University of Mumbai

REGULATIONS for Ph.D.

(w.e.f. 1st January, 2026)

Research Administration and Promotion Cell
University of Mumbai-400098

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Research Administration and Promotion Cell
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REGULATIONS RELATING TO THE DEGREE OF

DOCTOR OF PHILOSOPHY (Ph.D.)

Preamble

Regulations Relating to the Degree of Doctor of Philosophy (Ph.D.) are intended to be regulatory, that will enhance research culture and practice in the University of Mumbai.

Ph.D. is the highest academic degree earned by an individual on the basis of submission and evaluation of original research work. The degree holder will be subsequently admitted to the community of scholars in the discipline. The Ph.D. degree is conferred primarily in recognition of breadth of scholarship, depth of research, and capability to investigate a problem independently and efficiently. The objectives of the Ph.D. programme are to create new knowledge, to expose the scholar to the enterprise of research; and to train the scholar to become an independent and competent researcher and problem solver in the chosen domain.

In light of this, the Doctoral Programme should be such as to impart training in rigorous research, creative thinking, domain skills, analysis of data, reviewing of past and contemporary research in the field, effective communication / dissemination of the research to scholarly as well as lay audiences, identifying relevant problems in the chosen domain that are of more than merely academic significance and, most crucially, to commit to the highest ethical standards through the entire process. The role of the research supervisor is a key element in the success of such an endeavour, and if the supervisor is incapable or overloaded, or succumbs to pressures or lures of any kind, the whole enterprise of research may fail.

Ph.D. is a time-bound programme that calls for rigorous time-management on behalf of the research scholar and the supervisor. The UGC has stipulated that the programme requires a minimum of three years of full-time study. However, often more time is needed. Hence, robust system of monitoring of the performance of the research scholar and the progress of research should be in place. Broad year- specific objectives would help the researcher manage the pace and time of research.

The final thesis and the viva voce, subjected to rigorous and fair evaluation will be the final testaments to the value and integrity of the entire research journey, its respect for truth and the research enterprise, and its contribution to the body of human knowledge.

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These Regulations are expected to help the research scholars and the research supervisors to rationalize and efficiently organize the research process, in a time-bound manner.

References / Important Documents

(1) University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations 2022, notification in the Gazette of India on 7th November 2022 (Kartik 16, 1944), in supersession of the earlier UGC (Minimum Standards and Procedure for Award of M.Phil. / Ph.D. Degrees) Regulations, 2016.

(2) Provisions of Section 75 of the Maharashtra Public Universities Act 2016, relating to the framing of the Regulations prescribing the conditions under which students shall be admitted to courses of study for academic distinctions.

(3) University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Education Institutions) Regulations - 2018; in the Gazette of India, dated 23rd July, 2018.

(4) University Grants Commission Regulations on minimum qualifications for appointment of teachers and other academic staff in Universities and colleges and measures for the maintenance of standards in higher education, 2018, dated 18th July 2018.

(5) UoM's re-promulgated VCD / 947 of 2018 dated 15th Dec, 2018

Short title, application and commencement

(1) These Regulations may be called **"Regulations relating to the Degree of Doctor of Philosophy (Ph.D. Degree)".**

(2) The Regulations shall be applicable to all the University Departments, Affiliated Colleges, Recognized Institutions and Conducted Colleges of the University of Mumbai, including the Colleges / University Departments / Institutes that are Autonomous or Empowered Autonomous as per the University / UGC rules; and to all the Faculties of the University and shall supersede all respective Ordinances, Regulations and Rules framed earlier by the University in this matter.

(3) These Regulations shall come into force immediately from the date of their promulgation.

(4) Application to earlier cases as per provisions of the concerned VCD/ 947 of 2018 and / or earlier Ordinances, Regulations, Rules, Guidelies, Circulars etc. prevailing at that time.

Definitions

In these Regulations, unless the context otherwise requires -

1) "Act' Means the Maharashtra Public Universities Act, 2016;

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2) "Academic Integrity" means the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property.

3) "Admission" means the admission to the Ph.D. programme taken at the University Department / Recognized Ph. D. Centre by completing the stipulated procedure and paying the prescribed fees at the University Department or the research Centre prior to the submission of the Research proposal to the university;

4) "Author" means a research scholar, research supervisor, teacher, researcher or staff in the research centre who claims to be the creator of the work under consideration;

5) "Autonomous College / Institution" means an affiliated or conducted college or Institute which has been granted autonomy as per the UGC / University rules;

6) "Autonomous University Department" means a Department of University of Mumbai which has been granted autonomy as per the University rules;

7) "BoEE" means Board of Examinations and Evaluation of University of Mumbai;

"BoD" means Board of Deans of University of Mumbai.

8) "Candidate" means a person seeking admission to the Ph.D. programme; or a person who is appearing at any examination and / or awaiting results; or a person who has submitted his synopsis of thesis or submitted his thesis for evaluation;

9) "Code" means the code of conduct of research of the University of Mumbai;

10) "Common Knowledge" means a well known fact, quote, figure or information that is known to most of the people;

11) "Degree" means any such degree specified by the University Grants Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act,1956;

12) "Departmental Academic Integrity Panel" shall mean the body constituted at the departmental level to investigate allegations of plagiarism as per the UGC circular;

13) "Empowered Autonomous College" means an affiliated or conducted college which has been granted Empowered Autonomous status as per the Act, UGC rules and University rules;

14) "Faculty" refers to a person who is teaching and / or guiding students enrolled in an HEI in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visiting etc;

15) "Family member" means spouse or close relation such as parent, sibling, child, including step relation and adopted child;

16) "Head of Centre" means the Head of University Department / Recognized Ph. D. Centre where the Ph.D. programme is conducted;

17) "Higher Educational Institution (HEI)" means the University of Mumbai or an affiliated college or recognized institute or a constituent unit of the University of Mumbai, including those which have been granted autonomous status;

18) "Institutional Academic Integrity Panel" (as per UGC regualtions) shall mean the body constituted at Institutional level to consider recommendations of the Departmental Academic Integrity Panel and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;

19) "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer generated microfiche;

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20) "Notification" means a UGC Notification published in the Official Gazette and the expression "notify" with its cognate meanings and grammatical variation shall be construe accordingly;

21) "PET" means the Pre-Entrance Test conducted by the University of Mumbai for the admissions to the Ph.D. programmes of the University;

22) "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own;

23) "programme" means a course or a programme of study leading to the award of a degree or diploma of the University;

24) "Recognized" means recognized by the appropriate Statutory / Regulatory Authority / University;

25) "Research Centre" or "Centre" means the University Department / Affiliated College / Recognized Institute / Conducted College, including the respective Autonomous and Empowered Autonomous Colleges / Institutes / Department, which is recognized by the University to conduct the Ph.D.programme/s;

26) Research Advisory Committee or "RAC" means the Research Advisory Committee constituted for the Ph.D. Scholar/s at the given research centre as per the guidelines of the regulatory authorities like UGC and the University of Mumbai etc.

27) "Research and Recognition Committee" or "RRC" means Research and Recognition Committee of the University of Mumbai;

28) "Research Scholar" or "Scholar" mean a person admitted to the Ph.D. programme;

29) "Research Supervisor" or "Supervisor" means the person recognized by the University for guiding students for a Ph.D. programme of the University;

30) "Researcher" refers to any person involved in conducting research at the research centre; such as research supervisor / co-supervisor, research staff, person involved in research, research student, and an external collaborator;

31) "Research Information", or "Information" includes data, message, text, images, sound, voice, codes, computer programs, software, and databases or microfilm or computer generated microfiche;

32) "Research publication", "script", or "research document" means any medium used to publish the research work, such as research paper, patent, article, assignment, review, monograph, book chapter, full-fledged book, thesis, dissertation, project report, software, databases, creative art and any such work submitted for assessment / opinion leading to the award of degree or publication in print or electronic media by any student, teacher, or staff of a research centre;

Explanation: This shall however exclude answer scripts submitted in response to a question paper set by the centre / University.

33) "Source" means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text; Information being given the same meaning as defined under the relavent Information Technology Act.

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34) "Staff" refers to all non-teaching staff working in Institution of Higher Education in any capacity whatsoever in-charge, regular, seasonal etc.

35) "Student" means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode);

36) "Teacher" refers to a person who is teaching and / or guiding students enrolled in an Institution of Higher Education in any capacity whatsoever i.e. regular, ad-hoc, guest, contractual, visiting etc;

37) "UGC" means the University Grants Commission as defined in the University Grants Commission Act,1956;

38) "University" means University of Mumbai (UoM);

39) "Year" means the academic year defined so for Ph.D. degree by the respective Ordinance / Regulation.

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R.PhD.1 - Ph.D. Program

(1) The Doctor of Philosophy (Ph.D.) degree is the highest formal academic degree awarded by the University and shall not be conferred as an ad eundem degree.

(2) The Programmes of Ph.D. in the University shall be in the Subjects in the Faculties as prescribed by University.

