guides to accept the candidate.
- (c) State Reservation Policy shall be followed for Ph.D. admission.
- (d) Candidates living outside the jurisdiction of North Maharashtra University, Jalgaon will not be allowed unless Co-guide is granted. The guides from the outside the University will have to register at least 60% students from North Maharashtra University, Jalgaon.
- (e) The guides will be allotted only to those candidates who have the consent/willingness letter of the guide.
- (f) The candidates from other state Universities will not be considered for reservation seats.
- (g) The quota of guide-ship is eight. In case of foreign & NRI students, two more seats may be allowed. Over and above, one can work as a co-guide for maximum two students.
- (h) The candidates who have applied under reservation category should bring their Domicile Certificate along with Caste Validity Certificate issued by Competent Authority (ST, DT, NT).

6. Validity of registration & extension:

The date of provisional admission shall be the date of registration which shall be valid for 5 years. Extension up to a maximum period of 2 years shall be given only if considerable work has been done by the candidate. The candidate concerned must submit the application to B.C.U.D. for extension through his guide and the Head of the place of research at least 2 months before the expiry of the registration period. On the basis of the recommendation of Dean of the concerned faculty, Vice-Chancellor may grant the extension up to 2 years.

7. Fee structure :

The fee structure for Ph.D. degree will be as prescribed by the University authorities from time to time. Any fees paid for the admission will not be refunded.

8. Change in the title of topic of research:

- a) Modification of the title will be allowed with consent of the guide and approval by the Dean of the concerned faculty.
- b) If the change in the title of the topic of research involves an altogether different topic from what he/she was registered, the candidate shall not be allowed to submit his/her thesis unless he/she works for a period of two years i.e. for the minimum period prescribed for Ph.D. study from the date of approval of the new topic by Research and Recognition Committee.

- c) If the title of thesis does not match with the title of topic of research, then the candidate shall have to submit his/her application to the Director, B.C.U.D. duly recommended by Research Guide for the approval of the Vice-Chancellor.

9. Pre-Ph.D. Theory Course:

- a) The Pre-Ph.D. Theory Course Work is compulsory to all provisionally registered students and the duration is of one semester. The course work is of 12 credits and the bifurcation of credits is as under:

Course No.	Contents	Credits
01	Research Methodology	4+0
02	Subject specific course	4+0
03	Guide's course based on research topic	4+0

The programme and pattern of Pre-Ph.D. Theory Course work will be declared after PET examination/conduct of guide allotment drive on the University Website from time to time.

- b) i) The syllabus of the Pre-Ph.D. theory course No. 01 i.e. Research Methodology, will have TWO versions one each for following faculties
- Science, Engineering & Technology & Pharmacy.
 - Arts & Fine Arts, Commerce & Management, Mental Moral Social Sciences, education & Law.
- (ii) The conduct of course work No. 2 i.e. subject specific course shall be declared along with the programme of the Ph.D. course.
- (iii) The research guide will work as a facilitator for course No.3. Research guide will supervise the Pre-Ph.D. Theory Course No. 3. The marks of this course will be submitted to BCUD through Director/Principal of the concerned School/Department/Colleges.
- c) The Examination of Pre-Ph.D. theory course No. 01 & 02 would be conducted by the University at the centres notified from time to time.
- d) There will be two objective type papers which will be conducted in one session. There will be no negative marking for this papers.
- e) Pre-Ph.D. theory course No. 03 is Guide's course based on relevant research area although the title of the research is not finalized, for its examination, the guide is supposed to evaluate the candidate on the basis of Seminar, referencing work, presentations in Workshops/Seminars/Conferences and a theory paper.
- f) **For Visually Handicapped (VH) candidates** thirty minutes' extra time shall be provided separately for paper-I and Paper-II. They will also be provided the services of a scribe who would be a graduate in a subject other than that of the candidate. Those Physically Handicapped (PH) candidates who are not in a position to write in their own hand-writing can also avail these services by

making prior request (at least one week before the date of Pre-Ph.D. theory examination) in writing to the Co-ordinator of the examination centre. Extra time and facility of scribe would not be provided to other Physically Handicapped candidates.

g) Grades for Pre-Ph.D. theory course work

Suggested Change: Grade will be awarded as per the seven point grading scale.

Marks obtained	Grade	Qualification
75-100	O	Outstanding
65-74	A	Very Good
55-64	B	Good
50-54	C	Average+
45-49	D	Average
40-44	E	Pass
00-39	F	Fail

(Minimum 35 marks are required for Reserve category students to pass the course work examination)

The candidate will have to obtain minimum E grade as per given Scale Table.

10. Supervision:

- (a) At any given time, a guide shall not have more than eight registered Ph.D. candidates and five M. Phil. candidates working under his/her supervision.
- (b) In case, the guide of the candidate leaves the University/College/Institute or retires from service but continues to be the research guide of the university, the candidate will be allowed to complete his/her work under the same guide.
- (c) In case of a dispute between a candidate and his guide, the committee consisting of the following shall examine the matter and report to the Director, BCUD. In case the matter is not resolved, the candidate may appeal to the Vice-Chancellor.
 - i) Dean of the concerned faculty. [Chairman]
 - ii) Chairman of BOS of concerned subject.
 - iii) One member of the concerned RRC.

