

**RASHTRASANT TUKADOJI MAHARAJ NAGPUR UNIVERSITY**

“(Established by Government of Central Provinces Education Department by Notification No. 513 dated the 1<sup>st</sup> of August, 1923 & presently a State University governed by Maharashtra Public Universities Act, 2016 (Mah. Act No. VI of 2017).)”

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**DIRECTION NO. 27 of 2021**

**MINIMUM STANDARDS AND PROCEDURE FOR AW ARD OF THE DEGREE OF  
M.PHIL./PH.D. DIRECTION, 2021**

(Issued under Section 12 (8) of the Maharashtra Public Universities Act, 2016.)

Whereas, the Maharashtra Public Universities Act, 2016 (Mah. Act No. VI of 2017)(hereinafter the 'Act') has come into force with effect from 1.3.2017 and by virtue of the provisions of Section 3(1) of the said Act, the Rashtrasant Tukadoji Maharaj Nagpur University (hereinafter the "University") is governed by the provisions of the said Act;

AND

Whereas, the University Grants Commission, in supersession of the UGC (Minimum Standards & Procedures for Award of Ph.D. Degree of the Universities) Regulations, 2009, has issued the University Grants Commission (Minimum Standards & Procedure for award of M.Phil./Ph.D. Degree) Regulations, 2016 (the University Grants Commission Regulations, 2016), vide its Notification dated 5th May 2016, published in the Gazette of India No.278, Part III - Section 4, dated 5th July 2016;

AND

Whereas, the Secretary University Grants Commission, New Delhi Vide No. F.No.20-112014(PS) dated 17<sup>th</sup> March 2017 has issued Public Notice explaining the words " Regular Mode" appearing in the University Grants Commission's 'Regulations on minimum qualifications for appointment of teachers and other Academic Staff in Universities and Colleges and measures for the Maintenance of Standards of Higher Education 2010 (4th Amendment)' notified in Gazette of India, dated 11th July 2016;

AND

Whereas, by virtue of Section 73(1) of the Act, an Ordinance is required to be made laying down the conditions under which students shall be admitted to courses of study for



awarding various degrees in the University and by virtue of section 73(6) an Ordinance is required to be made for recognition of teachers and also for recognition of teachers as qualified to give instructions in the University departments/colleges/recognized institutions, including laying down the Minimum Standards and Procedure for award of the Degree of M.Phil./Ph.D., in terms of the UGC Regulations, 2016 but the making of an Ordinance is a time consuming process;

AND

Whereas, Direction No. 32 of 2019 was issued by the University regulating the admission of students to the M.Phil./Ph.D. programmes in the University and other incidental matters, incorporating the provisions of the U.G.C. Regulations (2016) on Minimum Standards and Procedure for award of the Degree of M.Phil. /Ph.D. and also the recommendations of the committee constituted under the Chairmanship of the then Pro Vice-Chancellor of the University, to study and recommend mechanism for pursuing Ph.D. programme in part time mode has lapsed by virtue of the provisions of proviso to section 12(8) of the Act, necessitating issuance of a fresh Direction incorporating the provisions of the said lapsed Direction;

AND

Whereas, the State Government 'in exercise of its powers under section 72( 10) of the Act has issued the Uniform Statute 3 of 2019 titled as "Maharashtra Public Universities (Norms for Grant of Autonomy to Affiliated Colleges, Recognized Institutions and Conducted or Constituent Colleges)", which has bearing upon the offering and conduct of Ph.D. programmes in and by the affiliated, recognized, conducted colleges I institutions/ departments which have been conferred autonomous status in terms of the said uniform statute;

AND

Whereas, even as the lapsed Direction No. 32 of 2019 could not be converted in to a necessary Ordinance one committee under the chairmanship of Dr. Dileep Peshwe was constituted by the Academic Council of the University vide its decision on item no 4 in its meeting held on 8th January 2019 with the mandate to review and suggest modifications Direction 32 of 2019 .and similarly a committee under the chairmanship of Dr. R.G. Bhojar was constituted by the Senate of the University vide its decision on item no. 31 in its meeting dt 13th January 2019.with a mandate of Whether the present direction no. 32 of 2019 regarding minimum standards and procedure for award of degree of M.Phil I Ph.D. of the university is as per UGC Guidelines and submit report;

AND

Whereas, a committee under the chairmanship of Vice-Chancellor constituted by the Vice Chancellor to study the reports of Dr. D.R. Peshwe committee and also Dr. R G Bhojar committee prepared a draft Direction, incorporating the provisions of the lapsed Direction 32 of 2019 with suitable modifications in the light of the Uniform Statute 3of2019 and also the recommendations of Dr. D.R. Peshwe and Dr. R.G. Bhojar committees and the said draft was thoroughly discussed and approved, with some modifications, in the joint meeting of members of



Dr. D.R. Peshwe committee, Dr. R G Bhoyar committee, Vice Chancellor's committee and also the members of the Board of Research in the University;

AND

Whereas, Direction no. 6/2021 titled "Minimum Standards and Procedure for Award of the Degree of M.Phil. / Ph.D., Direction,2021 is issued on 1.2.2021, but soon after its issuance it was observed that some of the provisions of the Direction required minor corrections, more particularly as to the procedure for appointment of referees, hence it was felt necessary to issue amendment Direction with such necessary changes replacing and amending the present Direction no. 6/2021.

AND

Whereas, the University Grants Commission in exercise of its powers under clauses f and g of sub section 1 of Section 26 of UGC ACT, 1956 (3 of 1956) has framed the "University Grants Commission (Minimum Standards and procedure for award of M.Phil/Ph.D. degrees)(1<sup>st</sup> Amendment) Regulations, 2018" Whereunder vide clause 2 proviso was added to clause 5.4.1 of the "University Grants Commission (Minimum Standards and procedure for award of M.Phil/Ph.D. degrees) Regulations, 2016" for providing relaxation of 5% of marks to the candidates belonging to SC/ST/OBC(Non creamy layers)/Differently abled category in the minimum passing marks in the entrance examination conducted by the University for admission of students in the M.Phil/Ph.D. Programme of the University. The Management Council of the University, interms of the above mentioned amendment in the U.G.C. Regulations, in its meeting held on Wednesday, 22<sup>nd</sup> September 2021 has decided to extend the benefit of relaxation of 5% marks in the minimum passing marks in the entrance examination conducted by R.T.M. Nagpur University for admitting students in the M.Phil/Ph.D. Programs of the University, in favour of the students belonging to SC/ST/OBC (Non creamy layers)/Differently abled category by amending the provisions of Direction no. 11/2021, necessitating amendment to the provisions of sub-clause (f ) of clause 8 of the Direction No. 11/2021.

AND

Whereas, by virtue of the provision of proviso to Section 12(8) of the Act, Direction no. 11/2021 is due to lapse on 21<sup>st</sup> October 2021 because of expiry of period of six months from the date of its issuance as the said Direction could not be converted into the necessary Ordinance as required by Section 12(8) which in turn necessitating issuance of a fresh Direction, incorporating the provisions of Direction No. 11/2021 which is imminently going to lapse on 21<sup>st</sup> October 2021.

Now, therefore, I, Dr. Subhash R. Chaudhari, Vice-Chancellor, Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur being satisfied about the exigency to invoke and exercise powers vested in me under the provision of Section 12(8) of the Act, do so invoke my powers and hereby issue the following Direction, incorporating the provisions of Direction No. 11/2021 with suitable modifications necessitated by the decision of the Management Council in its meeting held on 22<sup>nd</sup> September 2021: -



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1. This Direction shall be called "Minimum Standards and Procedure for Award of the Degree of M.Phil. / Ph.D., (Amendment) Direction, 2021.
2. This Direction shall come into force with effect from the date of its issuance, however the provisions of this Direction relating to standard of passing the PET Examination is concern, the same shall govern the PET Examination conducted by the University in the Year 2021, as per the provisions of Direction no. 11/2021.

