



**SAVITRIBAI PHULE PUNE UNIVERSITY**

(Formerly University of Pune)

**CIRCULAR NO. 14/2017**

**ORDER**

WHEREAS the University Grants Commission has prescribed UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 in supersession of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2009;

AND WHEREAS the conditions under which students are to be admitted to courses/programmes are required to be prescribed by the Ordinance and therefore, it is expedient to prescribe minimum standards and procedure for award of M.Phil./Ph.D. degrees by Ordinance;

AND WHEREAS the Academic Council of the University, in its meeting held on 29<sup>th</sup> November, 2016 has approved the draft of the Ordinance prescribing minimum standards and procedure for award of M.Phil./Ph.D. degrees for University Departments, Research Centres at affiliated colleges and recognised institutions and recognized research institutions, as per the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016;

AND WHEREAS it will take considerable time to make the Ordinance in this regard as per the provisions of Section 54 of the Maharashtra Universities Act, 1994;

THEREFORE, I, Dr. Wasudeo N. Gade, Vice-Chancellor of the Savitribai Phule Pune University, by and under the power vested in me under Sub-section 8 of Section 14 of the Maharashtra Universities Act, 1994, hereby issue the following directives:

1. The minimum standards and procedure for award of M. Phil./Ph.D. degrees as prescribed in the Annexure shall be applicable from the academic year 2016-17 and onwards;
2. This Order shall be applicable to the University Departments, Research Centres at affiliated colleges and recognized institutions and recognized research institutions of the University.

This Order shall remain in force till the Ordinance in this regard comes into force.

**Ref. No.:** PGS/144

**Date:** 09/01/2017

  
(Dr. Wasudeo N. Gade)  
Vice-Chancellor

**STANDARDS AND PROCEDURE FOR AWARD OF M.PHIL. AND  
PH.D. DEGREES**

**1. Eligibility criteria for admission to the M.Phil. programme:**

- 1.1. Candidates for admission to the M.Phil. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 1.2. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be allowed for those belonging to reserved categories/Differently-Abled and other categories of candidates as per policies of the Government of Maharashtra prescribed from time to time, or for those who had obtained their Master's degree prior to 19<sup>th</sup> September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

**2. Eligibility criteria for admission to Ph.D. programme:**

Subject to the conditions stipulated in this Annexure, the following persons are eligible to seek admission to the Ph.D. programme:

- 2.1. Master's Degree holders satisfying the criteria stipulated under Clause 1 above.
- 2.2. Candidates who have cleared the M.Phil. course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same institution in an integrated programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be allowed for those belonging to reserved categories/Differently-Abled and other categories of candidates as

per policies of the Government of Maharashtra prescribed from time to time.

- 2.3. A person whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same institution.
- 2.4. Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian institution, from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

### **3. Duration of the Programme:**

- 3.1. M.Phil. programme shall be of a minimum duration of two consecutive semesters/ one year and a maximum of four consecutive semesters / two years.
- 3.2. Ph.D. programme shall be of a minimum duration of three years, including course work and a maximum of six years.
- 3.3. Extension up to a maximum period of two semesters/one year for M. Phil. and a maximum period of four semesters/two years for Ph.D. shall be given by the Research and Recognition Committee concerned on the recommendation of the Research Advisory Committee. The candidate concerned shall submit the application in prescribed format for extension through his Research Supervisor and Head of the Place of Research (Head of the University Department/Principal or Director of the recognized research centre at affiliated college or recognized institution or recognized research institution) three months before the expiry of the registration period.
- 3.4. The women candidates and persons with disability (more than 40% disability) may be allowed an additional relaxation of one year for M.Phil. and two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave once in the entire duration of M. Phil. /Ph.D. for up to 180 days.

### **4. Procedure for admission to M.Phil./Ph.D. Programmes:**

- 4.1. All admissions for M.Phil./Ph.D. programmes shall be through an Entrance Test conducted by the SPPU.  
Candidates qualified in UGC-NET (Including JRF)/UGC-CSIR NET (Including JRF)/SLET/GATE (valid score) or teacher fellowship holders

will be exempted from the Entrance Test for M.Phil./Ph.D. programmes. Candidates who have passed M. Phil. Programme of the SPPU will be exempted from the Entrance Test for Ph.D. programme.

