



## **Ordinance: 0.2021/02 with effect from 15<sup>th</sup> March 2021**

### **MINIMUM STANDARDS AND PROCEDURE FOR THE AWARD OF Ph.D. DEGREE**

Whereas the University Grants Commission has issued a notification, University Grants Commission (minimum standards and procedure for award of M.Phil./ Ph.D. degrees) regulations, 2016, on 5<sup>th</sup> May 2016, and the subsequent notification in the gazette of India on July 5, 2016 (Asadha 14, 1938), in supersession of the earlier UGC (minimum standards and procedure for award of M.Phil. / Ph.D. degrees) regulations, 2009; applicable to all Universities in India from the date of their publications in the gazette of India;

And

whereas as per the provisions of sub-section (1) of section 73 of the Maharashtra Public Universities Act 2016, the conditions under which students shall be admitted to courses of study for degrees, diplomas, certificates, and other academic distinctions are required to be prescribed by the ordinances and, therefore, it is expedient to prescribe minimum standards and procedure for award of M.Phil./Ph.D. degrees by ordinances;

And

Whereas as per sub-section(7) of section 2 of the HSNC University, Mumbai Notification the University shall be functional from the Academic Year 2020-21 and this being the very first year of the University;

Now, therefore, it becomes expedient to prepare regulations for minimum standards and procedure for award of Ph.D Degree.

1. This regulations shall apply to the departments, centers, schools and constituent colleges of the HSNC University, Mumbai.
2. In this Regulation, unless the context otherwise requires:
  - 1) "Act" Means the Maharashtra Public Universities Act, 2016;
  - 2) "Adjunct Faculty" is someone hired by University but does not hold a permanent or full-time position as a faculty in the constituent colleges, schools and centers of the University.
  - 3) "Admission" means the admission taken at the University department, schools constituent colleges, schools by completing the formalities and paying the prescribed fee;
  - 4) "Candidate" means a person seeking admission to the Ph.D. programme; and also, a person registered for a Ph.D. programme and working for the degree, as the case may be.
  - 5) "Co-Guide" or "Co-Supervisor" means the appointment of another recognized research guide to supplement the area of expertise of the main supervisor, especially when the work is multi-disciplinary.
  - 6) "Head of Centre" means the Head of the Affiliated College/Conducted College Recognized Institution/University Department where the Ph.D. programme is



conducted.

- 7) "Scholar" A Scholar is a candidate registered for the Ph.D. degree of the HSNC University and pursuing the said degree.
- 8) "Notification" means Notification issued by the Government of Maharashtra No. असाधारणक्र.391 dated 30th October 2019 and Rusayo- 2019/CR-186/UE-3 dated 30th October 2019 for the incorporation of HSNC University, Mumbai.
- 9) "PET" means the Pre-Entrance Test conducted for the admissions to the Ph.D. programmes of the University;
- 10) "Recognized" means recognized by the appropriate Statutory / Authority;
- 11) "Research Advisory Committee" or "RAC" means Research and Advisory Committee of the HSNC University, Mumbai;
- 12) "Research and Recognition Committee" or "RRC" means Research and Recognition Committee of the HSNC University, Mumbai;
- 13) "Research Centre" or "Centre" means the departments, centers, schools and constituent colleges which are recognized by the HSNC University, Mumbai.
- 14) "Research Guide" or "Guide" means the person recognized by the University for guiding students for a Ph.D. programme of the University.
- 15) "UGC" means the University Grants Commission", New Delhi.
- 16) "University" means the HSNC University, Mumbai.

### **3. Eligibility criteria for admission to the Ph.D. programme:**

Subject to the conditions stipulated in this regulation, the following persons are eligible to seek admission to the Ph.D. programme:

- 1) A candidate seeking admission to the Ph.D. programme shall have a Master's degree 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 7/10 -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 to assess, accrediting or assure quality and standards of educational institutions.
- 2) Relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be allowed for those belonging to reserved categories, differently abled and other categories of candidates as per policies of the Government of Maharashtra prescribed from time to time, or for those who had obtained their Master's degree before 19<sup>th</sup> September 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever the 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.

