



SNDT Women's University, Mumbai

Award of M.Phil./Ph.D. Degrees Regulations 2016

**(As per the University Grants Commission Minimum Standards and Procedure
for Award of M. Phil. / Ph. D. Degrees Regulations, 2016)**

SNDT Women's University, Mumbai

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DIRECTION NO.1 OF 2017

ELIGIBILITY CRITERIA AND PROCEDURE FOR REGISTRATION OF CANDIDATES ALLOTMENT OF SUPERVISORS/ AND RESEARCH TOPICS, SUBMISSION OF M. Phil. DISSERTATION AND Ph.D. THESIS AND ITS EVALUATION FOR THE AWARD OF DEGREE OF M. Phil. DISSERTATION AND Ph.D. (DOCTOR OF PHILOSOPHY) THESIS DIRECTION, 2016

(Direction issued under Section 12(8) of the Maharashtra Public Universities Act, 2016)

Whereas the Maharashtra Public Universities Act 2016 i.e. Maharashtra Act No. VI of 2017 (herein after referred to as the Act) has come into force with effect from 1st March, 2017.

AND

Whereas the University Grants Commission (UGC), in supersession of the UGC (Minimum Standards & Procedures for Awards of Ph.D. Degrees of the universities) Regulation, 2009 has issued University Grants Commission (Minimum Standards & Procedures for awards of M.Phil. / Ph.D. Degree) Regulations, 2016 vide its Notification dated 5th May 2016 published in the Gazette of India No. 278, Part III - Section 4, dated 5th July 2016, necessitating issuance of a Direction regarding Minimum Standards and Procedures for award of M .Phil. and Ph. D. Degrees.

AND

Whereas, the Secretary University Grants Commission, New Delhi Vide No. F.No.20-1/2014(PS) dated 17th March 2017 has issued the Public Notice for defining the words "Regular Mode" appearing in the University Grants Commission's regulation on minimum qualifications for appointments of teachers and other academic staff in Universities and Colleges and measures for the Maintenance of Standards in Higher Education 2010 (4th Amendment) notified in Gazette of India on 11th July 2016, it has mentioned that the Ph.D. should be in a regular mode. The UGC at its meeting held on 22nd February 2017 has decided that Ph.D. degrees which are pursued either full-time or part-time will be treated as degrees awarded through 'Regular Mode' provided these are in conformity with the existing statutes/by-laws/ordinances, etc. of the degree awarding university. However, Ph.D. acquired under distance mode is not permitted.

AND

Whereas the Vice-Chancellor had appointed a committee for making appropriate recommendations and suggestions in the light of letters issued by the UGC from time to time

AND

Whereas, the committee has submitted its report on 08-12-2016 along with the recommendations and suggestions to be incorporated.

AND

Whereas, the Vice-Chancellor has accepted the report of the committee under provision of section 12(7) of the Act, on behalf of the authority namely – Board of Research which is competent to decide upon policy for maintenance of Standards of Research for M.Phil. / Ph.D. Degrees in consonance with the norms of the University Grants Commission and other Regulatory Bodies

AND

Whereas the Academic Council and the Management Council of the University in the meetings held on 09.02.2018 and 17.02.2018 respectively have accepted the said UGC Regulations, 2016 and have also decided to implement it in the University for which an Ordinance is required

AND

Whereas the process of making an ordinance is a time consuming one and since the existing ordinances for award of M.Phil. and Ph.D. Degree are found to be inconsistent with the UGC Regulations, 2016.

AND

Now, therefore, I, Prof. ShashikalaWanjari, Vice-Chancellor, S.N.D.T. Women's University, in exercise of the powers vested in me under provision of Section 12(8) of the Act, do hereby issue the following Directions: -

- 1) This Direction shall be called "Eligibility criteria and procedure for registration of candidates, allotment of supervisors and research topics, submission of thesis and its evaluation for the award of Degrees of M.Phil. and Ph.D. (Doctor of Philosophy) Direction, 2016" (hereinafter "the Direction").
- 2) This Direction shall come into force from the date of its issuance.
- 3) Scope:
 - a. This Direction shall govern the award of M.Phil./Ph.D. Degree in all the faculties in the University.
 - b. This Direction shall apply to the university / institutions / conducted colleges / constituent colleges / affiliated colleges and an institution recognised by the University for the purpose of research
- 4) Definitions
In this Direction, unless the context requires otherwise;
 - a. "Act" means the Maharashtra Public Universities Act, 2017 (Maharashtra Act No.VI of 2017).
 - b. "Board of Studies" means a Board for a particular subject or group of subjects constituted as per provisions of Section 40(2) of the Act.

- c. College means a college as defined under section 2(12) and 2(22) of the Act.
- d. "Faculty" means a faculty constituted as per the provisions of Section 34(4) of the Act.
- e. "Head, Place of Research" means the Head of the "place of the research", designated by the University/Principal of the College/Director of the Institute.
- f. "Place of Research" means all the post-graduate teaching departments of the University and includes any other place, which is duly recognized as the "place of research" by the University.
- g. "Ph.D. Entrance Test(PET)" means the entrance test conducted by the S.N.D.T. Women's University in accordance with the (applicable) rules framed by the University in this regard.
- h. "Ph.D. degree programme in Regular Mode" means either full-time or part-time Ph.D. degree programme of the University
- i. "Post Graduate Department" means a department in a college or institution of higher learning, research, or specialized studies, recognized to be so by the University and imparting post-graduate instruction or guidance for research and includes the post-graduate teaching department of the University.
- j. "Research Advisory Committee means a committee as provided under this Direction
- k. "Research & Recognition Committee" means a committee for the particular Board of Studies constituted by the University as per provision of Section 37 (2) (a) of the Act.
- l. "Supervisor" means M.Phil./Ph.D. supervisor who is recognised as a supervisor as per the provisions of this Direction
- m. "University" means S.N.D.T. Women's University, Mumbai.

