

CIRCULAR:-

The Directors/Heads of the University Departments, Deans/Principals of the affiliated colleges in Arts, Science, Commerce, Management, Law, Engineering, Technology, Pharmaceutical Sciences, Architecture, Applied Art, Fine Art, Painting, Dance etc. and Heads of recognized institutions enrolling the students for Ph.D. degree programs in various subjects are hereby informed that the recommendation made in the deferred item No.4.108 of the Academic Council's meeting held on 4th March, 2014 regarding exemption from PET, the same has been accepted after suggestions made by the Hon'ble members by the Academic Council at its meeting held on 7th June, 2014, vide item No. 4.40 and subsequently approved by the Management Council at its meeting held on 7th July, 2014 vide item No. 24 and that in accordance therewith, in exercise of the powers conferred upon Management Council under Section 54 (1) of the Maharashtra Universities Act, 1994, the Ordinance 6128 relating to the exemption from PET is introduced, as per the **Appendix**, which is available on the University's web site (www.mu.ac.in) and that the same has been brought into force with immediate effect.

MUMBAI – 400 032

19th August, 2014

[Signature]
19/8/14.
REGISTRAR

To,

The Principals of the affiliated Colleges in Arts, Science & Commerce Management, Law, Engineering, Technology, Pharmaceutical Sciences, Architecture, Applied Art, Fine Art, Painting, Dance, etc. and the Heads of Recognized Institutions concerned.

A.C/4.40/07.06.2014

M.C/24/07.07.2014

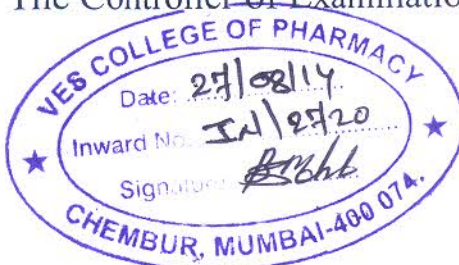
No. UG/28 -A of 2014

MUMBAI-400 032

19th August, 2014

Copy forwarded with Compliments for information to:-

- 1) The Deans, faculties of Arts, Science, Commerce & Technology
- 2) The Chairman & Chairperson of the board of Studies & Ad-Hoc Board of Studies of various subject
- 3) The Director, Board of College and University Development,
- 4) The Co-Ordinator, University Computerization Centre,
- 5) The Controller of Examinations.



[Signature]
19/8/14.
REGISTRAR

[Signature]
19/8/14.
....PTO

Copy to :-

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

The Controller of Examinations (10 copies), the Finance and Accounts Officer (2 copies), Record Section (5 copies), Publications Section (5 copies), the Deputy Registrar, Enrolment, Eligibility and Migration Section (3 copies), the Deputy Registrar (Accounts Section), Vidyanagari (2 copies), the Deputy Registrar, Affiliation Section (2 copies), the Professor-cum-Director, Institute of Distance and Open Learning Education, (10 copies) the Director University Computer Center (IDE Building), Vidyanagari, (2 copies) the Deputy Registrar (Special Cell), the Deputy Registrar, (PRO) the Assistant Registrar, Academic Authorities Unit (2 copies) and the Assistant Registrar, Executive Authorities Unit (2 copies). They are requested to treat this as action taken report on the concerned resolution adopted by the Academic Council referred to in the above circular and that on separate Action Taken Report will be sent in this connection. The Assistant Registrar Constituent Colleges Unit (2 copies), BUCT (1 copy), the Deputy Account, Unit V (1 copy), the In-charge Director, Centralized Computing Facility (1 copy), the Receptionist (1 copy), the Telephone Operator (1 copy), the Secretary MUASA (1 copy), the Superintendent, Post-Graduate Section (2 copies), the Superintendent, Thesis Section (2 copies)

UNIVERSITY OF MUMBAI

AC 7-6-2014
Item No. - 4.40

O.6128 Exemption from PET :-The following exempted from appearing from PET

- i) Qualified GATE/SET/NET/(JRF) Examination conducted by such bodies as CSIR/UGC/ICAR/ ICMR /DBT/DST

OR

- ii) Is a 'Teacher-fellow' of this University or 'INSPIRE' scholarship holder or a Fellowship holder of any of the apex bodies as CSIR/UGC/ICAR/ ICMR /DBT/DST.