3. **Scope**

This Direction shall govern award of the Degrees of M. Phil. and Ph.D. in all the faculties of the University, for the research conducted in the approved/ recognized centers of higher learning and research of the University and also the autonomous colleges/institutions/departments of the University whose M.Phil./Ph.D. programmes are approved by the University.

4. **Definitions: -**

(a) "Act" means the Maharashtra Public Universities Act, 2016 (Mah. Act No. VI of 2017).

(b) "Approved Teacher" means Teacher as defined in sub-section 61 of section 2 of the act.

(c) "Autonomous College", "Autonomous Institution" or "Autonomous Department" means a college, institution or department on which autonomy is conferred in terms of the provisions of the Act and the Uniform Statute 3 of 2019.

(d) "Board of Studies" means a Board for a particular subject or a group of subjects constituted as per provisions of Section 40 of the Act.

(e) "Board of Deans" means a Board of Deans constituted by the University as per provisions of subsection(2) of section 36 of the Act.

(f) "College" means a conducted/affiliated college of the university.

(g) "External Supervisor" means any person recognized as Supervisor by the University other than RTM Nagpur University and not residing within the Jurisdiction of RTM Nagpur University.

(h) "Faculty" means a faculty constituted as per the provisions of Section 34 (2) of the Act and the relevant Direction/Ordinance of the University in the University and as per the provisions of the Uniform Statute in the autonomous college/institution/ department.



(i) "Head, Place of Research" means the Head of the Post-Graduate Teaching Department of the University/Principal (or his representative) of the College /Director (or his representative) of the Institute/Head of the Organisation, which is recognized/approved as a place of research and higher learning by the University.

(j) "Place of Research" means all the departments of the University and all other colleges/institutes/organizations which are duly recognized/approved as the places of "Higher Learning and Research" by the University as per the applicable rules from time to time. This also includes the autonomous colleges/ institutions/departments offering M.hil/Ph.D. programme duly approved by the University.

(k) "Ph.D. Entrance Test (PET)" means and includes the entrance test conducted by the Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur in accordance with the applicable rules framed by the University in this regard from time to time for admission to M.Phil./Ph.D. programme.

(l) "PET Committee" means a committee constituted by the Vice-Chancellor.

(m) "Post Graduate Department" means a Department in a college imparting Post Graduate teaching instructions or institution of higher learning and research or specialized studies, recognized to be so by the University and imparting post-graduate instructions or guidance for research and includes the post-graduate teaching department of the University.

(n) " Principal/ Director" means Principal/Director of Autonomous College/Affiliated College/ Institution to which autonomy is granted as per provisions of the act and relevant statutes.

(o) "Research Advisory Committee" means a committee constituted as per the provisions of this Direction.

(p) "Research & Recognition Committee (RRC)" means a committee for the particular Board of Studies constituted by the University as per the provisions of Section 37 (2) of the Act,

(q) "Uniform Statute" means Uniform Statute No.3 of 2019 or any other similar Statute framed by the Government of Maharashtra.

(r) "Supervisor" means a person who is recognized as Ph.D. supervisor by the University as per the provisions of this Direction.

(s) "University" means Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur.

## 5. **MODES OF Ph.D. PROGRAMMES: -**

There shall be two modes of doing Ph.D. research i.e., Full time and Part time.

(a) Full Time Ph.D. Programme



- (i) Candidates under Full Time mode shall undertake research work in University Departments or Autonomous Colleges/Institutions of Higher learning Research center (HLRC) of Institution /HLRC College and shall be available during the working hours for Research activities.
- (ii) Candidates in employment, who wishes to pursue Full Time shall be required to submit a No Objection Certificate from his/her employer & should avail leave for the research period.
- (iii) Candidates who are sponsored by the AICTE under Quality Improvement Programme (QIP) for teachers of Engineering Colleges and Faculty Improvement Programme (FIP) for teachers of Arts, Commerce & Science colleges and who satisfy the eligibility conditions shall be eligible for Full Time only, in the disciplines as notified in AICTE/ UGC guidelines.
- (iv) Candidates who are selected under Fellowship programmes of National or any recognized bodies and who satisfy the eligibility conditions as per the regulations are eligible for Full Time studies in the respective disciplines.
- (v) Foreign Nationals sponsored by Government of India on any exchange programme and who satisfy the eligibility conditions as per the regulations, are eligible for Full Time Programme.

(b) Part Time Ph.D. Programme

The candidates eligible to apply for Part Time mode must be:

Full time teachers of any University/Institutions/college, Candidates working in the projects undertaken from State/Central/semi Government and totally funded through the projects.

The principal coordinator of such projects shall be the supervisor if he/she is recognised. The candidate should be employed in the project for the minimum period of research programme.

Part employments in different spells or in different projects are not permitted.

OR

Candidates working in Industries/ R & D Establishments/ Labs /Units of Government / Semi Government or any other research laboratories/self-employed persons shall be treated as/ Part Time candidates.

(c) Conversion of Full Time to Part Time

The candidate who has registered himself/herself as a full- time candidate may subsequently opt for change of mode. He/she shall submit application duly authenticated by supervisor and head of place of research to the Dy. Registrar, Ph.D. Cell or Principal I



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Director of Autonomous Colleges I Institutions. The decision in this regard shall be taken by the concerned RRC and communicated to all concerned.

**6. INTER DISCIPLINARY RESEARCH: -**

(a) All the areas of research which will require the contribution of more than one subject areas/experts from different streams will be considered under the Board of Interdisciplinary Studies of the University.

(b) The Research Advisory Committee constituted at the level of the research centre shall form an opinion as whether the proposal received by it is related to research in the inter-disciplinary area and refer the proposal to the Board of Inter-disciplinary Studies of the University, constituted and empowered as per Statute No.10 of 2015.

(c) The Board of Inter-disciplinary Studies, for doctoral degree, may, if it considers necessary, nominate/ co-opt any senior teacher with 5 years teaching experience preferably in the subject which is core area of research proposal, such co-opted member shall participate in the deliberation of the Board of Inter-disciplinary Studies with respect to the relevant proposal.

(d) In case certain facilities of research do not exist in the jurisdiction of the University, the candidate may be permitted by the Supervisor and Head of the Place of Research work to carry out his research work at an Institution recognized by any Statutory University or Central/State Government, outside the jurisdiction of the University.

**(e) Registration**

(i) The registration of the research scholar will be in the faculty where the candidate has completed his post graduation degree. (This is required for the award of Ph.D. degree in the area of specialization of the candidate)

(ii) Any approved supervisor of the university from the relevant/ related area of work can be the guide I supervisor I co-supervisor for the research work.

(iii) Any scientist I expert in the area I retired faculty (teacher) I eminent scholar in the area of research work and who is approved supervisor of the university will be allowed to be the guide. But in that situation the candidate will be required to take co-supervisor from the place of research

(iv) However, if such supervisor is not the approved supervisor of the university then as a special case all such experts/ eminent scholars will be allowed to work as guide with special permission of the Vice- Chancellor on case to case basis.

**(f) Place of work for interdisciplinary research**

The place of work will be from the following.

(i) University Post Graduate Department/Place of Research in the relevant area of research in the University.



(ii) In the University recognized institutions, CSIR Laboratories, government Departments, etc. where the Inter-Disciplinary research facilities are available for research.

(g) Award of Degree

The Ph.D. Degree will be awarded to such candidate in the faculty/Board of Studies in which he /she has obtained his/her Post Graduate Degree.

7. ELIGIBILITY CRITERIA FOR ADMISSION TO M.Phil. / Ph.D.PROGRAMME:-

(a) For M.Phil. Programme:-

(i) Candidates for admission to the M.Phil. programme shall have passed Post Graduate Degree (Master's Degree) Examinations of the University or an equivalent Degree of any other recognised statutory university; in the concerned subject, with at least 55% marks in, aggregate or its equivalent grade "B" in the UGC- 7 point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent Degree from a foreign educational institution accredited by an Assessment and Accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under any 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. A relaxation of 5% of marks, from 55 to 50% or an equivalent relaxation of grade, may be allowed for those belonging to S.C./S.T./O.B.C. (Non-Creamy Layer)/V.J.N.T./S.B.C./differently abled and other categories of candidates as per the University Grants Commission's Regulations, 2016, or those who had obtained their Master's Degree prior to 19th September 1991. The eligibility Marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories/class of candidates mentioned above are permissible only on the qualifying marks without including the grace mark procedure.