- 4.2. P. G. Admission Section of the SPPU shall notify on an annual basis a predetermined and manageable number of M.Phil. and/or Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio, laboratory, library and such other facilities.
- 4.3. The SPPU shall notify well in advance on its website and through advertisement in at least two national newspapers, of which at least one shall be a Marathi newspaper. The details notified shall include the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates.
- 4.4. The admission to M.Phil./Ph.D. programme shall be based on the criteria notified by the SPPU, keeping in view the guidelines/norms in this regard issued by the University Grants Commission and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government prescribed from time to time.
- 4.5. The SPPU shall admit candidates by a two stage process through-
  - 4.5.1. An Entrance Test, which shall be a qualifying test. The Entrance Test will be of 100 marks (100 questions of one mark each with multiple choice) with 50% marks as qualifying marks. The syllabus of the Entrance Test shall consist of questions, 50% based on research methodology and 50% shall be subject specific. The Entrance Test shall be conducted at the centre(s) to be notified in advance. Changes of centres, if any, shall also be notified well in advance.
  - 4.5.2. An interview organized by the SPPU when the candidates are required to discuss their research interest/area through a presentation before a duly constituted Department Research Committee.
- 4.6. The Department Research Committees shall be as under:
  - 4.6.1. Admission at University Departments :
    - (i) Head of the Department concerned (Chairman);
    - (ii) Two subject Experts (One from the Department concerned and One from outside);
    - (iii) Two nominees of the Vice-Chancellor – One General and One Reservation.

- 4.6.2. Admission at Research Centres at Affiliated Colleges and Recognized Institutions:
- (i) Principal / Director of the Affiliated Colleges and Recognized Institutions concerned (Chairman);
  - (ii) Two subject Experts (One Head of the Department of the affiliated college/recognized institution concerned, and one from University Departments/affiliated college/recognized institution concerned);
  - (iii) Two nominees of the Vice-Chancellor – One General and One Reservation.
- 4.6.3. Admission at Recognized Research Institution:
- (i) Director (Chairman);
  - (ii) Academic co-ordinator of the institution;
  - (iii) One Professor from the University Department concerned, nominated by the Vice-Chancellor;
  - (iv) Reservation nominee appointed by the Vice-Chancellor.
- 4.7. The University departments/research centres at affiliated colleges and recognized institutions/recognized research institutions shall obtain the approval of the Vice Chancellor for the committee.
- 4.8. The interview shall be conducted at the respective research centres, within a period of not more than thirty days from the date of declaration of result of the entrance test.
- 4.9. The following aspects shall be considered during the interview, namely:-
- 4.9.1. whether the candidate possesses the competence for the proposed research;
  - 4.9.2. whether the research work can be suitably undertaken at the Institution/College;
  - 4.9.3. whether the proposed area of research can contribute to new/additional knowledge.
- 4.10. The research centre shall submit the report of the committee with regard to the interviews to PG Admission Section of the SPPU within a period of not more than two days from the date of completion of the interview process. PG Admission Section of the SPPU shall publish the list of candidates selected for admission, within a period of not more than seven days of completion of the interview process in the Faculty concerned.
- 4.11. The SPPU shall maintain the list of all the M.Phil. / Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

## 5. Allocation of Research Supervisor:

Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of M.Phil./Ph.D. scholars permissible per Supervisor, etc. shall be as under:

- 5.1. Any regular Professor/scientist/a person from industry holding an equivalent post in the SPPU/ the recognized research centre at affiliated college or recognized institution/ recognized research institution, with at least five research publications in refereed journals and any regular Associate/Assistant Professor /a person from industry holding an equivalent post in the SPPU/ the recognized research centre at affiliated college or recognized institution/ recognized research institution, with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor. However, in areas/disciplines where there is no or only a limited number of refereed journals, the SPPU may relax the above condition for recognition of a person as Research Supervisor for reasons to be recorded in writing.

Guidelines for research publications issued by the SPPU, from time to time and displayed on the official website of the SPPU, will be followed.

- 5.2. Only a full time regular teacher/scientist/a person from industry holding an equivalent post in the SPPU/ the recognized research centre at affiliated college or recognized institution/ recognized research institution, can act as a Research Supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the SPPU/ the recognized research centre at affiliated college or recognized institution/ recognized research institution or from other related institutions/Universities, with the approval of the Research Advisory Committee.
- 5.3. The allocation of Research Supervisor for a selected research scholar shall be decided by the University Department/ the recognized research centre at affiliated college or recognized institution/ recognized research institution concerned (Place of Research), depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview with due regard to the reservation policy.
- 5.4. In case of topics which are of inter-disciplinary nature where the Head of the Place of Research feels that the expertise in the Place of Research has to be supplemented from outside, Head of the Place of Research may appoint a Research Supervisor from the Place of Research itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Place of Research, on such terms and conditions as may be specified and agreed upon by the consenting institutions/colleges.

- 5.5. A Research Supervisor/Co-supervisor who is a Professor scientist/a person from industry holding an equivalent post, at any given point of time, cannot guide more than three M.Phil. and eight Ph.D. scholars. An Associate Professor/a person from industry holding an equivalent post, as Research Supervisor can guide up to a maximum of two M.Phil. and six Ph.D. scholars and an Assistant Professor/a person from industry holding an equivalent post, as Research Supervisor can guide up to a maximum of one M.Phil. and four Ph.D. scholars.
- 5.6. 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 SPPU / Research Supervisor from any funding agency. The scholar will however give due credit to the parent Research Supervisor and the SPPU for the part of research already done.