M.Phil./Ph.D. Degrees Regulations 2016

1. Short title, Application and Commencement (to be drafted as per UGC text)

2. Eligibility criteria for admission to the M.Phil.:

Subject to the compliance with the requirements of this Direction, an applicant fulfilling the following criteria shall be eligible for registration for the award of M.Phil. Degree of the University

2.1 Women candidates for admission to the M.Phil. programme shall have a Master's degree from a University Grants Commission's (UGC) recognised university/ institution 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 an overseas 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.

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

3. Eligibility criteria for admission to the Ph.D. programme

Subject to the compliance with the requirements of this Direction, an applicant fulfilling the following criteria shall be eligible for registration for the award of Ph.D. Degree of the University

3.1 Women candidates for admission to the Ph. D. programme shall have a Master's degree from a University Grants Commission's (UGC) recognised university / institution 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 an overseas 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.

- 3.2** A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC /ST / OBC (non-creamy layer)/ Differently-Abled and other categories of candidates or for those who had obtained their Master's Degree prior to 19th September, 1991. (The relaxation will be as per the Direction of the Commission from time to time). **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.**
- 3.3** A person whose M.Phil. dissertation has been evaluated and the viva voce is pending may be provisionally admitted to the Ph.D. programme fulfilling other criteria of Ph.D. admission.
- 3.4** Candidates possessing a degree considered equivalent to M.Phil. degree of an Indian Institution, from an overseas 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.
- 3.5** Fellow members of the Institute of Chartered Accountants/ Institute of Cost and Work Accountants can apply for Ph.D. in a subject under the Faculty of Commerce provided they have a Bachelor's degree in the subject of any statutory University, and have at least 5 years work experience in their respective fields.

4. Procedure for Admission for M.Phil./Ph.D.:

4.1 Procedure for Application

- 4.1.1 Application form for the M.Phil. / Ph.D. programme will be available on payment of prescribed application fee at the Academic Section of SNDT Women's University between 11.00 A.M. and 4.00 P.M. from Monday to Friday except public holidays. Application forms can also be downloaded from official website of the University and applicants will be required to pay the prescribed application fee at the time of submission of the form, to the University. Payment should be made in the form of a demand draft in favour of "**Registrar, SNDT Women's University**", payable at Mumbai. The details regarding the payment of the application fee will be made available on the University website at the time of the announcement of the PET.

- 4.1.2 Application forms should be complete in all respects and should be submitted to the Academic Section. Application form along with the demand draft may be submitted by post as well.
- 4.1.3 The following documents should be submitted with the application form. Two attested copies of:
- The mark-sheet of Post Graduate Examination or that of the corresponding equivalent degree.
 - Passing Certificate / Degree Certificate of Post Graduate examination
 - Marriage Certificate / Affidavit (in case of name change).
 - Caste Certificate (except for Open Category).
 - Medical certificate given by a competent authority in case of candidates with physical and sensory challenge
 - Certificate of any other qualifying examination (as mentioned under eligibility criteria)
- 4.1.4 Those candidates who satisfy the eligibility criteria will be permitted to appear for the entrance test.

Important note:

- Downloaded mark-sheets will not be accepted.
- Candidates, whose results of qualifying degree are not declared, are not eligible.

4.2 Ph.D. Entrance Test (PET)

Ph.D. Entrance Test will consist of Written Test and Interview.

4.2.1 Written Test

- The written test will be conducted simultaneously at Mumbai and Pune campuses of the University in the month of November-December every year. The date of the test will be announced on the University website.
- The written test will consist of 2 sections: (i) Research Methodology (50 marks) and (ii) Subject domain (50 marks). Separate passing in each of these two sections is mandatory. A relaxation of 5% of marks, from 50% to 45%, will be allowed for those belonging to SC/ST/OBC (non-creamy layer)/ other categories and differently-abled candidates.
- The result of the written test will be displayed on the University website. Those who clear the written test with minimum of 50% marks in each of the sections separately will be eligible for interview.

Format for each of the sections of the written test:

Objective type questions (20): 20

Short answer questions (3): 15

Long answer questions (1): 15

The Academic Section will be responsible for the written test and will coordinate with the Heads of the concerned University Departments in this regard.

Exemption from appearing for written test

- Candidates who have cleared NET/SET(Maharashtra) /GATE/JRF/GPAT examination of apex bodies such as CSIR/ICMR/ICAR/UGC/DBT/AICTE are exempted from appearing for the written test but will be required to appear for personal interview at the respective departments.
- Those candidates who have completed M.Phil. Degree from a UGC recognised University/ Institute are exempted from appearing for the written test but will be required to appear for personal interview at the respective departments.

4.2.2 Interview

- Those candidates who are qualified through the written test or are exempted from it will be eligible to appear for the interview. The dates for the same will be declared on the website.
- Students are expected to make a presentation in their area of interest before an Interview Committee.
- Students will be assessed on following criteria:

Conceptual understanding of the area of interest : 20 marks
Awareness of research in the area of interest : 10 marks
Competence for research : 10 marks
Communication skills : 10 marks
- The interview will be conducted by an interview committee constituted by the Head of the concerned University Department consisting of:
 - a. Head of the Department
 - b. One senior member of the department who is also a doctoral supervisor. In the absence of such a member within the department, a senior member from any related department who is also a doctoral supervisor.
 - c. One external expert.
 - d. One member representing reserved category /minority/disability sections

- The merit list of the selected candidates will be made available on the website of the University. The admission will be granted as per the availability of seats in the specific subjects. While granting admission to students to M.Phil. / Ph.D. programmes, the Department / Institute should follow the Maharashtra State Reservation Policy.
- The results of PET will be valid for three years. In case of unavailability of supervisor beyond three years the case will be referred to the University Authorities.