(ii) M. Phil Programme shall be for a minimum duration of two consecutive semesters/one year. However, the women candidates and persons with disability (more than 40% disability) may be allowed an additional one year in the maximum duration. In addition, the women candidates may be provided maternity leave/child care leave once in the entire duration of M.Phil for up to 240 days.

(iii) Admission for M.Phil. Programme shall be through an entrance test (PET) conducted by the University or an autonomous college/ institution in the department, as per provisions of this Direction.

(iv) While granting admission to candidates for M.Phil programme due attention shall be paid to the State Reservation Policy.

(b) For Ph.D. programme:-





(i) Candidates for 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-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions. In calculating the 55% marks or its equivalent grade marks awarded by way of grace shall be ignored.

(ii) A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19<sup>th</sup> September, 1991.

(iii) 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. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently- abled and other categories of candidates as per the decision of the Commission from time to time. A person whose M.Phil. Dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution.

(iv) 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. programme. The requirement of 55% marks or grade 'B' in UGC's 7-point scale shall also be applicable to such candidates.

#### 8. ENTRANCE TEST FOR M. Phil./Ph.D. PROGRAMMES: -

##### (a) NEED FOR TEST: -

Ph.D. Entrance Test (PET) being essential qualification for admission to the M.Phil. and Ph.D. programmes offered in the University including its autonomous colleges/institutions/departments the University and its autonomous colleges/institutions/ departments shall conduct twice in a year this test at the pre declared centres. It shall be conducted in ONLINE mode. However, University may conduct this examination in an OFFLINE mode for the senior citizens, if the request has been made in this regard.



For Foreign students, University may conduct ONLINE test at the permitted location/s in the country of such students.

(b) EXEMPTION FROM PET FOR Ph.D. PROGRAM: -

Candidates who have qualified the UGC-NET (including JRF)/UGC-CSIR NET(including JRF)/SLET/GATE/GPAT/DST-Inspire//SET/teacher fellowship of state/ central Govt. apex bodies holder or have passed M.Phil. programme (admitted through entrance test) in the concerned subject from any Statutory University. Foreign INRI candidates who have obtained master's degree with at least 55% marks or equivalent CGPA (6.0) and passed PET examination conducted by the University. Candidate already possessing Ph.D. degree in any discipline from any statutory University shall also be exempted from PET.

(c) TENURE OF VALIDITY OF PET RESULT: -

PET being one of the eligibility criteria for applying for M.Phil./Ph.D. admission/registration, the declaration of the candidate to be successful in PET examination shall not confer on the candidate, the right of admission/registration. Once the candidate has cleared the PET, he/she will be eligible for the admission to the Ph.D. programme throughout his/her career. Candidates who have cleared PET examination in the past shall also be considered eligible for admission to Ph.D. Programmes.

(d) PATTERN OF EXAMINATION: -

(i) The examination shall have maximum 100 marks and be divided in two sections viz. Section A - Research Methodology and General Aptitude and Section B – Subject Aptitude.

(ii) Each section shall have maximum 50 marks and the test shall have MCQs only carrying 1 mark each.

(iii) The maximum duration of the exam for each section shall be 90 minutes.

(iv) The examination for two sections shall be held on the same day with a time gap of minimum 1 Hour between two examinations and the date and time of examinations shall be intimated well in advance.

(v) The examination shall be conducted in three languages viz. English, Hindi and Marathi

(e) SYLLABUS FOR PET EXAMINATION: -

Section A - Research Methodology & General Aptitude:

This section shall have 40 multiple choice questions from Research Methodology covering (i) Meaning and Types of research, (ii) Principles of Review of Literature (iii) Defining a research Meaning and Types of research, (ii) Principles of Review of Literature (iii) Defining a research problem (iv) Research Designs (v) Preparing a Research Proposal (v) Sampling Techniques (vi) Types of Data and Data Collection Techniques (vii) Data Analysis Tools and (viii) Referencing styles. Remaining 10 questions in this section shall test the general aptitude of



the examinee for which the questions from Analytical Reasoning, Numerical Ability, Data Interpretation, Computer Awareness, and Language Competency may be asked.

The PET Committee shall be responsible for developing a suitable question bank of MCQs for this section.

#### Section B - Subject Aptitude

This section shall have 50 multiple choice questions based on the curriculum prescribed by the Board of Studies of the concerned subject. However, it is suggested that the BoS shall prescribe the curriculum based on the contents of UG programs of respective subject and the University shall display the same on its website for easy access to students.

The Board of Studies of the concerned subject I PET Committee shall be responsible for developing a suitable question bank of MCQs for this section.

#### (f) STANDARD OF PASSING: -

In order to be successful in the PET examination an examinee shall score minimum 40% marks in a section **but** minimum 50% marks in the aggregate.

**Provided, however, that a relaxation of 5% of marks (from minimum aggregate 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non creamy layer)/Differently abled category.**

#### (g) REDRESSAL OF GRIEVANCES: -

The PET Examination Committee constituted by the University shall be the competent authority to redress grievances of any candidate with respect to the conduct of PET.

#### (h) PET CENTRES: -

The Ph.D. Entrance Test (PET) shall be conducted by the university at the centres notified in advance. This information shall also be published in two national newspapers of which one shall be in the regional language.

#### (i) PET EXAMINATIONS IN AUTONOMOUS COLLEGES I INSTITUTIONS: -

The autonomous colleges/institutes, which have university approved/recognized place of research and higher learning, shall be free to admit in their M.Phil./Ph.D. programme students who have passed the PET examination conducted by the University. However, such autonomous colleges/institutions/departments offering Ph.D. programme shall have the liberty to conduct their own PET examination for the students desiring to take admission in the Ph.D. programme offered by such colleges I institutions/departments. The standard of this PET examination must conform to the minimum standard prescribed by the University for its own PET examination.

#### G) APPLICATION FOR PET: -



The University shall widely circulate a notification inviting applications for admissions to M.Phil./Ph.D. Programs from the eligible candidates. All the application forms shall be filled only ONLINE on the website of designated agency and print outs of the forms along with certificates and prescribed fees in the form of Demand Draft, drawn in favour of 'Finance and Accounts Officer, Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur' payable at Nagpur shall be submitted in the office of the designated agency. On scrutiny of the applications, University shall prepare the statement along with all the particulars of the applicants and publish the list of eligible candidates with their Roll Numbers.

The autonomous colleges/institutions shall notify on their websites/notice boards process for inviting applications for PET examination.

#### 9. SCHEDULE OF ADMISSION PROCEDURE AND NUMBER OF SEATS AT RESEARCH CENTERS: -

(a) Number of seats for admission, subject/faculty-wise distribution of available seats, criteria for admission adhering to the National/State level reservation policy:

(b) The process of admission to Ph.D. programmes shall be held twice every year, it shall be completed on 15th January and 15th July every year. The university and approved research center shall complete pre-admission activities before the said dates. In case of emergency or unfavourable situation the date/s may be altered with the permission of the Vice-Chancellor

(c) The University or Autonomous Colleges I Institutions shall decide on an annual basis through their academic bodies a predetermined and manageable number of M.Phil. and/or Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio, laboratory, library and such other facilities and subject to the provisions of prevailing Statute/Ordinance and other relevant directions and regulations issued by the UGC/University from time to time. Initially maximum number of candidates to be registered at every research center will be 20 per subject/stream; this can be subsequently enhanced depending upon availability of supervisors, facilities for research and other facilities available for research scholars in respective centers on approval of the University.