## **6. Process of Admission/Registration after the interview:**

- 6.1. A selected applicant seeking admission to the Ph.D. programme shall apply to the Registrar, SPPU in the prescribed format(Appendix – A) along with the registration fee as may be prescribed from time to time, within a period of two months from the date of allotment of the Research Supervisor.
- 6.2. The applicant shall submit along with the application eight copies of his Ph.D. proposal as per the Guidelines (Appendix – B) to the place of research.
- 6.3. A selected applicant shall be required to make a brief presentation at the place of research before the Research Advisory Committee.
- 6.4. The presentation will be arranged by the Head of the Place of Research, on a date suggested by the Research Supervisor.
- 6.5. In case of any suggestions given by the Research Advisory Committee for improvement of the topic, the candidate shall make changes accordingly and present the topic again before the said Committee within a period of not more than fifteen days from the date of the earlier presentation.
- 6.6. After successful presentation, the Research Advisory Committee shall prepare a report on the basis of the presentation. The Head of the Place of Research shall send the report of the Research Advisory Committee along with the proposal, within period of not more than seven days, from the date of presentation to the P.G. Admission Section of the SPPU, to be placed before the Research and Recognition Committee. The date of the successful presentation shall be treated as the date of provisional admission of the candidate and the candidate shall be given provisional

admission/registration letter as per proforma given in Appendix – C.

- 6.7. The Research and Recognition Committee shall consider approval of the topic of research and appointment of Co-Supervisor, if necessary, from other departments of the SPPU/ recognized research centres at affiliated colleges or recognized institutions or recognized research institutions or from other related institutions/Universities, with the approval of the Research Advisory Committee.
- 6.8. If the candidate desires to modify the title and / or the proposed plan of the research, he shall apply at least one year before the date of submission of synopsis. Research and Recognition Committee concerned may approve such changes on the recommendation of the Research Supervisor and the Head of the Place of Research.
- 6.9. As per provisions of Ordinance 116, registered candidates shall not be allowed to register simultaneously for any other degree course.
- 6.10. The admission will be confirmed (Appendix – ‘D’) after the Research and Recognition Committee approves the topic. The decision of the Research and Recognition Committee shall be communicated to the Head of the Place of Research within seven days from the date of decision of the Research and Recognition Committee. The Head of the Place of Research shall communicate the same to the candidate concerned within three days from the date of receipt of the decision.

## **7. Course Work:**

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

- 7.1. M.Phil. or Ph.D. course work shall be of 16 credits.
- 7.2. The course work shall be treated as prerequisite for M.Phil./Ph.D. programme.
- 7.3. The M.Phil./Ph. D. Course work shall consist of the following components, namely:-

Course 1	: Research Methodology (Including Quantitative methods, Computer applications, research ethics and review of published research in the relevant field, training, field work, etc)	: 4 credits
Course 2	: Writing of Research Proposal for obtaining Financial assistance from national funding agencies	: 1 credit
	Writing of Review	: 1 credit
	Seminars	:2 credits
Course3	: Subject specific advanced level courses	:8 credits

- 7.4. Contents of Course 1 and Course 3 above shall be prescribed by the Board of Studies concerned.
- 7.5. All courses prescribed for M.Phil. and Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the Academic Council of the SPPU.
- 7.6. The University Department/ recognized research centre at affiliated college or recognized institution/ recognized research institution where the scholar pursues his research shall prescribe the course(s) to him based on the recommendations of the Research Advisory Committee of the research scholar.
- 7.7. All candidates admitted to the M.Phil. and Ph.D. programmes shall be required to complete the course work, as approved by the Academic Council of the SPPU, during the initial one or two semesters.
- 7.8. 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 integrated course, shall be exempted from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work approved by the Academic Council of the SPPU.
- 7.9. Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the Place of Research and the final grades shall be communicated to the P. G. Admission Section of the SPPU.
- 7.10. M.Phil./Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade / CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

## **8. Research Advisory Committee and its functions:**

- 8.1. There shall be a Research Advisory Committee for each M.Phil. and Ph.D. scholar. Research Advisory Committee shall consist of Research Supervisor of the scholar and two subject experts of which at least one should be from outside the department. Research Supervisor shall be the Convener of this Committee. The Research Advisory Committee shall have the following responsibilities, namely:-
  - 8.1.1. to review the research proposal and finalize the topic of research;
  - 8.1.2. to guide the research scholar to develop the study design and

methodology of research and identify the course(s) that he may have to do;

8.1.3. to periodically review and assist in the progress of the research work of the research scholar.

8.2. A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to the Place of Research, with a copy to the research scholar. The Head of the Place of Research shall submit these six monthly progress reports [Appendix-‘E’] to P. G. Admission Section of the SPPU within a week from the date of such presentation.

8.3. 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 the Place of Research with specific reasons for cancellation of the registration of the research scholar.

**9. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:**

9.1. The overall credit requirement, including credit for the course work, for the award of M.Phil. degree shall be 28 credits, of which the course work shall be of 16 credits and M. Phil. dissertation shall be of 10 credits and viva voce shall be of 2 credits.

