

UNIVERSITY OF MUMBAI
No. UG./ 441 of 2005

CIRCULAR :—

A reference is invited to this office Circular No. UG / 70 of 2005 relating to new Ordinances No. 5473, 5474, 5475, 5476, 5477, 5478, 5479, 5480, 5481 and 5482 for Ph.D. degree course in various subject and Directors/ Heads of the University Departments, Deans/Principals of the affiliated colleges in Arts, Science, Commerce, Law, Engineering, Technology, Pharmaceutical Sciences, Architecture, Medicine, Dentistry, Unani Medicine, Ayurved, Applied Art, Fine Art, Painting, Dance and Heads of recognized Institution enrolling the students for Ph.D. degree course in various subjects are hereby informed that the Vice-Chancellor has accepted the report of the committee appointed by him in terms of resolution passed by the Academic Council at its meeting held on 6th August, 2005 (*Vide* Item No. 61) for reviewing provisions of Ordinances relating to Ph.D. Degree Course in various subjects in exercise of the powers conferred upon him under Section 14(7) of Maharashtra Universities Act, 1994 and in accordance with that the provisions of Ordinances of 5473, 5474, 5476, 5478, 5480 and 5482 relating to Ph.D. degree course have been amended as under :—

O.5473(I) : The Degree of Doctor of Philosophy may be conferred upon candidate under various faculties in various subjects, **except** in the subjects of Education and Management Studies in the faculty of Arts and in the subjects of Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the Faculty of Medicine provided that for the purpose of admission and registration they satisfy the following conditions :—

1. The candidate must have passed the Master's Degree Examination in the faculties of Arts or Science or Commerce or Technology or Medicine or Ayurved or Law or Fine Arts or Unani Medicine of this University or of any other University recognised by this University as equivalent thereto with minimum of fifty-five percent marks and fifty percent marks in the case of Reserved Category.

OR

2. The candidate must have passed Master's Degree by Research of this University or of any other University recognised by this University as equivalent thereto.

OR

The candidate must have passed M.Phil degree examination of this University or of any other University recognised by the University as equivalent thereto.

OR

3. The candidate is a teacher having full time teaching experience of at least two years in Degree College or five years in Junior College.

OR

4. The candidate is a person who is a graduate of this or any other recognized University and is working in National Laboratories/Institutes/Government/Private Organisation, nominated/sponsored by the respective employer on the condition that he/she shall clear an Aptitude Test conducted as per ordinances 5473(II).

OR

5. The candidates is qualified in NET/SET/GATE/JRF examination of the apex bodies in higher/technical/ professional education such as CSIR/UGC/ICAR or other equivalent examination.

OR

6. The candidate must have passed the Bachelor Degree examination in the faculties of Arts or Science or Commerce or Technology or Medicine or Ayurveda or Law or Fine Arts or Unani Medicine of this University or of any other University recognised by this University as equivalent thereto on a condition on the condition that he/she shall clear an Aptitude Test conducted as per Ordinance 5473 (II).

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Provided further that for the purpose of registration for the Ph.D. degree in the Faculty of Arts in Education a candidate must satisfy the following conditions :

1. The candidate must have passed the Master's Degree examination in Education of this University or of any other University *recognised* as equivalent thereto and obtained minimum of fifty-five percent marks and fifty percent marks in the case of Reserved Category.

OR

2. The candidate must have passed the Master's Degree by Research in Education of this University or of any other University recognised as equivalent thereto.

OR

The candidate must have passed the M.Phil degree examination in Education of this University or of any other University recognised as equivalent thereto.

OR

3. The candidate is a teacher having full time teaching experience of at least two years in Degree College or five years in Junior College.

OR

4. The candidate is a person who is a graduate of this or any other recognized university and is working in National Laboratories/Institutes/Government/Private Organisation, nominated/sponsored by the respective employer on the condition that he/she shall clear an Aptitude Test conducted as per ordinance 5473 (II).

