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WOMEN'S UNIVERSITY, MUMBAI**



**RULES AND GUIDELINES FOR M.PHIL./PH.D.
AND NORMS FOR RECOGNITION OF M.PHIL./PH.D. GUIDES**

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RULES FOR DOCTORAL STUDY

Persons who are interested in M.Phil. / Ph.D. programme will be required to appear for an entrance test. Students who clear the entrance test, will be required to appear for an interview. Selected candidates may register for the M.Phil. / Ph.D. programme.

R (1) Eligibility to appear for M.Phil. / Ph.D. Entrance test

- a. Women having Master's Degree in the subject (with 55% marks for open category and 50% for reserved category (SC/ST/) or B grade) of any statutory university in the country or any other examination recognized by the University as equivalent to the Master's Degree are eligible to appear for the M.Phil. /Ph.D. Entrance Test.**
- b. A person with graduate qualifications in Engineering/Medicine (MBBS, BDS and Physiotherapy) who has developed important new techniques/ products/ special instruments/apparatus, which are deemed to be a valuable contribution to her field, may be recommended by the appropriate Board of Studies and may be allowed to appear for the written test.
- c. Fellow members of the Institute of Chartered Accountants/ Institute of Cost and Work Accountants can apply for Ph.D. in a subject under the Faculty of Commerce provided they have a Bachelor's degree in the subject of any statutory University, and have at least 5 years' work experience in their respective fields.

Exemption from appearing for written test for Ph D. Degree:

- 1. Candidates who have cleared NET/SET/GATE/JRF examination of apex bodies such as CSIR/ICMR/ICAR/UGC/DBT are exempted from appearing or the written examination but will be required to appear for personal interview at the respective departments.**
2. M.Phil. Degree completed from S.N.D.T. Women's University/other statutory University.

The above mentioned rules will also be applicable to the foreign candidates who have obtained a Master's degree from the statutory Indian Universities. For Foreign students who have not obtained their Master's degree from an Indian University, minimum percentage should be 55% or the equivalent GPA.

The University will advertise the date of M.Phil./Ph.D. Entrance Test along with availability of seats in each Subject and Department.

R (2) Application

- a) Application form for the Entrance test will be available on payment of Rs 500/- (SC/ST/OBC Rs. 350/-) at the Accounts Section of SNDT Women's University between 10.30 a.m. and 1.00 p.m. from Monday to Friday except public holidays. Application forms can also be downloaded from University website: <http://www.sndt.ac.in/downloads.htm> and applicants will be required to pay Rs. 500/- (SC/ST Rs. 350/-) at the time of submission of the form, to the Accounts section. Payment should be made in the form of a demand draft in favour of "Registrar, S.N.D.T. Women's University," payable at Mumbai.
- b) Application forms should be complete in all respects and should be submitted to the office of the Director, Board of College and University Development (BCUD) as declared in the advertisement.
- c) The following documents should be submitted with the application form.
Two Attested copies of
 1. The Mark sheet of Post Graduate Examination or the mark sheet of the highest qualification acquired.
 2. Passing Certificate / Degree Certificate of Post Graduate examination
 3. Marriage Certificate (in case of name change).
 4. Caste Certificate (except for Open Category).
 5. Medical Certificate given by a Competent Authority in case of blind/visually or physically challenged candidates.

Only those candidates who meet the eligibility criteria fully will be permitted to appear for the entrance test.

Important note: **i) Downloaded mark sheets will not be accepted.**
 ii) Students whose result is awaited are not eligible.

R (3) Entrance Test

Candidates will be required to appear for an Entrance Test. The Entrance test will consist of 2 papers: (i) Research Aptitude Test (100 marks) and (ii) Subject Specific Test (100 marks). The results of the Entrance Test will be displayed in all the Campuses of the University and also on the University website. Those who clear the test (with minimum of 50% marks **separately** in the Research Aptitude Test and Subject Specific Test for open category and 45% for reserved category) will be invited for interview.

Research Aptitude test

The research aptitude test will include:

- | | |
|----------------------------------|-----------------|
| - Reasoning ability | (15% weightage) |
| - Analytical ability | (15% weightage) |
| - Critical thinking | (20% weightage) |
| - Language comprehension | (25% weightage) |
| - Elementary mathematics ability | (20% weightage) |
| - Perseverance | (5% weightage) |

The Test will be prepared by an Inter-Disciplinary Expert Committee Consisting of Experts from all faculties.

Subject Specific test

The Subject Specific Test will include:

- Objective questions (30 marks)
- Short answer questions [approx 250 words per answer] (30 marks)
- Long answer questions (40 marks)

The subject test will be prepared by the department. Each test will be of 3 hours of duration and will be held on one day only. The date of the test will be announced by the University. The test will be held at Mumbai and Pune in June and December and admissions will be given in January and July.

Interview:

Students are expected to make presentation in their area of **interest** before an Interview committee. Students will be assessed on following criteria:

- Conceptual understanding of the area of interest : 20 marks
- Awareness of research in the area of interest : 20 marks
- Communication skills : 10 marks

Passing criteria: 50% for open and 45% for reserved category.

Interview will be conducted by an Interview Committee constituted by the Head of the concerned University Department consisting of:

- (i) Head of the Department
- (ii) One senior faculty member who is a Ph.D. guide and
- (iii) Preferably one External Expert.

Validity of result: For 3 years

Ph. D. candidates are required to remain present for the written test and the interview. Those who remain absent for interview, will have to appear for written test again.