9.2. Upon satisfactory completion of course work, and an obtaining 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 thesis before completion of two years and Ph.D. Scholar before completion of six years from the date of registration. The 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.

9.3. At least three months prior to the submission of the dissertation/thesis, the scholar shall make a presentation before the Research Advisory Committee of the Place of Research concerned, which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Research Advisory Committee.

9.4. In the light of the discussion during the presentation, the candidate shall

submit to P.G. Admission Section of the SPPU fifteen copies of the synopsis of his thesis through his Research Supervisor within thirty days from the date of presentation [Appendix – ‘F’].

- 9.5. The Board of Studies concerned shall recommend a list of nine examiners for evaluation of Ph.D. thesis. For Faculty of Science/Pharmacy/Engineering/ Technology, three shall be from the outside countries and six shall be from within the country, out of which not more than two shall be from within the State of Maharashtra. For other Faculties, three shall be from the outside the State of Maharashtra and six shall be from within the State of Maharashtra.
- 9.6. The Board of Studies concerned shall recommend a list of three examiners for evaluation of M.Phil. dissertation, who are not in the employment of the SPPU/ recognized research centre at affiliated college or recognized institution/ recognized research institution..
- 9.7. Before submission of M. Phil. / Ph. D. Dissertation/thesis, every candidate shall fulfil the requirements prescribed by the Academic Council of the SPPU with respect to detection of plagiarism and any other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall be accompanied with original report of the anti-plagiarism software approved by the SPPU, an undertaking from the research scholar and a certificate from the Research Supervisor 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 Institution where the work was carried out, or to any other institution.
- 9.8. M.Phil. scholars shall present at least one research paper in a conference/seminar and Ph.D. scholars shall publish at least one research paper in refereed 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.  
  
Guidelines for research publications issued by the SPPU, from time to time and displayed on the official website of the SPPU, will be followed.
- 9.9. The thesis / dissertation shall be submitted in compact bound form along with a soft copy (CD) in the format and as per the details mentioned in Appendix ‘G’. Along with the thesis/dissertation, five copies of the abstract shall be submitted in prescribed format to the P. G. Admission Section. P. G. Admission Section of the SPPU shall verify and ensure that the contents of the CD are in the format and as per the details mentioned in Appendix ‘G’.

- 9.10. The final Ph.D. thesis / M.Phil. dissertation shall be presented in accordance with the following specifications:
- (a) The paper used for printing shall be of A4 size.
  - (b) Printing shall be in a standardized form on both sides of the paper and in 1.5 line spacing.
  - (c) A margin of 1.5 inches shall be on the left hand side.
  - (d) The card for cover shall not be more than 330 GSM.
  - (e) The title of the thesis/dissertation name of the candidate, degree, name of the Research Supervisor, place of research and the month and year of submission shall be printed on the title page and the front cover.
  - (f) The hard-bound a cover of thesis/dissertation shall be of black colour. Spine of the binding [side cover] should mention 'Ph.D. thesis' on the top, name of the candidate and month and year. The specifications are shown in Appendix – 'H'.
- 9.11. The candidate shall submit to the P.G. Admission Section of the SPPU three copies of his thesis and produce an acknowledgement of the receipt of thesis by the Research Supervisor and the Head of the Place of Research.
- 9.12. The thesis/dissertation shall include a Certificate of the Research Supervisor [Appendix 'I'] and a Declaration by the candidate [Appendix 'J'] that the work reported in the thesis/dissertation has been carried out by the candidate himself and that the material from other sources, if any, is duly acknowledged.
- 9.13. The M.Phil. dissertation submitted by a research scholar shall be evaluated by his Research Supervisor and one external examiner who is not in the employment of the SPPU/ recognized research centre at affiliated college or recognized institution/ recognized research institution.  
The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by both of them together, and shall be open to be attended by the members of the Research Advisory Committee, all faculty members of the Place of Research, other research scholars and other interested experts/ researchers.
- 9.14. The Ph.D. thesis submitted by a research scholar shall be evaluated by his Research Supervisor and three external examiners, who are not in employment of the SPPU/ recognized research centre at affiliated college or recognized institution/ recognized research institution, of whom one examiner may be from outside the country.  
The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by the members of the Research Advisory Committee, all faculty members of the Place of Research, other research scholars and other

interested experts/researchers.

- 9.15. The public viva-voce of the research scholar to defend the Ph.D. thesis shall be conducted only if the evaluation reports of at least two external examiners are satisfactory and include a specific recommendation for conducting the viva-voce examination. The public viva-voce of the research scholar 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 examination. If the evaluation report of the external examiner in case of M.Phil. dissertation or one of the evaluation reports of the external examiners in case of Ph.D. thesis, is unsatisfactory and does not recommend viva-voce, the Place of Research shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the viva-voce examination 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 scholar shall be declared ineligible for the award of the degree.