OR

5. The candidate is qualified in NET/SET/GATE/JRF examination of the apex bodies in higher/technical/professional education such as CSIR/UGC/ICAR or other equivalent examination.

OR

6. The candidate must have passed the Bachelor's Degree examination in Education of this University or of any other University recognised by this University as equivalent thereto on a condition on the condition that he/she shall clear an Aptitude Test conducted as per ordinance 5473 (II).

Provided further that for the purpose of registration for the Ph.D Degree course in Occupational Therapy, Physical Therapy, Audiology and Speech Language Pathology, a candidate must satisfy the following conditions :

1. The candidate must have passed the Master's Degree examination in the respective subject of this University or of any other University recognised as equivalent thereto with minimum of fifty-five percent marks and fifty percent marks in the case of Reserved Category.

OR

2. The candidate must have passed the Master's Degree (by Research) in the respective subject of this University or of any other University recognised as equivalent thereto.

OR

3. The candidate is a teacher having full time teaching experience of at least two years in Degree College or five years in Junior College.

OR

4. The candidate is a person who is a graduate of this or any other recognized university and is working in National Laboratories/Institutes/Government/Private Organisation, nominated/sponsored by the respective employer on the condition that he/she shall clear an Aptitude Test conducted as per Ordinance 5473 (II).

OR

5. The candidate is qualified in NET/SET/GATE/JRF examination of the apex bodies in higher/technical/professional education such as CSIR/UGC/ICAR or other equivalent examination.

OR

6. The candidate must have passed the Bachelor's Degree examination in respective subject of this University or of any Other University recognised by this University as equivalent thereto on a condition on the condition that he/she shall clear an Aptitude Test conducted as per Ordinance 5473 (II).

Provided further that for the purpose of registration for the Ph.D Degree in the faculty of Arts in Management Studies a candidate must satisfy the following conditions :—

1. The candidate must have passed the Master's Degree examination of any faculty of this University or of any other University recognised as equivalent thereto with minimum of fifty-five percent marks and fifty percent marks in the case of Reserved Category.

OR

2. The candidate must have passed the Master's Degree (by Research) of any faculty of this University or of any other University recognised as equivalent thereto.

OR

The candidate must have passed the M.Phil degree examination of this University or of any other University recognised as equivalent thereto.

OR

3. The candidate is a teacher having full time teaching experience of at least two years in Degree College or five years in Junior College.

OR

4. The candidate is a person who is a graduate of this or any other recognized university and is working in National Laboratories/Institutes/Government/Private Organisation, nominated/sponsored by the respective employer on the condition that he/she shall clear an Aptitude Test conducted as per ordinance 5473 (II).

OR

5. The candidate is qualified in NET/SET/GATE/JRF examination of the apex bodies in higher/technical/professional education such as CSIR/UGC/ICAR or other equivalent examination.

OR

6. The candidate must have passed the Bachelor's Degree examination of any faculty of this University or of any Other University recognised by this University as equivalent thereto on a condition on the condition that he/she shall clear an Aptitude Test conducted as per ordinance 5473 (II).

EXPLANATION :

- (i) The candidate is eligible to register for the Ph.D. degree in any subject under the faculty from which he/she has passed the examination except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the faculty of Medicine.
- (ii) The faculty of the teacher will be determined on the basis of the faculty under which his/her post of teacher is approved by the appropriate authority, except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the faculty of Medicine.
- (iii) The faculty of the employees who are nominated/sponsored by the National Laboratory/Institutes/Government/Private Organization will be determined on the basis of faculty of qualification on which he/she is nominated/sponsored by the National Laboratory/Institutes/Government/Private Organization, except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the faculty of Medicine.