R (4) Admission

Candidates will be shortlisted on the basis of merit and admission will be granted as per availability of seats in the specific subjects. While granting admission to students to M.Phil. / Ph.D. programmes, the Department / Institute should follow the National / State Reservation Policy.

Allocation of Supervisor / Guide

The allocation of the Supervisor/Guide for a selected scholar shall be decided by the Departmental Committee (consisting of the Head and the guides in the department) within one week of the interview, depending on the number of Scholars per faculty member, the available specialization among the faculty supervisors /guides and the research interest of the scholar, as indicated during the interview by the scholar. The

allotment / allocation of Supervisor / Guide shall not be left to the individual scholar or teacher.

The procedure and allocation of guides to Ph.D. students (A.C.Res.No.26 dt.22.4.2014)

- 1. The scholars declared eligible for Ph.D. programme will be given a list of guides available with the department in which they will be registered along with the vacancies available with the guide.**
- 2. The scholar may approach a guide of her choice and interact with guide giving both a chance to know if their areas of interest match.**
- 3. If the guide agrees to guide the scholar, she may inform her consent to the Head of the department in which the scholar will be registered.**
- 4. The Head will once again check the no. of students already registered under the guide and inform the BCUD office about allocation of guide to a particular scholar.**
- 5. The BCUD Office will write to the Head, the guide and the scholar, a letter of allocation of guide to the scholar.**
- 6. The scholar will then pay fees to the department and get registered for the Ph.D. programme.**

R (5) The Ph.D. Programme

The Ph.D. programme will be offered only at the University departments/Institutes and Recognized Institutions. **M.Phil/Ph.D. programme will not be conducted through the Distance Education mode.**

The Ph.D. programme shall consist of a combination of course work (Part A) and research work (Part B).

Part A: Course work (1 year/two semesters)

After having been admitted, each M.Phil. / Ph.D. scholar shall be required to undertake course work for a period of two semesters (in the 1st year). The course work shall be treated as Pre-M.Phil. /Ph.D. preparation. The scholar will be allowed a maximum of 2 attempts (to be cleared within the first year after admission to the M.Phil. / Ph.D. programme). The syllabus for the course work will be framed by the concerned Board of Studies.

a) The course work will be of 12 credits and will include:

- (i) Research Methodology (4 credits/100 marks).** This may include quantitative, qualitative methods of research, use of use of information and communication technology in research, wherever applicable. The scholar will be required to appear for a written test.

This Written test will be conducted by the University Department at the end of the first and second semester. The Departments will make syllabi available to the scholars. It will arrange for guidance sessions. The scholars may attend guidance sessions for research methodology organized by sister departments / institutes either within or outside the University. Attendance of guidance sessions is not compulsory.

The date of the written test will be communicated to the scholars well in advance. The answer paper may be shown to the scholars on demand. The result of the test will be communicated to the scholars within 30 days.

Marks will be allotted as follows:

Written test	30 marks
Preparation of research proposal	30 marks
Presentation of research proposal	20 marks
Assignment on methodological review of a large project/ book on research methodology	20 marks

- (ii) **Two courses (4 credits /100 marks each).** These courses will be subject-specific. The course work will be done on the basis of guided reading supervised by the guide. For evaluation purposes the scholar should prepare review of literature and carry out assignments given by the guide (book review, content analysis, action research, need assessment survey etc.)

The papers/assignments may be written in English, Marathi, Gujarati or Hindi provided both the guide and co-guide if any, are conversant with the chosen medium.

The purpose of course work is to broaden the scholars' understanding of the subject. Scholars should submit these assignments to the guide. The assignments/papers should be evaluated by the guide. The mark sheet will be prepared by the respective Departments.

Marks allotment

Course II	
Review of literature	40 marks
Presentation	30 marks
Assignment	30 marks
Course III	
Concept note based on the content of the research	40 marks
Presentation	30 marks
Report of 2 books related to research topic/report of visit/ interviews / seminar attended (1000-1500 words)	30 marks

Minimum percentage for passing the examination in all these courses will be 50%.

The course work shall be completed in first two semesters (which could be extended to a maximum of 4 semesters, failing which her registration for the Ph.D. Programme will be cancelled. She can apply for Ph D. Entrance test again.

Exemption from course work:

Scholars who have successfully completed M. Phil. from a recognized University will be exempted from the **course work on Research Methodology**.

Scholars who do not complete Ph.D. within the required time period and therefore reregister for Ph.D. within a period of three years of expiry of terms, will be exempted from coursework, provided the course work was completed previously satisfactorily.

For scholars who are interested in doing Ph.D. in a subject (that allows for interdisciplinary work), that is not their subject of specialization at the Master's and/or M. Phil. level, will be required to successfully complete Bridge Course (of 8 credits) in the chosen field as prescribed by BOS in addition to the above course work. Internal examination of Bridge course will be conducted by the Department for such scholars.

Part B: Research Work

The scholar shall carry out research using acceptable research methods in the field under the supervision of approved guide(s).

A work which has already been considered for a Degree/Diploma by this or any other University/Institution shall not be considered for the conferment of Ph.D. degree by this University.

The thesis may be written in English, Marathi, Gujarati or Hindi provided the guide and/or co-guide is conversant with the chosen medium.