(3) Not withstanding anything contained in these Regulations, or any Rules or Regulations, for the time being in force, the Ph.D. Programmes shall be through Regular Mode only and shall not be conducted through distance education mode; Ph.D. degree will be treated as degree awarded through Regular Mode, if it is pursued in conformity with the Statutes / Ordinances / Regulations etc of the University of Mumbai.

(4) Award of the qualifying degree shall be a condition precedent to the submission of the synopsis of the thesis for the Ph.D.degree. For a student, the qualifying degree should be conferred before the submission of the synopsis.

(5) It is mandatory that all information regarding the admissions to Ph.D. programme shall be displayed on the web sites well in advance. For University Departments, It will be displayed on the University website and also on the respective notice boards. For colleges and research Institutions, it shall be displayed on their websites, notice boards, and information brochure.

(6) If the Ph.D. degree is awarded by a Foreign University, the University while considering such a degree shall refer the issue to equivalence committee of the University.

R.PhD.2 - Eligibility for Admission to Ph.D. program

1) Candidates who have completed

(i) A 1- year / 2 – semester master's degree programme after a 4-year / 8-semester bachelor's degree programme or a 2-year / 4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks or an equivalent grade where grades are awarded, provided a five percent relaxation from 55% to 50% may be allowed for applicants belonging to SC / ST / OBC (non-creamy layer) / Differently abled, Economically Weaker Sections (EWS) and other categories as per the decision of the UGC from time to time.

OR

(ii) A candidate seeking admission after a 4-year / 8-semester bachelor's degree programme (Honour's Degree with Research) should have a minimum of 75% marks in aggregate or an equivalent grade where grades are awarded, provided a five percent relaxation from 75% to 70% may be allowed for applicants belonging to SC / ST / OBC (non-creamy layer) / Differently abled, Economically Weaker Sections (EWS) and other categories as per the decision of the UGC from time to time.

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OR

(iii) Equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to access, accredit or assure quality and standards of the educational institution.

Provided a five percent relaxation from 55% to 50% may be allowed for applicants belonging to SC / ST / OBC (non-creamy layer) / Differently abled, Economically Weaker Sections (EWS) and other categories as per the decision of the UGC from time to time.

OR

(iv) A Candidate who has completed the M.Phil. degree or its equivalent with at least 55% marks in aggregate or its equivalent grade in the point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to access, accredit or assure quality and standards of the educational institution and successfully completed the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph.D. Degree; provided the M.Phil. admission is through relevant norms. A relaxation of 5% of marks or its equivalent grade, shall be allowed for those belonging to SC / ST / OBC (non-creamy layer) / Differently abled, Economically Weaker Sections (EWS) and other categories as per the decision of the UGC from time to time.

OR

(v) A candidate possessing PhD. Degree of UoM or any other recognized university, as per the guidelines of the UGC from time to time, in a given subject and who wants to pursue Ph.D. in the same or other subject.

OR

(vi) For the purpose of admission to the Ph.D. programme in the faculty of Commerce and Management Studies the eligibility criteria shall be-

Master degree in commerce / Management Studies (M.Com. / MMS / MBA) of two years programme or three years Programs, or any other equivalent programs from the UoM or any other recognized University / Institute;

OR

(vii) Graduation in any faculty from the UoM or any recognized University / Institute and possessing recognized CA / CS / ICWA qualification with requisite qualifying marks or it's equivalent grade. CA/CS/ICWA qualification be considered equivalent to PG (Masters') Degree as per UGC's Public Notice D.O.No. 9-35/2016 (CPP-II) dated 15th April, 2021.

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2) For the purpose of admission to the PhD programme the qualifying degree can be through distance mode from a recognized University.

3) For the admission to the Ph.D. degree, the percentage of Marks (or grades) shall be calculated on the basis of total marks (or grades) mentioned in the statement of marks issued to the candidate by the University, even if the candidate has passed the said examination in multiple attempts.

4) Any foreign qualification which is recognized by the UGC or Central Competent Authority of India equivalent to Master qualification shall be treated as recognized for the purpose of admission through the procedure detailed herein.

5) Not withstanding anything contained above, conditions regarding qualifying marks and / or grade as may be applicable must be satisfied.

6) Dual degree program is not allowed to be pursued simultaneously along with Ph.D. program as per the 'UGC guidelines for Pursuing Two Academic Programmes Simultaneously' of April, 2025.

R.PhD.3 - Duration of the Ph.D.programme

(1) Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission at the Research Centre to the Ph.D. programme.

(2) A maximum of an additional two (2) years can be given through a process of re-registration as per procedure defined by the UoM and by paying the requisite fees for re-registration;

provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme. To avail of this extension of additional 2 years after completion of 6 years of admission, the research scholar shall submit the application to the university to be placed before RRC, giving justification for the extension, in the prescribed format through the Research Supervisor and the Head of Research Centre, at least three months prior to the expiry of the period of six years from the date of admission.

Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years again by re-registration by paying the requisite fees. However, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme. To avail of this extension, the research scholar shall submit the application to the university to be placed before RRC, giving justification for the extension, in the prescribed format through the Research Supervisor and the Head of Research Centre, at least three months prior to the expiry of the period of EIGHT years from the date of admission at Research Centre.

(3) Female Ph.D. Scholars may be provided Maternity Leave / Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

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(4) Duration of the Ph.D. programme shall be the period from the date of admission at the research centre to the programme by paying the prescribe fees to the date of submission of final thesis for the degree.

Provided that for Research Scholar whose admission is prior to 15th June 2018 (i.e. promulgation of the VCD / 947 of 2018) but Registration in University is after 15th June 2018, the maximum prescribed limit for such cases be counted from the date of Registration in the University.

(5) The RAC, while recommending for such extensions mentioned above, shall check the satisfactory progress of the research scholar through the regular six monthly progress reports of the RAC and the genuineness of the request. The Research Supervisor and the RAC shall not recommend any such case where even the preliminary work has not been done.

(6) No research scholar shall be permitted to extend the duration of Ph.D. programme beyond eight years from the date of admission, including any leave or a period of relief granted during the tenure, and after this period the registration of the scholar shall be deemed to have automatically ceased / cancelled / terminated;

Provided further that in the case of women candidates and persons with disability (more than 40% disability) pursuing Ph.D., the need based special concessions given in sub-clause (2) above shall be in addition to the maximum limit of TEN years; and after this period the registration of the scholar shall be deemed to have automatically ceased / cancelled / terminated.

Provided further that the extended duration of the program of eight years and ten years respectively will be counted from date of registration for those Research Scholars who have been admitted in the Research Centre prior to 15th June, 2018 (the issuance of VCD / 947 of 2018) but are registered in the University after 15th June, 2018.

(7) Whenever any extension to the duration of the programme is not granted under the rules, and the scholar crosses the stipulated duration of the programme, the centre shall initiate the process of cancellation / termination of the registration by first issuing a notice stating the period by which the scholar has to submit the explanation. The explanation will be placed before the RAC concerned and the recommendations of the RAC shall be forwarded to the University for suitable action.

(8) For the Ph.D. done in an integrated manner, the duration of Ph.D. shall be as per these regulations.

(9) The research scholar whose registration has been ceased / cancelled / terminated may be allowed to admit as a fresh research scholar by following all the due existing procedure required for fresh Ph.D. admission.

R.PhD.4 - Procedure for admission to the Ph.D.Programme

(1) Admission of the eligible candidates to the Ph.D. programme shall be as per the

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relevant UGC Regulations as may be applicable from time to time.

(2) The admission shall be based on the criteria notified by the University, keeping in view the guidelines / norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central / State Government prescribed from time to time.

R.PhD. 5 - Conduction of PET

(1) The University may conduct the PET only for the subjects where the UGC or State Governement of Maharashtra do not conduct the NET / SET / GATE / GPAT etc

(2) . Eligibility for appearing for PET is same as mentioned in these regulations. University may conduct PET only in the subject notified by the University.

(3) The PET shall be conducted subject-wise for pre-declared subjects for Ph.D. admissions.The details of the test such as syllabus, format, day and date, venue and time, etc., shall be declared by the University well in advance in its notification.

(4) The University may conduct the PET only for the subjects where there are available seats to be filled.

(5) The PET shall be conducted at the centre(s) to be notified by the University.

(6) The PET shall be qualifying with qualifying marks as 50%. Relaxation of 5% of marks, i.e. from 50% to 45% shall be allowed for the candidates belonging to reserved categories / Differently-Abled and other categories as per policies of the Government of Maharashtra prescribed from time to time.

(7) The validity of the PET result for taking admission to the Ph.D. programme shall be ordinarily for one year from the date of declaration of the respective PET result. The validity of the qualifying entrance test (PET or otherwise) be considered valid at the time when the candidate applies at the Research Centre for the Ph.D. admission.

(8) PET certificates shall be issued by the University.

(9) No request for Revaluation and Photo Copy of the PET answer-scripts shall be entertained.

