



NAAC 'A' Grade
(3rd Cycle)

RULES AND PROCEDURE FOR
THE AWARD OF DEGREE OF
DOCTOR OF PHILOSOPHY (Ph.D.)

NORTH MAHARASHTRA UNIVERSITY, JALGAON

NOTIFICATION 1/2017 Ph.D. Section w.e.f. April 2017
As per Academic Council Resolution V.P.A.-64/2017 date: 22/05/2017

- Reference:**
- 1) University Grants Commission's minimum standards and procedure for awards of M. Phil/Ph.D. degree Regulation, 2009 published in the Gazette of India, No. 28 dated July 11-17, 2009 in Part III, Section 4.
 - 2) Revised rules for Ph.D. issued vide circular No. 107/2010, dated 21.06.2010.
 - 3) Revised rules for Ph.D. issued vide circular No. 147/2012, dated 31.07.2012.
 - 4) University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D Degrees) Regulations, 2016 published in the Gazette of India, No. 278 in Part III, Section 4, dated July 5, 2016.

Preamble:

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

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

1. Eligibility criteria for admission to Ph.D. programme:

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

- 1.01 Candidate 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.

- 1.02 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/NT/OBC (non-creamy layer)/differently-abled and other categories of candidate as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
- 1.03 Candidate who have cleared the M.Phil. Course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the North Maharashtra University. 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/NT/OBC (non-creamy layer)/differently-abled and other categories of candidate as per the decision of the Commission from time to time.
- 1.04 An M.Phil./M.Tech./M.E./M.Pharm. student of North Maharashtra University whose M.Phil./M.Tech./M.E./M.Pharm. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme.
- 1.05 Candidate 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.
- 1.06 Persons holding the rank of Asstt. Director/Scientist B or above and working in National Laboratories / Institutes / Government/Private Organizations nominated/sponsored by the respective employer, shall be eligible for admission to Ph.D. programme.

Above mentioned rules are also applicable to the foreign candidate who has obtained a Masters' Degree from the statutory Indian Universities.
- 1.07 Persons with exceptional abilities who have passed Graduate Degree Examination with **55 %** of marks and with 15 years' experience after graduation in related fields at the discretion of the Vice-Chancellor.
- 1.08 Graduate Senior citizen of age 60 years and above in exceptional cases at the discretion of Vice-Chancellor.
- 1.09 The members of the Institute of Chartered Accountant and / or Institute of Cost and Works Accountant and / or having qualification of Institute of Company Secretaries of India shall be considered eligible for registration for Ph.D. in any subject in the faculty of Commerce and Management provided that they possess a Bachelor's Degree of any statutory University.

- 1.10 Applications for research in inter-disciplinary areas satisfying rule 1.2 above and applicants belonging to a faculty or subject other than the faculty or subject in which the research is proposed and from international candidate (those who have not obtained the Master's degree from Indian Universities) shall be considered on the basis of the proven ability and aptitude of the researcher for such kind of research. The decisions in this regard shall be taken by the concerned Research and Recognition Committee (RRC)/ Interdisciplinary Research Board after presentation by the research student. In such cases, the guide should be from the subject in which the candidate has completed his/her Master Degree and the Co-guide from the allied subject. The guide and co-guide for one particular thesis cannot be from same subject.
- 1.11 Admission for Ph.D. degree to foreign candidate who has obtained Master's degree from Indian Universities or Foreign Universities with at least 55 % marks or equivalent CGPA shall be governed by International Students Cell of the University.
- 1.12 The candidate having passed Masters' degree (Partly by Paper Partly by Research) from North Maharashtra University, Jalgaon.

2. Eligibility criteria for Research Guide, Co- Guide, Number of M.Phil./Ph.D. scholars permissible per Supervisor, etc.

- 2.1 Any regular Professor of the North Maharashtra University/ affiliated colleges and Institutions with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the North Maharashtra University/ affiliated colleges and Institutions with a Ph.D. degree and at least two research publications in refereed journals after completion of Ph. D. other than his/her Ph. D Work may be recognized as Research Guide. For application form refer the **Annexure- I**.

If any Assistant Professor has applied for research guide, he/she should have minimum 5 years teaching experience at university/affiliated college or institution.

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 Guide with reasons recorded in writing.

- 2.2 Only a full time regular teacher of the schools and affiliated colleges of North Maharashtra University can act as a Guide. The external guides are not allowed. However, Co-guide can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the recommendation of the RRC.
- 2.3 A Research Guide/Co-Guide who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and eight (8) Ph.D. scholars. An Associate Professor as Research Guide can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Guide can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.

3. Duration:

- 3.1 Ph.D. programme shall be for a minimum duration of three years from the date of registration, including course work and a maximum of six years.
- 3.2 Extension beyond the above limits up to a maximum period of 2 year can be given only if considerable work has been done by the candidate.
- 3.3 The women candidate and Person with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in addition to the maximum duration. In addition, the women candidate may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

4. Admission:

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

- 4.1.1 The candidate who are fulfilling the above criteria mentioned in (1) and qualified the Ph.D. Entrance Test (PET) devised and conducted by the North Maharashtra University, Jalgaon and those who are exempted under provision 4.1.2 & 4.1.3 as below.
- 4.1.2 The candidate who have qualified GATE/GPAT and SET/NET/JRF examinations of the apex bodies such as CSIR /UGC /ICAR /ICMR /DST/DBT or awarded with International/National/State level Fellowships having willingness letter of Research Guide. Such students are exempted from PET and shall fill-up online Ph.D. admission application form and submit online generated application to the Ph.D. Section. The students will be given provisional admission to Ph.D. as per approval of the Vice-Chancellor.
- 4.1.3 The Foreign and NRI students shall submit required documents including willingness letter of Research Guide to International Students Cell for verification and then to Ph.D. Section.

