UNIVERSITY OF MUMBAI:- Standard Operating Procedure for Ph.D.

1

Ph.D. Academic Calendar

Prepared by Research Promotion Academic Cell

Academic Calendar will cover all the faculties – Humanities, Languages, Science & Technology, Commerce & Management. Detailed Advertisement will be put on the University Website with the details about Ph.D. guides and availability of seats as per the reservation policy (This will be done by Research Promotion Academic Cell which has the data of all faculty and student enrollment)

Reservation policy to be followed by Research Centres & Ph.D. Guide: *It is mandatory to follow the reservation policy while filling vacant seats for Ph.D. as per the guidelines provided by the government.*

University of Mumbai Link: *https://old.mu.ac.in/pet-2020-notification*

Download New VCD/947 (15th December 2018): *https://mu.ac.in/wp-content/uploads/2015/07/M.Phil-Ph.D-VCD-947-of-2018-re-promulgated.pdf*

2

Mode of Entries for Perusing Ph.D.
Candidates qualified in UGC-NET/UGC-CSIR NET /SLET/GATE /INSPIRE and any other JRF holder of the apex bodies like CSIR/ UGC/ ICAR/ ICMR/ DBT/ DST/ ICSSR or ***PET***

Eligibility Criteria:
Refer Point 5 to 11 of New VCD / 947

Ph.D. Candidate Selection Process:

1. *Candidate will approach Physically or Online (Email) to the research centres for Ph.D. application with proper mode of entry & eligibility Criteria.*
2. *Research centres will Schedule the Interview for all the PhD aspirants and intimate them by putting notice in the university website and departmental noticeboard.*
3. *Candidates have to prepare a tentative Ph.D. Proposal of his/her Choice and bring at least 4 copies of the proposal (2 copies for interview panel, one copy have to be submitted in the research centre and 1 copy for the candidate itself)*
4. *Ph.D., Interviews will be scheduled by the research centre and candidate have to pay Rupees 100/- (Admission processing fees)*
5. *The candidate needs to appear for the detailed presentation of the Research / idea tentative proposal. Presentation will be made in front of the committee (The committee shall comprise of - The Head / Principal / Director as the chairperson; one or two subject experts from outside who are PhD holders in the discipline; one University / College teacher not below the rank of Associate Professor from the reserved category of the faculty concerned whereever applicable; and the recognized guide/s from the discipline.*

The Research Institute shall submit the reports of the committees to the University (Thesis Section) within a period of not more than 30 days from the date of completion of the interviews.
The University and the Research Centre shall publish the lists of candidates selected for admission.

The interview shall be conducted at the respective Research Centres and the following aspects shall be considered during the interview:

i. whether the candidate has basic knowledge of the chosen area;
ii. whether the candidate possesses the competence for the proposed research;
iii. whether the research work can be suitably undertaken at the Institution / College;
iv. whether the proposed area of research can contribute to new/additional knowledge.

3

Allocation of Research Guides:

1. *The recognitions granted by the University to the teachers/scientists to guide Ph.D. students prior to these Directives shall continue.*
2. *The allocation of Research Guide for a selected research student shall be decided by the Head of the Research Centre, depending on the number of students per research guide, the available specializations among the guides, research interests of the students as indicated by them at the interviews, and the facilities available; with due regard to the reservation policy.*
3. *In case of a topic which is of inter-disciplinary nature, where the research guide and head of the department feel that the expertise in the Centre has to be supplemented from outside, the head of the centre may appoint a co-guide from outside the research centre provided that the terms and conditions are specified and are agreed upon by the consenting centre.*
4. *At any given time, a Professor cannot guide more than three M.Phil. and eight Ph.D. students; an Associate Professor cannot guide more than two M.Phil. and six Ph.D. students; and an Assistant Professor cannot guide more than one M.Phil. and four Ph.D. students.*
5. *In case of relocation of an M.Phil./Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the university / research guide from any funding agency. The student will however give due credit to the parent research guide and the research centre for the part of research already done.*

After the presentation and the selection process, a list of candidates to be displayed on the website along with the details of the research guide allotted and category details

4

Admission:

The selected student shall complete the formalities of admission at the Research Centre by paying the prescribed fees.
Fees as per the prescribed fee structures by the respective Ph.d. Research Centre. (have to pay for each year until the Thesis is not submitted)
(Fees Structure will be different for the General and Reserved Category candidates, as per the UGC and Government Guidelines)

1. *Candidate getting benefits of fellowship will not eligible for fees concession.*
2. *Candidate not getting any benefits of fellowship will eligible for fees concession as well as Scholarship Schemes offered at National and State Level.*
3. *Fees Concession & Scholarship are strictly followed as per the government criteria.*
4. *Before taking admission candidate must ensure himself /her self regarding their eligibility for getting the benefits from any of government schemes.*
5. *If eligible, then he/she must complete the necessary procedure to get the benefits on his/her own.*