R.PhD. 6 - Exemption from PET

The following candidates shall be exempted from the PET and shall appear only at the interviews to be conducted at the research centres:

(i) Candidates qualified in UGC-NET (including JRF) / UGC-CSIR NET (including JRF) / SLET / GATE examinations conducted by national regulatory bodies like CSIR / UGC / ICAR / ICMR / DBT / DST / ICSSR with valid score;

(ii) INSPIRE fellowship awardees / Teacher fellowship awardees / Full Bright Scholarship awardees etc. under any programme of the national regulatory body like CSIR / UGC / ICAR / ICMR / DBT / DST / ICSSR / AICTE / PCI / BCI etc. (within validity period if any).

(iii) Candidates, who have passed M.Phil. Programme of UoM or any other recognized University / Institution in India;

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provided that the M.Phil. is as per the UGC guidelines,

(iv) Ph.D. degree holders of the UoM or any other recognized Universities / Institutes desiring to pursue Ph.D. at the UoM;

provided that such candidates have acquired earlier Ph.D. degree as per the relevant UGC regulations 2009 onwards;

(v) Candidates sponsored under MoU between the University of Mumbai and any other university in India or any foreign university, with a specific provision in the MoU for registration of the candidate for Ph.D. degree by the UoM; provided that they fulfil the respective criteria of eligibility.

(vi) Candidates selected under international / cultural / educational exchange programmes approved by the authorities / bodies of Government of India / Government of Maharashtra / UoM; provided that they fulfil the respective criteria of eligibility.

(vii) A Ph.D degree holder of this or any other UGC recognised university desiring to pursue Ph.D in any other subject or Faculty, provided that the respective regulation regarding change of subject or Faculty is applicable.

(viii) An M.Phil degree holder of this university or any other UGC recognised university, such that the M. Phil degree is not obtained through a distance learning mode.

(ix) The candidates who are foreign nationals and selected under any Government / University approved programmes for research leading to Ph.D. degree and have secured fellowship with research grant for doing Ph.D. under such a programme shall be exempted from appearing at Qualifying Entrance Test (PET or otherwise).

(x) Notwithstanding anything mentioned above, the total number of seats reserved for candidates exempted from appearing for Qualifying Entrance Test (PET or otherwise) for any reason shall not be more than 40%.

R.PhD.7 - Rules for research centres for admission to Ph.D. programme after NET / SET / PET / GATE / GPAT etc.

(1) Interviews of the candidates who have applied for admission to the research centre shall be be organized not more than twice in a given academic year (preferably after results of NET / SET / PET / GATE / GPAT etc.) after providing the information about the details of vacant seats in public domain such as website / notice boards etc. of the research centre.

The period of inviting applications should be preferably 10 days (but not more that 15 days) from the starting date of inviting applications.

(2) The Centre shall compile all such applications and after due verification of the documents shall invite the candidates for interviews, preferably within one month, from the last day of inviting applications. The intimation of interview date should reach the candidate at least one week in advance.

(3) The interviews shall be organized by the research centres where the candidates are required to discuss their research interest / area through a presentation before a duly constituted Department Research Committee (DRC).

(4) The Head of Research Centre shall constitute subject-wise Department Research Committees. The constitution of the Department Research Committee shall be as follows:

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(i) Head / Principal / Director of the Research Centre -Chairperson;
(ii) Two experts in the subject from outside the Research Centre nominated by the Head of the University department / research centre
(iii) One University / College teacher who is a Ph.D. holder and not below the rank of Associate Professor from the subject / discipline / faculty concerned, and belonging to the reserved categories
(iv) The recognized Research Supervisors from the concerned subject / discipline and who wish to admit the students for Ph.D. degree in that academic year / interview cycle. This is a mandatory condition.

(5) The interview shall also consider the following aspects, whether-
(i) the candidate possesses the competence for the proposed research;
(ii) the research work can be suitably undertaken at the centre;
(iii) the proposed area of research can contribute to new / additional knowledge.

(6) The merit list of the selected candidates along with the Research Supervisor allocated to each selected candidate shall be displayed on the notice board and website within one week after the interview is conducted with signatures of all the members of the Departmental Research Committee.

(7) Research Centre shall submit the reports of the selection procedure including copies of all the relevant documents to the University within 15 (Fifteen) days from the date of conduct of the interviews.

(8) For candidate who desires to pursue Ph.D. in a subject in a same faculty or a subject in different faculty other than the subject in which the candidate has completed Master's degree, then the Research Centre will conduct need based aptitude test of the candidate in the subject in which the candidate desires to pursue Ph.D. before admitting the candidate for interview. The Research Centre will also furnish an aptitude test certificate to that effect.

(9) The entire process of admission from the starting date of inviting the applications to confirmation of admission of selected candidates by paying the prescribed fees (including admission of waiting list students, if any) should be completed preferably in ten weeks.

R.PhD.8 - Allocation of Research Supervisor

(1) The allocation of Research Supervisor for the selected research scholar shall be decided by the Head of Research Centre in consultation with the DRC, depending on the number of scholars per Research Supervisor, the available specializations among the Research Supervisors, and the research interest of the scholar as indicated by the candidate at the time of interview, the facilities available and the due regard to the reservation policy.

(2) In case of topics which are of inter-disciplinary nature, where the Research Supervisor and the Head of Department feel that the expertise in the Department has to be supplemented from outside, the Head of Centre may appoint a Co-Supervisor from outside the Department / Faculty / College / Institute / university, with approval of the Research Advisory Committee and RRC, as per the prescribed norms, on such terms and conditions as may be specified and agreed upon by the consenting Institute / Centre only after the approval of the topic by the RRC and Research Scholar has registered for Ph.D. in

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University office.

(3) At any given point of time,

(a) A Professor cannot guide more than eight (8) Ph.D. research scholars;
(b) An Associate Professor cannot guide more than six (6) Ph.D. research scholars;
(c) An Assistant Professor cannot guide more than four (4) Ph.D. research scholars.

Provided that the numbers specified above include the Research Scholars admitted for one or more subjects for which the supervisor is recognized and under different schemes;

provided further that a scholar who has submitted the thesis shall not be considered in this limit;

provided further that the scholars whose registrations have been transferred to the Supervisor and / or to the Research Centre by the University Authorities under any special circumstances shall not be considered in this maximum limit for the Research Supervisor and / or the Research Centre, after prior permission from RRC and Board of Deans.

(4) In case of relocation of Ph.D. female scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the Research Scholar intends to relocate, provided that all the other respective conditions are followed in letter and spirit and the research work does not pertain to the project secured by the University / Institute or the Research Supervisor from any funding agency. The Research Scholar will however give due credit to the previous Research Supervisor and the previous Research Centre for the part of research already done.

(5) The Research Supervisors shall not be permitted to admit / register their own immediate family member for Ph.D. degree under own supervision / guidance and to this effect shall furnish a declaration in the prescribed format provided in the application form for the admission.

R.PhD.9 - Admission to the Ph.D.programme

(1) All admissions to Ph.D. programme at the research centre shall strictly follow the reservation policy of Central / State Government for admission applicable in the university for all its academic programmes at the given time.
(2) Reservation policy regarding Ph.D. shall be subject specific and guide specific at the research centre.
(3) The candidate who has been selected through interview after following the due procedure shall be eligible to take admission to the Ph.D. programme at the respective Research Centre within 15 days after intimation of selection is received, as per the stipulated provisions by paying the prescribed fees (either in full or part payment).

(4) For the purpose of admission to the Ph.D. programme the subject and the faculty of the qualifying examination of the candidate shall be considered.

(5) The candidate with prescribed qualification and clearing the selection procedure by taking the NET / SET / PET or other qualifying entrance test in the subject in which the candidate intends to take admission to the Ph.D. Programme.

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(6) The Research Centre shall publish the list of candidates selected for the admission. A waiting list may also be prepared, which may be valid for the current admission cycle and there will Not be spill over of the waiting list for the next admission cycle / academic year.

(7) The Research Centre shall submit to the University, in the prescribed format, about the details of each research scholar admitted to the Ph.D.programme.

(8) The selected candidate shall complete the formalities of admission at the Research Centre by paying the fees prescribed by the Research Centre / University from time to time. The same shall be deemed to be the confirmation of admission of the candidate to the PhD programme.

(9) The payment of fees shall be semester-wise / year-wise, as defined by the Research Centre / University.

R.PhD. 10 - Research Advisory Committee (RAC) for Ph.D. scholars

(1) There shall be a Research Advisory Committee (RAC) for each Ph.D. scholar admitted, which shall be constituted by the Head of Research Centre immediately after the admission of the scholar, within three months of the admission.

(2) The RAC shall have the following composition –

(i) Head of the Research Centre or nominee – Chairperson;
(ii) Research Supervisor and Co-Supervisor (if any);
(iii) At least One external expert (outside the Research Centre) from the same subject / field, preferably a PhD holder in the concerned field – Nominated by the Head of Research Centre. The external expert should not be presently related to Research Centre in any capacity.