Once, the International Students Cell recommends admission of the student, he/she needs to fill up online Ph.D. admission application form and shall submit online generated application to the Ph.D. Section. The students will be given provisional admission to Ph.D. as per approval of the Vice-Chancellor.

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

An Entrance Test will be conducted in an online mode/process [at the center(s) assigned by the university]. The schedule will be displayed on University Website along with the Notification separately. The faculty wise and subject wise list of guide/s along with the seat/s vacancy will be displayed on university website before the conduct of the PET.

Online application for Ph.D. admission is compulsory for candidate willing to appear for PET as well as candidate claiming exemption from PET.

5.1 Structure of the Entrance Test:

There will be two papers i.e. Paper-I and Paper – II for the Online Entrance Test. The syllabi of Paper-I and Paper-II for various subjects covered under different Boards and Faculties are available on University website.

Paper – I: General Aptitude Test and Paper – II: Subject Specific Test.

These papers will have 50 questions each with multiple choice: Paper-I covering logical reasoning, numerical ability, reasoning, language aptitude and Paper-II is subject specific. Each correct answer carries 2 marks. There will be no negative marking system. Time duration for each paper is 60 minutes and will be conducted in online mode.

The Paper-II of Online Entrance Test will be displayed on the computer, **only** for the candidate who qualifies the Paper-I.

Candidate who scores 50 % marks and above (45 % marks and above, in case of reserved category candidate) in both the papers will be declared as PET Qualified.

5.2 Exemption from Entrance Test:

The candidate fulfilling one of the following conditions will be exempted from Ph.D. Entrance Test.

5.2.1 Candidate who has qualified GATE/GPAT and SET/NET/JRF examinations of the government affiliated bodies such as CSIR/UGC/ICAR/ICMR/DST/DBT or awarded with International/National/ State level Fellowships.

5.2.2 Person nominated/sponsored, with exceptional abilities and Senior Citizen as mentioned in 1.6, 1.7 and 1.8 on the recommendation of concerned RRC and approval of Vice-Chancellor.

5.2.3 A) Approved (unconditional) Teacher/Librarian/Physical Director working in the affiliated college/recognized institute of North Maharashtra University, Jalgaon having at least 5 years' experience at U.G. /P.G. level.

B) Approved (unconditional) Teacher with M. Phil. degree working in the affiliated college and institute of North Maharashtra University, Jalgaon and student having M.Phil. degree of North Maharashtra University, Jalgaon.

5.2.4 Foreign and NRI student after recommendation of International Students Cell.

5.2.5 Chartered Accountant and / or I.C.W.A. and / or Company Secretary who possesses a Post Graduate Degree of any statutory University.

5.2.6 Non-teaching staff of the North Maharashtra University, Jalgaon who have secured Post-Graduate degree and having 10 years of experience and with the approval of Vice-Chancellor.

5.3 Declaration of list of eligible candidate:

The subject wise lists of eligible candidate and exempted candidate will be displayed on university website after scrutiny of received applications for PET and exemption.

5.4 Schedule of Entrance Examination:

Entrance Test for Ph. D. programme will be conducted once in every year. The detail schedule of PET will be published well in advance along with subject-wise syllabi on the University website (www.nmu.ac.in).

5.5 Conduct of PET and Declaration of result:

The candidate eligible for PET will be communicated by SMS to download their hall ticket from their individual login.

As per the date, time and venue mentioned on hall ticket, the candidate has to appear for PET.

The list of PET qualified candidate will be published on the University Website.

The score of Paper – I will be valid for next two consecutive attempts from the date of declaration of result to appear for Paper-II and the score of PET will be valid for next three consecutive years.

6.0 Guide allotment:

The guides for PET qualified and exempted candidate will be allotted by the University as per vacancy of guides. The PET qualified students are eligible for guide allocation for **three** consecutive years.

The Faculty-wise and Subject-wise Guide Allotment Interview schedule will be displayed on University Website along with the Notification.

6.1 Allocation of Research Guide:

6.1.1 The allocation of Research Guide will be done by the constituted committee consisting of –

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|-------|--|------------|
| (i) | Dean of the concerned faculty | - Chairman |
| (ii) | Vice-Chancellor's nominee in the relevant subject | - Member |
| (iii) | Director of the concerned School | - Member |
| (iv) | Chairman, Board of Studies in the concerned Subject. | - Member |

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

- 6.1.2 The committee constituted as above shall allocate Research Guide/Co-guide (if applicable) to the candidate on the basis of interview in a formal manner for which the willingness of the guide / co-guide is essential.
- 6.1.3 Reservation Policy of State of Maharashtra shall be strictly followed for Ph.D. admission. However, the candidate from other than Maharashtra State Universities will be considered as open category.
- 6.1.4 The candidate who has applied under reservation category should bring his / her Domicile Certificate along with Caste Certificate and Non-creamy Layer Certificate, wherever applicable issued by Competent Authority.
- 6.1.5 Student working at National Laboratory/Institute may be permitted for registration with a Co-guide from same research place.