(d) The maximum number of researchers in the University's post graduate teaching departments and conducted college, which are also recognised as places of research work, shall not exceed fifty and as per UGC regulations for Supervisors.

The increase in this capacity over and above fifty may be done by the Vice Chancellor after reviewing the need.

(e) The University or Autonomous Colleges I Institutions shall maintain the list of all M.Phil./Ph.D. registered students on its website on year wise basis. The list shall include the name of registered candidates, topic of research, names of supervisor/ co-supervisor and the date of registration. The list also shall display the vacancies at each research centres in the University.



(f) RRC shall be, subject-wise University committees, and the candidates are required to discuss their research interest/area through a presentation by way of interview/viva- voce.

(h) In case, the RRC observes some discrepancies in the research proposal/synopsis, it may refer it back to the RAC of the research centre of the candidate with its observations for requisite modifications. The candidate shall be required to submit the modified research proposal/synopsis with endorsement from the RAC in the next meeting of RRC for reconsideration.

#### 10. PROCEDURE OF REGISTRATION FOR Ph.D. PROGRAMME: -

(a) After allotment of supervisor, as per the provisions of this Direction, an eligible applicant seeking registration for the Ph.D. programme shall apply on line for registration to the University, in the prescribed format (Annexure I) as per the schedule notified by the university. The hard copy of the on-line application form along with eight hard copies of the synopsis of the research proposal, as per prescribed guidelines given by the university, duly signed by the allotted supervisor, along with the allotment letter from the research centre, fees (which may be prescribed by the University or Autonomous Colleges/ Colleges I Institutions from time to time), and other supporting documents shall be submitted to the University, through the Head, place of research, on any working day of the University. Date of registration of his/her Ph.D. programme will be considered from the date of the Meeting of the RRC. In case any deficiencies are observed by the Ph.D. section of the University in the application for registration, it would be notified by the University before the date of RRC. The candidate shall remove the deficiencies before the meeting of R.R.C. Where deficiencies/shortcomings in the research proposal of the candidate are pointed out by the R.R.C., the same shall be communicated to the candidate by the Ph.D. cell by notifying on the University Website. If the candidate removes the deficiencies/shortcomings within 30 days from the date of the communication, the date of registration shall be the date of the meeting of the R.R.C. Where, however the candidate removes the deficiencies within a period of six months but after the period of 30days, the date of registration of Ph.D. programme shall be deemed to be the date on which the deficiencies have been fully removed. On failure of the candidate to remove the deficiencies within six months from the date of above said communication of the University, the application for registration shall be deemed to have lapsed and the candidate shall be required to apply a fresh for registration. The University shall not be liable to the candidate for the lapse of his application for registration under this clause.

(b) Every application for registration shall be placed for consideration before the RRC of the concerned subject or group of subjects, constituted as per section 37(2)(a) of the Act. The RRC shall take decision either to accept or reject the research topic/title on the basis of the submitted synopsis and also the personal interview /presentation made by the candidate. The decision of the RRC shall be final. After approval of the application by the RRC, the candidate shall be treated as a registered Ph.D. Scholar. The concerned supervisor may be invited during the interview/presentation by the candidate, if deemed fit by the RRC.



(c) After approval of application by the RRC, the particulars of the candidate, topic/title of research work, research supervisor and place of work shall be displayed on the website of the University or Autonomous Colleges/Institutions, within a period of one month.

(d) Once a candidate has been registered for any Ph.D. programme of the University or Autonomous Colleges I College I Institutions, he/she shall not be allowed to be continued or be registered simultaneously for any other degree/diploma/research programme of this or any other University in India or abroad. Similarly, the candidate registered for full time Ph.D. programme shall not accept any full time or part time employment. The breach of this condition shall result in automatic cancellation of his/her registration.

#### 11 . RESEARCH ADVISORY COMMITTEE: -

(a) There shall be Research Advisory Committee (RAC) at every place of research which shall consist of: -

(i) Head, University Teaching Department/ Director of the Institute of the University/Principal of the College/Head of the Organisation which is recognised research centre of the University in the subject or a group of subjects comprised in each Board of studies (Ex-Officio Chairperson), provided he/she is having PhD. degree.

(ii) Two research supervisors from outside the research centre in the subject or a group of subjects comprised in the Board of studies, nominated by the Vice-Chancellor (Members).

(iii) Recognised Research Supervisor of the Ph.D. Scholar. (Member).

(iv) Head of the subject concerned (Member)

(b) If the Chairperson is not able to attend the meeting of the committee on the scheduled date, he/she shall nominate senior research supervisor in the department to chair the meeting of the committee as working chairperson. If no research supervisor is available in the Department/ Institute of the University/ conducted college /affiliated college/ organization which is a recognised research centre of the university in the subject or a group of subjects comprised in each Board of Studies, one senior person out of two research supervisors nominated by the Vice-Chancellor shall preside as Chairperson.

(c) The Research Advisory Committee shall meet as per the requirements at the place of research.

(d) Research Supervisor of the Research Scholar shall attend the meeting as a member of the committee as and when candidate(s) under his/her supervision shall be called before the committee meeting for presentation of the research proposal and for periodical review.

(e) Out of the two research supervisors nominated by the Vice-Chancellor at least one must be present in the meeting for transacting the business.

(f) The Research Advisory Committee (RAC) shall have following responsibilities: -



(i) The allocation of the Research Supervisor for an eligible research scholar shall be made by the committee taking into consideration the number of scholars already registered with the research supervisor, the specialization of the supervisors and research interest of the research scholar as indicated by him/her.

(ii) to review the research proposal and finalize the topic of the research and

(iii) to periodically review and assist in the progress of research work of the research scholar.

(g) A research scholar shall appear before the Research Advisory Committee once in every six months to make presentation of the progress of his/her work for guidance.

(h) If there is any major change in the 'Title of Research', the candidate may apply for the change of title to the University having got his/her application endorsed by the RAC of the concerned research centre within a maximum period of 2 years from the date of registration.

(i) Where the research topics indicated by the research scholar is of inter disciplinary nature, if the committee is of the opinion that the expertise at the research centre has to be supplemented from outside, then it shall appoint a research supervisor from the centre itself and a co-supervisor belonging to other discipline from other research centre within the jurisdiction of the University on such terms and conditions as may be specified and agreed upon by the two centres of research.

(j) In case of relocation of a woman scholar due to marriage or otherwise, if no objection certificate is issued by the supervisor and Head, place of research, the research data shall be allowed to be transferred to the University or Autonomous Colleges / Colleges/ Institutions to which the scholar intends to relocate, provided all other conditions of this Direction are complied with and the research work does not pertain to the project secured by the parent centre of research/ supervisor from any funding agency. The research scholar, however, will have to give due credit to the parent supervisor and the centre of research for the part of the research already done. Such a proposal needs to be forwarded by the RAC to RRC for final approval.

(k) Where the allotted supervisor is not able to supervise the research scholar either due to death or disability of the supervisor, for whatever reason, the research scholar may apply to the concerned research centre, for change of the supervisor. The RAC of the said research centre shall, with suggested new research supervisor, forward it to the Director, Board of Examinations and Evaluation, for change of the supervisor. The Director may place the matter before R.R.C. which shall take an appropriate decision on the application. In other circumstances the R.R.C. may allow change of supervisor on submission of 'No Objection Certificate' from the supervisor and acceptance letter from the new supervisor.

## 12. RECOGNITION OF Ph.D. SUPERVISOR: -

Following persons shall be eligible to be recognized as PhD. Supervisor in the University, if they are working within the territorial jurisdiction of the university:-

Any full time regular Post-Graduate teacher approved by the University, having Ph.D. Degree and having not less than FIVE years of teaching experience and having at least five publications



of research papers in refereed journals. out of which minimum two publications should be in SCOPUS/WoS high indexed level Journals. If for a particular subject above mentioned journals arenot available then all five research publications should be from the journals from UGC Care List asfirst author.