### **4. Eligibility criteria for admission to the Ph.D. programme:**

Subject to the conditions stipulated in this regulation, the following persons are eligible to seek admission to the Ph.D. programme:



A candidate holding a Master's Degree and satisfying the criteria stipulated under Clause 5 above.

OR

A Candidate who has passed M. Phil. programme with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7/10-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completed 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 programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be allowed for those belonging to reserved categories/differently abled and other categories of candidates as per policies of the Government of Maharashtra prescribed from time to time.

OR

A person whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme at the same centre.

OR

A candidate possessing a Degree considered equivalent to M.Phil. Degree of an Indian institution, or 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 to assess, accrediting or assure quality and standards of educational institutions.

OR

A candidate possessing Ph.D. Degree of any other recognized University by a competent authority, as per the guidelines of the UGC from time to time, in a given subject and wants to pursue Ph.D. in the same or other subjects.

##### **5. Duration of the Programme:**

- 1) Duration of Ph.D. programme shall be a period from the date of admission to the programme to the date of submission of thesis for the degree.
- 2) Ph.D. programme shall be of a minimum duration of three years and a maximum of six years from the date of registration, including course work; provided that the candidate has spent at least one year after registration.
- 3) Extension up to a maximum period of four semesters/two years for Ph.D. shall be given by the Research and Recognition Committee (RRC) concerned on the recommendation of the Guide and the respective Research Advisory Committee (RAC). The candidate concerned shall apply in the prescribed format for extension through his/her Research Guide and Head of the Research Centre three months before the expiry of the registration period. A further extension to the Ph.D. tenure, for not more than two years, maybe granted only by the Vice-Chancellor on a case-to-case basis.



Women candidates and persons with disability (more than 40% disability) may be allowed an additional relaxation of two years for Ph.D. in the maximum duration. Also, women candidates may be provided Maternity Leave once in the entire duration of Ph.D. for up to 240 days.

#### **6. Procedure for admission to Ph.D. Programmes:**

- 1) All admissions for Ph.D. programmes shall be through an **Entrance Test (PET)** conducted by the University and the **Interviews** conducted by the Research Centres.
- 2) The University shall notify on an annual basis a predetermined and manageable number of vacant seats of Ph.D., depending on the number of available research guides, prescribed quota at the department, schools, constituent colleges and academic and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio.
- 3) The University shall notify, well in advance on its website and through advertisement in at least two national newspapers, of which at least one shall be a regional language newspaper, the procedure of admission to the Ph.D. programmes. The details notified shall include the number of seats vacant, subject/discipline-wise distribution of vacant seats, criteria for admission, the procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates.
- 4) The admissions shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government prescribed from time to time.

#### **7. Pre-Entrance Test (PET):**

- 1) The PET shall be conducted subject-wise for pre-declared subjects jointly for Ph.D. admissions by the departments, centers, schools and constituent college of the University. The details of the test such as syllabus, day and date, venue, and time, etc., shall be declared by the University in advance. The syllabus of the PET shall consist of 50% based on research methodology and 50% shall be subject-specific.
- 2) The University may conduct the PET only for the subjects where there are vacancies to be filled.
- 3) The PET shall be conducted at the centre(s) to be notified in advance. Change in Centre, if any, shall also be notified well in advance.
- 4) The PET should be conducted by the University twice in an academic year normally in months of June & December. However in specific requirement from University/Constituent Colleges/Schools/Centers, the honorable Vice-Chancellor may take a decision on conduct of additional PET.



- 5) The validity of the PET result for taking admission to Ph.D. programme shall be for three years from the declaration of the respective result.
- 6) The candidate seeking admission to a Ph.D. programme in a subject other than the subject in which he/she has obtained the Master's degree shall take the PET in the subject in which he/she has obtained Master's degree and clear an **Aptitude Test** in the subject in which he/she is seeking admission, specially designed and conducted by the Research Centre where he/she is seeking admission;
- 7) For the candidate seeking admission to a Ph.D. programme in a subject of a faculty other than the faculty in which he/she has obtained the Master's degree, the rules of change in faculty shall be applicable.
- 8) The PET may be conducted in online mode in a controlled environment and the candidates will not be allowed to take the test from a location other than those specified by the University.