7.0 Provisional Registration:

The candidate who has been allotted Guide/Co-guide will be given provisional admission to the Ph.D. course and such letter will be issued to his/her individual login.

8.0 Supervision:

- (a) A Research Guide/Co-Guide who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Guide can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Guide can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.
- (b) In case, the guide of the candidate leaves the University/College/Institute or retires from service but continues to be the research guide of the university, the registered candidate who has completed two years, will be allowed to complete his/her work under the same guide.
- (c) Change of Guide: Normally a candidate shall be required to complete his/her doctoral research under the supervision of the guide recommended by the guide allocation committee for admission. However, the RRC may allow change of guide on the production of a 'No Objection Certificate' from the first guide and the acceptance letter (willingness letter) from the new guide. In case of such change, the candidate shall work, for a minimum period of one calendar year under the new guide before he/she submits the thesis.

- (d) In case of a dispute between a candidate and his guide, the RRC / Committee consisting of the following, shall examine the matter and then report to the Ph.D. Section of the University.
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|------|---------------------------------------|----------|
| i) | Dean of the concerned faculty. | Chairman |
| ii) | Chairman of BOS of concerned subject. | Member |
| iii) | One member of the concerned RRC. | Member |

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

If the matter is not resolved by the committee, the candidate may appeal to the Vice-Chancellor.

(e) **Research Advisory Committee (RAC):**

The constitution of the RAC committee is as below:

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|----|---|---------------|
| 1. | Director of the School/concerned Head of the Department or Principal of the concerned College | - Chairperson |
| 2. | Two approved research supervisors in the concerned subject | - Member |
| 3. | Research Supervisor/Guide | - Convener |

This 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.
- iii) To review periodically and assist in the progress of the research work of the research scholar.
- iv) A research scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for valuation and further guidance. The recommendations of six monthly progress reports shall be submitted by the RAC to the Institution/ College and research scholar shall submit the scanned copy of the progress report through login within one month from the due date, otherwise entitled to pay the prescribed late fee.
- v) In case the progress of the research scholar is unsatisfactory, the RAC shall record the reason/s for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend to the Institution/College and Ph.D. Section of the

University with specific reason/s for cancellation of the registration of the research scholar.

- vi) If a candidate fails to submit three reports consecutively, his/her registration shall liable to be cancelled. Online auto-generated letter will be issued to the login of candidate and guide and also SMS alert will be sent. However, candidate will be allowed to continue his/her research only on the recommendation of RAC, Dean of the faculty and Ph.D. section of university after the approval of the Vice-Chancellor, if he/she applied for continuation within one month from the date of letter.

9.0 Pre-Ph.D. Theory Course:

- 9.1.1 The Pre-Ph.D. Theory Course Work is compulsory to each provisionally registered student and the duration is of one semester. The candidate eligible for Pre-Ph.D. Course Work examination is required to qualify the Papers PP-01, PP-02, and PP-03 successfully. The course work is of 12 credits and the bifurcation of credits is as mentioned below,

Course No.	Contents	Credits
PP-01	Research Methodology	4
PP-02	Subject specific course	4
PP-03	Research topic based course	4

- 9.1.2 The programme, pattern and syllabus of Pre-Ph.D. Theory Course work will be declared from time to time on the University website.
- 9.1.3 The syllabus of the PP-01- Research Methodology covers areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. for following faculties,

- Faculty of Science & Technology
- Faculty of Commerce & Management
- Faculty of Humanities
- Faculty of Inter-disciplinary Studies

The Examination of Pre-Ph.D. Theory Course Work No. PP-01 will be conducted by the University at the centers notified from time to time.

Exemption for PP-01 shall be granted to only that candidate who has passed in Research Methodology course in M. Tech / M.Phil. Degree; however, he / she has to apply for the same.

- 9.1.4 The university prescribed syllabi for PP-02 is available on website and the research guide shall counsel the student for study of this paper. The research guide shall submit the Completion Certificate through Research Advisory Committee (RAC) of the research Centre to the Ph.D. section of university. Refer the Annexure- II.

- 9.1.5 The Research Guide should conduct theory course PP-03 and submit the marks obtained by the student to Ph.D. Section.
- 9.1.6 For Visually Handicapped (VH) candidate thirty minutes extra time shall be provided separately for PP-01 and PP-02. They will also be allowed the services of assistant to scribe who would be a graduate in a subject other than that of the candidate. Those Physically Handicapped (PH) candidate who are not in a position to write in their own handwriting can also avail these services by making prior request (at least one week before the date of theory examination) in writing to the Ph.D. section of the university. Extra time and facility of scribe would not be provided to other Physically Handicapped candidate.
- 9.1.7 There will be two objective type papers PP-01 and PP-02, which will be conducted in one session by the university. There will be no negative marking for these papers.
- 9.1.8 The Research Guide will conduct/supervise the Course PP-03. The marks of this course will be submitted to Ph.D. section of university through Director/Principal of the concerned School/Department/Colleges. The details for conducting of Theory Course PP-03 are as below:
- The Research area based course (PP-03) is based on related research area for its examination for which the guide should ask the student to prepare and deliver TWO seminars of one hour duration each using LCD and submit the reports. The candidate will have to write Review article on his own research area. The weightage for each seminar will be of 40 marks and 20 marks for review article.
 - The guide will have to submit CD of Seminar Report and review article along with marks statement (Refer Annexure- III) to Ph.D. section of university through the Director of the School/ Principal of the College in or before one month, after completing six months from the date of registration.