- (iv) The faculty of the person qualified in NET/SET/GATE/JRF examinations of the apex bodies in higher Technical/Professional Educational such as CSIR, UGC, ICAR or other equivalent examination will be determined on the basis of which he/she appeared for and passed the said examination, except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the faculty of Medicine.
 - (v) The candidate desirous of registering for the Ph.D degree in Education but not satisfying the conditions laid down under O.5473 will be required to follow the procedure laid down under O.5476 relating to change of faculty.
 - (vi) The candidate desirous of registering for the Ph.D. degree in Occupational Therapy Physical Therapy and Audiology Speech Language Pathology, but not satisfying the conditions laid down under O.5473 will be required to follow the procedure laid down under O.5476 relating to change of faculty.
 - (vii) In case of candidates who have qualified in NET/SET/GATE/JRF examinations of the apex bodies in higher Technical/Professional Educational such as CSIR, UGC, ICAR or other equivalent examination validation period will not be applicable.
 - (viii) Percentage of marks will be calculated on the basis of total marks mentioned in the statement of marks issued to the candidate by the University, even if the candidate has passed the said examination in compartments.
 - (ix) A candidate who has passed the Master's degree partly by papers and partly by Research with fifty-five percent marks and fifty percent marks in case of Reserved Category in semesters I and II taken together and has obtained clearing grade in Thesis (wherever awarded) will be deemed to have obtained sufficient percentage marks for being eligible for registration in the Ph.D. degree.
 - (x) A candidate who has passed M.D. or M.S. or D.M. or M.Ch. examination of this University will be considered eligible for registration for the Ph.D. Degree.
- (II) **Aptitude Test :** Candidates who desire to pursue the Ph.D. degree course under various faculties and various subjects and who are to be registered as per Ordinance 5473 (I) 4 or 6 (i.e., those who are candidates with Bachelor's degree and/or sponsored by National Laboratories etc.) shall clean an Aptitude test conducted by the concerned department of the University and if there is no University department in a particular subject, the Vice-Chancellor shall decide appropriate modality to conduct the Aptitude test.
- (III) The eligible candidate, after applying, shall be given provisional admission only after undergoing centralized interview by a panel at the College/Institute/University Department as the case may be.
- Final registration shall be done in the University after following Necessary procedure and submitting the proposal.
- (IV) The research student must submit through the guide and the Head of the concerned institution through which he/she has registered a progress report of the work at the end of every year, which shall be assessed by the Research and Recognition Committee of the respective Board/Ad-hoc Board/Committee.

(V) In case of a dispute between a candidate and his guide, the committee consisting of the following shall examine the matter and report to the Vice-Chancellor, whose decision shall be final :

1. A member of the concerned BUTR appointed by the Vice-Chancellor who will be the convener of the committee.
2. A member of the concerned R & R Committee appointed by the Dean.
3. The Head of the concerned institution through which he/she has registered (If the complaint is against the Head, he/she shall not participate in the proceedings of the meeting)

The report shall include specific recommendations.

(VI) Every research student will preferably have to reside within the territorial jurisdiction of the University of Mumbai from the date of his/her registration till the submission of the thesis.

O.5474 : The candidate for Ph.D. degree must have worked for a minimum period of two years (24 months) from the date of registration except in case of candidates registered under O.5473(1) 4 or 6, for whom the minimum period shall be three years (36 months).

O.5476 : Where a candidate desires to register for the Ph.D. degree in a faculty different from the one in which he/she obtained his/her Master's degree, he/she must satisfy the conditions of O.5473.

He/she shall submit an application to the Controller of Examinations along with the prescribed processing fee for permission to do so through the recognized guide under whom he/she proposes to work and the Head of the concerned Institution through which he/she desires to be registered. The candidate shall also submit a relevant proposal with this application. The Research and Recognition Committee of the respective a Board /Ad-Hoc. Board/ Committee with recommended the names of two experts to scrutinize the proposal.

Subsequently the Research and Recognition Committee of the respective Board shall interview the candidate. The above-mentioned experts shall be invited as special invites at the Research and Recognition Committee meeting. The Research and Recognition Committee will test the fitness of the candidate to undertake the proposed topic of research. The committee in its report will clearly recommend the proposal for acceptance or rejection or resubmission with modification. The report of the Research and Recognition Committee of the respective Board shall be placed before the Vice-Chancellor for consideration.