(3) The Research Advisory Committee shall have the following responsibilities:

(i) to review the research proposal and finalize the topic of research;
(ii) to guide the research scholar to develop the study design and methodology of research and identify the course(s) that may have to be completed;
(iii) to periodically review and assist in the progress of the research work of the research scholar.
(iv) to report to the authority concerned about the progress of the scholar

(4) The members of the RAC shall maintain confidentiality of any information related to the research topic they get as members of the RAC, in order to protect the related IPR of the research scholar and the research supervisor. The RAC report will have the disclaimer of confidentiality of the research topic and data.

(5) The research scholar shall submit a six-monthly progress report of research work to the RAC through Research Supervisor.

(6) A research scholar shall appear before the RAC once in six months to make a

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presentation of the progress of Research work for evaluation and further guidance. The RAC should conduct a mid-term assessment of the research work after two years. The six-monthly RAC reports with suggestions and remarks shall be submitted by the Research Supervisor to the Head of the Research Centre, with a copy to the research scholar.

(7) In case of any suggestions given by the RAC for improvement of the work, the Research scholar may make the changes accordingly in consultation with the Research Supervisor.

(8) While granting the annual re-admission (continuation) to the scholar, the reports of the RAC shall be considered.

(9) In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the student fails to implement these measures, the RAC may recommend to the Head of the Research Centre, with specific reasons suitable action which may even include, cancellation / termination of the registration of the research scholar.

(10) The RAC may recommend to the Head of Research Centre, with specific reasons suitable action which may even include, cancellation / termination of the registration of the research scholar who has –

(i) failed to submit three consecutive six-monthly reports or
(ii) failed to make presentations before the committee in a period of two years;

provided that the committee has given a fair opportunity to the scholar to explain the case.

(11) Submission of six-monthly RAC reports are mandatory for Research scholar / Research Supervisor till submission of final synopsis. Each of the RAC report must have the signatures of all the members of RAC including at least one outside external expert in the subject.

R.PhD.11 - Approval of Research Proposal

(1) The Research Scholar, in consultation with the Research Supervisor and RAC, shall decide the topic of research and shall write a suitable research proposal in the format prescribed.

(2) The scholar shall submit THREE hard copies and subsequently a soft copy (through Research Supervisor) of research proposal.

(3) The proposal may be submitted any time after the admission, but within one year from the date of admission.

Provided that for any delay beyond one year, the proposal shall be accompanied by an application by the Supervisor, forwarded through the respective Head of the Research Centre, giving reasons for the delay.

(4) The Research Scholar must complete the Research methodology component thoroughly of course work before submitting the Proposal for Topic Approval.

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(5) The research proposal shall be placed before the respective Research and Recognition Committee (RRC) for topic approval. The RRC may approve the topic and the Research proposal or it may approve the proposal with the suggested modifications, provided that such changes are accepted and duly made in the research proposal by the research scholar in consultation with the supervisor and / or RAC, and the revised Research proposal shall be submitted to the University office after due approval of RRC member.

(6) If the suggestions made by the RRC are not acceptable to the research scholar and / or the research supervisor and that they have sufficient justification for not accepting the RRC recommendations, an appeal may be made by the research scholar through supervisor for the same to be placed before the RRC and subsequently to the Board of Deans if required.

(7) If the RRC does not approve the proposal outright by providing reasons for the same, the Research Scholar can consult the RAC and the Supervisor and can submit a revised proposal as fresh application with prescribed fee and all relevant documents to be placed before the next RRC meeting for approval.

(8) Modification of title / research proposal:

If a research scholar desires to modify the title of the thesis and / or research proposal any time after the approval, it may do so by applying at least six months before the date of submission of synopsis, with recommendations of the RAC, Research Supervisor, and the Head of Research Centre. Such a request shall be considered as per the following conditions.

(a) if there are minor changes in the title, but not in the proposal, and the RAC has approved the changes, the RRC may permit such a changes;

(b) If the changes in the proposal are in the same domain as proposed earlier, and the RAC has approved the changes, the proposal be scrutinized and amy be approved by the respective RRC;

(c) If the changes proposed are drastic, crossing the domain proposed earlier, major than the earlier submitted proposal and is approved by the RAC, the proposal may be accepted by the RRC as a fresh proposal. However, the scholar has to put in a minimum of two years after such approval in RRC meeting, before submitting the final thesis.

(d) If such a proposal is rejected by the RRC, the conditions stipulated for fresh proposal shall apply.

(9) If a Research Scholar is seeking admission to Ph.D. programme in subject other than the subject in which the Research Scholar has completed the Master degree then the Research proposal submitted by such a Research Scholar will be forwarded to two external experts (in the subject) not connected to UoM for evaluation of the Research proposal if both the external experts submit positive reports then the Research Scholar be permitted for registration in the University.

R.PhD.12 - Registration of Ph.D.scholar

(1) The registration for the Ph.D. degree shall be initiated after the approval of the research proposal by the RRC.

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(2) The research scholar shall apply to the University for the Registration in the prescribed format, along with the prescribed registration fee and the required documents.

(3) If the research scholar has obtained Master's degree from a University other than the UoM, an eligibility certificate should be produced at the time of registration;

(4) The registration shall be effective from the date of the payment of the registration fees provided all the required conditions at the time of registration are satisfied. The minimum duration of the Ph.D. program is 3 years as defined with minimum one year after registration for submission of final thesis.

(5) The University shall maintain the list of all the Ph.D. registered research scholars on year-wise basis, in the prescribed format. The list shall include the names of the registered scholars, topics of their research, name of their supervisors / co-supervisors, dates of admission / enrolment / registration.

R.PhD.13 - Course Work for Ph.D.

(1) Every research scholar admitted to the Ph.D. programme shall complete a course work as stipulated, preferably within the initial one or two semesters after taking admission, but definitely before submission of final synopsis.

(2) The Ph.D. course work shall be of a minimum of 12 credits (180 hours); as per the credit system approved by the UoM.

(3) All the courses prescribed for the Ph.D. course work shall be in conformity with the credit hour instructional requirement; and their contents and instructional and assessment methods shall be specified / approved by the respective Board of Studies.

(4) The Department / Research Centre where the research scholar pursues research shall prescribe the courses based on the recommendation of the RAC.

(5) The course work shall be treated as prerequisite for Ph.D. degree for submission of Synopsis unless and otherwise exempted and shall be undertaken after securing admission to the Ph.D. programme.

(6) A minimum of four credits shall be assigned to one or more courses on Research Methodology, which could cover areas such as quantitative methods, qualitative methods, appropriate statistical methods, computer applications, research ethics, review of published research in the relevant field, training, field work, etc. These courses shall be tailored to meet the requirements of individual subjects. Other courses shall be advanced level courses preparing the scholar for the degree, and shall be decided by the Research Supervisor and the RAC. Such domain specific courses may be appropriate and approved Master level courses or specially designed Ph.D. courses approved by the respective BoS. The Master level courses to be taken by the scholar shall not be those already taken by the scholar for Master's degree. Up to 40% of the credits Courses on Swayam may also be considered for the course work, if permitted by the RAC.

(7) The courses work shall be conducted in a formal way. The attendance of a scholar for less than that prescribed by the University shall make the course work null and void for the scholar.The attendance (preferably 90%) of the scholar for course work shall be mandatory.

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(8) The course work may be completed at any of the Institutions mentioned below, provided that the course work equivalent to that prescribed by the University is available and is formally offered, and a certificate to that effect be obtained –

(i) the Research Centre where the candidate is admitted for the Ph.D. degree,
(ii) a recognized Research Centre or a lead college,
(iii) a department of UoM,
(iv) sister Department / institution either within or outside the University,
(v) any premier institution / University within India and Abroad.

The resources of various Research Centres can be pooled for this purpose.

(9) A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 10-point scale in the course work.

(10) Grades in the course work including research methodology course, shall be finalized after a combined assessment by the research centre.

(11) The successful completion of the course work along with finalized grades in the prescribed format shall be communicated by the Head of Research Centre to the University.

R.PhD.14 - Exemption from the course work

(1) The following research scholars may be exempted from completing the courses work for Ph.D. degree; all the other research scholars admitted to the Ph.D. programme shall be required to complete the course work prescribed by the research centre.

(a) The research scholar holding M.Phil. degree as per the UGC norms and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in an integrated programme,
(b) The research scholar already holding one Ph.D. degree and who desires to obtain a second Ph.D. in the same subject at UoM, provided that the Research Scholar has obtained the previous Ph.D. degree in the same subject as per the UGC guidelines and has completed the required course work along with the first Ph.D. degree in the same subject.
(The Research Scholar need to furnish relevant documents for (a) & (b) mentioned above.)