OR

- iii) Completed M.Phil degree from the University of Mumbai as per UGC guidelines applicable in this regards from time to time

OR

- iv) Completed M.Phil degree from any other recognized Universities in India by following the UGC guidelines regarding minimum standards of admission and passing as given in Regulation 2009 of UGC (minimum standard and procedure for award of M.Phil/Ph.D degree) issued by University Grants Commission on 1st June 2009

OR

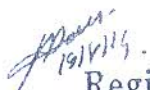
- v) Successfully cleared PhD Entrance test conducted by any other UGC recognized University from the state of Maharashtra.

OR

- vi) Teachers of the University working in affiliated college with approved teaching experience of at least 05 years at degree and/or post graduate level.

OR

- vii) Non-teaching staff of the level of Class I officer of University of Mumbai, who have secured Post-Graduate degree and having 4 years of experience as Class I officer.


Registrar
University of Mumbai
Mumbai - 400 032

UNIVERSITY OF MUMBAI
No. UG./ 441 of 2005

CIRCULAR :—

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

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

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

OR

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

OR

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

OR

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

OR

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

OR

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

OR

6. The candidate must have passed the Bachelor Degree examination in the faculties of Arts or Science or Commerce or Technology or Medicine or Ayurveda or Law or Fine Arts or Unani Medicine of this University or of any other University recognised by this University as equivalent thereto on a

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

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

OR

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

OR

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

OR

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

OR

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

OR

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

OR

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

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

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

OR

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

OR

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

OR

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

OR

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

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

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

OR

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

OR

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

OR

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

OR

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

OR

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

OR

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

EXPLANATION :

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

- (iv) The faculty of the person qualified in NET/SET/GATE/JRF examinations of the apex bodies in higher Technical/Professional Educational such as CSIR, UGC, ICAR or other equivalent examination will be determined on the basis of which he/she appeared for and passed the said examination, except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the faculty of Medicine.
- (v) The candidate desirous of registering for the Ph.D degree in Education but not satisfying the conditions laid down under O.5473 will be required to follow the procedure laid down under O.5476 relating to change of faculty.
- (vi) The candidate desirous of registering for the Ph.D. degree in Occupational Therapy Physical Therapy and Audiology Speech Language Pathology, but not satisfying the conditions laid down under O.5473 will be required to follow the procedure laid down under O.5476 relating to change of faculty.
- (vii) In case of candidates who have qualified in NET/SET/GATE/JRF examinations of the apex bodies in higher Technical/Professional Educational such as CSIR, UGC, ICAR or other equivalent examination validation period will not be applicable.
- (viii) Percentage of marks will be calculated on the basis of total marks mentioned in the statement of marks issued to the candidate by the University, even if the candidate has passed the said examination in compartments.
- (ix) A candidate who has passed the Master's degree partly by papers and partly by Research with fifty-five percent marks and fifty percent marks in case of Reserved Category in semesters I and II taken together and has obtained clearing grade in Thesis (wherever awarded) will be deemed to have obtained sufficient percentage marks for being eligible for registration in the Ph.D. degree.
- (x) A candidate who has passed M.D. or M.S. or D.M. or M.Ch. examination of this University will be considered eligible for registration for the Ph.D. Degree.

(II) **Aptitude Test :** Candidates who desire to pursue the Ph.D. degree course under various faculties and various subjects and who are to be registered as per Ordinance 5473 (I) 4 or 6 (i.e., those who are candidates with Bachelor's degree and/or sponsored by National Laboratories etc.) shall clean an Aptitude test conducted by the concerned department of the University and if there is no University department in a particular subject, the Vice-Chancellor shall decide appropriate modality to conduct the Aptitude test.

(III) The eligible candidate, after applying, shall be given provisional admission only after undergoing centralized interview by a panel at the College/Institute/University Department as the case may be.

Final registration shall be done in the University after following Necessary procedure and submitting the proposal.

(IV) The research student must submit through the guide and the Head of the concerned institution through which he/she has registered a progress report of the work at the end of every year, which shall be assessed by the Research and Recognition Committee of the respective Board/Ad-hoc Board/Committee.

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

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

The report shall include specific recommendations.

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

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

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

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

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

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

EXPLANATION :

- (i) The candidate is eligible to register for the Ph.D. degree in any subject under the faculty from which he/she has passed the examination except in the subject of Education in the faculty of Education.