The evaluation of the seminar components should be based on following four heads:-

Sr. No.	Heads	Marks	Evaluating Authority
1	Performance of the student in the collection of reference materials for seminar	10	Concerned Guide
2	Content of the seminar	10	
3	Performance in presentation	10	
4	Viva-voce	10	
	Total marks	40	

Standard of passing

A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever

grading system is followed) in the course work (Subjects PP-01, PP-02 and PP-03) in order to be eligible to continue in the programme and submit the dissertation/thesis. 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/NT/OBC (non-creamy layer)/differently-abled and other categories of candidate as per the decision of the Commission from time to time.

9.1.9 Grades for Pre-Ph.D. theory course work

Marks for each Pre-Ph.D. theory course work would be converted into grades as per 7 point scale. The candidate having grade below B (CGPA) shall have to obtain minimum B grade within next two consecutive attempts.

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

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

9.1.10 Confirmation of Admission:

- i) The admission of the candidate for the Ph.D. degree shall be considered as confirmed only after successful completion of the Pre-Ph.D. theory course work, followed by presentation of Outline (Research Proposal) before RRC.
- ii) The applicant shall be required to make a brief presentation before the concerned RRC. The date of meeting of the committee for the presentation shall be communicated at least 15 days in advance by circular on university website/SMS/letter/fax/e-mail to the applicants.
- iii) The committee will prepare a report on the basis of presentation. In case of any suggestions given by the committee for improvement in the topic of research, the candidate shall make changes in consultation with the guide accordingly in the research proposal (research outline) within one month from the date of presentation. On the recommendation of the Head of the concerned University Department, the Chairman (BOS) in the concerned subject and Dean of concerned faculty the revised research outline will be approved.
- iv) The date of registration will be considered from the date of allotment of the guide and the date of presentation before RRC will be considered as date of approval of research title.

- v) After receipt of registration letter, the candidate has to apply for eligibility within **one month** from the date of issue of the said letter. For eligibility form, refer the Annexure - IV.
- vi) The candidate registered provisionally, whose research title has been approved by the RRC, shall submit progress report through RAC, after every six month (within lien period of 01 month) from the date of approval of research title. For the format of progress report, refer the Annexure- V.

9.1.11 As per the provision in the Ordinance No. 116, no candidate shall be allowed to register simultaneously for regular Ph.D. and for any other regular degree course in the same or different University.

10. Additional Ph.D. degree:

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

11. Validity of registration and extension:

The date of provisional admission shall be the date of registration which shall be valid for 6 years. Extension up to a maximum period of 2 year can be given only if considerable work has been done by the candidate. The concerned candidate must submit the application to Ph.D. section of university for extension through his guide and the Head of the place of research at least 2 months before the expiry of the registration period. On the basis of the recommendation of Dean of the concerned faculty, Vice-Chancellor may grant the extension. If, extension granted, candidate has to pay the fees prescribed by the university. After completion of this period, the registration of the candidate automatically stands cancelled.

The candidate who submits the synopsis of the Ph.D. thesis on or before the date of completion of six years and also in position to submit draft thesis within three months and shall submit the final thesis within six months from the date of submission of synopsis, need not apply for extension. However, the candidate has to pay the retention money (yearly fees), otherwise he/she is entitled for the late fee as prescribed by the university [Please refer 15 c (ix)].

12. Fee structure and late fee for the delay:

The fee structure and late fee, during the process for Ph.D. degree will be as prescribed by the University authorities from time to time.

The prescribed fees after provisional and confirmed registration shall be paid within the due date as mentioned in the issued letter, otherwise candidate shall be entitled to pay the late fee.

Any fees/late fee paid for the admission will not be refunded.

13. Change in the title of topic of research:

- a) Modification of the title will be allowed with the consent of the guide and approval by the Dean of the concerned faculty.
- b) If the change in the title of the topic of research involves an altogether different topic from what he/she was registered, the candidate shall not be allowed to submit his/her thesis unless he/she works for a period of two years i.e. for the minimum period prescribed for Ph.D. study from the date of approval of the new topic by RRC.
- c) If the title of thesis does not match with the approved title of research topic by RRC, then the candidate shall have to submit his/her application to the Ph.D. section of university. duly recommended by research guide for the approval of the Vice-Chancellor.

14. Place of work:

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

15. Submission and Evaluation of Thesis:

(a) Submission of Synopsis:

- (i) The submission of synopsis of Ph.D. thesis may be permitted only after completion of 24 months from the date of approval of Research Title with successful completion of Pre-Ph.D. theory course work.

The satisfactory remarks of RAC should be considered, before issuing the permission letter, to submit the synopsis.