Only after completion of Ph.D. Course work (maximum two years) Ph.D. scholars be permitted to place research proposal in RRC. (A.C. Reso. No.39.4)

After completing the course work (all 3 courses) the scholar will prepare a research proposal under the guidance of the assigned guide. The scholar will submit 5 copies of the proposal to the Head of University Department/ Institute through the guide. If the proposal is in a language other than English, the scholar should submit two additional copies in English.

- a) The Head of University Department shall call for a meeting of the Department Research Committee (DRC) within 30 days of receipt of the proposal.
- b) The Departmental Research Committee (DRC) shall scrutinize the research proposal and interview the scholar to determine the feasibility of the research proposal.
- c) Each candidate shall be required to make a presentation of her proposal to the DRC.
- d) The DRC shall approve, suggest modification(s) or reject the proposal. If a proposal is rejected, the candidate may resubmit a fresh proposal within three months. The DRC may recommend, if necessary a Co-guide to the candidate. The guide or the co-guide shall not be a collateral relation of the candidate.

- e) If the DRC approves the proposal, the same will be forwarded to the Research and Recognition Committee (RRC).

HOD (HOD) should forward 5 copies of the proposal approved by DRC to the Director, BCUD to be placed before RRC.

- f) The RRC shall approve, suggest modification(s) or reject the proposal. If a proposal is rejected the scholar may submit a fresh proposal within six months of intimation from the University.
- g) If the RRC approves the proposal, Director, BCUD will issue letter of approval of the title (within 30 days) with a copy to the concerned Guide, HOD, and Controller of Examinations.
- h) Terms of six months each, shall commence from January or July immediately on registration. Terms will be from January to June and July to December.
- i) Scholars from other Universities shall be required to submit a migration certificate to the concerned Department within one year of enrolment. They will also have to pay the eligibility fee as prescribed by the University at the time of their registration.
The concerned Department will forward the migration certificate to the Controller of Examinations.

A scholar may revise her research proposal/modify the title by the end of second year of registration. The proposal / title if revised shall be presented to the DRC and subsequently to RRC for approval. The number of academic terms for Ph.D. programme will remain unchanged in such cases.

Re-registration:

- Re-registration may be allowed only once with or without break.
- Scholars who re-register with a break of 3 years or more will be required to do the prescribed coursework.

R (6) Duration of the Course

- a) The Ph.D. course shall be of five years duration (i.e. 10 terms) with a minimum of three years (i.e. 6 terms) programme. For extension after 6 terms upto 10th term, the scholar should apply to the HOD through the Guide.
- b) The scholar shall be required to complete the course work and the research work within this period. During this period, each scholar shall be required to submit a progress report (certified by the guide) to the HOD, every six months. (Pl see enclosed proforma for progress report)
- c) H.O.D. will consolidate and forward the Annual Progress Reports of all the scholars in the month of July every year to the Director, BCUD.
- d) HOD should intimate to the Director, BCUD every year in the month of July about cancellation of registration, if any.

- e) If a candidate is unable to complete the Ph. D. work within the five year period, she shall be required to apply for extension of duration for one year i.e. 2 terms (6th year) **one term at a time** with the recommendation of the Guide to the HOD at least two months before the expiry of the prescribed period of study on the prescribed form (Format enclosed). Extensions up to 2 additional terms (sixth year) may be granted by the RRC on recommendation of the guide and the HOD. Extension will be granted for one additional term at a time.
- f) Scholars who are unable to complete their Ph.D. within six years may apply for final extension on the prescribed form and recommended by Guide to HOD for another year (7th year) **one term at a time**. The HOD will forward the same to the Director BCUD for placing it before the RRC. The RRC should forward it to Vice Chancellor with or without recommendation for extension of 13th and 14th term.
- g) After the 10th semester the scholar will be required to pay a fee equivalent to the 10th semester.
- h) The scholar ceases to be a Ph.D. scholar, if she is not granted approval for extension by the RRC/VC or is unable to submit the Ph.D. thesis within the specified time period of six/seven years.

R (7) Cancellation of Registration

The HOD will forward the case of a scholar for cancellation of registration to RRC through the Director, BCUD.

- a. If the scholar fails to clear written test (of Research methodology course) in two attempts.
- b. If the scholar fails to complete course work of all 3 courses within 4 semesters
- c. If the scholar fails to submit progress reports for two consecutive terms.
- d. If two consecutive progress reports are not satisfactory.

The Director, BCUD will notify about the cancellation of registration to the concerned scholar along with copy to the concerned authorities.

In such cases the scholar may apply for re-registration if she so desires. She will be treated as a fresh Ph.D. applicant and will be required to appear for the entrance test.

R (8) Change of Guide

- If a scholar desires a change of guide, she should submit her application with reasons given in writing, through the HOD along with NOC from the Guide to the Director, BCUD.
- HOD will forward the application to Director, BCUD to be placed before RRC. The new guide will be assigned by the RRC.

- In the event of NOC not being available from the Guide within two months of application from the scholar, the decision of RRC shall be final.
- In cases such as Guide's unwillingness/inability to continue with the guidance, above mentioned procedure shall be followed.

R (9) Submission of Synopsis & Thesis, Evaluation and Assessment

- a) Prior to submission of the thesis for adjudication, the scholar will publish one research paper based on her research in a refereed journal, and produce evidence for the same in the form of acceptance letter or the reprint.

Procedure for submission of synopsis: The scholar must present the synopsis before the DRC. If the DRC approves then only the synopsis should be sent to Director, BCUD to be placed before RRC.