Note:

1. ***Many government schemes are available for the education purpose for both General and Reserved category candidates.***
2. ***Every individual has a chance to apply for one or the other scheme.***
3. ***Please refer the following links regarding scholarship and fee concession before taking admission***

https://mahadbtmahait.gov.in/RegistrationLogin/RegistrationLogin

https://www.buddy4study.com/article/phd-scholarships#PhD_Scholarships_Top_Indian_Scholarships

5

The respective guides and the selected students are expected to prepare the research proposal. The proposals should be presented in front of RAC (Research Advisory Committee).

There shall be a Research Advisory Committee (RAC) for each Ph.D Student which shall be constituted by the head of the research centre immediately after the admission of the candidate.

The RAC has the following composition

1. *Head of Department or his / her nominee Chairperson; provided the Head is a Ph.D. holder; provided further that if the-Head is not a Ph.D. holder the Head of the Centre shall appoint a Senior Professor as the Chairperson;*
2. *Research Guide — Convener;*
3. *One or Two outside expert/s from the same field — Nominated by the Head of Research Centre; provided that the experts are Ph.D. holders in the same or related areas and senior in teaching / research.*

1. *When the selected candidate is ready with the research proposal and the guide gives the clearance make the presentation before Research Advisory Committee and the external expert along with the Chairperson of the Center and the guide.*
2. *Suggestions by the expert and the committee ought to be incorporated with the consultation of the guide.* ***Once it is ready the revised proposal needs to be sent to Research Review Committee. (Topic approval)***

The Research Advisory Committee shall have the following responsibilities:

1. *to review the research proposal and finalize the topic of research;*
2. *to guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to complete;*
3. *to periodically review and assist in the progress of the research work of the research scholar.*

6

Topic Approval:

1. *The candidate in consultation with the Research Guide and RAC shall decide the topic of research and shall write a suitable research proposal in the format prescribed.*
2. *The candidate shall submit, along with the application, eight copies of his/her research proposal to thesis section with the payment of rupees. 200/-*
3. *The research proposal shall be placed before the respective research and recognition.*
4. *The RRC shall consider the topic of research and research proposal, and if satisfied shall give approval for the topic of research and research proposal.*
5. *If the RRC may suggest minor changes to the title and the proposal if it deems fit, such changes will be made by the student in consultation with the Guide and RAC, and the same shall be conveyed to the RRC.*
6. *If the RRC rejects the topic and proposal the student shall consult the RAC and the guide and can send a fresh proposal/title after three months, but within one year.*
7. *The registered student shall not be allowed to register simultaneously for any other degree course.*
8. *The registration is deemed to be confirmed once the topic and proposal are approved by the RRC.*
9. *If the candidate desires to modify the title and/or the proposed plan of the research, he/she shall apply at least six months before the date of submission of synopsis. The concerned RRC may approve such changes on the basis of recommendation of the RAC, Research Guide and the Head of Research Centre.*
10. *Once the topic is approved, the university will issue the topic approval letter to the candidate.*

Please refer the page no. 1 of following document for list of supporting documents and detail procedures:
https://mu.ac.in/wp-content/uploads/2020/10/THicd853201718.pdf

Once the Research Review Committee gives its suggestions, the candidate is expected to include the suggestion in consultation with the guide and send the same to the RPAC for registration

7

Registration of Ph.D. candidate:

The candidate shall apply to the Registrar, Mumbai University, in the prescribed format for Registration, along with the prescribed registration fee. (Rupees 1025/-)

Please Refer the Following Document for the format:
https://old.mu.ac.in/wp-content/uploads/2014/06/Ph-D-All-Faculty-23-Sep-2019-15-18-41.pdf

Registration for Ph.D. should be done within the span of six month from the date of letter issued by the university for the topic approval.

Please refer page no. 2 of following document for the list of supporting documents and detail procedures:
https://mu.ac.in/wp-content/uploads/2020/10/THicd853201718.pdf

If Ph.D. student is from other university, he/she has to submit the "provisional statement of eligibility" document.

Please download sample form and refer the document for more details:
http://archive.mu.ac.in/eligibilityform.pdf

The candidate shall submit a six-monthly progress report of his/her work to the RAC through his/her Guide and also make a presentation before the committee about his/her research work once in six months.