In case the proposal of any candidate for change of faculty for registration at the Ph.D. degree course is recommended for revision with modification by the Committee, such candidate will not be required to pay again the processing fee prescribed by the University.

EXPLANATION :

- (i) The candidate is eligible to register for the Ph.D. degree in any subject under the faculty from which he/she has passed the examination except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the faculty of Medicine.

- (ii) The Faculty of the teacher will be determined on the basis of the faculty under which his/her post of teacher is approved by the appropriate authority, except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the faculty of Medicine.
 - (iii) The faculty of the employees who are nominated/sponsored by the National Laboratory/Institutes/Government/Private Organization will be determined on the basis of faculty of qualification on which he/she is nominated/sponsored by the National Laboratory/Institutes/Government/Private Organization, except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language pathology, in the faculty of Medicine.
 - (iv) The Faculty of the person qualified in NET/SET/GATE/JRF examinations of the apex bodies in higher Technical/Professional Educational such as CSIR, UGC, ICAR or other equivalent examination will be determined on the basis of which he/she appeared for and passed the said examination, except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the faculty of Medicine.
 - (v) The candidate desirous of registering for the Ph.D degree in Education but not satisfying the conditions laid down under **O.5473** will be required to follow the procedure laid down under **O.5476** relating to change of faculty.
 - (vi) The candidate desirous of registering for the Ph.D. degree in Occupational Therapy, Physical Therapy and Audiology Speech Language Pathology, but not satisfying the conditions laid down under **O.5473** will be required to follow the procedure laid down under **O.5476** relating to change of faculty.
 - (vii) In case of candidates who have qualified in NET/SET/GATE/JRF examinations of the apex bodies in higher Technical/Professional Educational such as CSIR, UGC, ICAR or other equivalent examination, validation period will not be applicable.
 - (viii) Percentage of marks will be calculated on the basis of total marks mentioned in the statement of marks issued to the candidate by the University, even if the candidate has passed the said examination in compartments.
 - (ix) A candidate who has passed the Master's degree partly by Papers and partly by Research with fifty-five percent marks and fifty percent marks in case of Reserved Category in semesters I and II taken together and clearing grade (wherever awarded) in Thesis will be deemed to have obtained sufficient percentage of marks for being eligible for registration for the Ph.D. degree.
 - (x) A candidate who has passed M.D. or M.S. or D.M. or M.Ch. examination of this University will be considered eligible for registration for the Ph.D. degree.
- O.5478 :** Each candidate for the Degree shall send three copies in the bound form. The thesis should embody the results of his/her research and state whether the work is an original conditional based on such research. The thesis must contain appropriate acknowledgement of the work by others and this should be reflected in a detailed bibliography and data sources. Further the candidate must not have submitted the work contained in the thesis for award of any other degree. All of the above must be certified by a statement by the candidate that shall be countersigned by the guiding teacher.

In addition to bound copies the final approved Thesis shall be submitted in CD or Computer readable form wherever possible to do so.

The candidate may also forward with his/her application three copies of any original contribution or contributions to the advancement of knowledge on the subject selected by him/her for his/her thesis or any cognate subject published by him/her independently or jointly with others upon which he/she relies in support of his/her candidature. The thesis shall be written or printed in English; however, when the subject of the thesis relates to a Modern European or Modern Indian Language or Sanskrit, Pali, Prakrit, it may, be written in the relevant language. In case of other subjects the candidate may be permitted to write the thesis in any modern Indian language with the prior permission of the relevant RRC and BUTR.

(N.B.:— For the purpose of the above Ordinance "Modern Indian Language" shall include Hindi, Marathi, Gujrati, Kannada, Urdu and Sindhi and "Modern European Language" shall include German, French, Portuguese and Russian.)