**8. Exemption from PET:**

The following candidates shall be exempted from PET:

- 1) Candidates qualified in UGC-NET/UGC-CSIR NET /SLET/GATE/INSPIRE and any other JRF holder of the apex bodies like CSIR/ UGC/ ICAR/ ICMR/ DBT/ DST/ ICSSR;
- 2) Candidates who have passed M.Phil. programme from any recognized University/Institution provided the M.Phil. is as per the UGC guidelines;
- 3) Ph.D. degree holder from any recognized University who desires to pursue Ph.D. at this University;

**9. The structure of PET:**

- 1) The PET shall carry 100 Marks. The format & mode of the test will be determined by the respective research center.
- 2) The test shall comprise two Papers. Paper-I shall be on research methodology and research aptitude, Paper-II shall be subject- specific.
- 3) Each Paper will have 50 questions and the qualifying marks shall be 50% of the aggregate, taking Paper I and II together.
- 4) Relaxation of 5% of marks, from 50% to 45%, shall be allowed for those belonging to reserved categories, differently abled and other categories of candidates as per policies of the Government of Maharashtra prescribed from time to time.
- 5) Online / Offline PET certificates shall be issued by the University.



- 6) A candidate can apply for Revaluation and Photocopy. University rules of revaluation & photocopy will apply in case a student applies for the same.

**10. Interviews for admission to Ph.D. programme:**

1. Interviews of the candidates who have cleared PET shall be organized by the approved Research Centres.
2. The candidates who have cleared the PET shall apply, in the prescribed format, to the Research Centres where they desire to pursue Ph.D.
3. The Centres shall compile all such applications and after due verification shall invite the candidates for interviews.
4. The Heads of the Research Centres shall constitute Ph.D. Interview Committees subject-wise. The constitution of the Interview Committees shall be as follows:  
The committee shall comprise of –
  - i. The Head/Principal/Director as the case may be - Chairperson;
  - ii. One or two subject experts from outside, who are Ph.D. holders in the discipline;
  - iii. One University/ College teacher, not below the rank of Associate Professor, from the reserved category of the faculty concerned, if any applicant is from reserved category; and
  - iv. A recognized guide/s from the discipline concerned, if any applicant is from reserved category.
5. The interview shall be conducted at the respective Research Centres and the following aspects shall be considered during the interview:
  - i. whether the candidate has a basic knowledge of the chosen area;
  - ii. whether the candidate possesses the competence for the proposed research;
  - iii. whether the research work can be suitably undertaken at the institution/ College;
  - iv. whether the proposed area of research can contribute to new/ additional knowledge.
6. The candidates are expected to discuss their areas of research interest.
7. Only a predetermined number of students will be given admission to the program.
8. The Research Centres shall submit the reports of the committee to the University (Thesis Section) within not more than 30 days from the date of completion of the interviews.
9. The University and the Research Centre shall publish the lists of candidates selected for admission.
10. The University shall maintain the list of all the Ph.D. registered students on its website on the year-wise basis. The list shall include the name of the registered candidate, the topic of his/her research, name of his/her supervisor/co-supervisor,



date of enrolment/registration.

**11. Appointment & Allocation of Research Supervisors/Guides/Co- Supervisors/Co-Guides:**

Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.

- 1) Any regular Professor/Associate Professor of the University/Constituent College/School/Centre, with at least five research publications in standard, refereed journals/book chapters as approved by the UGC and any regular Assistant Professor of the University/Constituent college with a Ph.D. degree and at least three research publications in standard, refereed journals/ book chapters may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 2) Only a full-time regular teacher of the HSNC University Mumbai / Constituent College / School / Center can act as a supervisor. Adjunct faculty is not permitted to be research supervisors. However, Co- Supervisors from within the same department or other departments of the same institution or sister institutions may be permitted with the approval of the Research Advisory Committee.
- 3) In specific cases of a formal institutional collaboration based on an MoU, the Vice Chancellor of the University may approve faculty supervisors for Ph.D. candidates in the collaborating institutions.
- 4) The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned 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/viva voce. The allocation shall not be left to the individual student or teacher.
- 5) In the case of topics which are inter-disciplinary and where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as a Co-Supervisor.
- 6) A research supervisor/co-supervisor across all levels (Professor, Associate Professor and Assistant Professor) can guide a maximum of Eight (08) M.Phil. / Ph.D. students counted together.