5. Allocation and Recognition of Research Supervisor:

- 5.1** The allocation of Research Supervisor for a selected research scholar shall be decided by the Research Advisory Committee (RAC) depending on the number of existing scholars per research supervisor, the available specialization among the supervisors and research interests of the research scholars as indicated by them at the time of interview. The Maharashtra State Reservation Policy will be applicable at the time of allocation of research supervisor.
- 5.2** A research supervisor may be allocated a new research scholar after a previous one has submitted her thesis.
- 5.3** In case of topics which are of an inter-disciplinary nature or requires additional expertise, where the concerned Department feels the need of external expertise, a Co-Supervisor from outside the Department/ College/Institution / Organisation may be suggested. The primary responsibility for entire research work shall rest with the principal supervisor from the department.
- 5.4** The co-supervisor should be approved by the Research Advisory Committee(RAC) and Research and Recognition Committee (RRC).
- 5.5** In case certain facilities for research do not exist in the jurisdiction of the University, the research scholar may be permitted by the supervisor and the Head of the Place of Research to carry out her research work at an institution approved by any Statutory University or by Central/State Government outside the jurisdiction of the University for such period as may be approved by the RRC.
- 5.6** In case of relocation (outgoing/incoming) of an M.Phil/Ph.D. scholar, 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 parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent supervisor and the institution for the part of research already done.
- 5.7** Admission to the incoming scholars after relocation shall be considered subject to the vacant seats in the concerned department.

5.8 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot supervise more than three (3) M.Phil. and eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.

5.9 Maharashtra state reservation policy shall be applicable in allocation of research scholars to supervisors.

5.10 The supervisor or the co-supervisor shall not be a direct or collateral relation of the candidate.

5.11 Any regular Professor of the University/Institution/College with at least five research publications in refereed journals and any regular Associate Professor of the University/Institution/College with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

Any regular Assistant Professor of the University/ post-graduate Institution/ post-graduate centres with total 5 years of teaching or experience at post-graduate level out of which s/he must teach for 3 years after awarding Ph.D. degree and at least research publications in refereed journals may be recognized as Research Supervisor.

Any regular Professor/ Associate Professor/ Assistant Professor teaching at undergraduate level in any constituent/ affiliated College/ Institute of the SNDT Women's University / Statutory University with a Ph.D. degree, who has total teaching and dissertation guidance experience of three years at post-graduate level with minimum 300 hours. The experience should be certified by the concerned head of the department/ institution/ centre. The teacher should have at least two research publications in refereed journals. Such an Assistant Professor must be approved as a supervisor with the approval of the Research Advisory Committee (RAC) and the RRC.

5.12 Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the University /Institution / College may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

5.13 The existing external / retired Ph.D. supervisor shall continue as Ph.D. supervisor of the University until the last research scholar under her / him submitted the M.Phil. dissertation / Ph.D. thesis to the University or the period of registration of research scholar has expired, whichever is earlier.

5.14 Change of Supervisor

5.14.1 If a scholar desires a change of supervisor, she should submit her application with reasons given in writing and with No Objection Certificate (NOC) from the supervisor to the Head of the Department.

5.14.2 Head of the Department will place the applications in RAC. RAC will allot a new supervisor and seek approval for the same from the RRC.

5.14.3 In the event of NOC not being available from the Supervisor within two months of application, the Head of the Department will forward the application to the University authorities to be placed before the RRC. The decision of RRC shall be final.

5.14.4 In cases such as Supervisor's unwillingness/inability to continue with the guidance, above-mentioned procedure shall be followed.

5.14.5 In case of such a change the scholar shall be required to work for a minimum period of twelve months under the new supervisor.

6. Registration

6.1 The Head of the concerned Department will forward the list (along with the ranking) of the selected candidates to the concerned University office. The names of the selected but waitlisted candidates in the list should be mentioned by the Head of the Department.

6.2 The names of the allotted supervisors of the registering students will be forwarded to the the concerned University office.

6.3 The letters of registration may be issued by the University to the candidates who may be admitted for M.Phil. / Ph.D. programme and to their respective supervisors through the Head of the Department.

6.4 The Head of the Department will notify the concerned University officefor admitting the waitlisted students and the allotted supervisors as per the merit list whenever there is a vacancy in the Department.

6.5 The supervisor will be allotted the waitlisted student by the RAC after the successful completion of the viva-voce of the existing registered research scholar.

6.6 After receiving the letter from the University regarding the admission the students will fill up the registration form (Annexure 1)and pay the Registration and the First Term fee (Annexure 2) in the concerned department. Fees once paid will not be refunded.

6.7 Terms of six months each, shall commence from January and July immediately on registration. Terms will be from January to June and July to December. Fees for each term shall be paid in the concerned Department. (Annexure 2)

6.8 Scholars from other Universities shall be required to submit a migration certificate

to the concerned Department within one year of enrolment. They will also have to pay the eligibility fee as prescribed by the University at the time of their registration.

6.9 The concerned Department will forward the migration certificate to the Director of Examinations and Evaluation.

6.10 The University shall maintain the list of all the registered M.Phil. / Ph.D. students on a yearly basis. This will be updated every year in the month of January after the registration of the newly enrolled students. The list shall include the name of the registered scholar, the topic of the research, name of the supervisor and the date of the registration.

7. M.Phil and Ph.D. Programme: Course-work

The M.Phil and Ph.D. programme shall consist of a combination of course-work. and research.

After admission, all M.Phil. / Ph.D. scholars shall be required to undertake course-work in the first two semesters. An extension of one or two terms may be given on the recommendation of the Research Advisory Committee (RAC).

7.1 M.Phil. Course-work

The detailed syllabus for the M. Phil. Course-work will be framed by the Research Advisory Committee (RAC) based on the structure given below. This will be placed before the Research and Recognition Committee (RRC) and then the Academic Council for approval.