(ii) The Faculty of the teacher will be determined on the basis of the faculty under which his/her post of teacher is approved by the appropriate authority, except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the faculty of Medicine.

(iii) The faculty of the employees who are nominated/sponsored by the National Laboratory/Institutes/Government/Private Organization will be determined on the basis of faculty of qualification on which he/she is nominated/sponsored by the National Laboratory/Institutes/Government/Private Organization, except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language pathology, in the faculty of Medicine.

(iv) The Faculty of the person qualified in NET/SET/GATE/JRF examinations of the apex bodies in higher Technical/Professional Educational such as CSIR, UGC, ICAR or other equivalent examination will be determined on the basis of which he/she appeared for and passed the said examination, except in the subject of Education in the faculty of Arts and Occupational Therapy, Physical Therapy and Audiology and Speech Language Pathology, in the faculty of Medicine.

(v) The candidate desirous of registering for the Ph.D degree in Education but not satisfying the conditions laid down under O.5473 will be required to follow the procedure laid down under O.5476 relating to change of faculty.

(vi) The candidate desirous of registering for the Ph.D. degree in Occupational Therapy, Physical Therapy and Audiology Speech Language Pathology, but not satisfying the conditions laid down under O.5473 will be required to follow the procedure laid down under O.5476 relating to change of faculty.

(vii) In case of candidates who have qualified in NET/SET/GATE/JRF examinations of the apex bodies in higher Technical/Professional Educational such as CSIR, UGC, ICAR or other equivalent examination, validation period will not be applicable.

✓ (viii) Percentage of marks will be calculated on the basis of total marks mentioned in the statement of marks issued to the candidate by the University, even if the candidate has passed the said examination in compartments.

✓ (ix) A candidate who has passed the Master's degree partly by Papers and partly by Research with fifty-five percent marks and fifty percent marks in case of Reserved Category in semesters I and II taken together and clearing grade, (wherever awarded) in Thesis will be deemed to have obtained sufficient percentage of marks for being eligible for registration for the Ph.D. degree.

(x) A candidate who has passed M.D. or M.S. or D.M. or M.Ch. examination of this University will be considered eligible for registration for the Ph.D. degree.

O.5478 : Each candidate for the Degree shall send three copies in the bound form. The thesis should embody the results of his/her research and state whether the work is an original conditional based on such research. The thesis must contain appropriate acknowledgement of the work by others and this should be reflected in a detailed bibliography and data sources. Further the candidate must not have submitted the work contained in the thesis for award of any other degree. All of the above must be certified by a statement by the candidate that shall be countersigned by the guiding teacher.

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

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

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

O.5480 :

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

- (i) The Heads of the Departments of various Universities, Colleges and Research Institutes where research work in fields similar to the research of the thesis is being conducted and also to important scientists working in allied fields (Names to be suggested by the guide).
 - (ii) The Head of the concerned University/College/institute Department who will place a copy of the synopsis on the Notice Board.
- (II) Notice of Open Defence indicating date, time and place shall be displayed on the Notice Board of the concerned Department at least one week before the date of the Open Defence.
- (III) The person/s institution/University Departments to whom the synopsis has been sent will be requested to send in writing the questions they wish to ask at the Open Defence. Such questions shall be received at least three days before the Open Defence. All such questions will be handed over to the Chairperson of the Open Defence Committee on the date of the Open Defence.
- (IV) One of the external referees and the guide will be present at the Open Defence. Any other members of the faculty, research students and other interested persons may also attend the Open Defence. The Vice-Chancellor will appoint the Head of the Department or any other senior faculty member as the Chairperson of Open Defence. The external referee and the guide will ask questions for which no permission of the Chairperson will be needed. As for the written questions from other institutions and those from the persons attending the Open Defence, it will be for the Chairperson in consultation with the external referee and guide to decide whether to allow a question or not.

No person in the audience will have a right to comment on the acceptability or non-acceptability of the thesis for the award of the degree.