Note: The supervisor should declare the number of Ph.D. students registered with him/her periodically to the university/institution.

- 7) University teachers after superannuation may continue as co-guides for research students with the consent of the concerned authorities. Retired Professors holding an official position (such as Adjunct Professor/ Professor Emeritus / Distinguished



Professor / Scientist Emeritus) may continue as Supervisors till they continue in the official position. Later they may act as a Co-Supervisors with the concurrence of the Research Committee and the new Research Supervisor.

- 8) All teachers/Scientists of constituent colleges recognized as Ph.D. research guides by the University of Mumbai shall be deemed to be recognized as Ph.D. research guides by HSNC University Mumbai from the date the circulation of this regulation.
- 9) The recognition granted by the University of Mumbai to the teachers/scientists of the constituent colleges of HSNC University Mumbai to guide Ph.D. students under the research center recognized by University of Mumbai prior to this regulation shall continue.
- 10) The research guide cannot enroll any new candidate for the Ph.D. Degree on attaining superannuation, provided he/she may be permitted to guide existing candidates registered under her/him with prior approval of the Vice-Chancellor.
- 11) In case of relocation of 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 University/ Research Guide from any funding agency. The student will however give due credit to the parent Research Guide and the Research Centre for the part of research already done, with due permission of the Vice-Chancellor. For relocation of Ph.D. woman scholar due to marriage or otherwise, due permission must be taken from Vice-Chancellor, University by sending written application.

## **12. Admission:**

An applicant whose selection is approved, shall be granted admission to the Ph.D. programme. The selected student shall complete the formalities of admission at the Research Centre by paying the prescribed fees. A Ph.D. student shall renew his/her registration every semester in the manner prescribed and pay the fees determined by the University, until the completion of the programme.

## **13. Research Advisory Committee (RAC) for Ph.D. students:**

- 1) There shall be a Research Advisory Committee (RAC) for each Ph.D. student which shall be constituted by the Head of Research Centre immediately after the admission of the candidate.
- 2) The RAC has the following composition -
  - i. Head of Department or his/her nominee - Chairperson; provided that the Head is a Ph.D. holder; provided further that if the Head is not a Ph.D. holder the Head of the Centre shall appoint a Senior Professor as the Chairperson;
  - ii. Research Guide - Convenor;
  - iii. One or two outside expert/s from the same field - nominated by the Head of Research Centre; provided that the experts are Ph.D. holders in the same or related areas and senior in teaching/research.





- 3) The candidate shall submit a six-monthly progress report of his/her work to the RAC through his/her Guide and also make a presentation before the committee about his/her research work once in six months.
- 4) The Research Advisory Committee shall have the following responsibilities:
  - i. To review the research proposal 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 complete;
  - iii. To periodically review and assist the research scholar in the progress of his/her research work.
- 5) A research scholar shall appear before the Research Advisory Committee once in six months to make any 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 Head of Centre, with a copy to the research student.
- 6) In case of any suggestions given by the Research Advisory Committee for improvement of the work, the candidate should make the changes accordingly.
- 7) 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 student fails to implement these, the RAC may recommend to the Centre, with specific reasons, cancellation of the registration of the research student.

#### **14. Topic Approval:**

- 1) The candidate in consultation with the Research Guide and RAC shall decide the topic of research and shall write a suitable research proposal in the format prescribed. The candidate shall submit, along with the application, eight copies of his/her research proposal.
- 2) The research proposal shall be placed before the respective Research & Recognition Committee (RRC).
- 3) The RRC shall consider the topic of research and research proposal and if satisfied shall approve the topic of research and research proposal.
- 4) If the RRC may suggest minor changes to the title and the proposal if it deems fit, such changes will be made by the student in consultation with the Guide and RAC, and the same shall be conveyed to the RRC.
- 5) If the RRC rejects the topic and proposal the student shall consult the RAC and the Guide and can send a fresh proposal/title after three months, but within one year.
- 6) The registered student shall not be allowed to register simultaneously for any other degree course.
- 7) The candidate shall register as a student once the topic and proposal are approved by the RRC.
- 8) If the candidate desires to modify the title and/or the proposed plan of the research, he/she shall apply at least six months before the date of submission of synopsis. The RRC concerned may approve such changes based on the recommendation of the RAC, Research Guide and the Head of Research Centre.