R.PhD.15 - Research Work

(1) The research scholar shall carry out the proposed research work under the supervision of the allotted Research Supervisor, in the respective Centre; and shall preferably have to reside within the territorial jurisdiction of the UoM from the date of admission to the date of submission of thesis. This is a mandatory requirement. The attendance at the course work, RAC and meetings with Research Supervisor shall be recorded physically by the research centre.

(2) The persons engaged in research should observe high ethical standards and adhere to the Code of Conduct of Research of the University, and also comply with the conditions imposed by the relevant funding bodies and regulatory authorities; ethical clearances must

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be obtained wherever needed.

(3) A part of the research work may be carried out in any other research institute or in an Industrial R&D laboratory, if the relevant / complimentary facilities are available at such centre, with approval from the RAC; for this a leave of absence not more than six months, which may be extended to one year, may be granted.

(4) A research scholar admitted under a joint Ph.D. programme with any other collaborating University / Institution, and the programme has been duly approved by the University, the conditions provided in the respective MoU / Agreement shall be applicable.

(5) The research work, research publications, patents, thesis and any other publications arising out of the research work done by the scholar shall be subjected to the "Rules regarding Plagiarism", the "Code of Ethics and Code of Conduct of Research" and any other rules and regulations of the UGC or any other apex body or University pertaining to research.

(6) The scholar must meticulously maintain all records, references, samples, analysis reports, etc, which would support any IPR claim and may be required for inspection at any time, if needed. Any such material shall be the property of the Research Centre / University.

(7) The pre-synopsis presentation before RAC shall be done with invited experts from the Research Centre and outside the Research Centre. The synopsis shall be submitted to the University office preferably within one month, but not later than two months of the pre synopsis presentation.

R.PhD.16 - Submission of final Synopsis of Thesis

(1) The research scholar shall submit to the University THREE hard copies (along with the relevant documents and prescribed fees) and subsequently ONE soft copy of the final synopsis of thesis, through Research Supervisor, at least two months prior to the submission of thesis.

(2) The format of the synopsis shall be as prescribed and should clearly highlight in a concise manner the work to be presented in the thesis.

(3) The final synopsis submitted to the University will be placed before the concerned RRC for appointment of External Referees.

(4) The candidate shall submit the Title of the Thesis and the Research Proposal, as approved by the RRC, at the time of submission of the synopsis. If there is any major deviation from the approved title / proposal from the approved proposal, the RRC may recommend resubmission of the synopsis.

R.PhD.17 - Research publications of research scholars

(1) Regulations regarding the requirement of research publications and / or presentations shall be applicable as per the UGC Regulations / Unversity of Mumbai from time to time.

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(2) The Ph.D. scholar shall have published– (i) at least one research paper based on the doctoral work in a SCOPUS, Web of Science, ABDC where ever applicable AND (ii) make at least two research presentations in conferences / seminars OR research presentation in a conference / seminar and patent (at least published), at the time of submission of the synopsis and produce evidence for the same in the form of letter of acceptance for publication from the journal / copies of the papers published, presentation certificates, or acceptance letters from the publishers / editors. Provided that the papers published shall be made available at the time of the submission of final Thesis.

(3) All the publications and presentations emanating from the Ph.D. work shall be with joint authorship of the research scholar and the research Research Supervisor; the names of the scholar and the supervisor shall be either the first or last names in the list of authors. In no case shall any publication without the authorship of the research supervisor shall be treated as a valid publication as under clause (2) above.

(4) The contents of such publications and presentations shall be an integral part of the Ph.D. work / thesis.

R.PhD.18 - Guidelines for the Ph.D.Thesis

(1) As Ph.D. scholar is mainly evaluated on the basis of the Ph.D. thesis, the thesis should be a carefully drafted and rigorously checked document, and it should show that the candidate has –
(i) a thorough grasp of the subject and of the methodologies adopted;
(ii) taken original approach and made new observations;
(iii) appropriately interpreted the findings; and
(iv) an ability to communicate research findings in a professional, academic, and contemporary manner.

(2) The thesis shall embody the results of the original research work carried out by the research scholar which has contributed to the field of research. It should indicate whether the work is based on the discovery of new facts by the scholar or new relations of facts observed by the others and how the work tends to the general advancement of knowledge. The thesis must contain appropriate acknowledgement of the work reported by the other researchers in the same field and which provided the basis for the present work, in the form of a detailed bibliography and data sources. When presenting a joint work, the research scholar presents a joint work and shall clearly state the portion which is own contribution as distinguished from the portion contributed by collaborator / s.

R.PhD.19 - Submisison of final Thesis

(1) While submitted for evaluation, the thesis shall have an undertaking from the Research Scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree / diploma or any other academic award of the UoM or of any other University / Institution.

(2) The thesis must comply with the provisions of the Plagiarism policy and the Code of Conduct for Research of the University and contain appropriate acknowledgement of the

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work reported by other researchers in the same area and which provides basis for the present work, in the form of a detailed bibliography and data sources.

(3) The Research Centre shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty in publications and thesis. A certificate to this effect, e.g. plagiarism check report signed by an authority designated for the purpose by the Head of Research Centre and counter signed by the research supervisor, in the prescribed format shall accompany the thesis.

(4) The plagiarism check should be from software prescribed by UGC / UoM from time to time.

(5) The research scholar shall submit the thesis only after two (2) months from the date of submission of synopsis, but within six months from the date of submission of synopsis. If the research scholar fails to submit the thesis within six months from the date of submission of synopsis, then the research scholar shall apply for an extension by paying the prescribed fees again (paid during synopsis submission), with due justification.

(6) The thesis shall contain copies of research paper(s) / patent(s) emanating from the research work and the details of the conference / seminar presentations at end of the thesis or as specified by the UoM.

(7) The research scholar shall submit ONE hard copy, and a soft copy (CD / Pen Drive) of the thesis through research supervisor by following the due procedure as per rules.

(8) Language of Thesis:

(a) The language of thesis shall be English; however, when the subject of the thesis relates to a Modern European or Modern Indian language or any classical language such as Marathi, Hindi, Gujarati, Sanskrit, Pali, Prakrit etc. which is accepted by the University, it may be in the relevant language.

(b) In case of other subjects the thesis may be in any other Modern Indian language, which has been accepted in the University for the purpose of medium of instruction and examination for the respective subject, with prior permission of the RRC (preferably with in six months after registration of the research scholar in UoM), provided that the candidate submits the 1/10th of the main contents of the final thesis are in English. In such cases the research proposal to be submitted for topic approval initially should be in English language only.

(9) Being an examination document and joint intellectual property, a thesis should not contain any dedication note.

R.PhD.20 - Appointment of referees for the evaluation of Ph.D. thesis

(1) The University shall appoint two external referees for the evaluation of the Ph.D. thesis

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(2) If for any reason the research supervisor is not in a position to act as Internal referee after the submission of final Thesis, the provisions of care-taker supervisor will be applicable.

(3) The external referee shall be –

(i) a subject expert (working or a retired person) of established reputation and competence in the field of thesis ,
(ii) not related to the UoM,
(iii) preferably at the level of at least Associate Professor, or equivalent and
(iv) having a minimum of five years experience in research preferably after Ph.D.,
(v) without any conflict of interest

(4) The external referee shall not be a family member of the candidate / research supervisor / co-supervisor and the external referee should intimate the university in case so appointed.

(5) If a meeting of any RRC does not take place for lack of constituting of the RRC or for any other reason and any research proposal remains pending for topic approval or synopsis remains pending without appointment of the respective external referees for more than 6 months, and if any difficulty is foreseen in near future in approving the research proposal for topic approval or appointing the referees after Synopsis submission, the matter should be referred to the Board of Deans / Vice-Chancellor.

R.PhD.21 - Appointment of external referees

(1) RRC will recommend panel of six (minimum 4) referees to evaluate the thesis from which Vice-Chancellor may appoint referees. Out of six referees, 3 referees (minimum 2 if 4 referees are appointed) should be from outside Maharashtra. To help the RRC to recommend referees, the panel of external experts may be suggested by
   a. the Board of Studies / RRC, in each subject prepare and submit to a panel of experts specialization wise from which the RRC may recommend referees.
   b. The Research Supervisor may suggest names of experts with their addresses, qualifications, contact details, etc, in the prescribed format, with an undertaking that the recommended persons fulfil the criteria.

(2) The Vice Chancellor may approve the names with a priority order such that-The first two shall be the external referees to be invited to evaluate the thesis; The first referee should be from an academic institution and may be invited to conduct the viva-voce. The third and the fourth referees shall be invited in the same order in case the one or both of the first two referees decline the invitation. Second referee must be outside Maharashtra / India.The third referee & / or fourth referee may be invited if one of the first two referees or both the referees refuse to evaluate thesis or has rejected the thesis after evaluation for acceptance to Ph.D. Degree. In case when there arised any difficulty in the referees accepting to evaluate the thesis for any reason from out of the Panel suggested by the RRC, the Dean / Associate Dean in consultation with the Research Supervisor (if required) may appoint substitute / additional referee/s, if the RRC meeting is not foreseen in neat future for

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appointment of substitute / additional referees.