The Scholar is given 2 attempts to place the synopsis before DRC and 2 attempts before RRC. If it is rejected after this, she needs to re-register.

For the second time, the scholar needs to pay the fees of Rs.3000/- per attempt i.e. the tuition fee of the semester (A.C.Res.No.10 dt.12.6.2014).

- b) Synopsis of the thesis (3 copies for Examination Department, 5 for Director, BCUD for RRC and a soft copy to Department, COE and Director, BCUD) shall be submitted by the scholar, approximately six months before submitting the thesis, to the Controller of Examinations. The synopsis should be submitted through the HOD with her guide's recommendation. It should be accompanied by the Examination form, fees, certificate of completion of course work/exemption. The examination form will be available at the cash counter of the University office at Pariksha Bhavan, Juhu or on the university website. HOD will forward 3 copies of synopsis to the COE and 5 to Director, BCUD.

If the thesis is to be written in a language other than English, five copies of the synopsis should be submitted in English to the Director, BCUD, in addition to the 8 copies submitted to the Examination Department and BCUD (total copies 8 in vernacular + 5 in English).

Note:

At the time of submission of the synopsis, the scholars must also produce all original fee receipts with a photocopy of each to the concerned Department. The Department will verify the payment of fees and a set of photocopies of fee receipts shall be retained by the Department. The HOD will certify payment of fees.

- c) After submission of the synopsis, the same will be placed in the concerned RRC for recommending the panel of referees for evaluation of the thesis. The panel of referees recommended by the RRC shall be forwarded by the

Director, BCUD to the Board of Examinations (BOE). The thesis shall be evaluated by two referees, out of which one shall be from outside the State and the other from Maharashtra.

- d) The BOE will approve the panel of referees in its ensuing meeting after receiving the panel from the Director, BCUD.
- e) The Examination Department will send the synopsis to the referees within one month after approval of Referees by the BOE for their consent to evaluate the thesis.
- f) The thesis will be sent to the referees immediately upon their acceptance and as soon as the thesis is submitted to the Examination Department by the scholar.

Thesis:

- a. The M.Phil. / Ph. D. scholar will produce a draft thesis within the stipulated time period.
- b. Prior to submission of the thesis, the scholar shall make a pre- M.Phil. / Ph. D. presentation in the Department that may be open to all faculty members and research scholars, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the supervisor/guide.
- c. In addition, scholar should include in the appendix of the thesis, the acceptance letter for publication of research paper or the first page of the reprint of the published paper.
- d. The thesis shall be typed with 1.5 line spacing, font size 12 for all approved vernacular languages in Unicode and in Times New Roman for English. The thesis should be typed on one side of the paper.
- e. The Scholar may submit 3 soft bound copies of the thesis at the time of submission and submit three hard copies after receiving letter from Head of the Department conveying the acceptance of thesis (A.c.Res.No.9 dt.12.6.2014)**
- f. Three hard copies and a soft copy (in pdf format) of the thesis shall be submitted to the Examination Department (duly signed by the Guide) and forwarded by the HOD (within a period of six months of submission of the synopsis) or until the registration is valid (whichever is later) **not before three months** from the time of submission of the synopsis. However the rules regarding the extension of the term and the payment of penalty will be applicable even after the submission of the synopsis.
- g. The declaration duly signed by both the guide and the scholar must appear in the thesis after the title page. (Format enclosed).

R. (10) Appointment of Referees

Letters appointing referees along with the synopsis shall be sent by the Controller of Examinations. The referee is expected to accept examinership within 30 days failing which the next referee on the panel will be appointed. Referee shall be requested to evaluate the thesis within 60 days of receiving it. The referees shall also be requested to re-examine the thesis if he/ she recommends a revision. In such cases the referees shall be paid extra remuneration as per rules.

R. (11) Evaluation of the Thesis:

- a) The thesis shall be evaluated by two referees from the approved panel of External referees, out of which one shall be from outside the State and the other from Maharashtra.
- b) **Referees can be recommended from the State of Maharashtra for evaluation of thesis submitted in Marathi (if four are not available from outside Maharashtra) and from State of Gujarat, for evaluation of thesis submitted in Gujarati (if four are not available from Maharashtra). (A.C.Reso.24 dt. April 22, 2014)**
- c) On receipt of a satisfactory evaluation report from both the External referees, the Controller of Examinations shall organize a Viva-Voce Examination at a suitable date. Viva-Voce Examination shall be organized at Mumbai. **The thesis will be openly defended by the candidate.**
- d) If the evaluation reports from both the External referees are not satisfactory, the candidate shall be considered to have failed and shall be accordingly informed by the University.
- e) If the report of one external referee is favorable and the report of the other referee is not favorable, it shall be sent to a third external referee from the panel. If the third referee's report is favorable, the thesis will be accepted. If the third referee's report is unfavorable the thesis shall be rejected. If it is rejected, the scholar shall be considered to have failed and will be informed accordingly by the Department of Examinations.
- f) Modification / Revision:
 - If the report given by one external referee is satisfactory and the second referee suggests revision, the scholar will be informed through the Guide by the Department of Examinations. The scholar shall make the necessary revisions and re-submit it within six months from the date of intimation from the Department of Examinations. Then it shall be sent to the same referee who had recommended revision. If the referee rejects the thesis / report is unfavorable even after revision it shall be sent to the third examiner on the panel. If the third examiner's report is favorable the thesis shall be accepted. If the third examiner suggests revision the same procedure shall be followed as outlined above. If it is rejected by the third examiner, the thesis shall be rejected. The scholar shall be considered to have failed and will be informed accordingly by the Examination department.