Coursework for M. Phil. (12 Credits)

Sr. No.	Course Content	Semester	Credits	Marks
	Coursework		<u>12</u>	<u>300</u>
1	Research Methodology	I	04	100
2	Review of Literature	I	02	50
3	Research Proposal (Write up + Presentation)	II	02	50 (25 + 25)
4	Theory Paper (In the concerned discipline)	II	04	100

- The Head of the Department will arrange to conduct the coursework. The guidance lectures will be arranged by the Department for two papers – i. Research Methodology and ii. Advance Theory. A minimum of 20 hours each of guidance lectures for both the papers may be arranged by the Department.

- After the completion of the coursework the mark sheet will be issued to the scholar by the Head of the Department.
- Minimum percentage for passing the M.Phil. coursework will be 50%.

7.2 Ph.D. course-work

The detailed syllabus for the Ph.D. course-work will be framed by the Research Advisory Committee based on the structure given below. This will be placed before the Research and Recognition Committee and then the Academic Council for approval.

Coursework for Ph.D. (12 Credits)

Sr. No.	Course Content	Semester	Credits	Marks
1.	Research Methodology	I	04	100
2.	Research Proposal (Write up + Presentation)	I	02	50 (25 + 25)
3.	Review of Literature	II	02	50
4.	Term Paper – I	II	02	50
5.	Term Paper – II	II	02	50

- The Research Supervisor will arrange to conduct the coursework in consultation with the Head of the Department.
- After the completion of the coursework the mark sheet will be issued to the scholar by the Head of the Department.
- Minimum passing marks for the Ph.D. coursework evaluation will be 50 %.

7.3 Exemption from Course-work:

- Ph.D. scholars with M.Phil. degree are exempted from course-work 1, i.e. Research Methodology.
- Scholars who do not complete M.Phil. / Ph.D. within the required time period and therefore re-register for Ph.D. within a period of three years will be exempted from course-work, provided the course-work was already successfully completed.

8. Bridge Courses:

For scholars who are interested in doing Ph.D. in a subject (that allows for interdisciplinary work), that is not their subject of specialization at the Masters and/or M.Phil. level, will be required to successfully complete Bridge Course (of 8 credits) in the chosen field.

- The Head of the Department will arrange the framing of the syllabus for the bridge courses. Each individual course may be of minimum 2 credits and maximum 4 credits. The Syllabus for the bridge courses will be approved by RAC. The syllabus will be forwarded to the University to be placed before the RRC.
- The minimum passing requirement of bridge courses will be of 50%. If a scholar fails to clear bridge courses, along with the course-work, her registration will be cancelled.

9. Research:

9.1 Dissertation

M. Phil. Dissertation (12 Credits)

Sr. No.	Dissertation	Semester	Credits	Marks
1	Research Report (Internal Examiner + External Examiner)	III & IV	08 (04+ 04)	200 (100+ 100)
2	Viva-Voce (Internal Examiner + External Examiner)	IV	04 (02+ 02)	100 (50 + 50)

- Minimum percentage for passing the M.Phil examination will be 50%.

9.2 Ph.D. Research

- A work which has already been considered for a Degree/Diploma by this or any other University/Institution shall not be considered for the conferment of Ph.D. degree by this University.
- The thesis may be written in English, Marathi, Gujarati or Hindi provided the supervisor is conversant with the chosen medium.

9.2.1 Research Proposal

9.2.1.1 Only after completion of Course-work (maximum two years), Ph.D. scholars will submit five copies of the research proposals to the Head of the Department through the supervisor.

9.2.1.2 If the proposal is in a language other than English, the scholar should submit

two translated copies in English in addition to the five copies.

- 9.2.1.3 The Head of Department shall call for a meeting of the RAC within 30 days of receipt of the research proposal.
- 9.2.1.4 The scholar shall be required to make a presentation of her proposal to the RAC.
- 9.2.1.5 The RAC shall scrutinize the research proposal and interview the scholar to determine the feasibility of the research proposal.
- 9.2.1.6 The RAC shall approve, suggest modification(s) or reject the proposal. If a proposal is rejected, the candidate shall resubmit a fresh proposal within three months. The RAC may recommend, if necessary a Co-supervisor to the candidate.
- 9.2.1.7 The approved research proposal (five copies) will be forwarded to the Academic Section to be placed before RRC for the approval of the title.
- 9.2.1.8 The RRC shall approve, suggest modification(s) or reject the title. If a title is rejected the scholar may submit a fresh proposal for the confirmation of the title within three months of intimation from the University.
- 9.2.1.9 If the RRC approves the title, the University will issue letter of approval of the title (within 30 days) with a copy to the concerned Supervisor, Head of the Department and Director of Examinations and Evaluation
- 9.2.1.10 If a scholar requires to revise her research proposal/title due to unforeseen circumstances, she shall submit the revised proposal/title to RAC and subsequently to RRC for re-approval. The number of academic terms for Ph.D. programme shall remain unchanged in such cases.

10. Duration of the Course

M. Phil. and Ph. D. Programme

- M.Phil. programme shall be for a minimum duration of two (2) consecutive semesters/ one year and a maximum of four (4) consecutive semesters / two years.
- Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.

10.1 Extension

- 10.1.1 The extension of one year for M.Phil and two years for Ph.D. (beyond 4 years) is permissible for all scholars.

- 10.1.2 In addition, the candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil/Ph.D. for up to 240 days. The scholar will be required to pay the respective term fees during the leave period.
- 10.1.3 A scholar may take for one term during Ph.D programme, The break should be approved by the RRC. However, the scholar will have to pay the fees for the break period and the total duration of Ph.D. programme shall not exceed six plus two years extension period)
- 10.1.4 For M.Phil. Students the extension for 3rd year (5th and 6th term) may be sanctioned by the RRC.
- 10.1.5 For Ph.D. Scholars, the extension for the 7th year (13th and 14th term) may be sanctioned by the RRC and the application for the extension for the 8th year (15th and 16th term) may be forwarded to the Vice-Chancellor through RRC. The approval for the 8th year (15th and 16th term) may be granted by the Vice-Chancellor.
- 10.1.6 The scholar should apply to the Head of the Department through the supervisor for extension two months prior to the end of the last term.
- 10.1.7 The application for extension should be submitted in the prescribed format (Annexure 3) along with a covering letter by the scholar with the recommendation of the supervisor.
- 10.1.8 The scholar ceases to be a scholar, if she is not granted approval for extension by the RRC/Vice-Chancellor or is unable to submit the Ph.D. thesis within the specified time period of six/eight years.