- (V) At the initiation of the Open Defence the candidate will make a brief presentation, which will be followed by questions.
- (VI) The external referee and the guide shall prepare a report of the Open Defence and forward it to the Controller of Examinations. Their recommendations shall be specific and final. They shall either recommend the award of the degree to the candidate or a fresh Defence after a specific time, if the performance of the candidate is found to be unsatisfactory. The following procedure shall be followed for holding the *viva voce* of a candidate a second time.
- (i) The re-examination of the candidate (*i.e.* second *viva-voce*/test) should, as far as possible, be held by the same referee who had conducted the *viva* in the first instance.
 - (ii) The decision that, although the thesis was found worthy of acceptance, the candidate's performance at the *viva-voce* test was found unsatisfactory and, therefore, he/she is required to appear again at a second *viva* within six months and that if he/she fails to satisfy the referees at the second *viva*, his/her thesis shall be rejected, will be communicated to the

- (iii) Within two months of the receipt of the communication of the decision to the candidate, the candidate should write to the University through his/her guide that he/she is prepared to appear again before the referees/or his/her second *viva-voce* examination.
- (iv) The candidate should submit his/her application through the guide and should pay 50% of the examination fee towards the conduct of the second *viva-voce* examination.
- (v) An honorarium prescribed by the University shall be paid to be external referee for holding the second *viva-voce* examination. The Internal referee will not be entitled for any honorarium.
- (vi) The thesis of the candidate should be retained by the office till the candidate's reappearance at the second *viva-voce* examination and the declaration of his/her result.
- (vii) The referees should hold the *viva-voce* examination within generally, one month of the receipt of the communication in the matter.
4. When the opinion of the two external referees is unanimous and on successfully completing the *viva-voce*, the candidate shall submit to the University the final copy of the thesis after incorporating the changes and updating the data, if suggested by the referees (the guiding teacher will so certify). The final approved thesis shall be submitted on CD, in addition to a hard copy. Subsequent to the acceptance of the report by the Vice-Chancellor, the University shall make the thesis available on the University website for a period of three years from the date of acceptance. However, if only one referee of the two external referees favorably recommends the acceptance of the thesis for award of Ph.D. degree, the Board of Examinations shall appoint one additional referee to evaluate the thesis. The Board of Examinations shall accept or reject the thesis in accordance with the majority opinion of the three external referees.
5. If both the external referees submit a negative report indicating rejection of the thesis, the candidate's *viva-voce* shall not be conducted and he/she shall be declared to have failed to qualify for the Ph.D. degree.

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

To,

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

Copy to :—

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

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

University of Mumbai



NAAC ACCREDITED
(2001-2006)

No. Exam./Thesis/Univ./VCD/2414of 2010

RULES FOR ADMISSION, REGISTRATION AND COURSE WORK FOR PH.D. PROGRAMME

(Applicable to candidates who have registered for Ph.D. on 11th July, 2009 and thereafter)

WHEREAS as per Regulation, 2009 of UGC (minimum standard and procedure for award of M. Phil. / Ph. D. Degree), issued by University Grants Commission on 01st June, 2009 and the subsequent Gazette of India, (ASADHA 20, 1931) on 11th July, 2009 for the award of M. Phil / Ph.D. Degree, directing all the Universities in India to follow the same with immediate effect from the date of publication in the Gazette of India.

AND

WHEREAS the University Grants Commission has given the liberty to the University to lay down the criteria for the faculty to be recognized as Research Supervisor and may decide separate terms & conditions for those students who qualify UGC/CSIR (JRF) Examination / SLET / GATE / teacher fellowship holders for Ph.D. entrance test or have passed M. Phil. programme.

AND

WHEREAS the Academic Council at its meeting held on 17th September, 2009 vide item No.7.9 accepted the UGC regulation and appointed a committee comprising of all the Deans of the various faculties under the Chairmanship of Director (BCUD) to prepare the modalities and procedures for conducting the Ph. D. entrance test and authorizing the Vice Chancellor to take the decision in the matter.

AND

WHEREAS the said committee had suggested the rules & regulations for the award of Ph.D. Degree with certain modifications and recommendations in the existing ordinances and prepared a draft for the conduct of entrance test which was submitted to the Vice Chancellor for further action in April, 2010.