- In case both the referees suggest revision, the thesis shall be sent back to the scholar for revision through the guide. The scholar shall be required to re-submit the thesis within six months. Thereafter, it shall be sent back to the same referees. The procedure thereafter regarding accepting and rejecting the thesis will be as mentioned earlier.

Note: In all of the above cases of revision and re-submission, the scholar will have to pay complete tuition fee for that term and full examination fees again as per the prescribed rules.

g) **Conduct of Viva-Voce**

When the two external referees accept the thesis, the Viva-Voce shall be held and the external referee preferably from Maharashtra shall be invited for the Viva-Voce. In case that referee regrets, the second referee will be invited. The guide shall be required to be present. The Department of Examinations will arrange for the same. HOD shall Chair the Open Defense.

The viva voce examination shall be openly defended by the M.Phil. / Ph. D. scholar.

In case the Ph.D. Guide is not available for conducting the viva-voce examination, for a reasonable time limit, i.e. 6 months after submission of favourable reports, the Dean of the concerned Faculty shall be invited as Internal Referee for the viva-voce examination.

In case there is no Dean in the concerned faculty, the Head of the concerned University Department and in his/her absence, a person who is in the rank of Professor or Associate Professor and recognized as Ph.D. Guide in the concerned subject by the SNTD Women's University will be appointed as Internal Referee by the Vice-Chancellor from the faculty of the concerned University Department for the purpose of conducting the Ph.D. viva-voce examination (A.C.Reso.No.21 dt.11.2.2014).

h) **Procedure for Open Defense:**

The notice of the Open Defense shall be displayed on the website atleast 8 days prior to the Viva voce by the Department of Examinations. Notice will also be sent to all Heads of the Departments, Directors of Institutions and Centres in the university (and to Recognized Institutes in case of Management faculty). The HOD should inform head of PG centre in concerned subject in affiliated colleges and external Ph. D. Guides.

HOD (chairperson) will introduce the Guide and the examiner. The scholar will then make her presentation based on the study. The referee will then conduct the viva. This will include questions suggested by the second referee. The result will be prepared by the referee and the guide on the basis of this viva. Subsequently, the floor will be open for the audience. The question-answer session will not have any bearing on the result of the scholar. The Chairperson will conclude the Open Defense session.

i) **A Joint report of viva-voce examination:**

The Referee and the Guide shall prepare a consolidated joint report on the basis of the written reports of the referees and performance at the Viva-Voce Examination, and submit the same to the Controller of Examinations immediately after the viva-voce examination. They shall make a recommendation for acceptance/non acceptance of the thesis for the award of the Doctoral Degree.

j) **Result:**

The Board of Examinations shall accept the recommendations of the referees. The result shall be declared by the University, and **the notification shall be sent to the scholar and a copy of the same shall be sent to the Guide and the HOD** only after clearance from the Library regarding submission of thesis as per requirements of Shodhganga (INFLIBNET).

DEPOSITORY WITH UGC

Following the successful completion of the evaluation process and announcement of the award of M.Phil./Ph.D., the University shall submit a soft copy of the thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/Universities. Along with the Degree, the University shall issue a provisional certificate certifying to the effect that the Degree has been awarded in accordance with the provisions to the Regulations of the UGC.

R. (12) Schedule of Fees

Note:

- i) Prescribed fees except Examination Fee will be collected by the respective Institution/Department of the University from 10.30 a.m. to 1.00 p.m. from Monday to Friday. The department will send the Library fee and deposit amount to Library and other fees (Enrolment/Eligibility etc.) to respective sections of the university.
- ii) Examination fees will be collected at the Examination Department between 10.30 a.m. to 1.00 p.m. from Monday to Friday.
- iii) Fees once paid will not be refunded. **Late fees i.e. 20%** of the tuition fees will be charged per month of delayed payment.

GUIDELINES FOR DOCTORAL SCHOLARS

1. Ph.D. scholars should carefully go through Ph.D. Guidelines.
2. Ph.D. scholars are advised to:
 - a. Follow all procedures in all dealings with the University as per the relevant rules.
 - b. Be in touch with the guide regularly and keep record of the progress.
 - c. Adhere to the prescribed academic schedule and submit six-monthly progress reports to the guide.
 - d. Apply for extension of terms to the HOD well in advance, with the recommendation of the Guide.
 - e. Pay fees regularly by 15th of January and 15th of July every year and preserve the original fee receipts to be produced along with photocopies while submitting the synopsis. (First time fees should be paid within 15 days of receipt of admission letter)
3. If the Ph. D. Scholar wishes to discontinue her studies, she should inform the same in writing to the HOD/Institute through the Guide.

ADMINISTRATIVE GUIDELINES

1. The HOD will receive the PhD. Research proposal through the guide, from the scholar during the third semester after admission. On receiving the proposal HOD will place it in ensuing DRC.
2. HOD will organize DRC at least once in every term.
3. On approval of the DRC, the proposal shall be forwarded to RRC.
4. Director, BCUD shall issue the letter of approval of the title to the Research Scholar, (within 30 days) with a copy to the guide and the HOD.
5. The Ph.D. scholar shall be registered with the University, during which she shall be required to complete her course work in the first 2 semesters which is extendable by 2 more semesters.
6. After completing the course work and within two years of enrolment Ph.D. scholar may revise and re-submit her final research proposal to the Departmental Research Committee to be forwarded to RRC.
7. During her period of Registration, the scholar shall submit six-monthly progress reports, to the guide.
8. The scholar may apply to the HOD for extension of one term at a time and maximum 2 terms, recommended by the Guide at least two months before the end of fifth year. The scholar may be given extension for one year (6th) by the RRC.