10.2 Progress Reports

- 10.2.1 At the end of the first term from the date of registration, the scholar should prepare the term progress report, sign, obtain remarks and signature of the supervisor and submit the same to the Head of the Department/ Institution/ Centre within a month after the term ends. (Annexure 4) The head should get it inwarded for his/her own office.
- 10.2.2 The photocopy of fee receipt of the concerned term should be attached to the progress report.
- 10.2.3 The progress report will be placed before the RAC for approval after every term.
- 10.2.4 A copy of the progress report duly signed by the supervisor and the Head of the Department shall be given to the scholar.

11. Cancellation of Registration

- 11.1** The registration of a scholar may be cancelled by the RRC-
- a. If the scholar fails to clear the bridge course/s along with the course-work (if applicable)
 - b. If the scholar fails to complete course work within 4 semesters (if applicable)
 - c. If progress reports of two consecutive terms are not submitted or fees of two consecutive terms are not paid.
- 11.2** On the recommendation of the RRC, the University will notify about the cancellation of registration to the concerned scholar along with a copy to the concerned authorities (Research supervisor, Head of the concerned Department and the Director of Examinations and Evaluation).
- 11.3** In such cases, the scholar may apply for re-registration if she so desires. She will be treated as a fresh Ph.D. applicant and will be required to appear for the entrance test.

12. Re-registration:

- 12.1** Re-registration will be allowed only once.
- 12.2** Scholars who re-register within three years of the date of expiry of registration may apply to RRC for exemption from coursework.
- 12.3** Scholars who re-register with a break of 3 years or more will be required to do the prescribed coursework.

13. Paper Presentation and/or Publication requirements:

- 13.1** M.Phil. scholars shall present at least one (1) research paper in a conference/seminar prior to the submission of the dissertation.
- 13.2** Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the thesis.
- 13.3** Supporting documents for the same in the form of acceptance letter / presentation of certificates / reprints shall be submitted at the time of dissertation/ thesis.

14. Submission of Ph.D. Synopsis:

14.1 The scholar will submit the synopsis (5 copies) to the concerned department only after the completion of three years of registration.

14.2 At the time of submission of the synopsis, the scholar must also produce all original term fee receipts (inclusive of the current term) with a photocopy of each to the concerned Department. The Department will verify the payment of fees and a set of photocopies of fee receipts shall be retained by the Department. The Head of the Department will certify payment of fees.

14.3 The Head of the Department shall arrange for the meeting of the RAC for the presentation of the synopsis within two months after the submission of the synopsis by the scholar. The scholar shall not pay the subsequent term fees after the submission of the synopsis to the Department.

14.4 The scholar shall make a presentation in the Department of the M.Phil. dissertation/ Ph.D. synopsis before the Research Advisory Committee which shall also be open to all faculty members, research scholars and students. The feedback and comments received at the time of presentation may be suitably incorporated into the draft dissertation / thesis in consultation with the Research Advisory Committee (RAC).

14.5 After the approval of the synopsis by the RAC six copies of the synopsis shall be sent to the concerned University office by the Head of the Department to be placed before the RRC. If the thesis is written in a language other than English, and if neither of the experts of RRC are fluent in that language, the concerned head will get from the scholar 2 copies of English translation of the synopsis. scholar

14.6 After the approval of the synopsis by the RRC, the scholar shall submit four copies of the synopsis to the Department of Examinations. The scholar shall submit the examination form and pay the synopsis fee to the Examination Department. (Annexure 5)

14.7 The supervisor will also forward the suggested panel of referees for M.Phil. dissertation / Ph.D. thesis through the Head of the Department to be placed before RRC in the prescribed format along with the synopsis. There should be three referees for M.Phil. Dissertation and six referees for Ph.D. Thesis. One of the referees for Ph.D. thesis may be from outside India. (Annexure 6)

14.8 The panel of referees recommended by the RRC shall be forwarded to the Vice-Chancellor for selection of final referees from the approved list.

15. M.Phil. Dissertation / Ph.D. Thesis Submission:

- 15.1** M.Phil. Dissertation shall be submitted by the scholar to the Head of the Department through the supervisor. The Head of the Department shall forward the same to the Director of Examinations and Evaluation.
- 15.2** Ph.D. thesis may be submitted to the Examination Department within six months after the approval of the synopsis by the RRC.
- 15.3** The supervisor shall submit the soft copy of the M.Phil. Dissertation / Ph.D. thesis forwarded through the Head of the Department, to the Director of Knowledge Resource Centre of the University for plagiarism check. The Head of the Department will forward the certificate to the supervisor and the head.
- 15.4** At the time of submission of dissertation / thesis the scholar should submit the following to the DOEE forwarded through the head.
- a. certificate of paper presentation in the seminar / conference, reprint of the published papers or the acceptance letters for publication of research papers.
 - b. clearance certificate related to plagiarism

16. Format of M.Phil. Dissertation / Ph.D. Thesis :

- 16.1** The dissertation / thesis should be arranged in the following order:
- a. The cover page (Annexure 7)
 - b. An undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work. (Annexure 8)
 - c. Acknowledgements
 - d. Contents / Index
 - e. Chapters
 - f. Bibliography
 - g. Appendices
- 16.2** The dissertation / thesis shall be typed with one and half line spacing. It is advisable to use Verdana (size 10), Arial (size 10), or Times New Roman (size 12) for English; preferably Unicode fonts for other approved languages. . The dissertation/thesis should be typed on A4 size bond paper and on both sides of the paper.
- 16.3** The Scholar shall submit 3 soft bound copies of the dissertation / thesis (preferably avoid spiral bound) at the time of submission.
- 16.4** After the viva-voce examination, the scholar shall submit three hard bound copies and two soft copies on CD/DVD to the Examination Department.