#### **10. Viva Voce And Defence of the Thesis**

- 10.1. The day, date, time and the place for the viva voce and the defence of thesis shall be notified by the Head of the Place of Research, at least eight days in advance. Normally, the viva voce and the defence of the thesis shall be arranged in the University Department. In exceptional cases, the Vice-Chancellor may allow the viva to be conducted at a Place of Research outside the campus of SPPU. In such a case, the procedure and norms for the conduct of viva, payments, etc. shall be as laid down by the SPPU.
- 10.2. The defence of the thesis shall take place in the presence of the Research Supervisor (Internal Examiner), one External Examiner and the Chairperson, who shall jointly evaluate the performance of the candidate. In case of dispute, the Dean of the Faculty concerned shall take an appropriate decision.
- 10.3. The Chairman for the Viva-Voce and the Panel for defence of the thesis shall be appointed by the Head of the Place of Research or by the Dean of the Faculty concerned when the Head is the Research Supervisor, from a panel of three experts suggested by the Research Supervisor.
- 10.4. If neither of the external examiners is able to be present at the time of the defence, the Vice-Chancellor, on the recommendation of the Research Supervisor and the Dean of the Faculty concerned, shall appoint a senior Research Supervisor to act as an external examiner for the defence of the thesis. In case the Internal Examiner is not available, the Vice-Chancellor shall appoint one of the senior Research Supervisors on the

recommendation of the Dean of the Faculty concerned and the Head of the Place of Research.

- 10.5. The examiners present for the viva-voce and the defence of the thesis shall submit to the P. G. Admission Section, SPPU, their final consolidated report along with the reply given to the queries raised by the external examiners in the written form, signed and accepted by the members of the Viva-Voce Panel. [Appendix 'K'] and a list of the persons attending the open defence [Appendix – 'L'], in respect of the award of the Ph.D. degree immediately after the defence is over.
- 10.6. In case the defence is not satisfactory, the examiners may unanimously recommend with reasons that a fresh viva-voce and defence of the thesis be organized within a period of not less than one month. If the defence is still not satisfactory, the panel would 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.
- 10.7. The entire process of evaluation of M.Phil. dissertation / Ph.D. thesis shall be completed within a period of six months from the date of submission of the dissertation/thesis.

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

- 11.1. Colleges may be considered eligible to offer M.Phil./Ph .D programmes only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per these Regulations.
- 11.2. 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 these Regulations, stipulated under sub-clause - 11.3 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.
- 11.3. Colleges with adequate facilities for research as mentioned below alone shall offer M.Phil./Ph. D. programmes:
  - 11.3.1. 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.

- 11.3.2. 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.
- 11.3.3. 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.

## **12. Treatment of Ph.D. / M.Phil. through Distance Mode/Part-time:**

- 12.1. Part-time Ph. D. will be allowed provided all the conditions mentioned in the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./ Ph.D. Degrees) Regulations, 2016 are complied with.
- 12.2. M.Phil. and Ph.D. Programme through distance education mode shall not be allowed in any case.

## **13. Award of M.Phil./Ph.D. degrees prior to Notification of these Regulations, or degrees awarded by foreign Universities:**

- 13.1. Award of degrees to candidates registered for the M.Phil./Ph.D. programme on or after July 11, 2009 till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree) Regulation, 2009.
- 13.2. If the M.Phil./Ph.D. degree is awarded by a Foreign University, the SPPU shall refer the issue to a Standing Committee constituted for the purpose of determining the equivalence of the degree awarded by the foreign University.

## **14. Redressal of Grievance**

- 14.1. In case of any dispute between a candidate and his Research Supervisor, the Committee consisting of the following shall examine the matter and report to the Vice Chancellor of the SPPU, whose decision shall be final.
  - (a) Dean of the Faculty concerned (Chairman);
  - (b) Nominee of the Vice Chancellor;
  - (c) The Head, Place of Research (If the complaint is against Head/the Dean, he shall not participate in the proceedings of the meeting. In that case, additional member/s may be appointed by the Vice Chancellor to replace them.)
- 14.2. The report shall include, among other things, specific recommendations. The report shall be submitted to the Vice Chancellor of SPPU.

**15. Depository with INFLIBNET:**

- 15.1. Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil./Ph.D. degrees, the Deputy Registrar, P. G. Admission Section, SPPU shall send the CD of M.Phil. dissertation/ Ph. D. thesis along with the hard copy of the dissertation/thesis and the notification regarding declaration of result of M.Phil./Ph.D. programme to the Jayakar Library of the SPPU. After receiving the CD of the thesis in the format suggested above, the Jayakar 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, for hosting the same so as to make it accessible to all institutions/colleges.
- 15.2. Prior to the actual award of the degree, the SPPU shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./ Ph. D. Degrees) Regulations, 2016.