1. *A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance.*
2. *The six-monthly progress reports shall be submitted by the RAC to the Head of Centre, with a copy to the research student.*
3. *In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the student fails to implement these, the RAC may recommend to the Centre, with specific reasons, cancellation of the registration of the research student.*

8

Course Work for Ph.D.:

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

1. *Ph.D. course work shall be of 12 credits.*
2. *The course work shall be treated as prerequisite for Ph.D.*
3. *A minimum of four credits shall be assigned to one or more courses on Research Methodology, which could cover areas such as quantitative methods, qualitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc.*
4. *Other courses shall be advance level courses preparing the student for degree.*
5. *All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, and instructional and assessment methods. They shall be duly approved by the respective Board of Studies.*
6. *The courses shall be arranged in a formal way by the University through University Departments and also at identified Institutions where experts in the areas of course work shall deliver requisite number of lectures. Record of attendance of the students shall be kept. The attendance of a candidate less than that is prescribed by the University shall make the course null and void for the candidate.*

1. *The Department where the student pursues research shall prescribe the courses relevant to the student based on the recommendation of the RAC.*
2. *The course work may be completed either at the research centre/s or University departments or premier institutions such as IIT, HBNI, BARC, TISS, ICSSR, TIFR, IIM etc; provided it is conducted in formal way.*
3. *All the students admitted to the Ph.D. programmes shall be required to* ***complete the course work prescribed by the Department during the initial one or two semesters.***
4. *The candidates already holding M.Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in an integrated programme, may be exempted by the Department from the Ph.D. course work.*
5. *All the other students admitted to the Ph.D. programme shall be required to complete the course work approved by the University.*

9

Evaluation and Assessment Methods, Minimum Standards/Credits for Award of the Degree, etc.:

1. *Upon satisfactory completion of course work, and obtaining of a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale, the M.Phil. scholar shall be required to undertake research work and produce a draft dissertation/thesis before completion of two years from the date of registration for M.Phil. and six years for the Ph.D. student.*
2. *Women candidates and persons with disability (more than 40 % disability) may be allowed a relaxation of one year for M.Phil. and two years for Ph.D. in the maximum duration.*

During all this processes, the candidate is expected to submit the six monthly progress report. After every 6 months the candidate prepares for presentation of the progress report and after presenting the report he/she will sent it to the RPAC. ***If any delay is encountered at any point of time during the six month tenure due to Research institute or the candidate, the reason for such delay has to submitted with proper explanation.***

10

Colloquium:

At least three months prior to the submission of the dissertation/thesis, the student shall make a presentation (Colloquium) before the Research Advisory Committee, which shall also be open to all faculty members and other research students.

The feedback and comments obtained from them may be suitably incorporated into the draft Dissertation / thesis in consultation with the RAC.

Synopsis:

The candidate shall submit to the University fifteen copies of the synopsis of his/her thesis through his/her research supervisor at least two months before submission of the thesis. The format of the thesis shall be as prescribed by the University.
Once the candidate feels he has completed large part of his research, in consultation with his/her guide a synopsis can be submitted and a payment of rupees 10,000/- (Ten Thousand) can be made. Along with the Application form, other necessary documents need to be attached.

Please download and refer the page no. 3 of the document for more details:
https://mu.ac.in/wp-content/uploads/2020/10/THicd853201718.pdf

Research Publications:

Ph.D. scholars shall publish at least one research paper in a refereed and cited journal / UGC approved journal and make two paper presentations in conferences / seminars before the submission of the dissertation / thesis for adjudication, and produce evidence for the same in the form of presentation certificates and / or reprints / acceptance letter from the publisher / editor.

1. *Before submission of M.Phil. / Ph.D. dissertation / thesis, every candidate shall fulfil the requirements prescribed with respect to detection of plagiarism and any other form of academic dishonesty.*
2. *While submitting for evaluation, the dissertation / thesis shall have an undertaking from the research student and a certificate from the research guide attesting to the originality of the work, vouching that there is no plagiarism and any other academic dishonesty and that the work has not been submitted for the award of any other degree / diploma of the same university or to any other university.*
3. *Candidate also needs to submit plagiarism report generated by university software Urkund.*

11

Submission of Thesis:

1. *Thesis should be submitted after two months from the date of submission of the synopsis*
2. *The thesis/dissertation shall be submitted in the prescribed format in a spiral bound form and printing on both sides of a paper, along with a soft copy (CD) and an e-copy of thesis to RAPC.*
3. *The Ph.D. candidate shall submit three copies of his / her thesis. The M.Phil candidate shall submit two copies of his / her thesis.*

Please download and refer the page no. 4 of the document for more details:
https://mu.ac.in/wp-content/uploads/2020/10/THicd853201718.pdf

Evaluation of Dissertation / Thesis:

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

Viva voce:

1. *The viva voce of M.Phil./Ph.D. candidates shall be in the form of Open Defense of the thesis.*
2. *The viva voce of the research student to defend the M.Phil. Dissertation shall be conducted only if the evaluation report of the external examiner is satisfactory and includes a specific recommendation for conducting the viva voce.*
3. *The viva voce of the research student to defend the Ph.D. thesis shall be conducted only if the evaluation reports of the two external examiners are satisfactory and include a specific recommendation for-conducting the viva voce.*

12

The Viva Voce shall be Conducted by

1. *The guide and the external examiner will be part of the committee to conduct the viva voce of M.Phil. Dissertation / thesis.*
2. *In the case of Ph.D. thesis, the Ph.D. viva voce committee shall be constituted by the Head of the University Department / Head of the Research Centre and shall consist of the following:*

a. The Head of Department in case of University Department / Head of Research Centre or his/her nominee — Chairperson
b. The Research Guide as convener.
c. The External Examiner who is appointed to conduct the viva voce.
d. One Professor / Associate Professor from any department other than the Department concerned;

Provided that if the viva voce is decided to be conducted outside the University campus, with prior permission from the Director, BOEE, the member at.

Above will be a nominee of the university who is a Teacher / university officer not below the rank of assistant registrar and will be nominated by the Director, BOEE;

Provided further that this nominee shall submit his/her report in the prescribed format confidentially to the University at the conclusion of the viva voce regarding the conduct of the viva voce.
The viva voce shall be open to the members of the RAC, all faculty members of the Centre, other research scholars and other interested experts / researchers.

The day, date, time and the place for the viva voce shall be notified by the Head of the Centre, at least eight days in advance.

The viva voce shall include a brief presentation by the candidate with respect to the research work done and the candidate should be tested for his/her knowledge in the research/subject area concerned and on the critiques given in the evaluation reports.

If the evaluation reports of the external examiners in case of Ph.D. thesis, is unsatisfactory and does not recommend viva voce, the dissertation/ thesis shall be sent to subsequent external examiner out of the approved list of examiners and the viva voce shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also _ unsatisfactory, the dissertation / thesis shall be rejected and the research student shall be declared ineligible for the award of the degree.

13

More Explanation on Conferring Ph.D.

- When the Head of the Research Centre or Head of University Department himself / herself is the Guide for the Ph.D. student the viva voce committee shall be appointed by the Dean of the Faculty concerned.
- In case of dispute, the Dean of the Faculty concerned shall take an appropriate decision.
- If neither of the external examiners is able to be present at the time of the viva voce, the Vice-Chancellor, on the recommendation of the Research Guide and the Dean of Faculty concerned, may appoint a senior Research Guide to act as an external examiner for the viva voce.
- In case the Research Guide concerned is not available for the viva voce, the Vice-Chancellor, on the recommendation of the Dean of Faculty concerned and the Head of the Centre, may appoint one of the senior Research Guides.
- The viva voce committee shall evaluate the performance of the candidate and make a consolidated report signed by all the members along with the reply given to the queries raised by the external examiners and submit it to the university. This report, signed by all the members of the committee, shall be included in the thesis at the beginning. Further, along with the report a list of the persons attending the open defense (attendance sheet) shall also be submitted to the university.
- In case the viva voce is not satisfactory, the examiners may unanimously recommend, with reasons, that a fresh viva voce be organized within a period of not less than one month. If the defense is still not satisfactory, the panel should record the reasons for the same.
- The committee may recommend the resubmission of the thesis with suggested changes or recommend the rejection of the thesis.

Provisional Certificate:

Prior to the actual award of the degree, the University shall issue a provisional certificate to the effect that the degree has been awarded from the date of vive voce in accordance with the provisions of University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./ Ph. D. Degrees) Regulations, 2016.

Depository with INFLIBNET:

Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil./Ph.D. degrees, the CD of M.Phil. Dissertation / Ph. D. thesis, along with the hard copy of the dissertation / thesis, in the prescribed format, shall be sent to the University Library. After receiving the CD of the thesis in the format suggested, the Library shall prepare metadata of the dissertation/thesis and shall then submit an electronic copy of the M.Phil. dissertation / Ph.D. thesis to the INFLIBNET, SHODHGANGA, SHODHGANGOTRI, for hosting of the same so as to make it accessible to all institutions / colleges.

IMPORTANT LINKS & CONTACT NUMBERS:

 # University of Mumbai Link: *https://old.mu.ac.in/pet-2020-notification* ***# Research Administration & Promotion Cell:*** *Mob. No. 9167563793 Email- rapc@mu.ac.in*
 # Web link for different Department Contact No./ Fax No.: http://archive.mu.ac.in/mtnldir.html#:~:text=Tel%20%3A%2D%20%2B91%20(22)%202267%203250%2C,Fax.

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