The report shall include all observations meticulously and make specific recommendations on the basis of observations for the acceptance of the Vice-Chancellor.

- (d) Change of Guide: Normally a candidate shall be required to complete his/her doctoral research under the supervision of the guide recommended by the guide allocation committee for admission. However, the research and recognition committee concerned may allow change of guide on the production of a 'No Objection Certificate' from the first guide and the acceptance letter (willingness letter) from the new guide. In case of such a change, the candidate shall work, for a minimum period of one calendar year under the new guide before he/she submits the thesis.

11. Monitoring the Progress:

- (i) All the registered candidates shall be required to submit an elaborate progress report of the work done to the B.C.U.D. Section of the University through their research guide and co-guide after every six months.
- (ii) If a candidate fails to submit three reports consecutively, his/her registration shall liable to be cancelled. However, he will be allowed to continue his/her research only on the recommendation of Director, BCUD and approval of the Vice-Chancellor.

12. Place of work :

- (i) Normally a candidate has to work at the place recognized by the university.
- (ii) In case, the candidate works at some other place than the guide's place, the candidate shall be required to work at least for 180 days (for the subjects related with experimental work) at the place of guide or co-guide.
- (iii) A candidate may be permitted to work for the Ph.D. degree in an institution outside the jurisdiction of this University if it is recognized by North Maharashtra University as a research center.
- (iv) The candidate is allowed to conduct his research at the National/International Laboratories recognized by the Central Government/International reputed institutes/universities.
- (v) If a guide from Govt. Colleges affiliated to North Maharashtra University is transferred to other University, in such case, the students registered under him can conduct research at the research place where the guide is transferred. However, the concerned laboratory should be recognized for research by the University to whom the college is affiliated.
- (vi) If a laboratory of the guide is not recognized by the North Maharashtra University, in this case, the student should take co-guide of whose laboratory is recognized by this University.

13. Submission and Evaluation of Thesis:

(a) Submission of Synopsis:

- (i) The submission of synopsis may be permitted only after completion of 24 months from the date of approval of Research Title with successful completion of Pre-Ph.D. theory course work.
- (ii) The candidate can be allowed to submit his/her synopsis after a period mentioned in 14 a (i) if he/she has submitted all "six monthly" reports and publish at least one research paper in referred/reputed journal and produce evidence for the same in the form of acceptance letter or the reprint.
- (iii) The synopsis should contain introduction, chapter-wise brief account of the work done and overall conclusions.
- (iv) The candidate should submit 10 copies of the synopsis after getting permission from BCUD Section of the University.

(b) Submission of Thesis:

- (i) The thesis can be submitted within six months from the date of submission of synopsis.
- (ii) The candidate should prepare draft thesis within three months from the date of submission of synopsis.
- (iii) Prior to submission of thesis (in final form), the candidate shall make a pre-submission presentation before the constituted committee consisting of:-
 - (a) Vice-Chancellor's nominee in the relevant subject - Chairman
 - (b) Chairman, B.O.S - Member
 - (c) Professor/Head of the concerned University Department - Member
 - (d) Research Guide - Member

In case of non availability of University Department in the concerned subject at the University campus, one expert from respective subject will be nominated as a Member by Vice-Chancellor.

- (iv) The pre-Ph.D. presentation may be open to all faculty members and research students, for getting related feedback and comments which may be suitably incorporated into the draft thesis under the advice of research guide.
- (v) The thesis shall be submitted in compact bound form along with two soft copies in PDF format.
- (vi) The candidate shall submit to the Director, BCUD four copies of his/her thesis and produce an acknowledgement of the receipt of thesis by the research guide.
- (vii) The thesis shall include a Certificate of the guide [Appendix 'D'] and a Declaration by the candidate [Appendix 'E'] that the work reported in the thesis has been carried out by the candidate himself/herself and that the material from other sources, if any, is duly acknowledged.
- (viii) The thesis shall be written in English/Marathi/Hindi/Urdu. In the faculty of Science, Engineering and Technology and Pharmacy the thesis shall be written in English only.
- (ix) The candidate shall be allowed to submit his/her thesis after the completion of a period of three months and before six months from the date of submission of the synopsis, failing which the candidate will have to pay the prescribed fine for late submission. Late submission of thesis shall be allowed up to the completion of one year from the date of submission of the synopsis or till the expiry of the registration period, whichever is earlier.

(c) Presentation of thesis:

The final thesis shall be presented in accordance with the following specifications:

- (i) The paper used for printing shall be of A4 size.
- (ii) Printing shall be in a standardized form on one side of the paper and in 1 ½ /double spacing.
- (iii) A margin of 1 ½ inches shall be on the left hand side and one inch on the right hand side.
- (iv) The card for cover shall not be more than 330 gsm.
- (v) The title of the thesis, name of the University, degree, name of the candidate, place of the research work, and the month and year of submission shall be printed on the title page and the front cover.
- (vi) The University logo or logo of place of research should not be printed on cover as well as on title page.
- (vii) Side cover should mention Ph.D. thesis on the top, name of the candidate and month and year.
- (viii) The fonts for English typing shall be “Times New Roman” and for Marathi “ISM-Devanagari”.