A person working at an institute/organization, in the private or public sector, as a scientist /research expert with Ph.D. Degree with not less than ten years of experience or Full time University approved regular teacher with Ph.D. Degree, of the subject having laboratory OR practical work, with not less than ten years experience. In addition, he/she should have published at least five publication of research papers in refereed journals, out of which minimum two publications should be in SCOPUS/WoS high indexed level Journals. If for a particular subject above mentioned journals are not available then all the five research publications should be from the journals from UGC Care List as first author.

Provided that in areas/disciplines where there is no or only a limited number of refereed journals ,the above condition of publication of research papers in refereed journal may be appropriately relaxed by recording reasons in writing by the RRC as per guidelines of UGC and approved by Board of Research constituted as per provision of section 59(2) of the Act.

However, notwithstanding anything to the contrary herein the University approved teachers who are already recognized as Ph.D. supervisors shall continue to be recognized as Ph.D. supervisors of the University or Autonomous Colleges/Institutions. Even after retirement, if they are not working as regular Professors/ Associate Professors/ Assistant Professors of the University/Institution/College or have seized to be working in an organisation recognised as the research centre of the University will continue untillast research scholar under him/her submits his/her Ph.D. thesis to the university/Autonomous Colleges/Institutions or the period of registration of research scholar has expired, whichever is earlier.

### 13. RECOGNITION AS A PLACE FOR HIGHER LEARNING & RESEARCHCENTRE: -

Norms, standards and procedures for recognition as a place for Higher Learning & Research Centre shall be as per the provisions of prevailing Statute/Direction of the University as amended from time to time. Moreover, the regulations of the UGC issued from time to time, in this regard shall so be applicable.

The affiliated colleges/institutes running PG program in the relevant discipline may be considered eligible to offer M.Phil /Ph D program only if they satisfy the availability of eligible Research supervisors, required infrastructure and supporting administration and research promotion facilities as per the UGC norms. They should have subscribed for at least Five journals(National/International) for at least five years. A college which is not recognized by UGC under2(f) and 12(b) shall not be eligible and it should have been NAAC accredited with at least grade B+ and above /valid NBA accreditation in relevant discipline.

Post-graduate departments of colleges, Research laboratories of Government of India/State government with at least two Ph.D. qualified teachers/scientists/other academic staff in the department concerned, along with required infrastructures, supporting administrative and





research promotion facilities as per the UGC regulations, should additionally apply for the recognition as a Centre of Research for doctoral research provided it possesses at least one approved supervisor.

The autonomous College I Institution can start Ph.D. programme on recognition and approval of the University as per the prevailing Statute/Ordinance/Direction, if any.

#### 14. SUPERVISOR NOT WORKING AT AN APPROVED/RECOGNISED RESEARCH CENTER: -

Where a recognized research supervisor is working in a college/institute which does not have a recognized research centre, such supervisor may apply to the University for his/her registration at an appropriate Post Graduate Teaching Department of the University. Once such recognized supervisor is registered at the department as the supervisor he/she shall be eligible for allotment of research scholar without any discrimination. In case, the University has no Post Graduate Teaching Department for any particular subject for which the recognized supervisor desires to register the University shall ensure his registration at some other recognized/approved research centre of the University affiliated/autonomous college/institution.

#### 15. PERMISSIBLE NUMBER OF Ph.D. SCHOLARS UNDER THE SUPERVISOR: -

The maximum number of Ph.D. scholars who could be registered under a recognized Ph.D. supervisor shall be eight in case of a Professor, Six in case of an Associate Professor and Four in case of an Assistant Professor and other supervisors. While counting the maximum permissible number of Ph.D. scholars who could be registered under a particular supervisor his/her appointment as a co-supervisor shall also be taken into consideration. In addition to above the Ph.D. supervisor may be allotted 3 candidates for M.Phil programme if the supervisor is Professor; two candidates if the supervisor is Associate Professor and one candidate if the supervisor is Assistant professor.

If the recognized Ph.D. supervisor of the University or Autonomous Colleges/Institutions is also recognized Ph.D. supervisor in other university, the number of Ph.D. scholars registered under him/her in that University shall also be taken into account while allocating Ph.D. scholars to him so that at no point of time he/she has more than the permissible number of Ph.D. scholars registered under him under this Direction.

The candidates fulfilling the qualifications for registration for the degree of Doctor of Philosophy (Ph.D.) in the faculty comprising of his/her subject shall have to apply to the research centre recognized by the University in the subject concerned. On the basis of application received from the candidate, he/she shall be allotted Supervisor working in that recognized research centre. After allotment of supervisor, the synopsis of the research work shall be prepared in consultation with the supervisor. The said synopsis shall be approved by the Research Advisory Committee in that subject at the recognized research centre. After approval of the synopsis by the Research Advisory Committee, the candidate shall be eligible for making application for registration to the University.

#### 16. TENURE OF REGISTRATION: -



(a) Ph.D. programme shall be for a minimum duration of three years, including course work and Maximum of Six years. Registration for Ph.D. under this Direction shall be valid for a period of six years from the date of registration.

(b) However, a woman candidate and person with disability (more than 40% disability duly certified by competent authority) may be allowed an extension of two years.

(c) In addition, the women candidates may be provided maternity leave/childcare leave once in the entire duration of the Ph.D. Program till up to 240 days.

(d) Under the circumstances of Natural calamity/War and medically unfit due to prolonged illness, the application may be submitted to the University for the approval of the Vice Chancellor or Principal/ Director of Autonomous Colleges / Institutions for maximum period of one year during entire Ph.D. program.

(e) A candidate registered for Ph.D. program shall be allowed to submit his/her thesis on completion of minimum THREE years. For counting the above said period of three years, the time spent for the course work shall also be taken into consideration.

(f) During the complete tenure of registration of full-time candidates, it shall be mandatory for them to reside within the territorial jurisdiction of R.T.M. Nagpur University, Nagpur.

#### 17. PROGRESS REPORT: -

Every registered candidate shall submit to the Director. Board of Examinations and Evaluation of the University or controller of examinations of Autonomous Colleges I Institutions, through supervisor, the progress report of his/her research work after every six months in the prescribed form, (Annexure II). He/she shall appear before the Research Advisory Committee once in every six months after his/her registration for Ph.D. programme to make presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports of each scholar shall then be submitted by the candidate through Head. place of research work to the Director, Board of Examinations and Evaluation of the University or controller of examinations of Autonomous Colleges I Institutions, within a period of one month from the date of presentation of the progress report.

#### 18. CANCELLATION OF REGISTRATION AND ITS CONSEQUENCE:

(a) Cancellation of registration: -

(i) Voluntary Cancellation: -

The candidate can opt for voluntary cancellation of his Ph.D. registration. In such event the application duly signed by the candidate and duly endorsed by the supervisor and Head of the Place of Research shall be submitted to the Director of Board of Examinations and Evaluations. The Director of Board of Examinations and Evaluations shall forward the application submitted by the candidate to respective R.R.C. for further necessary action. The registration shall stand cancelled from the date of his/her application.



In case of registrations in the Autonomous Colleges / Institutions, the candidate cannot for voluntary cancellation of his Ph.D. registration. In such event the application duly signed by the candidate and duly endorsed by the supervisor shall be submitted to the Head of the Place of Research. The Principal / Director shall cancel such registrations after discussions with the concerned scholar. The Principal / Director of Autonomous Colleges I Institutions shall recommend to RRC of the University for cancellation of such registration.

(ii) Cancellation for misconduct: -

If a candidate after registration, during the course of research work, is found to be guilty of commissions and omissions amounting to misconduct like indiscipline, dereliction of duties, unbecoming behavior, insubordination etc., related to his/here search and/or, at the place of research the registration shall be cancelled by the relevant Research and Recognition Committee by way of punishment on receipt of report from the supervisor and the Head, Place of Research.

Provided that the Head, Place of research before submitting report to the University shall grant an opportunity to the candidate for submitting his explanation and shall conduct such enquiry as deemed necessary.