- (ii) The candidate can be allowed to submit his/her synopsis after a period mentioned above if he/she has submitted all “six monthly” reports and must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars and produced evidence for the same in the form of acceptance letter or the reprint. The submission of the synopsis should be made within one month from the date of issue of the permission letter, otherwise candidate shall be entitled to pay the late fee as prescribed by the university.
- (iii) The synopsis should contain introduction, chapter-wise brief account of the work done and overall conclusion.
- (iv) The candidate should submit the synopsis through his/her individual login, after getting permission from Ph.D. section of the University.

(b) Compilation of thesis:

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

- (i) The paper used for printing shall be of A4 size.
- (ii) Printing shall be in a standardized form on both the sides of the paper and in 1 ½ /double spacing. [For synopsis and Pre-Ph.D. thesis(Draft) also]
- (iii) A margin of 1 ½ inches shall be on the left and right hand sides and 1 inch on top and bottom sides.
- (iv) The card page for cover shall not be more than 330 gsm.
- (v) The title of the thesis, name of the University, degree, name of the candidate, name and affiliation of the research guide, place of the research work, and the month and year of submission shall be printed on the title page and on the front cover.
- (vi) The order of initial pages of the thesis shall be in following routine:
 - ❖ Front page (Black Leather cover) with golden embossed text and then Title page; both with same text as per Annexure- IX.
 - ❖ Certificate of Guide mentioned with the standards of research.
 - ❖ Declaration of Research Scholar mentioned with the standards of research.
- (vii) Side cover should mention ‘Ph.D. thesis’ on the top, ‘Name of the candidate’ and ‘month’ and ‘year’ at bottom. The horizontal space between this shall include the ‘research title’.
- (viii) The fonts for English typing shall be “Times New Roman” (Font size 12 for subject text, 14 ‘Bold’ for Title/sub title and 16 ‘Bold’ for Chapter Title) and for Marathi “Devanagari” (Font size 14 for subject text, 16 ‘Bold’ for Title/sub title and 18 ‘Bold’ for Chapter Title).

(c) Submission of Thesis:

- (i) The candidate should prepare and submit draft thesis (in a spiral bound form) within three months from the date of submission of synopsis, otherwise candidate shall be entitled to pay the late fee as prescribed by the university.
- (ii) The thesis shall be written in English/Marathi/Hindi/Urdu as per the medium of instructions selected for the study.
- (iii) The thesis shall include a Certificate of the guide endorsed by the Director of the School/ Principal of the affiliated college/institute (Refer the Annexure- VII) and a Declaration by the candidate (Refer the Annexure- VIII) 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.
- (iv) Prior to submission of thesis (in final form), the candidate shall make a pre-submission presentation before the constituted committee consisting of:-
- | | |
|---|------------|
| (a) Professor/Head of the concerned University Department | - Chairman |
| (b) Subject Expert nominated by Pro-Vice Chancellor | - Member |
| (c) Chairman, B.O.S | - Member |
| (d) Research Guide | - Member |

In case of non-availability of member from University Department in the concerned subject at the University campus, one expert from respective subject from University jurisdiction will be nominated as a Chairman by the Pro-Vice-Chancellor. Then, the said committee will be approved by Vice-Chancellor.

- (v) The pre-Ph.D. presentation shall be open to all faculty members and research students, for getting related feedback and comments should be suitably incorporated into the thesis under the advice of research guide.
- (vi) The candidate should incorporate all the corrections; if any, as suggested by the committee after the Pre-Ph.D. presentation.
- (vii) The thesis shall be submitted in soft form along with two Compact Discs (CDs) in PDF format, as per the format issued by UGC-INFLIBNET center (Shodhganga). Refer the Annexure - VI.
- (viii) The candidate shall submit four copies of his/her final thesis along with 'No Dues' certificate (mandatory), to the Ph.D. section of the university.

- (ix) The candidate should submit his/her final bound copy of the thesis within the period of three months from the date of pre-submission presentation, failing which the candidate will have to pay the prescribed late fee for late submission. Late submission of thesis with late fee shall be allowed up to the completion of one year from the date of submission of the synopsis or till the expiry of the registration period, whichever is earlier.

(d) Appointment of Examiners:

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

(e) Evaluation:

- (i) After appointment of the external referees (two from Maharashtra State and two from outside of Maharashtra State) by the Vice-Chancellor, synopsis will be sent to the external examiners in the order of their appointment (one from Maharashtra State and one from outside of Maharashtra State) by e-mail for his/her consent to evaluate the thesis. If external examiner(s), does not reply within 15 days from the receipt of e-mail, it will be assumed that he/she is not willing (non-acceptance) to assess the doctoral dissertation and the synopsis will be send to next examiners in their order of appointment.
- (ii) After getting willingness from first two external examiners (one from Maharashtra State and one from outside of Maharashtra State) by e-mail or phone, the Hard copy or soft copy of the thesis in PDF format will be sent to them for the evaluation, by post or e-mail, respectively, along with prescribed format of evaluation sheet(s).
- (iii) The external examiners shall independently send their detail reports and evaluation sheet(s) in the prescribed format to the Ph.D. section of university and copy to guide within forty five days from the date of receipt of the thesis. If an examiner fails to do so, the Ph.D. section of university shall send him/her a reminder immediately by e-mail after the expiry of the period (45 days) and request him/her to submit the report within thirty days thereof. If the concerned examiner fails to comply even within the extended period, the Ph.D. section of

university shall cancel his appointment forthwith and invite the next examiner from the approved panel to evaluate the thesis.