9. The scholar may apply for additional extension (7th year), to the HOD for extension of one term, duly recommended by the Guide at least two months before the end of 6th year. HOD will forward the application to Director, BCUD for placing it before the RRC. Extension for the 7th year may be given by the Vice Chancellor on recommendation of RRC.
10. Before submitting the synopsis, the scholar shall have to make presentation of the work including findings to DRC. On recommendation of DRC the scholar will submit the Synopsis to the HOD.
11. Approximately, six months before submitting the thesis the scholar shall submit to the Controller of Examinations through the Guide and the HOD a synopsis of the thesis (3 copies for Examination Department, 5 for Director of BCUD for placing before the RRC and a soft copy to Department, COE and Director, BCUD). The synopsis should be submitted through the HOD with her guide's recommendation. It should be accompanied by the Examination form, fees, certificate of completion of course work/exemption. The examination form will be available at the cash counter of the University office at Pariksha Bhavan, Juhu or on the university website. HOD will forward 3 copies of synopsis to the COE and 5 to Director, BCUD.

If the thesis is to be written in a language other than English, five copies of the synopsis should be submitted in English to Director, BCUD, in addition to the 8 copies submitted to the Examination Department and BCUD (total copies 8 in vernacular + 5 in English).

12. Three hard copies and a soft copy (in pdf format) of the thesis shall be submitted to the Examination Department (duly signed by the Guide) and forwarded by the HOD (within a period of six months of submission of the synopsis) or until the registration is valid (whichever is later) not before three months from the time of submission of the synopsis. However the rules regarding the extension of the term and the payment of penalty will be applicable even after the submission of the synopsis.
13. The thesis shall be evaluated by a panel of two referees. On receipt of a satisfactory evaluation report from the referees, the University shall organize an open viva-voce at a suitable date. Vice-voce examination for Ph.D. candidate shall be conducted by the Examination department of the University.

DEPARTMENTAL RESEARCH COMMITTEE

Composition:

Every Postgraduate Department /Recognised Institute shall constitute a Departmental Research Committee (DRC) comprising of the Head of the University Department/ Director of the Institute, one senior member of the Department/related department and at least one subject expert. The HOD may invite additional expert to the Departmental Research Committee meeting as may be required. When research proposals are discussed, the research Guides must be present. The HOD/ Director of the Institute shall be the Chairperson.

Functions of DRC

1. To evaluate the research proposal to determine:
 - Whether the proposal is academically sound
 - Whether the proposal is feasible
2. To recommend a Co-Guide, if the proposed study is in interdisciplinary area.
3. To decide whether to accept or reject the proposal or accept it with the revision after the presentation of the proposal by the candidate
4. To scrutinize the revised /re-submitted proposal.
5. To grant exemption to the candidates from the course work in Research Methodology.
6. To approve the change in the title of the thesis and recommend it to RRC
7. To forward the application for the change in the title of the thesis to the RRC.

RESEARCH AND RECOGNITION COMMITTEE (RRC)

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

- | | | |
|----|---|----------------------|
| 1) | <i>The Pro-Vice Chancellor</i> | <i>Chairman</i> |
| 2) | <i>The Dean of the Faculty</i> | <i>Member</i> |
| 3) | <i>The Chairman of the Board of Studies</i> | <i>Member</i> |
| 4) | <i>The Head of the University Departments, if any</i> | <i>Member</i> |
| 5) | <i>Two experts in the subject not below the rank of Readers, who have successfully guided at least five Ph.D. Scholars and have published research work in recognised or reputed national or international journals, anthologies, etc. one of them being from outside the University to be nominated by the Vice-chancellor</i> | <i>Expert Member</i> |
| 6) | <i>An expert in the area of specialisation nominated by the Vice-Chancellor, where a referee is to be appointed for evaluation of highly specialized topic or subject.</i> | |

The nominated members shall attend the meeting only for the particular item.

The Functions of the Research and Recognition Committee:

- i. To approve the topic of research
- ii. To approve co-guide on request of the Guide
- iii. To approve change of Guide/Co-Guide on request of the scholar through the HOD.
- iv. To recommend panel of referees for the thesis to the Board of Examination
- v. To recommend names of Post-Graduate teachers and research guides to the BUTR
- vi. To advise the Boards of Studies or the faculty on measures to improve courses of studies at the post-graduate level.

- vii. To recommend to the Board, the course structure for Ph.D., Pre Ph.D. and M.Phil. courses for approval of AC.

Meetings of RRC:

Chairperson shall call a meeting of RRC at least on half yearly basis. After the submission of synopsis, it should be placed before the ensuing Research and Recognition Committee to recommend the panel of referees for evaluation of the thesis.