(3) The reciprocal appointment of external referees and the Research Supervisor should be preferably avoided for a period of at least one year.

R.PhD.22 - Evaluation of the thesis

(1) The Ph.D. thesis submitted by the research scholar shall be evaluated by the Research Supervisor (Internal Referee) and the two External Referees appointed by the University.

(2) The letter of invitation along with a soft copy of the synopsis of the thesis shall be sent to the appointed external referees, with a request to communicate the acceptance of the invitation within two weeks.

(3) If no information is received from any of the external referees within two weeks from the date of communication, a reminder should be sent. If no response to the reminder is obtained within further one week, the third referee in the panel of referees suggested by RRC should be appointed in the vacant place to evaluate the thesis, provided that if the other external referee also does not respond the fourth referee should be appointed.

(4) After receiving the acceptance from external referees a soft copy of the thesis shall be sent to them, with a request to submit the report within 30 days,

(5) The external referees should evaluate the thesis as per the guidelines and submit the report in the prescribed format with clear recommendations and a detail report.

(6) If report is not received from an external referee within 30 days, a formal reminder should be sent, followed by another formal reminder after 15 days.

(7) In case any of the external referee/s does not send the report of evaluation within two months after the soft copy of the thesis is sent, and no communication is received from them in the matter, the concerned university section may consider appointment of the third referee and / or fourth referee from the panel of referees.

(8) The final recommendation from the external referees shall state clearly that –

(a) I recommend the thesis for the award of degree of Doctor of Philosophy
(b) I recommend modification in the thesis, as the thesis needs major modifications as suggested in my report. The thesis must be modified in light of these suggestions and referred back to me for evaluation.
(c) I do not recommend the thesis for the award of degree of Doctor of Philosophy as per specific reasons given in the report

(9) The viva voce of the research scholar will be conducted only after both the external referees and the internal referee recommend the thesis for acceptance for the award of Ph.D. degree,.

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(10) If the external referee/s asks for modifications in the thesis, with recommendation as given in (8)(b), the research scholar shall be asked to revise the thesis, and submit the requisite number of revised copies preferably within 12 months from the date of intimation of the result, failing which the thesis shall be rejected. The revised thesis shall be sent to the same referee/s for fresh evaluation.

(11) When both the external referees do not recommend the thesis for the award of Ph.D. degree, the thesis shall be rejected and the research scholar and the research supervisor shall be intimated accordingly.

(12) Only after both external refees (including at least one from outside Maharashtra) submit report recommending the thesis for award of Ph. D. degree, the Viva Voce shall be conducted.

(13) A thesis rejected by both referees may be resubmitted, with the same title and after complete revision and additional work, if needed, preferably within 12 months from the date of intimation of the rejection to the research scholar, after payment of full prescribed fees that is paid at the time of the submission of synopsis, failing which the thesis shall be rejected and the registration of the research scholar shall be cancelled / terminated.

Provided that the research scholar should forward an application to the concerned UoM office, preferebly within one month from the date of intimation of rejection of the thesis, through the research supervisor, of intention to resubmit the thesis as per this provision.

Provided further that if such a resubmitted thesis is again rejected, the thesis shall be rejected and the registration of the research scholar shall be cancelled / terminated.

(14) In case of vividly disparate or random / callous assessment of thesis or in case of any adverse / serious remark by the external referee/s, as may be pointed out by any of the parties concerned, the matter may be referred to the Dean of faculty / RRC for appropriate action including appointment of additional referees.

(15) The complete process of evaluation of a thesis should be preferably over within SIX months from the date of submission of thesis or date of RRC meeting wherein the referees are appointed, which ever is later.

(16) The research supervisor shall be responsible for considering the suggestions given by the external referees and getting them incorporated in the thesis by the research scholar. For this research supervisor will be provided with the comments of the external referees.

R.PhD.23 - Viva-Voce

(1) The online viva voce of a Ph.D. scholar shall be in the form of an Open Defence of the thesis. The external refreee and the chairperson of viva will join online where as the research scholar and the supervisor will be physically present at the research centre. Preferably no TA / DA will be provided to External Referee and Chairman of Viva.

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(2) The viva voce shall be conducted by the Ph.D. viva voce committee that consists of the following:
(i) Chairperson to be nominated by the Pro-Vice-Chancellor.
(ii) The Research Supervisor / internal referee as Convener.
(iii) The External Examiner (preferably from within Maharashtra) who is appointed to conduct the viva voce.

The recording of such online viva voce (on Pen Drive) will be submitted to the University along with the attendance sheet.

(3) If the external referee appointed to conduct the viva voce is not available to conduct the viva voce, the second referee who has evaluated the Thesis shall be invited to conduct the viva voce.

(4) If the Research Supervisor is not available for the viva voce or not responding to the communication for conducting the viva voce, then the the Head of the Research Centre may appoint the Care-Taker Supervisor for viva voce who shall be a Research Supervisor of the Research Centre

Provided proper justification is submitted by the Head of the Research Centre for appointment of the Care-Taker Supervisor

Provided there is no Co-Supervisor existing in the case.

(5) The viva voce committee shall evaluate the performance of the Research Scholar and make individual reports in the prescribed format, sign and submit to the university.

R.PhD.24 - Conduct of viva voce (Open Defence)

(1) The research supervisor, in consultation with the external referee and chairperson of the Viva, who will be conducting the viva voce, shall fix the date and communicate the same to the University section and Head of Research Centre.

(2) The day, date, time and the place for the viva voce shall be declared by the Research Supervisor / Research Centre, preferably at least four days in advance.

(3) The viva voce shall be open to the members of the RAC, all faculty members of the Centre, other research scholars from the centre, and other interested experts / researchers.

(4) The viva voce shall be conducted in the following manner:
(a) Research Supervisor will make a brief presentation of research work.(about 20 to 30 minutes)
(b) Following the presentation, the Research Scholar will be asked questions pertaining to the research work and also to test the Research Scholar's knowledge in the research / subject area concerned. Questions will be regarding the critiques given in the evaluation reports by the referees.
(c) The external referee and the research supervisor will ask questions for which no permission of the chairperson is required; the Chairperson's permission will be required for questions from any other person.

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(d) 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.

(5) In case the viva voce is not satisfactory, the committee may unanimously recommend, with reasons, that a Repeat viva voce be organized preferably within a period of one month.

(6) The recommendation in the viva voce report shall be specific and final and one of the following.

The viva voce of the candidate was satisfactory and we recommend the thesis for the award of the degree of Doctor of Philosophy to the candidate.

OR

The viva voce of the candidate was not satisfactory and we recommend that the candidate should appear at repeat viva voce preferably within one month

(7) Repeat viva voce: The following procedure shall be followed for holding the repeat vivavoce.

(e) The repeat viva voce shall be held by the same viva voce committee that had conducted the first viva voce;
(f) The repeat viva voce shall be conducted in the same manner as the first viva voce.

(8) If the repeat viva voce is found to be unsatisfactory by the committee, the committee shall record the reasons for the same and submit its recommendation to the BoEE.

(9) In case of any dispute with respect to the evaluation of thesis and viva voce the matter should be referred to BoEE, which will take an appropriate final decision in the matter.

R.PhD.25 - Conferment of the Ph.D. degree

(1) After completing all the prescribed conditions, the student may be issued a result notification on submission of the report of the viva voce by open defence of Ph.D Degree,

(2) The Ph.D. result notification shall indicate the Faculty and the Subject of research, the name of research Centre and other details in which the work was carried out.

(3) The research scholar is allowed to publish Ph.D. thesis in form of book only after Ph.D. degree is awareded in Convocation and after following the University procedure and stipulated provisions.

R.PhD.26 - Depository with INFLIBNET

(1) Following the successful completion of the evaluation process and after the result notification a soft Copy and hard copy of thesis shall be sent to the University Library.

(2) The copyright of the thesis shall be with the Research Scholar, the Research Supervisor and the University. Being an examination document and joint intellectual property, a thesis should not contain any dedication note.

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R.PhD.27 - Termination of registration of Ph.D. scholar.

(1) The registration of a research scholar registered for the Ph.D. degree may be terminated if the Research Scholar–

(i) remains absent for a substantial period with out any information to the research supervisor and research centre;
(ii) has submitted the false, forged documents for seeking admission to the Ph.D. Program
(iii) has not paid the fees and has not renewed admission over three consecutive years;
(iv) has three consecutive unsatisfactory six-monthly progress reports and the RAC recommends the cancellation / termination of registration;
(v) has left the programme after payment of all the balance fees;
(vi) is found guilty of any misconduct or is found to have engaged in malpractice and the Grievance Redressal Committee of the Research Centre has recommended expulsion of the research scholar from the Ph.D.programme;
(vii) is convicted in any criminal act or act of moral turpitude; or
(viii) any other justifiable reason.

(2) Under any of the above conditions, the respective research supervisor may initiate action and report the matter to the Head of Research Centre.