In case of registration in the Autonomous Colleges I Institutions, if a candidate after registration, during the course of research work, is found to be guilty of commissions and omissions amounting to misconduct like indiscipline, dereliction of duties, unbecoming behavior, insubordination etc., related to his/her research and/or, at the place of research, the Principal /Director shall constitute a committee to investigate the matter, the committee shall give sufficient chances to the scholar to prove his innocence, if the committee recommends with reasons cancellation of such registration. the Principal / Director of Autonomous Colleges / Institutions shall recommend to RRC of the University for cancellation of such registration.

(iii) Cancellation for unsatisfactory progress of research work: -

If the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record reasons for the same and suggest corrective measures. If the research scholar fails to implement those corrective measures, the committee may recommend to the Director, Board of Examination and Evaluation, with specific reasons for cancellation of the registration of the research scholar. The Director shall place the matter before the concerned R.R.C. which shall take an appropriate decision on the matter. If the decision of the R.R.C. to cancel registration of the candidate is approved by the Vice-Chancellor, the registration of the research scholar shall be cancelled. In case of registrations in the Autonomous Colleges I Institutions, if the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record reasons for the same and suggest corrective measures. If the research scholar fails to implement those corrective measures, the committee may recommend to the Principal / Director of Autonomous Colleges / Institutions, with specific reasons for cancellation of the registration of the research scholar. The Principal / Director of Autonomous Colleges I Institutions shall recommend to RRC of the University for Cancellation of such registration.

(b) Consequence of cancellation of registration: -



Where the candidate whose registration for Ph.D. programme has been cancelled as above has received scholarship/financial assistance from funding agencies like UGC, CSIR, University etc., the amount so received shall be recovered from the candidate and shall be promptly returned by the candidate to the funding agency. Where the funding agency happens to be the Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur or Autonomous Colleges / Institutions an interest at the rate suggested by the funding agency may be charged by the University from the candidate. On failure to return the amount within a period of 3 months from the date of cancellation of the registration, the University Autonomous Colleges / Institutions may take appropriate steps for recovery of the said amount from the candidate.

(c) Redressal of Grievances:

There shall be Grievance Redressal Committee consisting of the following members to address grievances of the research scholar, supervisors (including Co-Supervisor) and Head, Place of Research: -

I. Pro Vice-Chancellor (Chairperson)

II Dean of the concerned faculty

III. Nominee of the Vice-Chancellor

IV. The Head, Place of Research (If the complaint is by or against the Head or the Dean, he/she shall not participate in the proceedings of the meeting of the committee as a member in such cases additional member/s may be nominated by the Vice-Chancellor)

V. Deputy registrar of Ph.D. Cell - Secretary

The Grievance Redressal Committee shall have the jurisdiction to hear and decide the dispute between the research scholar and his/her supervisor (including Co-supervisor) or between the research scholar and Head, Place of Research pertaining to admission in place of research, allotment of supervisor, demand of fee more than prescribed and any other similar dispute affecting the research of the research scholar.

The Committee after giving adequate opportunity of hearing to the concerned parties shall submit its report to the Vice-Chancellor as soon as possible. The Vice Chancellor shall take decision on the report of the Committee by giving hearing to the concerned parties, if necessary. The decision of the Vice-Chancellor shall be final and binding on the parties.

19. COURSE WORK FOR M.Phil./Ph.D. PROGRAMME: -

(a) All candidates admitted to M. Phil. or Ph. D. programme shall be required to complete prescribed course work within one year after registration for Ph.D. programme and within six months after admission to M.Phil. programme.

(b) The credit assigned to M.Phil. or Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.



(c) The course work shall be treated as prerequisite for M.Phil./Ph.D. preparation. A minimum of 4 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 public research in the relevant field, training, field work etc. Other courses shall be of advanced level preparing the students for M.Phil./Ph.D. degree. The details of all courses, syllabus of Research Methodology and other courses, their credits and evaluation methods are mentioned in Annexure III.

(d) M.Phil./ Ph.D. scholar is required 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 system wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation / thesis, **However, a relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled** and other categories of candidates as per the decision of the Commission from time to time.

Candidates already holding M.Phil. Degree through entrance test and having done the coursework as per UGC prescription shall be exempted from the course work on submission of the certificate of the course work.

(f) Place of the Course Work:

Course Work shall be conducted by the UGC-Human Resource Development Centre of Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur with final examination at the end of the course. It can also be done at NPTEL/Swayam platform for online certification or any other equivalent platform. Similarly, course work may be organized by Post-graduate Teaching Departments of the University. For the completion of course work the candidate must score 55% mark in the examination of concerned course work. The letter certifying the score card must be signed by the supervisor and shall be forwarded along with the attested copy of score card by the Head, place of research to the University.

(g) Course work done by any desiring person before registration to Ph.D. programme shall be treated as equivalent course work done, provide the coursework is in line with the details mentioned in this direction and the person is having certificates of completion of the course work at any of the place of course work mentioned in clause (f) above. After registration the candidate shall forward application through the head of Place of Research along with relevant certificates for exemption of coursework prescribed. The decision of the University to permit or not to permit the said course work in this regard shall be final and binding to concerned scholar.

(h) The Autonomous Colleges/Institutions shall permit the scholar to complete the coursework in online mode through SWAYAM/NPTEL platform. The score card with total credits for the coursework shall be submitted to the University by the Principal/Director of the Autonomous College/Institution.



**20. PLAGIARISM: -**

(a) Before submission of thesis to the University, all the M.Phil/Ph.D. students shall submit the soft copy of their thesis to the Coordinator, University Campus Library, Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur or any other person specified by the university for detecting plagiarism. The University Coordinator, University Campus Library, Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur shall issue the certificate of non-plagiarism through Urkund or equivalent system of UGC to the candidate after processing the M.Phil./ Ph.D. thesis. In case of registrations in the Autonomous Colleges I Institutions, before submission of the thesis to the Autonomous Colleges I Institutions, all the Ph.D. students shall submit the soft copy of their thesis to the Chairperson of concerned Board of Studies in the college /I Institution for detecting plagiarism. The Chairperson of concerned Board of Studies in the college / Institution shall issue the certificate of non-plagiarism through Urkund or equivalent system of UGC to the candidate after processing the Ph.D. thesis.

(b) The similarity checks for plagiarism shall exclude the following: -

i) All quoted work either falling under public domain or reproduced with all necessary permission and/ or attribution.

(ii) All references, bibliography, table of content, preface and acknowledgements

(iii) All similarities of minor nature.

(iv) All generic terms, laws, standard symbols and standard equations.

(c) If the similarity check for plagiarism more than 10% is detected and reported by the University Coordinator, university campus library, the candidate shall resubmit the thesis for plagiarism detection test. The candidate shall submit the thesis to the University only after he/she receives the Non-Plagiarism Certificate as per the report of the Sub-committee mentioned in Permissible plagiarism shall be as specified in UGC guidelines. Annexure IV.

The University Coordinator, University Campus Library, shall issue the requisite non plagiarism certificate, as far as possible, within the period of 30 days from the date of submission of the thesis and the candidate should apply at least 3 months before the expiry of registration.

In case of registrations in the Autonomous Colleges I Institutions, if plagiarism is detected and reported by the Chairperson of concerned Board of Studies in the college / Institution, the candidate shall resubmit the thesis for plagiarism detection test. The candidate shall submit the thesis to the Autonomous Colleges / Institutions only after he/she receives the Non Plagiarism Certificate as specified in UGC guidelines /this direction duly certified by the Head of Place of Research, as far as possible, within the period of 30 days from the date of submission of the thesis and the candidate should apply at least 3 months before the expiry of registration.

(d) The candidate shall not be entitled to claim extension of time permissible for submission of his /her thesis on the ground that some time was consumed by him/her in obtaining the non plagiarism certificate under this clause.