In the event of a request for the late submission of report, receipt of the report after the appointment has been cancelled or the loss of report, postal delay, etc. the Vice-Chancellor shall take an appropriate decision in the interest of the candidate concerned.

- (iv) The positive reports received from the external examiners and the research guide (internal examiner) shall immediately be forwarded to the Dean of the faculty, who after ascertaining that the reports are favorable, shall invite joint report from internal referee and forward the said reports to Vice-Chancellor for appointment of external examiner (generally within Maharashtra state, in case of exception, from other state) for viva voce and the defense of the thesis.

If, external examiner thus appointed from the state will be unavailable for more than a month or rejects to conduct viva voce and replied the e-mail about same, Ph.D. section of the university shall make the appointment of another examiner from the panel, already approved by Vice-Chancellor.

- (v) In case, any one out of the two external examiners give unfavorable report, then Ph.D. section of the university shall send the thesis to third examiner for evaluation and wait for the report of third external examiner. If the third examiner also gives an unfavorable report, then the candidate will be declared as failed.
- (vi) If the external examiners have suggested major corrections in his/her evaluation reports regarding typographical, grammatical, spelling mistakes or any other etc. observed in the thesis, the University will ask the candidate through guide to make necessary changes/corrections in the thesis. The candidate will have to submit three copies of the final corrected thesis after incorporating all the corrections as per the suggestions of the examiners, within one month from the date of receipt of letter from Ph.D. section of the university.

16. Final Viva-Voce and defense of the thesis:

After receiving favorable reports from both the external examiners and joint report from the internal examiner/guide, the procedure shall be initiated for conducting the final Viva-Voce/defense.

- a) The Chairman for the Viva-voce / defense of the thesis shall be appointed by the Vice-Chancellor in his capacity as Chairman, Board of Examinations.
- b) In consultation with the chairman and external examiners, the internal examiner/guide should communicate the suitable date of final Viva-voce to Ph.D. section of university, at least 15 days in advance.
- c) The day, date, time and the place for the viva-voce examination shall be notified by the Ph.D. section of university at least eight days in advance to the

candidate, the examiner, guide and chairman of the open defense. It shall also be displayed on Notice Board of the concerned venue of the viva-voce.

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

18. Declaration of result:

After receipt of satisfactory viva-voce examination report, the Ph.D. section of the university shall issue the notification immediately after the approval of the Vice-Chancellor.

19. Thesis submission in UGC Repository:

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

- 20.** On the points which are not specially covered in these rules, the necessary decision will be taken by the University authorities accordingly.

North Maharashtra University, Jalgaon.

FORM OF APPLICATION FOR RECOGNITION AS RESEARCH GUIDE

(Those who are approved teachers of the University can only apply.)

(Note - This form should be retyped and filled with complete details. The Teacher is required to submit TEN copies of this application form along with the fees of Rs. 25/- by D. D. or Challan to the Registrar, North Maharashtra University, Jalgaon through the Principal of the College or Head of the Recognized Institution, as the case may be.)

- 1) Full name _____
(Candidate's Name) (Father's/Husband's Name) (Surname)
- 2) Age _____
- 3) Address _____
- 4) College and/or University _____
- 5) Present Designation _____
- 6) Whether the Teacher is approved by University _____
(Enclose photocopy of the letter)
- 7) The Institution is recognized by University or not _____
(Enclose photocopy of the letter)
- 8) Class for which recognition sought. **POST-GRADUATE a) BY PAPER**
b) RESEARCH M. PHIL or /& Ph.D.
- 9) Subject, Branch and Faculty in which recognition sought : _____
(In case of Engineering subject/s copies of statements should be attached):-
- 10) Details of Academic Qualifications (Please, elaborate or if required):-

Name of the Degree	Subject taken	Class obtained	Year of passing	University
First Degree				
Master's Degree				
Doctor's Degree				

11) *Teaching Experience in Senior College (in Years):-_____

(Also mention date of first appointment in Senior College)

Class taught by the applicant	Academic Year during which the subject taught by the applicant (mention branches taught)	Whether at the Principal/Special level or Subordinate General Level	Total Period		Name of the College or Colleges	Designation
			Graduate level	P.G. level		
First Year						
Second Year						
Third Year						
Fourth Year or Final Degree Class (In the case of Engg. Courses)						
Post Graduate (By Papers)						
Post Graduate (By Research)						

12) Professional Experience, if any (No. of Years with Dates and Places) :-

13) (A) Whether recognized by any other University as a Post Graduate Teacher ____
Name of the University :- _____

(B) If so, State :- (i) Subject _____ (ii) Class _____

(iii) Date of recognition _____

(iv) Experience in Teaching as Recognized Teacher ____ years.

(v) Experience as a Recognized Research Guide ____ years.

14) (A) Whether recognized by North Maharashtra University as a Post Graduate Teacher _____

(B) If so, State :- (i) Subject _____ (ii) Class _____

(iii) Date of recognition _____

(iv) Whether recognized by papers/by research/by both _____

15) Particulars of Research Publications, if any _____
(Please use separate sheet, if necessary and enclose copy of research papers)

- (i) Publications
- (ii) Books

Date :- _____

(Signature of the Applicant)

Declaration

I declare that the information given in the application is true and correct to the best of my knowledge and belief.