AND

WHEREAS the meeting of all the Faculty Deans, Director, (Campus Development

University of Mumbai



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Cell) and Controller of Examination was convened by the Vice Chancellor, and after exhaustive discussions and continuous meetings the said draft with certain modifications and recommendations in the existing admission process was finally drafted and submitted by incorporating the UGC regulation 2009 in November, 2010;

AND

WHEREAS, the existing Ordinances, the new rules for admission, registration and course work for Ph.D. programme by introducing the Ph.D. entrance test as per the UGC regulation, 2009 will be continued,

AND

WHEREAS, the term of academic bodies ended on 31st August, 2010 and making of the amendment in the existing Ordinances and framing of new Ordinances in this regard by the Academic Council & Management Council and then to be approved by the Office of the Hon'ble Chancellor will take some time,

Now therefore, I, Dr. Rajan M. Welukar, Vice-Chancellor of University of Mumbai in exercise of powers conferred upon me under sub-section (8) of section (14) of the Maharashtra Universities Act, 1994, to implement the UGC regulation 2009 dated 01st June, 2009 immediately and hereby issue the Directions as under:-

1. This direction shall be called "Rules for conducting the Ph.D. Entrance Test and Procedure for Registration and course work for admission to the Ph. D. programme".
2. These directions shall come into force immediately from the date of its circulation.
3. In this directions unless the context otherwise requires :-
 - a) "Act" means Maharashtra Universities Act, 1994.
 - b) "Directions" means a direction issued in accordance with the provisions of sub-section (8) of section 14 of the Act.
 - c) "Regulation" means the Regulation, 2009 of UGC (minimum standard and procedure for award of M. Phil. / Ph. D. Degree), issued by UGC and published in the gazette of India, 11th July, 2009 (ASADHA 20, 1931).

University of Mumbai



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- d) "UGC" means the University Grants Commission.
 - e) "Research Centre" means the University Department / Department of College / Research Institutes recognized by the University and / or affiliated to the University to conduct research programme in the various subjects of the concerned faculty, situated in the University area, including autonomous Department / College and Institute,
 - f) "Registration" means admission to the Ph. D. programme of the University through recognized research centre.
 - g) "RRC" means research and recognition committee of the University.
 - h) "Head" means the head of 'Research Centre at Department, College, and Institute.
 - i) "Principal" means the head of the College.
 - j) "Director" means the head of the recognized Institute, autonomous department & affiliated institute.
 - k) "Candidate" means the researcher who desires to obtain the Ph. D. degree,
 - l) "Supervisor" or "Research Guide" means the research teacher recognized by the University who guide the researcher,
 - m) "Referees" means the expert or examiner for evaluation of thesis,
 - n) "PET" means the Ph. D. Entrance Test.
4. Applying for Ph. D. entrance test and applying for admission to the Ph. D. programme will be two separate processes.
5. ^①Applying for the Ph. D. entrance test or ^②qualifying at the UGC / CSRI/ (JRF) Examination / SLET / GATE / teacher fellowship holder, shall be a pre-requisite for applying for admission to the Ph. D. programme in the said subject.
6. The University of Mumbai, Mumbai offers research programmes in different subjects and in inter-disciplinary areas under the various faculties leading to the Degree of Doctor of Philosophy (Ph.D.). A candidate shall ordinarily work at a recognized place of research which includes the University Departments, Research Institutes and Affiliated Colleges recognized as 'Research Centre' by the University. The rules and regulations regarding the eligibility and process of the entrance examination, interview, registration, and course work shall be as follows:-

University of Mumbai



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PART - I

Rules and Procedures for Conducting the Ph. D. Entrance Test for becoming Eligible for Admission to the Ph. D. Programme

7. **ELIGIBILITY:** -

Candidates who satisfy the conditions mentioned in the existing ordinances viz.O.5473, O.5474, O.5476 of the University of Mumbai, are eligible to apply for the Ph.D. entrance test (PET) to be conducted by the University of Mumbai.

8. **SCHEDULE OF Ph.D. ENTRANCE TEST (PET) :-**

The Ph.D. Entrance Test (PET) will be conducted by the University of Mumbai twice in a year i.e. in January-February and July-August every year.