17. Evaluation of the M. Phil Dissertation / Ph.D. Thesis:

- 17.1** The Examination Department will send the M.Phil. Dissertation to the examiner within one month after the approval of the panel by the Board of Examinations and Evaluation(BoEE) and on receiving the consent from the examiner.
- 17.2** The Examination Department will send the Ph.D. synopsis to the referees within one month after approval of referees by the BoEE for their consent to evaluate the thesis.
- 17.3** The Ph.D. thesis will be sent to the referees immediately upon their acceptance and as soon as the thesis is submitted to the Examination Department by the scholar (within 4 working days).
- 17.4** The M.Phil. dissertation submitted by a research scholar shall be evaluated by her research supervisor and by one external examiner who is not in the employment of the home University/Institution.
- 17.5** The Ph.D. thesis submitted by a research scholar shall be evaluated by her research supervisor and two external examiners, who are not in employment of the home University/Institution, of whom one examiner may be from outside the country.
- 17.6** Letters to the approved referees along with the Ph.D. synopsis shall be sent by the Director of Examinations and Evaluation. The referee is expected to accept examinership within 30 days failing which the next referee on the panel will be appointed. Referee shall be requested to evaluate the thesis within 60 days of receiving it. The referees shall also be requested to re-examine the thesis if s/herecommends a revision or resubmission. In such cases the referees shall be paid extra remuneration as per rules.

17.7 M.Phil. Dissertation

- 17.7.1 The dissertation shall be evaluated by the supervisor and one referee from the approved panel of external referees.
- 17.7.2 On receipt of a satisfactory evaluation report from the external referee, the Director of Examinations and Evaluation shall organize a Viva-Voce Examination at a suitable date. Viva-Voce Examination shall be organized at any one of the campuses of the University/Institute.
- 17.7.3 The scholar will face open defence.

17.8 Ph.D. Thesis

- 17.8.1 The thesis shall be evaluated by the supervisor and two referees from the approved panel of external referees.
- 17.8.2 On receipt of a satisfactory evaluation report from both the external referees, the Director of Examinations and Evaluation shall organize a viva-voce examination at the earliest suitable date. Viva-Voce Examination shall be organized at any one campus of the University / Institution. The scholar will face open defence.
- 17.8.3 If the evaluation reports from both the external referees are not satisfactory, the candidate shall be considered to have failed and shall be accordingly informed by the University.
- 17.8.4 If the report of one external referee is favourable and the report of the other referee is not favourable, it shall be sent to a third external referee from the panel. If the third referee's report is favourable, the thesis will be accepted. If the third referee's report is unfavourable the thesis shall be rejected. If it is rejected, the scholar shall be considered to have failed and will be informed accordingly by the Department of Examinations and Evaluation.

17.9 Revision:

- 17.9.1 If the report given by one external referee is satisfactory and the second referee suggests revision, the scholar will be informed through the supervisor by the Department of Examinations. The scholar shall make the necessary revisions and re-submit it within six months from the date of intimation from the Department of Examinations. Then it shall be sent to the same referee who had recommended revision. If the referee rejects the thesis / or the report is unfavourable even after revision it shall be sent to the third examiner on the panel. If the third examiner's report is favourable the thesis shall be accepted. If the third examiner suggests revision the same procedure shall be followed as outlined above. If it is rejected by the third examiner, the thesis shall be rejected. The scholar shall be considered to have failed and will be informed accordingly by the Examination Department.
- 17.9.2 In case both the referees suggest revision, the thesis shall be sent back to the scholar for revision through the supervisor. The scholar shall be required to re-submit the thesis within six months. Thereafter, it shall be sent back to the same referees. The procedure thereafter regarding accepting and rejecting the thesis will be as mentioned earlier.

Note: In all of the above cases of revision the scholar will have to pay complete tuition fees of the last term and full examination fees again as per the prescribed rules until the thesis is resubmitted.

17.10 Conduct of Viva-Voce

- 17.10.1 When the two external referees accept the thesis, the viva-voce shall be held and one external referee shall be invited for the viva-voce. In case that referee

regrets, the second referee will be invited. The supervisor shall be required to be present. The Department of Examinations will arrange for the viva – voce examination.

17.10.2 For both M. Phil. and Ph. D. scholars there will be open viva-voce examination.

17.10.3 In case the Ph.D. Supervisor is not available for conducting the viva-voce examination, for a reasonable time limit, i.e. six months after submission of favourable reports, the Head of the concerned University Department and in his/her absence, a person who is in the rank of Professor or Associate Professor and recognized as Ph.D. Supervisor in the concerned subject by the University will be appointed as Internal Referee by the Vice-Chancellor for the purpose of conducting Ph.D. viva-voce examination.

17.10.4 The viva voce shall be conducted by the external examiner preferably closest to the University.

17.10.5 After a satisfactory viva voce, the candidate shall become eligible for the award of the Ph.D.

17.11 Procedure for Open Defence:

17.11.1 The notice of the Open Defence shall be displayed on the website at least eight days prior to the viva voce by the Department of Examinations. Notice will also be sent to all Heads of the Departments, Directors of Institutions, Centres in the University and to Recognised Institutes.

