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No. Exam./Thesis/Univ./VCD/2414 of 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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(2001-2006)

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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(2001-2006)

- 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. Applying for the Ph. D. entrance test or qualifying 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:-

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(2001-2006)

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

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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.

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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.

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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

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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.

12. 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

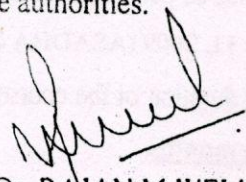
Candidates who have successfully completed the M. Phil. programme from University of Mumbai or any other UGC- recognized Universities as per the UGC guide lines from time to time, will be exempted from the course work.

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.

Mumbai - 400 098
Date: 18th November, 2010


(Dr. RAJAN M. WELUKAR)
VICE-CHANCELLOR

University of Mumbai



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(2001-2006)

No. Exam /Thesis/VCD/2414-A of 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.

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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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Thesis SECTION

University of Mumbai



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

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

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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