8.1. January-February Session

- a) The University Department / Recognized Institutes / Affiliated Colleges (hereinafter referred as 'Research Centre') will communicate the subject-wise vacancies of the Ph. D. seats at their centers to Thesis Section of the University on or before the 3rd Saturday of November. (If Saturday is a holiday, then on or before the next working day). All such subject-wise and center -wise vacancies of Ph. D. seats will be published on or before 10th December, on the University website www.mu.ac.in by the thesis section.
- b) A Notification will be published in the Newspapers (One English and One Marathi paper as per the policy of University) and also displayed on the University website on or before 10th December.
- c) Applications in the prescribed format will be invited from interested candidates by the thesis section within 21 days from the date of notification, A Demand Draft of Rs. 1000/- in the name of 'Finance & Accounts Officer of the University of Mumbai' must be received for registering for the Ph. D. Entrance Test (PET). Candidates belonging to the reserved category (as defined by the State Government policy) will pay the fees by Demand draft of Rs. 500/- only.
- d) The Ph.D. Entrance Test (PET) will be conducted on the 02nd Saturday of January/February by the University of Mumbai at various centers.
- e) The list of successful candidates will be declared on the University website www.mu.ac.in

University of Mumbai



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(2001-2006)

within twenty-five (25) days from the date of the Ph.D. Entrance Test (PET).

- f) Successful candidates will then be eligible to apply for registration at the recognized research centre/centers of the University.

8.2. July-August Session

- a) The University Department / Recognized Institutes / Affiliated Colleges (hereinafter referred as 'Research Centre') will communicate the subject-wise vacancies of the Ph. D. seats at their centers to Thesis Section on or before the 3rd Saturday of May (If Saturday is a holiday then on or before the next working day). All such subject-wise and center-wise vacancies of Ph.D. seats will be published on or before 10th June, on the University website www.mu.ac.in by the thesis Section.
- b) A Notification will be published in the Newspapers (One English and One Marathi paper as per the policy of University) and displayed on the University website (in detail) on or before 10th June.
- c) Applications in the prescribed format will be invited from interested candidates by the Thesis Section within 21 days from the date of notification, A Demand Draft of Rs. 1000/- in the name of 'Finance & Accounts Officer of the University of Mumbai' must be received for registering for the Ph. D. Entrance Test (PET). Candidates belonging to the reserved category (as defined by the State Government policy) will pay the fees by Demand draft of Rs. 500/- only.
- d) The Ph.D. Entrance Test (PET) will be conducted on the 02nd Saturday of July / August by the University of Mumbai at various centres.
- e) The list of successful candidates will be declared on the University website www.mu.ac.in within twenty-five (25) days from the date of the Ph.D. Entrance Test (PET).
- f) Successful candidates will then be eligible to apply for registration at the recognized research centre/centers of the University.

9. EXEMPTION FROM Ph.D. ENTRANCE TEST (PET):-

Candidates fulfilling one of the following criteria shall be exempted from Ph.D. entrance test (PET).

- a) Qualified in GATE / SET / NET / (JRF) Examination / teacher fellowship holder of the apex bodies as CSIR / UGC / ICAR / ICMR / DBT only.

University of Mumbai



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(2001-2006)

b) Completed an M. Phil. Degree from University of Mumbai as per the UGC guidelines from time to time.

c) Completed an M. Phil. Degree from any other recognized Universities in India as per the UGC guidelines from time to time.

✓ The exempted candidates from Ph.D. entrance test shall submit their application within fifteen (15) days from the date of notification as per clause 11.1 (a) of this VCD directly to the concerned Research Centre with all relevant supporting documents.

10. STRUCTURE OF THE Ph.D. ENTRANCE TEST (PET):-

The Ph.D. Entrance Test (PET) will consist of one paper of 100 marks for the duration of three (3) hours in the relevant subject of **various faculties**.

10.1 Syllabus and Pattern of Question Paper

a) Syllabus:-

It shall consist of the various topics included in the compulsory / core papers at Post Graduate Degree level in the respective subject of University of Mumbai.

b) Pattern of Question Paper:-

The question paper will consist of three types of questions viz - Objective - forty (40) marks, Short answers - thirty (30) marks and long answers - thirty (30) marks.

c) Standard of Passing:-

Candidates securing fifty (50) or more marks in entrance test will be declared as successful and eligible to apply for admission process.

10.2 Declaration of Result:-

Candidates who score a minimum 50% and above marks in the entrance test (PET), shall be declared as successful by the University of Mumbai and will be eligible to apply for admission to the Ph. D. programme. The list of such candidates will be published on the University website www.mu.ac.in and a copy of the results will be sent to the concerned research centers.

10.3 Validity period of result of Ph. D. entrance test

The result of the entrance test (PET) will be valid for three (03) years and candidates must apply within this period for admission to the Ph. D. programme.