HEAD OF THE DEPARTMENT (HOD):

Functions and Duties:

1. To conduct interviews after announcement of Ph. D. Entrance Test (PET) result.
2. To ensure that admitted scholars are assigned a Supervisor/Guide as per availability of seats and area of research interest, adhering to the reservation policy.
3. To call for meetings of the DRC (once in each term, if there are candidates) giving at least 7 clear days of notice and attend to all administrative responsibilities thereof.
4. To inform the scholar and the guide accordingly about the DRC meeting.
5. To forward the proposals recommended by DRC to the Director, BCUD for placing the same before RRC.
6. To notify to the Director, BCUD and COE any anomalies and drop out cases.
7. To maintain a separate file for monitoring the progress of each Ph. D. scholar.
8. To forward the application of the scholar duly recommended by the Guide and approved by DRC regarding change in the title to the Director BCUD (to be placed before RRC).
9. To forward the application of the scholar for change of Guide/Co-Guide with NOC from the concerned Guide/Co-Guide to the Director, BCUD (to be placed before the RRC).
10. To inform the scholar, the change in the title of the thesis, if any, after the intimation is received to this effect from Director, BCUD.
11. To conduct a course and assess the scholar in Research Methodology.
12. To place the application of the scholar for exemption from the course work in Research Methodology before DRC.
13. To issue Exemption Certificate for the course work in Research Methodology on the recommendation of the DRC.

14. To inform about any cancellation of registration to the Controller of Examinations and Director, BCUD.
15. Issue a letter of extension of one term at a time for 4th and 5th years on receiving such application from a scholar duly recommended by the Guide.
16. To forward the application of the scholar for the 6th year extension (one term at a time) duly recommended by the Guide to the Director, BCUD to be placed before RRC.
17. To forward the application of the scholar for the 7th year extension (one term at a time) duly recommended by the Guide and the RRC to be placed before the Vice Chancellor.
18. To forward 5 Hard copies and a soft copy of the synopsis to the Director, BCUD for placing the same before the RRC.
19. To forward 3 Hard copies and a soft copy of the synopsis along with Examination form to the Controller of Examination.

Guide:

1. To maintain a separate file (to be maintained in the department) for monitoring the progress of each scholar. This file should contain application form, photo copies of fee receipts, proposal, and six monthly progress reports and all other relevant documents.
2. To monitor the scholars' work on a regular basis and endorse the six monthly progress reports of all scholars to be submitted to the HOD.
3. To Ensure completion of course work by the scholars and evaluation by the HOD/Guide and ensure issuing of a completion certificate by the HOD.
4. To recommend extension of terms for the 4th to 6th years (one term at a time) to the HOD (after completion of 3 years) on receiving such application from the scholar.
5. To Recommend to the HOD, in special cases, applications received from scholars for extension for the final seventh year to be forwarded to the RRC for approval of the Vice Chancellor.
7. To recommend to the HOD, **within 5 semesters** any change in the title of the proposed thesis on application of the scholar to be placed before DRC for further approval of the RRC.
8. To recommend any cancellation of registration to HOD for information of the Director, BCUD.

Evaluation of Course work

- The HOD will arrange for the compulsory test in Research Methodology at the end of each semester and evaluation of the other course work by the guide.
- Certificate of satisfactory completion of the coursework will be issued by the HOD to the scholar (format enclosed).
- Certificate of Exemption of the coursework will be issued by the HOD to the scholar (format enclosed).

Preservation of Thesis:

COE will forward the accepted thesis (both hard and soft copies) to

- a) The university library
- b) The concerned Department
- c) The Guide

The Librarian will arrange to upload soft copy of the accepted thesis on the Shodhganga website.

DECLARATION

Certified that this dissertation/ thesis is a bonafide record of work done by Ms. _____ during the Period _____ at the Department of _____/Recognized Institute of SNDT Women's University, Mumbai. It is submitted in partial fulfillment of the requirements for M.Phil. /Ph.D. Degree in _____.

Signature _____

Guide _____

Date: _____

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

Signature of scholar _____

Date _____

Guide _____

Certificates to be submitted

- (a) The original statement of marks of the qualifying examination along with its copy.
- (b) The original certificates of passing the qualifying examination along with its copy.
- (c) The Migration Certificate from the Statutory University from where she is migrating.
- (d) Attested copy of marriage certificate (in case of name change)

RECOGNITION OF M.Phil. / Ph.D. GUIDE

The eligibility criteria for recognition of M.Phil/Ph.D guide are as follows:

1. The following faculty members who themselves have a Ph. D. degree and Master Degree in the same discipline will be treated automatically as Ph. D. Guide.
 - a. Professor in University departments (By selection/under CAS)
 - b. Associate Professor in University departments (By selection/under CAS)
 - c. Librarian of the University with Ph.D. who is also Head of the University department of Library and Information Science.
2. The following members can apply to the University in prescribed proforma along with the prescribed fee for recognition as Ph D Guide three years **after** acquiring Ph.D. degree in the concerned subject
 - a. Principal with Ph.D. who is recognized as a PG Teacher
 - b. Three years full time teaching experience at PG level or 10 years full time teaching experience at Undergraduate level and recognized as PG Teacher
 - c. University Deputy Librarians and College librarians with Ph.D. degree in the concerned subject with 10 years experience.
 - d. Eminent scholars/Artists who have made path breaking contributions including construction of knowledge in their respective fields.
 - e. A person with Ph.D. degree working at the level of senior research fellow for a period of 10 years in a reputed national or a regional research institute/ industry
3. **The eminent scholars / senior research fellows who are highly qualified with at least 10 years of standing in the field, but may be without required teaching experience as identified by HOD's / faculty members be recognized as Ph.D. Guides after the prescribed procedure is followed. (A.C. Reso. No.9 dt. 19.11.2014 & 1.12.2014)**

Criteria for granting recognition as Guide

The RRC will consider the following criteria before granting recognition as M.Phil/Ph.D. guide. In addition to the teaching experience they will be required to fulfill the following criteria.