**Ref. No.:** PGS/144

**Date:** 09/01/2017

  
(Dr. Wasudeo N. Gade)  
Vice-Chancellor

## SAVITRIBAI PHULE PUNE UNIVERSITY



### Application for Admission for the degree of Doctor of Philosophy (Ph.D.)

(To be forwarded through the Head, Place of Research)

1. Faculty: \_\_\_\_\_ 2. Subject : \_\_\_\_\_

3. Research Topic : \_\_\_\_\_

To,

The Registrar  
Savitribai Phule Pune University  
Pune-411007 (INDIA)

Tel./Mobile No.: \_\_\_\_\_

E-mail : \_\_\_\_\_

Dear Sir

I hereby apply for admission to the Ph.D. Degree. I state that I have not been admitted as a student for this or any other Degree in this or any other University. The required details about myself are as follows :

1.Name in full (in Capital Letters) : \_\_\_\_\_

(Beginning with Surname)

(Surname) (Name) (Father/Husband) (Mother's Name)

2.Date of Birth

--	--	--	--	--	--	--	--	--	--

3.Gender

: Male/Female/Transgender  
(Strike out whichever is not applicable)

4.Nationality

: \_\_\_\_\_

5.Permanent Address

: \_\_\_\_\_

6.Present (Local) Address

: \_\_\_\_\_

7.I belong to the category mentioned below

(Please Tick the appropriate box & attach attested caste certificate)

1 Open Category	2 SC	3 ST	4 DT(A)	5 NT(B)	6 NT(C)	7 NT(D)	8 OBC	9 SBC

8. Present Occupation/Employment : \_\_\_\_\_  
 (Give Name and Address of  
 the Employer) \_\_\_\_\_

9. Particulars of Degrees previously obtained (attach attested copies of statement of marks and certificates)

Degree	University	Year of Passing	Subjects Offered	Class Grade	Percentage Grade Points
Bachelor's Degree					
Master's Degree					
M. Phil. Degree					
Any other Degree/ Diploma					

10. Particulars of Publications :

Title of the Paper/Book	Name of the Journal/ Publisher	Place and Year of Publication
1.		
2.		
3.		

11. Details of Teaching Experience :

Name of the College	Subject(s) Taught	Year(s)

12. Details of professional experience, if any (Attach necessary Certificates) :

(i) Nature of Professional Experience : \_\_\_\_\_

(ii) The Institute where Professional experience was gained : \_\_\_\_\_

(iii) Period of Professional experience : \_\_\_\_\_

13. (i) Title of M. Phil. Dissertation, if applicable : \_\_\_\_\_

(ii) Is the Proposed topic of Doctoral Research related to or an expansion of the M. Phil. Dissertation? : Yes / No

14. Name of the Research Guide : \_\_\_\_\_  
(under whom I propose to work  
for my Ph.D.)

15. Name of Co-Guide, if any : \_\_\_\_\_

16. Name and address of the approved : \_\_\_\_\_  
place of research (where I desire to  
do Doctoral Research) \_\_\_\_\_

All the particulars given above are true to the best of my knowledge .I have read the Rules for the Degree of Doctor of Philosophy (Ph.D.) and I undertake to abide by them. I also undertake to regularly report at the Place of Research unless otherwise permitted by the Head, Place of Research on the recommendation of the Research Guide.

Eight copies of the research outline (as per appendix 'B' of the Rules) and a Xerox copy of the registration fee receipt are enclosed.

Thanking you

Yours Sincerely,

Name of applicant

Date :

Place :

\_\_\_\_\_

### Recommendation of the Guide

I, \_\_\_\_\_ am willing to supervise there  
search work of Mr./ Ms. \_\_\_\_\_ and I  
recommend that he/she be given provisional admission.

Ref. No. of Recognition letter: \_\_\_\_\_

Presently \_\_\_\_\_ students are pursuing their research work under my supervision.

Date :

Research Guide

\_\_\_\_\_

N.B.: The Research Guide is expected to communicate separately to the Head, Place of Research two names of Research Guides as per Rule 6 (6.3) and time and date for the presentation.

## Decision of the Head, Place of Research

On verifying the relevant documents I found the student *eligible/ not eligible* for admission to the degree of Doctor of Philosophy (Ph. D.) of the Savitribai Phule Pune University. He/She has been *provisionally admitted/ not admitted* to the Ph. D. Programme as a student of the University Department/Research Institute/ Centre (a copy of the letter has been attached).

The presentation has been scheduled at \_\_\_\_\_ am /pm on \_\_\_\_\_(Day)\_\_\_\_\_ (Date). The Report of the presentation will be forwarded to the University office immediately after the scheduled date.

Date:

Head, Place of Research

Seal of the Place of Research

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## **Decision of the Research and Recognition Committee**

On the basis of the merit of the proposal and the report of the presentation, the Committee

(a) Approve/s the topic of Research/ recommends the following change in the topic :

\_\_\_\_\_

(b) Appoint/s the following Co-Guide : \_\_\_\_\_

Chairman

Date :

Research and Recognition Committee

In \_\_\_\_\_

**Submission of Research Proposal**

Along with the application form (for Registration) the researcher has to submit eight copies of his/her research proposal. This is a brief description of the research plan which should include:

- a) rationale and significance of the study,
- b) a survey of work done in the research area and the need for more research,
- c) a statement of aims and objectives,
- d) methodologies and techniques to be used,
- e) the kinds of conclusions expected and their possible value,
- f) plan of research, and
- g) bibliography.