17.11.2 Head of the Department / senior member of the related subject will be the Chairperson of the open defence. If the head of the Department is the supervisor another chairperson will be appointed by the Director of Examinations and Evaluation on the recommendation of the Dean of the concerned Faculty

17.11.3 The chairperson will introduce the supervisor, the examiner and the scholar. The scholar will then make her presentation based on the study. The referee will conduct the viva-voce after the presentation. This will also include questions suggested by the second external referee. Subsequently, the floor will be open for the audience. The question-answer session will not have any bearing on the result of the scholar. The Chairperson will conclude the Open Defence session.

17.12 Report of Viva-Voce Examination

The referee and the supervisor shall prepare a consolidated joint report on the basis of the written reports of the referees and performance at the viva-voce examination, and submit the same to the Director of Examinations immediately after the viva-voce examination. They shall make a recommendation for acceptance/non acceptance of the thesis for the award of the Doctoral Degree. The report will be signed by the Supervisor,

Referee and the Chairperson / Head of the department. The Chairperson / Head of the Department will forward the report of the viva-voce to the Director of Board of Examinations and Evaluation.

17.13 Result

The Board of Examinations and Evaluation shall accept the recommendations of the referees. The result shall be declared by the University. The Director of Examinations and Evaluation will send the notification to the scholar and a copy of the same shall be sent to the Supervisor and the Head of the Department / Director/Principal .**The notification will include that the M. Phil / Ph. D. Programme has been carried out as per the University Grants Commission (Minimum Standards and Procedure for Award of M. Phil. / Ph. D. Degrees) Regulations, 2016.**

18. Preservation of Thesis

The Director of Examinations and Evaluation will forward the accepted thesis (both hard and soft copies) to

- a. The University Library
- b. The concerned Department
- c. The Supervisor

The director of Knowledge resource Centre will arrange to upload soft copy of the accepted thesis on the Shodhganga website.

19. Depository with INFLIBNET:

After the successful completion of the evaluation process and after the notification is issued to the scholar, the Director of Examinations and Evaluation shall submit an electronic copy of the M.Phil. dissertation /Ph. D. thesis to the INFLIBNET or appropriate national repository within a period of 30 days.

20. Recognition for offering M.Phil./Ph.D. programmes by affiliated Colleges/Institutions

Academic, administrative and infrastructure requirement to be fulfilled by affiliated Colleges/Institutions for getting recognition for offering M.Phil./Ph.D. programmes:

- 20.1** Post-graduate departments of colleges, research laboratories of Government of India/State Government with at least two Ph.D. qualified teachers/scientists/other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per the UGC Regulations 2016 shall be considered eligible to offer

M.Phil./Ph.D. programmes. Colleges should additionally have the necessary recognition by the Institution under which they operate to offer M.Phil/Ph.D. programme.

20.2 Colleges with adequate facilities for research as mentioned below alone can offer M.Phil./Ph. D. programmes:

20.3 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;

20.4 Earmarked library resources including latest books, Indian and International journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials;

20.5 Colleges may also access the required facilities of the neighbouring Institutions/Colleges, or of those Institutions/Colleges/R&D laboratories/Organizations which have the required facilities.

21. Treatment of Ph.D. / M.Phil. through Distance Mode/Part-time:

- Notwithstanding anything contained in these Regulations or any other Rule or Regulation, for the time being in force, no University / Institution, deemed to be a University and College shall conduct M.Phil. and Ph.D. Programmes through distance education mode.
- Part-time Ph.D will be allowed provided all the conditions mentioned in the extant Ph.D Regulations are met.

22. Grievance Redressal Committee:

There shall be a committee for redressal of grievances of the scholar. The constitution of the committee will be as follows:

- a. Dean of the concerned Faculty (Chairperson)
- b. Nominee of the Vice-Chancellor
- c. The Head of place of research

(If the complaint is against the Dean / Head, s/he shall not be members of the committee. In such a case the Vice-Chancellor may nominate other members).

The report shall include, among other things specific recommendations of the committee. Based on the recommendations of the committee, the Vice-Chancellor may

issue appropriate orders. The orders of the Vice-Chancellor shall be final and binding on all parties.

23. Research Advisory Committee (RAC):

23.1 Composition of RAC:

- Every department shall have a Research Advisory Committee (RAC). The Research Supervisor of the scholar shall be the Convener and HOD will be the chairperson of this committee.
- The constitution of the RAC will be as follows:
 - a. Head of the Department – Chairperson
 - b. Research Supervisors
 - c. One External Expert
 - d. An additional expert, if and when required

23.2 Functions of RAC

- To allocate research supervisors to the research scholars
- To evaluate the research proposal of the research scholar.
- To approve, approve with modification or reject the research proposal and the title after the presentation of the research proposal by the candidate.
- To scrutinize the revised /re-submitted research proposal and title.
- To grant exemption to the candidates from the course work.
- To approve any changes in the research proposal/and/or the title.
- To approve the progress report of the scholar for each term.
- In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to RRC with specific reasons for cancellation of the registration of the research scholar.
- To approve/ recommend to RRC the extension of the research scholar as per the guidelines
- To approve and recommend to RRC the synopsis of the research scholar
- To recommend a co-supervisor, if required.
- To recommend the matters to RRC wherever approval of RRC is required

24. Research and Recognition Committee (RRC)

The Research and Recognition Committee (RRC) for each Board of Studies will consist of:

1)	The Pro-Vice-Chancellor	Chairperson
2)	The Dean of the Faculty concerned and the Associate Dean of the concerned group of subjects (if any)	Member
3)	The Chairperson, Board of Studies	Member
4)	Two experts in the subject to be nominated by the Vice-Chancellor not below the rank of Professor, who have successfully guided at least three Doctorate of Philosophy (Ph.D.) students and have published research work in recognised or reputed national or international journals, anthologies, etc. one of whom shall be from outside the University.	Expert Members
The Head of the University Department will be a Permanent Invitee		

24.1 The Functions of RRC:

- To approve the title of thesis or dissertation in the subject
- To recommend to the Vice-Chancellor a panel of referees for thesis / dissertation for awarding post-graduate, doctoral and higher degrees, based on the criteria as approved by the Academic Council
- To recommend to the Board of Deans, by following appropriate process, names of post-graduate teachers, research scientists in the recognised research and other institutions, active research and development experts having not less than ten years experience in research and development laboratories or centres in variety of industries, for recognition as approved research guides
- To undertake any other task in academic and research and development matters, as may be assigned to it by the Board of Deans, the faculty and the Academic Council

Annexures

Annexure 1

(The registration form should be filled in by the research scholar after getting the registration letter from Director, BCUD)

Registration Form

Name of the research scholar:

Address:

Email id:

UID No.