(3) The matter shall first be referred to the respective RAC for consideration and remarks.

(4) The Head of Research Centre shall send a show cause notice to the research scholar and give preferably a 30 days period (but not more than 45 days) to respond. Such a notice, if necessary, shall be sent by registered / speed post to the address recorded in the office. The research scholar shall be given the opportunity to be heard in person and the statement shall be recorded.

(5) The Head of Research Centre shall forward the report, with specific recommendations, to the RRC and / or Board of Deans, who shall take an appropriate decision and the decision shall be final.

(6) Research scholar may be permitted to discontinue / cancel registration by a formal application to the Head of the Research Centre and if the request to discontttinue is approved by the Head, the University must be informed within one month to cancel the registration, provided the Research Scholar has paid all the share of University fees after the registration in the University office.

R.PhD.28 - Awarding of Posthumous Ph.D. Degree

(1) The Ph.D. degree may be conferred posthumously if a research scholar registered for the Ph.D. degree expires after submission of Ph.D. thesis, but prior to the viva voce, provided the positive evaluation reports are received from both external referees. A written application must be received from Research Supervisor / Head of research centre / any close family member along with the copy of death certificate

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(2) The research supervisor shall be responsible for making any minor corrections in the thesis, if needed, and submitting the final corrected copy of the thesis in the specified format to the University.

(3) The degree will be announced formally and will be generally conferred at the next convocation. The posthumous nature of the award will be indicated on the degree certificate and on the scholar's transcript.

R.PhD.29 - Research Co-Supervisor

(1) In interdisciplinary areas, the research supervisors may decide about the need based appointment of a co-supervisor for a regular Ph.D. research scholars admitted under them, after the registration of the research scholar; based on the nature of the research topic assigned to the research scholar.

(2) A proposal shall be made by the research supervisor and head of the research centre for the appointment of a co-supervisor with approval of the RAC, and the proposal shall be submitted to the RRC concerned for approval after registration with justification for need of co- supervisor;
provided that such an induction shall be at least one year before submission of thesis;
Provided further that under no circumstances, a Ph.D. research scholar shall have more than one co-supervisor through out the Ph.D. programme.

(3) The co-supervisor may have the following responsibilities:-

(i) to advise the research scholar from time to time with respect to the progress of the Ph.D. research;
(ii) to attend the RAC meeting as a part of the committee and take part in deliberations;
(iii) to attend colloquium and viva voce and other official presentations made by the research scholar;
(iv) to be a co-author of any publications / patents emanating from the PhD problems;

(4) The research supervisor shall produce a no objection certificate from an authority of the organization to which the co-supervisor belongs, permitting the scholar to work in that organization occasionally whenever needed, and the organization shall have no objection to the inclusion of the outcome of the research under this programme in the thesis of the scholar.

(5) In case of any dispute between the research supervisor and co-supervisor, the decision of the research supervisor will be final. If required the matter should be sorted out through the grievance redressal mechanism of the research centre.

(6) In case the co-supervisor leaves the working organization and / or is not available for guidance, the matter should be reported to the RAC and the research centre.

(7) The research scholar shall submit the thesis for the degree through the supervisor and the co-supervisor, if duly appointed,

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R.PhD.30 - Code of conduct for Research and Disciplinary Action

1. Preamble

Research is a collective social endeavour and depends heavily on the work of the fellow researchers. The advancement of knowledge in any discipline requires the sharing of knowledge. Hence, research needs commitment to high standards of professional ethics, transparency; and all claims and findings should be amenable for testing by others. Maintaining high integrity and probity in developing, conducting, reviewing, and communicating research; and at the same time maintaining high quality and robustness of research are, therefore, of prime importance. Failing to follow good research practices violates professional responsibilities. It damages the research processes, degrades relationships among researchers, undermines trust in and the credibility of research, wastes resources and may expose research subjects, users, society or the environment to unnecessary harm. The code of conduct is designed to guide the researchers in their profession.

2. Purpose and Scope

(a) The objective of the Code is to introduce and maintain high standards of integrity, probity and professionalism in the research being carried out within the University.
(b) The code applies to all the persons involved in research that is carried out in research centers of the University, i.e. University Departments, Conducted Colleges, Affiliated Colleges and recognized Institutes, including the respective autonomous units.
(c) The Dean of each faculty or any person appointed by the Vice-Chancellor shall be a Research Integrity Advisor for Research being carried out in the Faculty concerned. If any researcher is uncertain about any issue the advice may be sought from Dean.
(d) All researchers working within the University must be familiar with the Code and act accordingly.

3. Obligations of University and Research Centres in curbing misconduct in research

The University and its research centres should –

(a) develop appropriate research governance policies and revise them from time to time;
(b) monitor the research activities with respect to the code of conduct and generally accepted norms of the disciplines;
(c) provide training to the researchers in research methodology and code of conduct of research;
(d) take steps to prevent and to detect research misconduct;
(e) respond, investigate, and adjudicate in a fair and timely manner the alleged research misconduct occurred under their jurisdiction;

4. Research work

(a) Researchers should not undertake research in an area outside their expertise and shall not delegate a research project assigned to them to a third party not connected with the project.
(b) Researcher shall conduct research in a highly ethical and professional manner, with

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honesty and integrity, and scholarly and scientific rigor, ensuring validity, reproducibility, accuracy, and objectivity in the collection, interpretation and reporting of the data, at all stages of the research process. meeting the standards expected by the UGC, University and the funding agencies, with the accepted norms of the discipline;

(c) All data and records related to research shall be the property of the centre and shall be maintained in a suitably protected, durable, appropriately referenced, and easily accessible format, so that they will be available to other researchers; for specified period; unless confidentiality provisions apply;

provided that it may be shared under any third party agreement;

provided further that the researchers are responsible for ensuring proper security of any confidential material.

(d) Researchers are accountable, jointly and severally, for the various stages of their research from idea to publication / exploitation.

(e) Any confidential information shall only be used for the purpose for which it was generated, and the researchers shall maintain confidentiality of any information which they access on confidential basis.

(f) Researcher shall be aware of and adhere to the legal, ethical, regulatory, health, environmental, and safety requirements relevant to the area of research and comply with the conditions stipulated by the state and national regulatory authorities in the relevant areas; and the researcher shall obtain relevant approvals, permits, and licenses, as required, from appropriate regulatory bodies / agencies before commencing research.

provided that the specific responsibilities may be delegated within a group;

provided further that it is made clear at the beginning of the work.

(g) Researcher should be ready to participate in training to improve own skills and mentoring of others;

(h) Researcher should be aware of, prior to commencing research, potential harms, risks, and misuse of the research and take due steps in advance to avoid them.

(i) Researcher should handle the research subjects, such as human, animal, cultural, biological, environmental or physical, with respect and care.

(j) Researcher shall not make or attempt to make unlawful profits from participation in or knowledge of research being / has been conducted at the centre, beyond what is permitted.

(k) Researcher must respect other researchers, society, ecosystems, cultural heritage and the environment.

(l) Researcher shall not deliberately and wilfully suppress the previous relevant work and claim originality or avoid quoting previous work contrary to present results.

(m) Researcher shall not significantly damage anybody's or institutional research-related property or impede the progress of other's research.

5. Collaborative research

Wherever there is any collaborative project with any outside agency / organization / individual, a suitable agreement covering all aspects of the project, such as division of work and responsibilities, distribution of resources and facilities, expectations, deliverables, rules and regulations that apply, protection of IPR, publications, handling of possible conflicts, etc. shall be signed between the parties concerned, before the commencement of such a project; and in such a case of collaboration the conditions stipulated in the agreement shall prevail.

6. Conflict of Interest

(a) **"Conflict of Interest"** (CI) refers to a situation in which potential reward, financial or otherwise, or other personal consideration may lead to compromise, or appear to

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compromise the objectivity in the academic, professional and research activities of a researcher and causes deviation from absolute and may directly or indirectly harm the interest of the University / Institute / College. Mere appearance of such a conflict may be as serious and potentially damaging as the actual distortion of objectivity.

(b) Research must be carried out in an objective manner free from any CI. Researcher should be aware of any actual or perceived CI during any stage of research, such as grant application, research proposal, research work, publication, media report, application / exploitation, personal awards and benefits, etc.; and must disclose and address the same.

(c) Professionally-related outside activities, such as consulting / advising, textbook authorship, involvement with professional societies, funding, patenting, and working on review committees, etc., should be done in such a way that there will be no CI relating to a researcher's distribution of work / time between obligations to academic appointment and commitment to "outside" activities.

(d) Researcher shall not accept any compensation, financial or otherwise, from more than one party for the same service / project / process / product, unless the circumstances are fully disclosed to, and agreed to, by all the parties concerned.

(e) Researcher shall not solicit nor accept any benefit, financial or other valuable considerations, directly or indirectly, from material or equipment suppliers, contractors, their agents, or other parties, dealing with the Centre / University; or employers in connection with work for which shall be responsible; or specify certain products.