University of Mumbai



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PART - II

Procedure for Registration of Admission to the Ph. D. Programme

11. ADMISSION PROCESS:-

11.1 Application & Interview

- a) Candidates who desires to register for the Ph.D. degree and who have passed the entrance test (PET) conducted by the University of Mumbai and who are exempted from the test under clause no. 9 of this VCD, shall apply in the prescribed form and submit it along with a demand draft / cash of Rs. 100/- to the concerned recognized Research Centre of University of Mumbai within fifteen working (15) days from the date of the declaration of the Ph.D. Entrance Test (PET) results.
 - b) After scrutiny of applications received, the Head of the Research Centre shall invite the eligible candidates for subject-wise interviews by giving 10 days notice after the last date of application. A list of eligible candidates who are also invited for interviews shall be displayed on the notice board.
 - c) The Head of the research centre shall constitute subject-wise interview committees to interview the candidates who have passed the Ph.D. Entrance Test (PET). The committee shall be constituted as per the guidelines given below. The quorum for the meeting of the committee shall constitute one subject expert, the Research Guide and the Head of the Department. In case of vacancies for reserved candidates, one approved teacher (not below the rank of Reader) from the reserved category of the concerned faculty is mandatory.
- i) **For Admission at University Departments**
1. Head of Department (Chairman)
 2. Two Subject Experts (either from the Department or from the affiliated colleges / industry / research institutes)
 3. Professor/Reader of the Department other than guide.
 4. Research Guide/s
 5. One approved teacher not below the rank of Reader from the reserved category of the concerned faculty.

University of Mumbai



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(2001-2006)

ii) For Admission at PG / Research Centers at Colleges

1. Principal (Chairman)
2. Two Subject Experts (either from the Department or from the affiliated colleges / industry / Research institutes)
3. Head of Department
4. Research Guide/s
5. One approved teacher not below the rank of Reader from the reserved category of the concerned faculty.

iii) For Admission at Recognized Research Institutes

1. Director (Chairman)
2. Two Subject Experts (either from the Department or from the affiliated colleges / industry / research institutes)
3. Head of the concerned Department of the Research Institute
4. Research Guide/s.
5. One approved teacher not below the rank of Reader from the reserved category of the concerned faculty.

d) Interviews of candidates, who have applied for registration for the Ph. D. programme for the available seats for the subjects in the various faculties at all recognized research centers, shall be conducted within 30 days from the date of declaration of the results of Ph.D. Entrance Test (PET).

e) The list of the qualified candidates after interview shall be displayed on the notice board and also communicated to the qualified candidates.

11.2 Allocation of Supervisor (Research Guide)

The Recognized Research Centre shall allot a research guide of the centre (who is recognized by the University) to a candidate who qualifies for registration at the Ph.D. programme of the University on the basis of the following:

- a) The Recognized Research Centre shall allot a research guide to a qualified candidate after following due procedures.
- b) The research supervisor (guide) shall not have more than eight (08) registered Ph.D. candidates and five (05) M. Phil. candidates working under his/her supervision. New

University of Mumbai



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candidates against the vacancies shall be allotted to a Research Guide only after the submission of Ph.D. thesis to the University by a previously registered student under him/her.

- c) A research guide will be permitted to take on two additional students over and above the eight who qualify at the CSIR / (JRF) examination. However, they will have to follow all further procedures and regulations for admission to the Ph.D. programme.
- d) The allocation of the supervisor for a selected student shall be decided upon by the Department in a formal manner depending on the number of students per faculty member, the available specialization among the faculty supervisors and the research interest of the student as indicated by the student during interview.
- e) The recognized research centers of the University will pay due attention to the National / State reservation policy while admitting the candidates for Ph.D. programme.

11.3 Submission of Research Proposal

- a) The eligible candidates who have qualified in the interview and have been allotted a research guide, have to submit the outline of their research proposal in consultation with his/her guide to the University through the recognized research centers as per the guidelines of the University from time to time, for consideration by the Research and Recognition Committee (RRC).
- b) After receiving approval from the RRC, the candidates shall submit their application for registration for Ph.D. programme to the thesis section of the University through the concerned recognized research centre.