(Signature of the Applicant)

Forwarded to the Registrar, NORTH MAHARASHTRA UNIVERSITY, JALGAON 425 001.

The Statements made in the application have been verified and found correct by the undersigned.

Date :- _____ (Signature) _____

Head of the College/Recognized Institution

Stamp of the Office _____

* Strike out whichever is not applicable. If recognition for more than one subject is sought SEPARATE application should be submitted.

Experience as a Tutor or as a Demonstrator is not treated as teaching experience.

- For teachers in the subject of Engineering/Law/Medicine/Commerce (Details of the type of experience and approximate proper cost/ or and position held with scale and salary in relation to each work should be given, using a separate sheet, if necessary.)
- If research papers are published jointly with others and extend to which the applicant contributed and the extent to which the Applicant worked under another person's guidance should be clearly indicated.
- 10 sets of application along with a fees of Rs. 25/- should be submitted to the University office during working hours.

Completion Certificate

This is certify that the, {Name of the research student as per registration letter and registration number}, bearing title {"Approved Research Title"}, IN {Name of the Subject}, {Name of the Faculty}, working under my supervision has successfully completed the Pre-Ph.D. theory course PP-02 as per the prescribed syllabus of the North Maharashtra University, Jalgaon.

Place:

Date:

{Signature with Name of the Research Guide}
{Designation}
{Name of the School/Department
of the university or affiliating Institute/College}

Forwarded through

{Signature with Name of the Chairman (RAC)}
{Name of the School/Department
of the university or affiliating Institute/College}

[Format of Marks List for Pre-Ph.D. Course Work Paper-III]
(Guide Course to be prepared and submitted by Guide)

Pre-Ph.D. Course Work Paper-III (Guide Course) Mark List

Name of Guide :

Subject : *[as mentioned in Guide's recognition letter]*

Faculty : *[as mentioned in Guide's recognition letter]*

Year of evaluation : [Academic year in which course work was conducted]

Sr. No.	Form No.	Name of the Research Student	Date of Seminar-I	Marks of Seminar-I (Out of 40)	Date of Seminar-II	Marks of Seminar-II (Out of 40)	Review Article (out of 20)	Total Marks (out of 100)

[Signature Principal of College/Director
Where guide is presently working]
(Date & Seal)

[Name & Signature of Ph.D. Guide]
(Date & Seal)

- The Research Supervisor should submit the Marks of Paper-III immediately after completion of six months from the date of provisional registration letter.

Annexure- IV

(Those students who will obtain the application form from website are requested to add **Rs.10/-** towards an application form fee.)



NORTH MAHARASHTRA UNIVERSITY, JALGAON Application for Certificate of Eligibility for Ph.D.

FOR Ph.D. Only

Academic Year – 200 -200

Please read the entire form carefully before filling up. Please note that incomplete form will be rejected.

1) Name of the applicant in full : _____
(In Block Capital Letters) _____
(as appeared in the Marks Statement of last qualifying examination)

Change in name if any : _____
(Attach copy of Government Gazette)

2) Father's/Husband's Name (in full) : _____

3) Nationality : _____ 4) Religion : _____

5) Date of Birth : _____ 6) Sex :

Male	Female
------	--------

7) Caste :

1. SC	2. ST	3. DT	4. NT1	5. NT2	6. NT3	7. OBC	8. OPEN
-------	-------	-------	--------	--------	--------	--------	---------

8) Postal Address for correspondence : _____

9) Name and Year of the Qualifying Examination : _____

10) a) From which College the Qualifying examination is passed : _____
b) From which University : _____

11) Name of the College/Laboratory where Research will be undertaken : _____
Name of Guide & Co-Guide if any : _____

12) Faculty to which registered

Arts & Fine Arts	M.M. & S.S.	Science	Law	Engg. & Technology	Comm. & Mgt.	Education
1	2	3	4	5	6	7

13) Title of Ph.D. : _____

IMPORTANT INSTRUCTIONS

- A) The application for certificate of eligibility should be submitted alongwith following certificates in Original and attested true copies thereof.
1) Registration letter of Ph.D. 2) Character Certificate 3) Degree Certificate
4) Marks Statement 5) Leaving/Transfer Certificate 6) Migration Certificate
- B) The eligibility fee once paid shall not be refunded under any circumstances.

Place :

Date :

(Signature of the Applicant)

DECLARATION

The form is carefully scrutinised and information given in the form by the applicant is correct to the best of my knowledge.

Place :

Date :

Signature of Guide/Co-Guide

eligibility- for Ph.D.

Six Monthly Ph.D. Progress Report

Report No.