O.5480 :

1. The Research and the Recognition Committee of the respective Board/s shall make appointment of referees preferably by random selection from pre-existing pool of names generated for each subject with various specialization by the Board of Studies. There shall be two referees of which at least one must be from outside the State of Maharashtra, if the competent authority so deems in the view of nature of research. **However, there should be no bar on foreign referee whenever possible and if Committee feels necessary. As far as practical, care shall also be taken to avoid reciprocal appointment of referees vis-a-vis the guiding teacher at least for a period of five years.**
2. On the receipt of the report of the external referees appointed by the Board of Examinations, the internal referee/guide and one of the external referees shall conduct the *viva-voce* of the candidate. The Head of the Department or the senior teacher in the subject concerned, nominated by the Vice-Chancellor shall act as the chairperson for the viva. The other external referees may, if so desired, send in written questions to the referees conducting the viva to seek clarification on any point/s in the thesis. The *viva-voce* test shall be conducted only after receiving favourable reports from both the external referees.
3. The *viva-voce* test of the candidate shall be conducted in the Open-Defence manner.
 - (a) The candidate shall supply to the Controller of Examination sufficient number of copies of the synopsis of the thesis as will be required along with the copies of the thesis.
 - (b) After both the external referees have sent their positive reports recommending acceptance of the thesis for the award of the concerned Ph.D. degree, the date for open Defence shall be fixed in consultation with one external referee who is residing in close proximity to the University and the internal referee/guide. At least two weeks notice will be given to the student of the schedule of the *viva*. The Open Defence will be conducted in the following manner :
 - (i) On receipt of the positive reports from both the external referees and fixing the date of Open Defence, the Controller of Examinations will arrange to send copies of the synopsis of the thesis along with the date of Open Defence to —

- (i) The Heads of the Departments of various Universities, Colleges and Research Institutes where research work in fields similar to the research of the thesis is being conducted and also to important scientists working in allied fields (Names to be suggested by the guide).
 - (ii) The Head of the concerned University/College/institute Department who will place a copy of the synopsis on the Notice Board.
- (II) Notice of Open Defence indicating date, time and place shall be displayed on the Notice Board of the concerned Department at least one week before the date of the Open Defence.
- (III) The person/s institution/University Departments to whom the synopsis has been sent will be requested to send in writing the questions they wish to ask at the Open Defence. Such questions shall be received at least three days before the Open Defence. All such questions will be handed over to the Chairperson of the Open Defence Committee on the date of the Open Defence.
- (IV) One of the external referees and the guide will be present at the Open Defence. Any other members of the faculty, research students and other interested persons may also attend the Open Defence. The Vice-Chancellor will appoint the Head of the Department or any other senior faculty member as the Chairperson of Open Defence. The external referee and the guide will ask questions for which no permission of the Chairperson will be needed. As for the written questions from other institutions and those from the persons attending the Open Defence, it will be for the Chairperson in consultation with the external referee and guide to decide whether to allow a question or not.
- No person in the audience will have a right to comment on the acceptability or non-acceptability of the thesis for the award of the degree.
- (V) At the initiation of the Open Defence the candidate will make a brief presentation, which will be followed by questions.
- (VI) The external referee and the guide shall prepare a report of the Open Defence and forward it to the Controller of Examinations. Their recommendations shall be specific and final. They shall either recommend the award of the degree to the candidate or a fresh Defence after a specific time, if the performance of the candidate is found to be unsatisfactory. The following procedure shall be followed for holding the *viva voce* of a candidate a second time.
- (i) The re-examination of the candidate (*i.e.* second *viva-voce*/test) should, as far as possible, be held by the same referee who had conducted the *viva* in the first instance.
 - (ii) The decision that, although the thesis was found worthy of acceptance, the candidate's performance at the *viva-voce* test was found unsatisfactory and, therefore, he/she is required to appear again at a second *viva* within six months and that if he/she fails to satisfy the referees at the second *viva*, his/her thesis shall be rejected, will be communicated to the candidate by registered post (A.D.) within one month the receipt of the *viva-voce* report from the referees.