COURSE WORK TO BE CONDUCTED BY THE RESEARCH CENTRE:-

12.1 Nature of Course work

- a) Every candidate must undergo the course work prescribed by the respective boards of studies as per clause no 13 of UGC regulation 2009, published in the Gazette of India, July 11, 2009 (ASADHA 20, 1931).
- b) The duration of the course work will be for a minimum period of one semester i.e. Six (06) months.
- c) Every candidate shall be evaluated by the recognized research centre in the course work

University of Mumbai



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(2001-2006)

prescribed by the University.

- d) The Certificate of completion of the course work shall be given to each candidate after completion of course work and evaluation on the basis of assignments, presentations and a viva-voce. This will bear the signature of research guide and the Head of Research Centre and records of the same will be maintained by the respective research centers at least six (6) months after the award of the Ph. D. degree to the concerned candidate.
- e) The pro-forma (standard format) for the certificate will be provided by the University.
- f) The course work shall be treated as pre-Ph. D. preparation.

12.2. Exemption from Course Work

Candidates who have successfully completed the M. Phil. programme from University of Mumbai or any other UGC- recognized Universities as per the UGC guide lines from time to time, will be exempted from the course work.

13. EVALUATION OF THESIS:-

- a) In addition to the existing rules and ordinances bearing numbers O. 5473, 5074, 5476, 5478, 5480, and 5482 relating to Ph. D. programme, the procedure as per clause 14 to 18 as per UGC-regulation 2009, published in the Gazette of India, July 11, 2009 (ASADHA 20, 1931) will be followed for the evaluation and assessment of the Ph.D. thesis.

This VCD shall come into force with immediate effect i.e. from the date of circulation in addition to the above-mentioned existing ordinances and shall remain in force till the amendment in ordinances and new rules and regulations are formulated in pursuant to the subject matters dealt with in this VCD is made by the appropriate authorities.


(Dr. RAJAN M. WELUKAR)
VICE-CHANCELLOR

Mumbai – 400 098

Date: 18th November, 2010

University of Mumbai



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No. Exam /Thesis/VCD/2414-Aof 2010

To,

The Directors / Heads of the University Departments, the Directors, of the University Department (Autonomous), Professor-cum-Director of Institute of Distance & Open Learning, The Principals, Sir J.J. College of Architecture and the Principals / Directors of the affiliated colleges / Institutes those have conducted Ph. D. programme at their recognized research centre are requested to implement the above VCD immediately.

Copy forwarded with compliments for information to:-

1. The Secretary to His Excellency Chancellor of University of Mumbai, Rajbhavan, Malbar Hill, Mumbai.
2. The Secretary, Higher & Technical Department, Government of Maharashtra.
3. The Secretary to the Chairman, University Grant Commission, Delhi, Bahadur Shah Zafar Marg, New Delhi. 110002.
4. The Joint Secretary, Higher & Technical Education Department, Government of Maharashtra, Mantralaya, Mumbai.
5. The Deputy Secretary, Higher & Technical Education Department, Government of Maharashtra, Mantralaya, Mumbai.
6. The Director of Higher Education, Higher Education Maharashtra State, Central Building Pune, 411001.
7. The Director of Technical Education, Directorate of technical Education, Maharashtra State Mahapalica Marg, Mumbai.
8. The Joint Director, Higher Education, Mumbai Region, Mahapalica Marg, Mumbai.
9. The Joint Director, Technical Education, Mumbai Region, Khetwadi, Bandra. Mumbai.
10. The Deans of faculties of Arts, Science, Commerce, Law, Technology & Fine Arts of University of Mumbai.
11. The Chairman, Campus Development Council, University of Mumbai, Vidyanagary Campus, Santacruz (East), Mumbai.

University of Mumbai



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Copy to:-

The Officer on Special Duty in the secretariat of Vice Chancellor, the Director (CCF), the Director (Students Welfare), the Director (Adult & Continuation Education & Extension), the Coordinator (Ratnagiry Sub centre), All Deputy Registrar, All Assistant Registrar, Assistant Registrar (Ratnagiry Sub centre), Personal Assistant to the Vice Chancellor, Personal Assistant to the Pro-Vice Chancellor, Personal Assistant to the Registrar, Personal Assistant to the Director (BCUD), Personal Assistant to the Controller of Examinations, Personal Assistant to the Finance & Accounts Officer, Superintendent to thesis section.

By the order of Hon'ble Vice Chancellor

(Prof. Vilas B. Shinde)
Controller of Examinations

Mumbai - 400 098
Date: 18th November, 2010

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