Telephone no.:

Name of the department:

Faculty:

Date of registration:

Signature of the research scholar:

(Head of the Department)

Annexure 4

Progress Report of Research Scholar

Term : **January / June(Year) :** **July / December(Year) :**

Name of the research scholar :

Department :

Faculty :

Date of registration :

Work completed during the term under review :

- Details of meetings :

- Stage of work :

- Pace of progress :

Remarks of the supervisor :

Remarks of the RAC :

(Signature of the research scholar)

Date :

(Signature of the Supervisor)

Date :

(Signature of the Head of the Department)

Date :

Annexure 5

Examination Form

- To be submitted to the Department of Examination at the time of payment of synopsis fee after the approval of the synopsis by the RRC
- A copy of the letter of approval of the synopsis by RRC to be attached
- Photocopies of earlier fee receipts to be attached (Original fee receipts to be produced for verification)

Name of the research scholar:

Department:

Faculty:

Date of registration:

Date of Approval of the Synopsis by the RRC:

Amount of the synopsis fees:

DD No.:

Name of the Bank:

Date of DD:

(DD should be in favour of -----)

Signature of research scholar:

(Supervisor)

(Head of the Department)

FOR OFFICE USE ONLY

Amount:

DD No.

Date of the DD:

Receipt No.

Annexure 6

SNDT WOMEN'S UNIVERSITY

Panel of Referees

Department:

Name of the Scholar :

Name of the Supervisor :

M. Phil. (Three names) / Ph. D. (Six names):

Title of Dissertation / Thesis:

Sr. No.	Name of The Proposed Referee	Designation	Address	Tel (M.) and Office	E-mail id
1					
2					
3					
4					
5					
6					

- Bio Data of the referees Should be attached

(Supervisor)

(Head of the Department)

Annexure 7

Cover Page

*The cover page should be included inside the thesis also. It will not have any page number.

Title of the Dissertation / Thesis

Dissertation / Thesis submitted to the SNDT Women's University in partial fulfilment of the requirements for the Award of the Degree of

M. Phil. / Ph.D. in NAME OF THE SUBJECT

by

Name of the Scholar

Under the Supervision of

Name of The Supervisor

Name of The Co-Supervisor (If Any)

Name and Address of the Department

month and year of submission of the thesis

Annexure 8

Declaration

(Undertaking and certificate to be typed on separate pages)

Undertaking

I declare that the form and content of the dissertation / thesis are original and have not been submitted, in part or full, for any other degree/ diploma of this or any other University or Institution.

Signature _____

Name of Research Scholar _____

Date _____

Certificate

Certified that this dissertation/ thesis is a bonafide record of work done by Ms. _____ during the Period _____ at the Department of _____/Recognized Institute of SNDT Women's University, Mumbai.

It is submitted in partial fulfilment of the requirements for M.Phil. /Ph.D. Degree in _____.

Signature _____

Name of the Research Supervisor _____

Date: _____

Annexure 9

Format of M.Phil. Dissertation/ Ph. D. Thesis

- Cover Page
- The cover page should be included inside the thesis also. It will not have any page number.
- From the Declaration till Chapter no. 1 pagination should be through small roman numerals
- First chapter will begin with page no. 1
- Each chapter will begin on a new page.
- The titles of the chapters will be in capital letters.
- The titles of the tables, graphs and figures will be in capital letters.
- The numbers of the tables, graphs and figures should contain the chapter number and the number of the table e.g.

Table 1.1: Title of the Table

Figure 1.1: Title of the Figure

- Bibliography (inclusive of the references in the text)will be given at the end of the thesis.
- A standard format should be followed for the references and the bibliography as it is prevalent in the respective discipline.
- Appendices will be included after the bibliography.
- Thesis should be printed on both the sides and it should be soft bound (but not spiral bound) at the time of the submission.
- Thesis should be hard bound in black after the viva voce examination.
- Embossing on the thesis should be in gold.
- The following will appear in gold letters on the spine of the thesis :

Degree

Name of the Scholar

Year of submission of the thesis

Annexure 10

(Information sheet to be kept updated by the scholar. It should be forwarded to the RRC along with the supporting documents whenever any matter is referred to the RRC)

Information about Ph.D. Scholar

Name of the scholar:

Department/Institution to which the scholar is attached

Name of the Guide

Faculty

Subject

Date of Registration

Fee Receipts (photo copies to be attached)

Six monthly progress report (photo copies to be attached)

Mark sheet of coursework (copy to be attached)

Minutes of RAC that recommended the title (copy to be attached)

Certificate of Guide that recommendations of RAC are incorporated

Date of title approval in RRC

Approved title

Application for extension with the recommendation of the guide, RAC
(copies to be attached)

7thYear (From RRC):

13thterm:

14thterm:

8thYear (From Vice-Chancellor):

15th term:

16th term:

Grant of extension by RRC/VC (Copies to be attached)

Submission of synopsis through the guide to the HoD (Copy to be attached)

Approval of synopsis by RAC (copy to be attached)

Date of submission of synopsis by HOD to Academic Section(Copy to be attached)

Approval of synopsis in RRC (Copy to be attached)

Submission of thesis through the guide to Head of the Department(Copy to be attached)

Submission of thesis by the HOD to the Examination Department(Copy to be attached)

Date of Viva-voce examination