**15. Registration of Ph.D. candidate:**

The candidate shall apply to the Registrar, HSNCU, in the prescribed format for Registration, along with the prescribed registration fee.

**16. Course Work for Ph.D.:**

Credit Requirements, number, Duration, syllabus, minimum standards for completion, etc., for Ph.D. programme, shall be as under:

- 1) Ph.D. course work shall be in the range of 12 to 16 credits.
- 2) The course work shall be treated as a prerequisite for Ph.D.
- 3) A minimum of four credits shall be assigned to one or more courses on Research Methodology, which could cover areas such as Quantitative Methods, Qualitative Methods, Computer Applications, Research Ethics and Review of published research in the relevant field, Training, Fieldwork, etc. Other courses shall be advance level courses preparing the student for the degree.
- 4) All courses prescribed for Ph.D. course work shall conform with the credit hour instructional requirement and shall specify the content, and instructional and assessment methods. They shall be duly approved by the respective Board of Studies.
- 5) The courses shall be arranged formally by the University through University Departments and also at identified Institutions where experts in the areas of course work shall deliver the requisite number of lectures. Record of attendance of the students shall be kept. The attendance of a candidate less than that prescribed by the University shall make the course null and void for the candidate.
- 6) The Department where the student pursues research shall prescribe the courses relevant to the student based on the commendation of the RAC.
- 7) The course work may be completed either at the research centre/s or University departments or premier institutions such as IIT, HBN1, BARC, TISS, ICSSR, TIFR, IIM etc .provided it is conducted formally.
- 8) All the students admitted to the Ph.D. programme shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- 9) The candidates already holding M.Phil. / Ph.D. degree and admitted to the Ph.D. programme or those who have already completed the course work in M.Phil and have been permitted to proceed to the Ph.D. in an integrated programme, may be exempted by the Department from the Ph.D. course work. All the other students admitted to the Ph.D. programme shall be required to complete the coursework approved by the University.
- 10) The 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 Head of Centre and the University.

- 11) An M.Phil. /Ph.D student has to obtain a minimum of 55% of marks or it's 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 to be eligible to submit the synopsis of dissertation /Thesis; continue in the programme and submit the dissertation/thesis.

**17. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:**

- 1) Upon satisfactory completion of course work and obtaining of a minimum of 55% of marks or its equivalent grade in the UGC 7 /10 -point scale, the Ph.D. student shall be required to undertake research work and produce a draft thesis before completion of minimum three years and maximum six years for the Ph.D. student. 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.
- 2) Colloquium: At least three months before the submission of the thesis, the student shall make a presentation (Colloquium) before the Research Advisory Committee (RAC), which shall also be open to all members and other research students. The feedback and comments from them may be suitably incorporated into the draft thesis in consultation with the RAC.
- 3) Synopsis: The candidate shall submit to the University ten copies "synopsis of his/her thesis through his/her Research Supervisor atleast two months before submission of the thesis. The format of the thesis shall be as prescribed.
- 4) Research Publications: Ph.D. students shall publish at least three research papers in a refereed and cited journal/UGC approved journal and make two paper presentations in conferences /seminars before the submission of the thesis for adjudication and produce evidence for the same in the form of presentation certificates and / or reprints / acceptance letter from the publisher/editor.
- 5) Before submission of Ph. D. thesis, every candidates hall fulfill the requirements prescribed concerning the detection of plagiarism and any other form of academic dishonesty as per the provisions of UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Education Institutions, Regulations 2017). While submitting for evaluation, the thesis shall have an undertaking from the research student and a certificate from the Research Guide attesting to the originality of the work, vouching that there is no plagiarism and any other academic dishonesty and that the work has not been submitted for the award of any other degree/diploma of the same University or to any other University.
- 6) Appointment of referees for Ph.D. Thesis:



The process of appointment of referee shall be prescribed by the Director of Board of Examinations and Evaluation.

7) Submission of the Thesis:

- a) The thesis/dissertation shall be submitted in the prescribed format in a spiral-bound/hard bound form (with bold embossed printing) and printing on both sides of a paper, along with a softcopy (pen drive).
- b) The Ph.D. candidate shall submit three copies of his/her thesis.