The expected length of the research proposal is six to eight double-spaced A-4 size pages.

The names of the researcher and the proposed guide and the topic of research should be printed at the top. Both the guide and the researcher should sign the proposal.

**Provisional Admission / Registration**

Ref :

Date :

To

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Subject : Your application for Registration for Ph. D. dated \_\_\_\_\_

Dear Mr /Ms \_\_\_\_\_

I am happy to inform you that you have been provisionally admitted to the Ph.D. Programme in \_\_\_\_\_(subject) \_\_\_\_\_(Faculty) of the Savitribai Phule Pune University with effect from \_\_\_\_\_. Your place of research will be \_\_\_\_\_.

Your proposal is being forwarded to the University office for approval of the research topic. Your admission/ registration will be confirmed after the University authorities approve the research topic.

Your presentation is scheduled at \_\_\_\_\_ am/pm on \_\_\_\_\_(day), \_\_\_\_\_(date).

Yours faithfully,

Director / Head  
Place of Research

Copy to:

1. The Dy. Registrar (Ph.D Unit), Savitribai Phule Pune University, Pune 411 007.

2. The Guide : Prof./Dr. \_\_\_\_\_

\_\_\_\_\_

3. The Co-Guide : Prof./Dr. \_\_\_\_\_

\_\_\_\_\_

**Confirmation of Admission/ Registration**

Ref. :

Date :

To,

\_\_\_\_\_  
\_\_\_\_\_

**Subject:** Confirmation of admission to the Ph.D. in (subject) \_\_\_\_\_.

Dear Mr. / Ms. \_\_\_\_\_

I am happy to inform you that the Research and Recognition Committee in \_\_\_\_\_(Subject) \_\_\_\_\_ (Faculty) has approved your research topic as it is/with the modification/s as follows:

\_\_\_\_\_

Your admission is now confirmed as per Ph.D. Rules 6 (6.10). The details of your admission are:

1. Subject : \_\_\_\_\_
2. Faculty : \_\_\_\_\_
3. Guide : \_\_\_\_\_
4. Co-Guide : \_\_\_\_\_
5. Date of Registration : \_\_\_\_\_
6. Period of Registration : from \_\_\_\_\_ to \_\_\_\_\_.

Please note that your admission will be governed by the Savitribai Phule Pune University rules for the Degree of Doctor of Philosophy (Ph.D.) with effect from 05<sup>th</sup> July, 2016.

Please also note you will have to pay the fees prescribed as per the following schedule:

The first instalment will have to be paid within a month from the date on which your admission is confirmed. The successive instalments will have to be paid within a month from the date of completion of each year. In case of failure to pay the prescribed fees as per the schedule mentioned, a late fee of Rs. 100/- for Indian students & Rs.500/-for foreign students per month from the due date of payment shall be charged.

Thanking you

Yours faithfully

Head, Place of Research

Copy to:

1. The Dy. Registrar (Ph.D Unit), Savitribai Phule Pune University, Pune 411 007.

2. The Guide : Prof./Dr. \_\_\_\_\_

3. The Co-Guide : Prof./Dr. \_\_\_\_\_

### **Submission of Progress Report**

The registered research students have to submit progress reports after every six months. The report should include an elaborate description of the reading, writing, data collection or any other work done in relation to the research. The researcher can also mention difficulties encountered, if any.

The guide is expected to certify the report and mention in unambiguous terms whether the progress is satisfactory or not and whether the work done during the period under consideration is relevant and adequate or not.

**Submission of Synopsis**

After the pre-submission seminar, the researcher has to submit fifteen copies of the Synopsis of his/her thesis through the guide .A synopsis is viewed as a mini version of the thesis. It should provide a clear idea about what the thesis is. It should (a) state the objectives, nature and scope of the work done, (b) state the principle conclusions, and (c) state the contribution made to the body of knowledge on the subject.

The expected length of the synopsis is ten double-spaced A-4 size pages. The synopsis will be put on the University website.

### **Rules for submission of CD of M. Phil. dissertation/Ph. D. thesis**

1. The candidate shall store in a CD each chapter of his thesis in a separate pdf file using file naming format as prescribed by “Shodhganga”. The file naming format is given below:

#### **File naming format:**

Name	Type
01_title.pdf	PDF File
02_certificates.pdf	PDF File
03_acknowledgements.pdf	PDF File
04_contents.pdf	PDF File
05_preface.pdf	PDF File
06_list of tables figures.pdf	PDF File
07_chapter 1.pdf	PDF File
08_chapter 2.pdf	PDF File
09_chapter 3.pdf	PDF File
10_chapter 4.pdf	PDF File
11_chapter 5.pdf	PDF File
12_chapter 6.pdf	PDF File
13_chapter 7.pdf	PDF File
14_references.pdf	PDF File

- 1.1 As per this format, each component of the thesis/dissertation shall be stored in separate pdf file as listed above.
- 1.2 All files shall be stored in the single CD.
- 1.3 Each file shall be given the name as given in the above format.
- 1.4 Candidate shall not protect the files in the CD with password.