- a. At least 5 publications in peer reviewed / refereed journals or books (Edited or authored other than text books). **All the 5 articles (which is the minimum requirement for guideship) should be research articles and 02 waivers for major research and 01 waiver of minor research be given.** Waiver may be admissible for any two of the following-research project with a minimum budget of Rs. 3 lakhs- (1), Two minor research projects with less than Rs. 3 lakhs budget (1), (research projects of UGC, ICSSR and other national and international organizations) Chapters in books with ISBN number (1) or paper published in national/ international Conference proceedings.
- b. Research publications such as Ph.D. thesis or any other dissertation at the University level shall not be considered as requisite publication for the purpose of recognition as a guide.

- c. The decision of RRC about the quality of publications to determine their acceptability will be final.
- d. After getting recognition as P.G. Teacher, he / she should have at least three years teaching experience at Masters level at our University or in any other Recognised University / Developed SLM for P.G. or worked as councilor for PCP Programme for Master Degrees offered by Distance Education Centre of Universities or Open Universities, (Activities related to teaching at Master Degree Programme), guiding Masters students.**
- e. After every 5 years, review of performance of guide be done in which number of publications and studies undertaken be considered.**

Other guidelines

- a. All the guides from the University departments and its institutions where Ph.D. programmes are initiated will be "Internal Guides". After retirement, the guide automatically becomes an 'external guide'
- b. Guides from conducted and affiliated colleges as well as recognized institutions will be "External Guides".
- c. Senior research scholars/fellows and eminent scholars will be "Invited Guides".
- d. Recognized guides of the University departments can guide maximum five M.Phil. and eight Ph.D. scholars at any given time. The reservation policy will be applicable as per the Government directives.
- e. The external and invited guides shall be entitled to guide maximum two M.Phil./Ph.D. scholars.

The External and invited Guides of University Departments and Recognized Institutions shall be entitled to guide maximum four M.Phil./Ph.D. Scholars and Guides from outside University shall be entitled for maximum two students(A.C.Reso.No.25 dt.22.4.2014).

If a guide is not available for more than 1 year (consecutive terms) to Ph.D. Scholars for guidance, his / her guideship be withdrawn. Head of the Department should inform RRC about the same. (Six monthly reports of Ph.D. Scholars may be reviewed). (A.C. Reso. No. 6 dt. 19.11.2014 & 1.12.2014)

- f. The recognized guides of the University can register the scholars for Ph.D. guidance up to the age of 65 years.
- g. The recognized guides may continue to guide Ph.D. scholars upto the age of 70 years.

Rules for Co-Guide System:

1. The "Principal Guide" shall be from the University Department University Institution, while the co-guide can be from:
 - a. The same University Department/University
 - b. Any other Department of the University.
 - c. Outside organization.

- d. The guide should have no objection for the co-guide.
2. The primary responsibility for proper conduct of research work shall rest with the principal guide.
3. The Principal guide shall be solely responsible for all the administrative and academic duties. The academic responsibilities may be shared as mutually decided by the principal guide and co-guide.
4. Director BCUD shall intimate to the Principal guide and Co-guide about allotment of scholar along with a soft copy of the Ph.D. rules.
5. The dissertation/thesis when completed shall be certified and duly signed by both the principal guide and co-guide.
6. At the Viva-Voce Examination, the presence of the co-guide may not be essential. However, the co-guide must be informed about the Viva-Voce Examination and be invited to attend.
7. There shall not be more than one co-guide for a Ph.D. research at any given time.
8. The principal guide will be solely responsible for the entire course work of the scholar.

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

- Title Page : (In capital letters)

TITLE OF THE THESIS /DISSERTATION

NAME OF THE SCHOLAR

NAME OF THE GUIDE

NAME AND ADDRESS OF THE DEPARTMENT

YEAR OF SUBMISSION OF THE THESIS

- The title page should be included inside the thesis also. It will not have any page number.
- Declaration of the scholar with the signature of the scholar and the guide (Draft attached).
- Acknowledgement
- Contents

Chapters	Page Nos.
Index (if any)	i
1. Chapter title	1
1.1 Section	2
Appendices	

List of Tables

List of Graphs

List of Figures

List of abbreviations

Bibliography (inclusive of references in the text)

- Thesis / dissertation should be typed with 12 font and 1.5 spacing, Times New Roman on A4 size white bond paper.
- Title page will not have any page number. From the Declaration till the Chapter no. 1 page numbers should be in small roman numbers.
- Details of papers published based on the Ph. D. research should be included before the content page.
- First chapter will begin with page no. 1
- Each chapter will begin on a new page.
- The titles of the chapters will be in capital letters.
- The titles of the tables, graphs and figures will be in capital letters.
- The numbers of the tables, graphs and figures should contain the chapter number and the number of the table e.g.

TABLE 1.1: TITLE OF THE TABLE

- The references must be listed using any acceptable style of bibliography.
- Appendices will be included after the bibliography.
- Bibliography will be given at the end of the thesis.
- A standard format should be followed for the references and the bibliography as it is prevalent in the respective discipline.
- Thesis should be hard bound (and not spiral bound). Embossing on the thesis should be in gold.
- At the side of the bound thesis in gold embossing following will appear:

Degree

Name of the Scholar

Year of submission of the thesis