## 21. SUBMISSION OF THESIS: -

The Submission of thesis shall be on the following terms and conditions: -

(a) Every candidate registered for Ph.D. programme shall be allowed to submit his thesis only Thirty-Six months after the date of his registration. The candidate may submit the summary of his/her thesis thirty-three months after the date of his/her registration.

(b) At the most three months before the date of submission of the summary of the thesis, each candidate shall give a pre-submission presentation. The presentation shall be made before the Research Advisory Committee constituted for the subject or a group of subjects and shall be arranged by the Head of the place of research work, on the request of the candidate duly endorsed by the supervisor. The presentation shall be attended by the Head, place of research work, the supervisor, other research supervisor or teachers in the related subject at the place of research work and other Ph.D. Researchers. The organization of the presentation should be duly certified by Head, place of research work and the research supervisor (Annexure -V).

(c) Every candidate (Full time as well as part time) shall submit the proof of completion of the course work (Annexure-VI), the pre-submission seminar and publication of minimum two research papers (one of them should be in SCOPUS / WoS/ UGC Care listed journal as first author) and two paper presentations at International or National conferences (as first author), relating to the topic of his/her research at the time and along with the summary of the thesis, non-plagiarism certificate.

(d) After suitably incorporating the feedback and comments suggested during the pre-submission presentation in the draft thesis, in consultation with the Research Advisory Committee, the candidate shall submit to the Director, Board of Examinations and Evaluations or Principal / Director of the Autonomous Colleges /Institutions five copies of the summary of his/her thesis through his/her supervisor within three months from the date of presentation/ seminar.

(e) The final thesis shall be presented in accordance with the following specifications: -

(i) Five copies of the thesis in compact bound form along with a soft copy (CD/Pendrive), certificate of non- plagiarism issued by University Coordinator, University Campus Library, shall be submitted in the Ph.D. Cell of the University, through his/her supervisor and Head, place of research work.

In case of registrations in the Autonomous Colleges / Institutions, five copies of the thesis in compact bound form along with a soft copy (CD/Pendrive), certificate of non- plagiarism issued by the Chairperson of concerned Board of Studies in the college /institution through his/her supervisor to the Principal / Director. The Principal/Director of the Autonomous College/Institute shall submit the report of the cases of submitted thesis with details to the Director, Board of Examinations and Evaluations for recommendation of Referees by RRC for evaluation of thesis.

(ii) The paper used for printing shall be of A4 Size



..

(iii) Printing shall be in a standardized form on both sides of the paper and with minimum of one and half line spacing, maximum number of pages including all should be restricted to 500 pages (i.e., 250 papers).

(iv) A margin of minimum one-and-a half inches shall be on the left-hand side.

(v) The title of the thesis, name of the College/ Autonomous college / Institution, University, name of the concerned subject in which thesis submitted (like Economics, Political Science, Physics, chemistry etc.) name of the concerned faculty, name of the candidate, name of the supervisor and co-supervisor (if any), month and year of the thesis submission shall be printed on the title page and the front cover. (For specimen see an Annexure- VII)

(f) The thesis shall include a Certificate of the supervisor (Annexure - VIII ) and a Declaration by the candidate (Annexure-IX) 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 as well as an undertaking to vouch that there is no plagiarism & that the work has not been submitted for the award of any other degree / diploma of any other university or any other institution.

(g) The thesis shall be written in English/Marathi Hindi, except where it relates to for eignor other Indian Languages. In the discipline of Science, Law, Engineering and Technology, Pharmaceutical Science the thesis shall invariably be written in English only.

## **22. APPOINTMENT OF REFEREES: -**

(a) On receipt of the copies of the summary of the thesis or summary and thesis, the same shall be placed before the relevant Research and Recognition Committee, within three months for recommending panel of referees, comprising not less than six referees, for evaluation of the thesis, in an alphabetical manner with their full addresses, area of expertise, e-mail addresses, telephone numbers, mobile numbers and pin codes for correspondence.

The supervisor, shall propose a panel of referees, for external evaluation of the thesis, comprising of not less than ten referees related to the specialization of the thesis, not below the rank of Associate Professor/Equivalent grade with their full address, expertise area, pin code, e-mail, telephone/cell number, fax number (if any), the names proposed in the list by the supervisor shall not be binding on the RRC, the RRC may recommend different names. The RRC shall recommend two panels of three referees each. First panel shall include the referees from within Maharashtra State (not belonging to the jurisdiction of this University and not associated with the University) and the other panel, from outside the State/India.

Provided firstly, that the RRC shall recommend the panel in such a way so as to include at least two referees within the State but out of the territorial jurisdiction of this University and at least four referees outside the state or outside the country, if available. Provided secondly, that if the referees within the State are not available the panel shall be recommended so as to have all the referees outside the State of Maharashtra.





Provided thirdly, that if language of thesis is Marathi and referees are not available out of the state or outside the country, the panel shall be recommended so as to have all six referees within the state of Maharashtra.

(b) The panel recommended by the RRC shall be placed before the Vice-Chancellor for his approval in terms of the provisions of section 37(2)(b)(ii) read with section 12(13)(e) of the Act.

(c) The Director Board of Examination and Evaluation of the University shall send the panel of referees approved by the Vice Chancellor with respect to the scholars registered in the autonomous college/institution to the concerned Principal /Director for further actions.

### **23. EVALUATION OF THE THESIS: -**

(a) The Ph.D. thesis submitted by the research scholar shall be evaluated by three examiners (referees), one within the state of Maharashtra but outside the jurisdiction the University and two from outside the State of Maharashtra or the country (wherever available)

(b) After the candidate has submitted copies of thesis and the University has appointed category-wise referees, the Director Board of Examinations and Evaluation or Principal / Director of Autonomous Colleges /Institutions, as the case may be, shall preferably within one week from the date of appointment of referees initiate the process of thesis evaluation by sending the letters along with the copy of the summary of the thesis to the referees. For this the referees shall be communicated through official e-mail and also by surface mail requesting them to communicate their consent for evaluation of thesis within fifteen days. In addition, the University or Autonomous Colleges / Institutions shall take care to remind the referees telephonically. If such consent is not received within thirty days from the date of communication, the Ph.D. Cell of the University or Autonomous Colleges I Institutions shall send the letter for consent to the next referee from the panel. If the referee fails to convey his acceptance within 30 days, the office of the Ph.D. Cell or Principal I Director of Autonomous Colleges / Institutions shall send a reminder to the referee through email to send the acceptance letter immediately. In case, the complete panel is exhausted, the fresh panel shall be requested from the RRC.

(c) Where the referee has accepted to examine the thesis, the office of Ph.D. Cell or Principal /Director of Autonomous Colleges I Institutions shall forward the soft copy of thesis to him/her through email (and parallel a hard copy through surface mail) within one week after receipt of letter of acceptance and shall request the referee to submit the report within 45days through email from the receipt of the thesis.

(d) The referees shall send their reports in the prescribed format to the Office of the Ph.D. Cell or Principal/Director of Autonomous Colleges/Institutions within forty five days from the date of receipt of the thesis. If the referee fails to do so, the office of the Ph.D. Cell or Principal/Director of Autonomous Colleges/Institutions shall send reminders through email &phone calls immediately after the expiry of the said period· and request him/her to submit the report within thirty days. If the concerned referee fails to comply even within the extended period, office the Ph.D. Cell, Principal/Director of Autonomous Colleges/Institutions shall cancel his/her appointment (the Ph.D. Cell shall forward names of all such referees to the Director Board of



Examinations) and invite the next referee from the category of approved list to evaluate the thesis.

(e) The evaluation reports received from all or at least two referees shall be opened simultaneously in presence of the Pro-Vice-Chancellor of the University or Principal/Director of Autonomous Colleges/Institutions for further action within one week. If both the referees recommend acceptance of thesis further process will be initiated without waiting for the report of third referee. If any of the two referees recommend modifications or rejection, process will be initiated after receipt of report from third referee.