**Cover page for Ph. D. Thesis**

<p>PH.D THESIS</p> <p style="text-align: center;">WRITE HERE NAME OF THE CANDIDATE</p> <p>MONTH &amp; YEAR</p>	<p>“Write here title of the thesis in all upper-case (capital letters) with a ‘centre’ alignment. Place this title on the upper central part of the cover with sufficient margin from top and both sides. Use font size suitable to length of the title.”</p> <p style="text-align: center;"><b>A THESIS SUBMITTED TO SAVITRIBAI PHULE PUNE UNIVERSITY</b></p> <p style="text-align: center;"><b>FOR AWARD OF DEGREE OF DOCTOR OF PHILOSOPHY (PH.D.) IN THE FACULTY OF .....</b></p> <p style="text-align: center;"><b>SUBMITTED BY</b> .....</p> <p style="text-align: center;"><b>UNDER THE GUIDANCE OF</b> ..... .....</p> <p style="text-align: center;"><b>RESEARCH CENTRE</b> ..... ..... .....</p> <p style="text-align: center;">WRITE HERE MONTH &amp; YEAR OF SUBMISSION</p>
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Spine

Cover Page

## Cover page for M. Phil Dissertation

<p style="text-align: center;"><b>M. Phil. Dissertation</b></p> <p style="text-align: center;">WRITE HERE NAME OF THE CANDIDATE</p> <p style="text-align: center;">MONTH &amp; YEAR</p>	<p style="text-align: center;">“Write here title of the dissertation in all upper-case (capital letters) with a ‘centre’ alignment. Place this title on the upper central part of the cover with sufficient margin from top and both sides. Use font size suitable to length of the title.”</p> <p style="text-align: center;"><b>A DISSERTATION SUBMITTED TO SAVITRIBAI PHULE PUNE UNIVERSITY</b></p> <p style="text-align: center;"><b>FOR AWARD OF DEGREE OF MASTER OF PHILOSOPHY (M.PHIL) IN THE FACULTY OF .....</b></p> <p style="text-align: center;"><b>SUBMITTED BY</b> .....</p> <p style="text-align: center;"><b>UNDER THE GUIDANCE OF</b> ..... .....</p> <p style="text-align: center;"><b>RESEARCH CENTRE</b> ..... ..... .....</p> <p style="text-align: center;">WRITE HERE MONTH &amp; YEAR OF SUBMISSION</p>
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Spine

Cover Page

**Certificate of the Guide**

CERTIFIED that the work incorporated in the dissertation/thesis \_\_\_\_\_ (Title) submitted by Mr./Ms \_\_\_\_\_ was carried out by the candidate under my supervision/ guidance. Such material has been obtained from other sources has been duly acknowledged in the dissertation /thesis.

Date:

(Supervisor/ Research Guide)

**Declaration by the Candidate**

I declare that the dissertation /thesis entitled \_\_\_\_\_ submitted by me for the degree of Master of Philosophy/Doctor of Philosophy is the record of work carried out by me during the period from \_\_\_\_\_ to \_\_\_\_\_ under the guidance of \_\_\_\_\_ and has not formed the basis for the award of any degree, diploma, associateship, fellowship, titles in this or any other University or other institution of Higher learning.

I further declare that the material obtained from other sources has been duly acknowledged in the dissertation /thesis.

Date :

Signature of the Candidate

**Consolidated Report of the Referees on the Viva Voce**

The viva-voce of Mr. /Ms. \_\_\_\_\_ was conducted on \_\_\_\_\_ (day and date). The performance of the candidate was satisfactory/unsatisfactory.

We have conducted the open defence of the Ph.D. thesis entitled : \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ in the Savitribai Phule Pune University \_\_\_\_\_

on \_\_\_\_\_

The performance of the candidate was satisfactory / unsatisfactory. We recommend that he/she be awarded the Ph.D. Degree / should not be awarded the Ph.D. Degree/ the viva voce be arranged again on \_\_\_\_\_.

\_\_\_\_\_

(Guide)

\_\_\_\_\_

(External Referee)

\_\_\_\_\_

(Chairman)

**SAVITRIBAI PHULE PUNE UNIVERSITY**

(Attendance Sheet)

Ph. D. Viva Voce of \_\_\_\_\_

Subject \_\_\_\_\_

Date of Viva \_\_\_\_\_ Time \_\_\_\_\_ Venue \_\_\_\_\_

**List of the persons attending the Open Defence.**

	Name of the person	Signature
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____
5.	_____	_____
6.	_____	_____
7.	_____	_____
8.	_____	_____
9.	_____	_____
10.	_____	_____
11.	_____	_____
12.	_____	_____
13.	_____	_____
14.	_____	_____
15.	_____	_____