8) Evaluation of the Thesis:

The Ph.D. thesis submitted by a research scholar shall be evaluated by his Research Guide and two external examiners.

9) Viva voce:

- i. The viva voce of Ph.D. candidates shall be in the form of Open defense of the Thesis.
- ii. The viva-voce of the research student to defend the Ph.D. thesis shall be conducted only if the evaluation reports of the two external examiners are satisfactory and include a specific recommendation for conducting the viva-voce.
- iii. The viva-voce shall be conducted by the viva voce committee.
- iv. The Ph.D. viva-voce committee shall be constituted by the Head of the University Department/Head of the Research Centre and shall consist of the following:
  - a. The Head of Department in the case of University Department/Head of Research Centre or his/her nominee—Chairperson
  - b. The Research Guide as convener.
  - c. The External Examiner who is appointed to conduct the viva voce.
  - d. One Professor/ Associate Professor from any department other than the Department concerned;

Provided that if the viva voce is conducted outside the University campus, with prior permission from the Director, BOEE, then member (iv) above will be a nominee of the University who is a Teacher/University Officer not below the rank of Assistant Registrar and will be nominated by the Director, Board of Examinations and Evaluation;

Provided further that this nominee shall submit his/her report in the prescribed format confidentially to the University after the viva voce regarding the conduct of the viva voce.

- v. The viva-voce shall be open to the members of the RAC, all faculty members of

the Cents, other research scholars and other interested experts / researchers.

- vi. The viva-voce shall include a brief presentation by the candidate concerning the research work done and the candidate should be tested for his/her knowledge in the research/subject area concerned and, on the critiques, given in the evaluation reports.
- vii. If the evaluation report of the external examiner or one of the evaluation reports of the external examiners is unsatisfactory and does not recommend viva voce, the thesis shall be sent to subsequent external examiner out of the approved list of examiners and the viva-voce shall be held only if the report of the latest examiner is satisfactory. If the report of the examiner is also unsatisfactory, the thesis shall be rejected, and the research student shall be declared ineligible for the award of the degree.
- viii. The day, date, time, and the place for the viva-voce shall be notified by the Head of the Centre, at least eight days in advance.
- ix. When the Head of the Research Centre or Head of University Department himself / herself is the Guide for the Ph.D. student the viva voce committee shall be appointed by the Dean of the Faculty concerned.
- x. In case of dispute, the Dean of the Faculty concerned shall take an appropriate decision.
- xi. If neither of the external examiners can be present at the time of the viva-voce, the Vice-Chancellor, on the recommendation of the Research Guide and the Dean of Faculty concerned, may appoint a senior Research Guide to act as an external examiner for the viva voce.
- xii. In case the Research Guide concerned is not available for the viva voce, the Vice-Chancellor, on the recommendation of the Dean of Faculty concerned and the Head of the Centre, may appoint one of the senior Research Guides.
- xiii. The viva-voce committee shall evaluate the performance of the candidate and make a consolidated report signed by all the members along with the reply given to the queries raised by the external examiners and submit it to the University. This report, signed by all the members of the committee, shall be included in the thesis at the beginning. Further, along with the report a list of the persons attending the open defense (attendance sheet) shall also be submitted to the University.
- xiv. In case the viva voce is not satisfactory, the examiners may unanimously recommend, with reasons, that a fresh viva voce be organized within not less than one month. If the defense is still not satisfactory, the panel should record the reasons for the same. The Committee may recommend the resubmission of the thesis with suggested changes or recommend the rejection of the thesis.

#### 18. Provisional Certificate:

Before the actual award of the degree, the University shall issue a Provisional Certificate to the effect that the degree has been awarded from the date of viva-voce following the provisions of University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016.

#### 19. Depository with INFLIBNET:


Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the pen drive of Ph. D. thesis, along with the hard copy of the prescribed format, shall be sent to the University Library. After receiving pen drive of the thesis in the format suggested, the Library shall prepare metadata of the thesis and shall then submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting of the same to make it assessable to all institutions.

Place: Mumbai

15 MAR 2021

Date: .....



  
Prof. Dinesh Panjwani  
Vice - Chancellor