- (iii) Within two months of the receipt of the communication of the decision to the candidate, the candidate should write to the University through his/her guide that he/she is prepared to appear again before the referees/or his/her second *viva-voce* examination.
- (iv) The candidate should submit his/her application through the guide and should pay 50% of the examination fee towards the conduct of the second *viva-voce* examination.
- (v) An honorarium prescribed by the University shall be paid to be external referee for holding the second *viva-voce* examination. The Internal referee will not be entitled for any honorarium.
- (vi) The thesis of the candidate should be retained by the office till the candidate's reappearance at the second *viva-voce* examination and the declaration of his/her result.
- (vii) The referees should hold the *viva-voce* examination within generally, one month of the receipt of the communication in the matter.

4. When the opinion of the two external referees is unanimous and on successfully completing the *viva-voce*, the candidate shall submit to the University the final copy of the thesis after incorporating the changes and updating the data, if suggested by the referees (the guiding teacher will so certify). The final approved thesis shall be submitted on CD, in addition to a hard copy. Subsequent to the acceptance of the report by the Vice-Chancellor, the University shall make the thesis available on the University website for a period of three years from the date of acceptance. However, if only one referee of the two external referees favorably recommends the acceptance of the thesis for award of Ph.D. degree, the Board of Examinations shall appoint one additional referee to evaluate the thesis. The Board of Examinations shall accept or reject the thesis in accordance with the majority opinion of the three external referees.

5. If both the external referees submit a negative report indicating rejection of the thesis, the candidate's *viva-voce* shall not be conducted and he/she shall be declared to have failed to qualify for the Ph.D. degree.

O.5482 : A work that has been rejected may be resubmitted after revision within two years of the receipt of the rejection letter and subject to the payment of half the original examination fee (Synopsis Fee).

MUMBAI - 400 032.
25th October, 2005

(Dr. Jayant P. Dighe)
REGISTRAR

To,

The Directors/Heads of the University, Departments, Deans/Principals of the affiliated colleges in Arts,, Science, Commerce, Law, Engineering, Technology, Pharmaceutical Sciences, Architecture Medicine, Dentistry Unani Medicine, Ayurved, Applied Arts, Fine Art, Painting, Dance and Heads of recognized Institutions enrolling the students for Ph.D. degree course in various subjects.

Copy to :—

The Director, Board of College and University Development, the Deputy Registrar (Eligibility and Migration Section), the Director of Students Welfare, the Personal Assistants to the Vice-Chancellor the Pro-Vice-Chancellor, the Registrar and the Assistant Registrar, Administrative sub-centre, Ratnagiri for information.

The Officer on Special Duty-cum-Controller of Examination (10 copies), the Finance and Accounts Officer (2 copies), Record Section (5 copies), Publications Section (5 copies), the Deputy Registrar Enrolement, Eligibility and Migration Section (3 copies), the Deputy Registrar, Statistical Unit (2 copies), the Deputy Registrar (Accounts Section), Vidyanagari (2 copies), the Deputy Registrar, Affiliation Section (2 copies), the Director, Institute of Distance Education, (10 copies) the Director University Computer Center (IDE Building), Vidayanagri, (2 copies) the Deputy Registrar (Special Cell), the Deputy Registrar, (PRO). **The Assistant Registrar, Academic Authorities Unit (2 copies) and the Assistant Registrar, Executive Authorities Unit (2 copies), They are requested to treat this as action taken report on the concerned resolution adopted by the Academic Council referred to in the above Circular and that no separate Action Taken Report will be sent in this connection** The Assistant Registrar Constituent Colleges Unit (2 copies), UCT (1 copy), the Deputy Account Unit V (1 copy), the In-charge Director, Centralize Computing Facility (1 copy), the Receptionist (1 copy) the Telephone Operator (1 copy), the secretary MUASA (1 copy), the Superintendent, Post-Graduate Section (2 copies), the Superintendent, Thesis Section (2 copies).