(f) The candidate shall be declared eligible for appearing in open viva-voce test if all the three or at least two referees recommend the acceptance of the thesis. If two referees out of the three rejects the thesis the candidate shall be declared to be ineligible for award of the Ph.D. degree.

(g) If more than one of the referees recommend revision of the thesis, then the candidate shall submit revised thesis (five copies) within 12 months from the date of the communication by the office of Ph.D. Section or Principal/Director of Autonomous Colleges/Institutions and the revised thesis shall then be sent to the original examiner/s who suggested revision and be subjected to the process of evaluation and conduct of viva-voce test.

(h) If out of three referees, one recommends the acceptance of thesis, the second recommends rejection and third referee recommends revision then the following procedure shall be followed;

(i) The original thesis shall be sent to the next examiner (fourth) in order of preference of the same category for evaluation.

(ii) The recommendation of referee for revision will be considered and thesis will be sent back to the candidate for revision who shall submit revised thesis (four copies) within 12 months from the date of communication by the office of Ph.D. Cell or Principal/Director of Autonomous Colleges/Institutions. The revised thesis shall be sent back to the concerned referee who suggested revision for evaluation.

(iii) If after following the procedure under (a) and (b) above, the thesis is accepted by at least two examiners, and then the candidate shall be declared eligible for appearing in the open viva voce test.

(iv) If the fourth examiner recommends revision, the same procedure stipulated above shall be followed. If, however, the fourth examiner rejects the thesis the candidate shall be declared to be ineligible for the Ph.D. degree.

(v) After ascertaining that reports are favorable, the office of the University shall arrange the viva-voce and the defense of the thesis on the earliest date suitable to the geographically nearer external examiner and the Head, Place of Research work who will act as Chairperson. In case of the autonomous college or Institution the Principal /Director shall arrange the viva-voce and the defense of the thesis. In case the Head of place of research work is not available, he shall nominate another research supervisor as Chairperson for the defense. The office of the Ph.D. Cell or Principal/Director of Autonomous College/Institution shall make the reports available to



the Chairperson a day before the date of the viva-voce. In case of any difficulties in the University systems, the Dean of the concerned faculty shall take appropriate decision.

(vi) The supervisor of the candidate shall be the internal referee only for open viva/ voce and defense.

#### **24. VIVA-VOCE AND OPEN DEFENSE OF THE THESIS: -**

(a) The day, date, time and the place for the viva voce and the open defense of the thesis shall be notified by the Office of the Ph.D. Cell or Principal/Director of Autonomous College/Institution preferably eight days in advance. Normally the viva voce and the open defense of the thesis shall be arranged at a place of research approved by the University.

(b) The open defense of the thesis shall take place in presence of supervisor (internal referee), one external examiner and the Head, place of research work who shall jointly evaluate the performance of the candidate. Such open defense viva voce examination shall be open to be attended by Deans/Dean's nominee, members of Research Advisory Committee. Faculty members, research scholars and other interested experts, researcher and/or the P.G. students.

In case of any difficulty, in the University system Dean of the concerned faculty shall take the appropriate decision. The Head of the University Department/Principal of the place of research work shall act as the Chairman of the Open defense.

(c) If the external referee is unable to be present at the time of the viva-voce and open defense, the Vice-Chancellor, on the recommendation of the supervisor and the Dean of the concerned faculty, shall appoint a senior research supervisor to act as an external referee for the viva-voce and open defense of the thesis. In case the internal referee is not available, the Vice-Chancellor shall appoint one of the senior research supervisors as an internal referee, on the recommendation of the Dean of the concerned faculty and the Head, place of research work.

(d) The referees present for the viva-voce and the open defense of the thesis shall submit to the office of the University their final report in written form duly signed by them, immediately after the viva-voce and open defense is over, along with the copy of the thesis, through the Chairperson of the Viva-voce and open defense, about the award of Ph.D. Degree. The office of the Ph.D. cell shall place the reports of the referees and also the report of the viva-voce and open defense of the thesis before the Pro-vice-chancellor for his/her acceptance and release of notification within 15 days.

In case of the Autonomous Colleges/Institutions, the referees present for the viva-voce and the open defense of the thesis shall submit to the Controller of Examinations in the Autonomous College/Institution their final report in written form duly signed by them, immediately after the viva-voce and open defense is over, along with the copy of the thesis, through the Chairperson of the Viva-voce and open defense, about the award of Ph.D. Degree. The Controller of Examinations in the Autonomous College/Institution shall place the reports of the referees and also the report of the viva-voce and open defense of the thesis before the Principal/Director for his/her acceptance. The Principal of the Autonomous College/Institution shall forward the reports in sealed envelope to the Director Board of Examination and Evaluation of the



University, notification of award of Ph.D. degree shall be taken out by the Ph.D. cell of RTM Nagpur University for the release of notification within 15 days.

( e) In case the viva-voce and open defense is not satisfactory the referees may unanimously recommend, with reasons that a fresh viva-voce and open defense of the thesis be organized within a period of not less than one month. If the viva-voce and open defense is still not satisfactory the committee would record the reasons for the same and refer the matter to the Board of Examinations and Evaluation in case of the University and Principal/ Director of Autonomous College / Institution for consideration and appropriate decision.

(f) The result shall be officially declared by the office of the Ph.D. Cell within 15 days from the date of submission of the report to the Ph.D. cell.

#### **25. CERTIFICATION: -**

The University shall issue to the candidate a certificate signed by Dean of the concerned faculty certifying that the Ph.D. research has been done in accordance with the UGC Regulations, 2016, issued by the UGC as per the Notification dated 5th May 2016 and published in Gazette of India on 5th July 2016. This may be included in the notification or may be issued along with the notification.

#### **26. CONFERMENT OF M.Phil. / Ph.D. DEGREE: -**

Ph.D. degree shall be conferred on the candidate in the ensuing convocation of the university under the signature of the Vice-Chancellor.

#### **27. STANDARD OPERATING PROCEDURES: -**

For improving systems in the Ph.D. programmes. standard operating procedures (SoP) as laid down in Annexures -X and formats as given in Annexures- SOP 1 to 4 shall be used by all concerned. Autonomous Colleges / Institutions shall develop standard operating procedures in line with the SoPs detailed in this direction; get them approved by respective statutory bodies before implementation.

#### **28. DEPOSITORY WITH UGC: -**

Following the successful completion of the evaluation process and announcements of the award of Ph.D. Degree, unless the researcher and or the research supervisor has lodged their objection at the time of submission of his/her thesis, the University shall submit an electronic copy of the Ph.D. thesis to the In-charge of Shodhganga, RTM Nagpur University, within a period of thirty days, for hosting the same in INFLIBNET accessible to all Institutions/Universities under UGC norms.

#### **29. CLAIM FOR INTELLECTUAL PROPERTY RIGHTS**

Wherever any intellectual property is acquired by using the outcome of the research, carried out by a research scholar by virtue of his/her registration for research under this Direction, by the research scholar or his/her supervisor either solely or jointly or by any third person through them the University shall invariably have a proportionate ownership right in such intellectual property



in terms of the Research Policy and Intellectual Property Rights of the University, unless the claim is waived explicitly by the University.

30. **REPEAL:-** From the date of issuance of this Direction the Direction no. 11/2021 shall stand repealed. However, notwithstanding the repeal of the said Direction all the measures/steps/actions taken by the University in pursuance of the provisions of the said Direction shall be valid and binding on all the stake holders including the students who had appeared for the PET Examination conducted by University in pursuance of the said Direction.

31. **SAVING CLAUSE: -**

Notwithstanding anything contained herein, all cases in which registration for M.Phil./Ph.D. has already been granted under earlier Ordinances/Directions, the same shall continue to be governed by the respective Ordinances and Directions, including the procedure for submission of the thesis and its evaluation, notwithstanding their repeal or lapse.

**NAGPUR**

**DATED: 11 – 10 - 2021**



**(Dr. Subhash R. Chaudhari)**  
**Vice-Chancellor**