(d) Appointment of Examiners:

- (i) The concerned R.R.C. will suggest separate panel of external examiners which include eight names of experts (four from Maharashtra State and four from outside of Maharashtra State) for the evaluation of thesis. The Hon’ble Vice-Chancellor shall appoint four examiners out of the above.
- (ii) The guide of the candidate shall be the internal examiner. In case, if some unavoidable circumstances, the internal examiner (guide) is not able to evaluate the thesis, then the Hon’ble Vice-Chancellor will appoint another senior guide of the concerned subject to work as an internal examiner.

(e) Evaluation :

- (i) After appointment of the external referees by Hon’ble Vice-Chancellor, four synopses will sent to the external examiners by mail. After getting willingness from first two external examiners by mail or phone, the thesis will be sent to them for the evaluation. After getting report from external examiners (i.e. one from Maharashtra State and one from outside of Maharashtra State), the Viva-voce can be arranged.

- (ii) The external examiners shall independently send their reports in the format to the B.C.U.D. Section within forty five days from the date of receipt of the thesis. If an examiner fails to do so, the B.C.U.D. Section shall send him/her a reminder immediately after the expiry of the period and request him/her to submit the report within thirty days thereof. If the concerned examiner fails to comply even within the extended period, the B.C.U.D. Section shall cancel his appointment forthwith and invite the next examiner from the approved panel to evaluate the thesis. In the event of a request for the late submission of report, receipt of the report after the appointment has been cancelled or the loss of report, postal delay, etc. the Vice-Chancellor shall take an appropriate decision in the interest of the candidate concerned.
- (iii) The positive reports received from the external examiners and the research guide (internal examiner) shall immediately be forwarded to the Director, B.C.U.D., who after ascertaining that the reports are favourable shall invite joint report from internal referee and request him/her for arranging the viva and the defense of the thesis.
- (iv) In case, one out of first two external examiners give unfavourable report, then Director, B.C.U.D. shall wait for the report third external examiner. If the report of the third examiner also gives an unfavourable report the candidate will be declared to have failed.
- (v) The external examiners appointed will be required to submit specific report in the prescribed proforma supplied by the University along with the detailed report.
- (vi) If the external examiners have suggested some corrections in his/her evaluation reports regarding typographical, grammatical, spelling mistakes observed in the thesis, the University will inform the guide who will ask the candidate to make necessary changes/corrections in the thesis. The candidate will have to submit three copies of the final bound thesis after incorporating all the corrections as per the suggestions of the examiners. The fair copies of the thesis shall be submitted by the candidate before the viva-voce defense.

14. Final Viva-voce and defense of the thesis:

After receiving favourable reports from both the external examiners and joint report from the internal examiner/guide the procedure shall be initiated for conducting the final viva-voce examination.

- a) The Chairman for the Viva-voce and the defense of the thesis shall be appointed by the Vice-Chancellor in his capacity as Chairman, Board of Examinations.
- b) The Chairman should communicate suitable dates of Viva-voce in consultation with the internal and external examiners before 15 days in advance.
- c) The day, date, time and the place for the viva voce and the defense of thesis shall be notified by the Director, BCUD at least eight days in advance to the

candidate, the examiner, guide and chairman of the open defense. It shall also be displayed on Notice Board.

- d) The open defense of the thesis shall take place in the presence of Chairman approved by the Vice-Chancellor, internal examiner and external examiner. The examiners shall jointly evaluate the performance of the candidate. The role of Chairman shall be to conduct viva in order. The Chairman will not have any role in the evaluation process of the candidate during viva-voce.
- e) If none of the external examiner is present at the time of the defense, the Vice-Chancellor, on the recommendation of the guide shall appoint a senior research guide in the subject/allied subject to act as an examiner for the defense of the thesis. In case, the internal examiner is not available, the Vice-Chancellor shall appoint one of the senior research guides in the subject concerned from the panel of recognized research guide in the subject/allied subject to act as an internal examiner.
- f) Both the examiners and the Chairman present for the Viva-voce and the defense of thesis shall submit their final consolidated report in the prescribed format about the award of the Ph.D. degree to Director, B.C.U.D. immediately after the defense is over.
- g) The recommendations shall specify that the Ph.D. degree be awarded to the candidate OR that the candidate should undertake a fresh defense after specified period.
- h) If the thesis is recommended for the award of Ph.D. degree to the candidate, the first copy of the thesis will be deposited in the University Library, the second copy will be kept in the B.C.U.D. Section, and the third copy will be returned to the candidate.

15. Declaration of result :

The notification shall be officially issued by the B.C.U.D. Section.

16. Depository with UGC:

Following the successful completion of the evaluation process and announcements of the award of Ph.D., the University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET accessible to all Institutions/Universities.

17. On the points which are not specially covered in these rules, the decision of the University authorities will be final.