To,
The Director,
Board of College & University Development,
N.M.U.,Jalgaon

Sub : Six monthly Progress Report of the Research Work

(संशोधन कार्याचा सहामाही प्रगती अहवाल)

(from _____ to _____)

Faculty _____ (विद्याशाखा)	Subject _____ (विषय)
१. Name of the Research Student (संशोधक विद्यार्थ्याचे पूर्ण नाव)	_____
२. Place of work with Telephone No. (संशोधन केंद्राचा पत्ता दुरध्वनी क्रमांकासह)	_____
३. Residential Address & e.Mail (घरचा पत्ता ई.मेलसह)	_____ _____ _____
४. Title of the Research topic (संशोधन विषयाचे शीर्षक)	_____ _____
५. Regn.No./Ref (नोंदणी नं. / संदर्भ)	_____
६. Name, Postal address, e.Mail with telephone No.of Research Guide (मार्गदर्शकाचे नाव पत्ता, ई.मेल व दुरध्वनी नं.)	_____ _____ _____

Date :
(दिनांक)

Signature of the Guide
(मार्गदर्शकाची सही)

Signature of the Student
(विद्यार्थ्याची सही)

Nature of the report

१. Introduction :
(प्रास्तविक)
२. Previous Research Work :
(पूर्व संशोधन कार्य)
३. Progress of Research, (Brief Report) : संशोधन कार्याची प्रगती (सारांश)
४. Research related References
५ Visits, Bibliography, Authors, Reference material, Papers submitted, Conferences
/seminars attended and other research related academic activities :
(भेटी, संशोधन संदर्भ, संदर्भ ग्रंथ, लेखक, संदर्भ साहित्य, प्रकाशनासाठी दिलेले शोधनिबंध, परिषदेत उपस्थिती आणि इतर संशोधनाशी निगडित शैक्षणिक कार्य)
६. Research Conclusion :
(संशोधन निष्कर्ष)
७. Difficulties encountered, during research, if any: (TYPE MARATHI VERSION)
८. Details of remaining workplan :
(पुढील कार्याची दिशा)

Date :

दिनांक :

(Signature of the student)

(विद्यार्थ्याची सही)

Remarks of the Research Guide :

(मार्गदर्शकाचा अभिप्राय)

Date :

दिनांक :

(Signature of the Guide)

(मार्गदर्शकाची सही)

Remarks of the Research Advisory Committee (RAC):

Date & Signature
(Convener/Research Guide)

Date & Signature
(Member)

Date & Signature
(Chairman RAC)

Table 01 : Naming Conventions used for each PDF file for Shodhganga CD/DVD**Submission**

01_title.pdf	Title Page
02_certificate.pdf	Certificate
03_abstract.pdf	Abstract
04_declaration.pdf	Declaration
05_acknowledgement.pdf	Acknowledge
06_contents.pdf	Content / Index Page
07_list_of_tables.pdf	List of Tables
08_list_of_figures.pdf	List of Figures
09_abbreviations.pdf	Abbreviations
10_chapter1.pdf	First Chapter
11_chapter2.pdf	Second Chapter
12_chapter...	Chapter...
13_conclusion	Conclusion
14_summary	Summary
15_bibliography	Bibliography

Table 02 : Page Numbering used for PDF file for NMU Central Library CD/DVD**Submission**

Title Page	No Numbering
Certificate	Roman Numbering starting from (i) to last up to Abbreviations page
Abstract	
Declaration	
Acknowledge	
Content / Index Page	
List of Tables	
List of Figures	
Abbreviations	
First Chapter	Arabic Numbering From 01 to last page No.
Second Chapter	
Chapter...	
Conclusion	
Summary	
Bibliography	

C E R T I F I C A T E

This is certify that the thesis entitled **{“Approved Research Title as per Registration Letter”}**, which is being submitted herewith for the award of the Degree of Doctor of Philosophy in **{Name of the subject}** under the faculty of **{Name of the Faculty}** of North Maharashtra University, Jalgaon is the result of the original research work completed by **{Name of the research student as per registration letter}**, under my supervision and guidance and to best of my knowledge and belief the work embodied in this thesis has not formed earlier the basis for the award of any Degree or similar title of this or any other University or examining body.

I give an undertaking that the material included in the thesis from other sources is duly acknowledged.

I have verified that, the research student has incorporated all the changes as suggested by the Pre-submission presentation Committee, if any.

Place:

Date:

{Name of the Research Guide}

{Designation}

Forwarded through

Signature & Date

{Name of the Director/Principal}

{Designation}

{Name of the School/Department

of the university or affiliating institute/college}

DECLARATION

I hereby declare that the thesis entitled **{“Approved Research Title as per Registration Letter”}**, has been completed and written by me.

To best of my knowledge and belief the work embodied in this thesis has not formed earlier the basis for the award of any Degree or similar title of this or any other University or examining body.

I give an undertaking that the material included in the thesis from other sources is duly acknowledged.

I have incorporated all the changes as suggested by the Pre-submission presentation Committee, if any.

Place:

Date:

{Name of the Student}

Research Student

**{Name of the School/Department
of the university or affiliating institute/college
of the RESEARCH GUIDE}**

A THESIS

Entitled

{“Approved Research Title as per Registration Letter”}

Submitted To

NORTH MAHARASHTRA UNIVERSITY, JALGAON

For

fulfillment of the requirements for the award of

Degree of Doctor of Philosophy (Ph.D.)

in

{THE NAME OF THE SUBJECT}

Under THE FACULTY OF

{THE NAME OF THE FACULTY}

By

{NAME OF THE RESEARCH STUDENT}

Research Student

{REGISTRATION NUMBER}

Under The Guidance of

(Name of the Research Guide)

{Name of the affiliating Institute}

Name of the Research Centre

{Month, Year of submission of the final thesis}

[STUDENTS ARE NOT ALLOWED TO PRINT UNIVERSITY LOGO IN THE THESIS]