7. Intellectual Property Right (IPR): The IPR on the research work carried out at a research centre, shall be managed and protected by the centre, researchers and sponsors in accordance with the University Policies and the respective contractual agreements.

8. Research Scholars / Research Staff / Research Supervisor

(a) Research Supervisor / Research Centre is expected to provide Scholars / Research Staff adequate guidance in conducting research and also to provide the required facilities.

(b) Research Supervisor shall not mentally torture, bully, or exploit the research students / research staff and shall not assign any work to them for personal benefits.

(c) The researcher shall not take undue advantage of seniority, position, power and take undue credit of somebody else's research, such as claiming authorship in publication, including one's name as innovator in patent, making oneself as a co-investigator in a project OR Ignoring overt violation of research integrity by others, covering up some one's act / response to misconduct.

9. Research Publications

(a) Researcher should publish the results of research in an open, honest, transparent and accurate manner.

(b) The research publications based on the work carried out at a research centre and by any researchers associated with the centre must carry the address of the centre as place of work and for correspondence; and all authors should agree on the sequence of authorship

(c) The authorship should be based only on significant intellectual contributions to the conception, design, and analysis or interpretation of the results; and against the collection of data and other routine work; and no honorary / obligatory authorship should be awarded.

(d) All the authors are fully responsible for the content of their publications, unless otherwise specified.

(e) The authors must acknowledge important work and intellectual contribution of others,

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including collaborators, assistant, and sources of funding in appropriate form; any financial sponsorship that carries an embargo on naming of the sponsor should be avoided.

(f) **Multiple submission:** Researcher shall not submit / publish multiple full research papers with almost the same content, same research findings / results, same conclusions, or same findings;

provided that when two publications have substantially similar work, there must be full cross-referencing and disclosure to the editors concerned;

Provided further that this may be allowed if there are reasons to do so and that has been explicitly mentioned and where permission to do so has been obtained from the publishers;

Provided further that this condition does not apply where a complete work grew out of a preliminary publication and this is fully acknowledged (i.e. abstract, conference proceedings);

Provided further that publication of the same material translated into different languages may be acceptable provided that the original source is fully acknowledged

Provided further that republication of any control data is not acceptable unless a full justification is provided to and accepted by the journal editor.

(g) Researcher while declaring / submitting publication information must mention accurately the state of publication – submitted, under review, accepted for publications, in press; with proper proof..

(h) Researchers should not establish or support journals that undermine the quality of research such as 'Predatory journals', 'fake journals' etc.

(i) Before communicating any research results or claims in public arena, the researchers must ensure that the findings have been thoroughly verified, peer reviewed, their impact on various stake holders have been taken into account, and if required necessary permissions from the concerned authorities including the University have been procured.

(j) Researchers must comply with the ethical standards of the journals in which they publish.

(k) Researcher must retract as soon as possible published research when found to be flawed.

10. Misconduct in Research

Research misconduct includes but not limited to, the following acts in proposing, conducting, reviewing, or reporting the research. However, research misconduct does not include any honest errors / differences in interpretation of data.

(a) Failure to comply with the Code of Conduct of Research of the University and ignorance of the Code cannot be a defense for failure to comply with the code.

(b) Corrupting or tampering with the self or someone's research materials orrecords.

(c) Obstruction of Investigation of Research Misconduct:

(i) Intentionally withholding or destroying evidence,

(ii) falsifying or fabricating evidence,

(iii) encouraging, soliciting or giving false testimony,

(iv) attempting to intimidate or retaliate against witnesses / potential witnesses or potential

leads to witnesses or evidence before, during, or after the commencement of any formal or

informal proceeding.

(d) Failure to cooperate with any enquiry of misconduct, to report known suspected misconduct, destruction of evidence related to any misconduct, knowingly making false

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allegation of misconduct, vindictive action against any person reporting misconduct.

(e) Diverting research funds earmarked for specific project to any activity other than the activity for which they have not been released or inappropriate use of the research funds.

(f) Falsification: Stating or presenting a material of significant falsehood / manipulation, or omitting a fact so that what is stated or presented as a whole states or presents a material of significant falsehood.

(g) Intentional violation of rules regarding the safely of materials / equipment / instruments used, and inappropriate use of materials / chemicals / resources and instruments used.

(h) Fabrication: Reporting of experiments / studies / surveys never conducted or reporting results which were never obtained.

11. Reporting of Misconduct

(a) Any person ("**Complainant**"), such as, a person involved in the research or a researcher / student / employee working in the research centre or a person directly affected, or the Head of Research Centre or any officer representing the Head, who has reasonable grounds to believe that a researcher ("**Respondent"**) is acting or has acted contrary to the Code of Conduct of Research or has committed an act of misconduct, may report the same, with supporting documents, in writing to the Head of research centre. Any officer of the University may also suomotu make such a complaint to the Dean of the Faculty concerned.

(b) If the complaint is against the Head of Centre / institute or against the management of college / institute the complaint may be submitted to the University.

(c) If the act of misconduct is likely to harm any persons / animals / environment / property / society, the Head of Centre, in consultation with the research supervisor / Head of Department, shall take urgent action / corrective steps which he / she deems necessary.

(d) The written complaint should be submitted indicating how the act of respondent / s has affected or may affect or hurt individual or the centre or the university in anyway.

(e) If the case is of criminal nature and requires legal action, the case may be referred to appropriate Government investigative agency, on recommendation of the respective redressal cell.

12. Investigation of Misconduct

(a) The Head of Research centre shall constitute Departmental Academic Integrity Panel (DAIP) and Institutional Academic Integrity Panel (IAIP) as per constitution defined by the UGC.

(b) The Vice-Chancellor shall constitute Institutional Academic Integrity Panel (IAIP) of the University as per constitution defined by the UGC.

(c) All complaints involving any research misconduct, including cases of plagiarism, shall be submitted to Departmental Academic Integrity panel (DAIP).

(d) If the Competent Authority is convinced that continuation of the accused in service may have any detrimental effect on the case or centre, the Authority may put accused under suspension as per the provisions in the respective rules.

(e) If the DAIP finds that there is a prima facie case of misconduct committed by the respondent and the case is serious enough to inflict any penalties, the DAIP shall issue a notice to the researcher in writing along with the imputation(s) of misconduct and require to show cause as to why the action proposed not be taken against researcher and give reasonable opportunity to the respondent to furnish the explanation.

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(f) The respondent is required to submit a written response preferably within 15 clear wordking days from the date of the notice.
(g) The DAIP may give due consideration to the response and after going through all the documents and evidence(s), determine whether there is an act of misconduct.
(h) The DAIP shall follow the principles of natural justice while investigating the allegations and the investigations should be conducted in fair manner, confidentially, expediently, and should be free from any conflict of interest.
(i) The DAIP shall be provided access to materials that are required for the investigation and permitted to interview the complainant, the respondent, and any other persons whom the committee considers necessary to obtain necessary information.
(j) The DAIP shall assess the level of misconduct committed and recommend to the IAIP penalties accordingly.
(k) The report of the DAIP should contain –
article(s) of charge(s) and the statement of imputation(s) of misconduct,
the defence of the respondent in respect of each article of charge;
assessment of the evidences in respect of the articles of charge;
and proceedings of the investigation,
the basis on which the conclusions are reached,
the findings on each article of charge and the reasons there of,
any penalties recommended,
and further recommendations
(l) The DAIP should submit its report, accompanied by all the relevant documents, confidentially to the Competent Authority of the Research Centre preferably within a period of 45 days from the date of receipt of the complaint / initiation of the proceedings.

(m) The competent authority shall place the report before the IAIP for further action, if necessary or directed.
(n) The IAIP shall consider the recommendations of the DAIP, and shall also investigate the case; the IAIP shall follow the principles of natural justice while deciding about the allegations.
(o) The IAIP shall have the power to review the recommendations of the DAIP including the penalties with due justification.
(p) The IAIP shall send the report after the investigation and the recommendation on penalties to be imposed to the Head of the centre preferably, within a period of 90 days from the date of receipt of the recommendation of the DAIP.
(q) The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.
(r) If the findings indicate that there are no reasonable grounds for the allegation, the IAIP may recommend dismissal of the complaint and may recommend any due action to be taken; provided that if the IAIP finds that the complaint was made with mala fide intent, it may recommend disciplinary action against the complainant.
(s) If the complainant / respondent in an affiliated college / recognized institute is not satisfied with the decision of the respective IAIP, then may appeal to the IAIP of the University, provided that in all cases of misconduct the decision of the IAIP of the University shall be final.
(t) After receiving the report of the IAIP, the competent authority shall levy appropriate penalty to the respondent found guilty.
(u) Suitable disciplinary action may also be taken against anybody who attempts to influence, victimize, or intimidate the complainant / s or witnesses or tries to influence the proceedings.

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(v) Any punitive action taken will be communicated to the person found guilty and will be entered in personal file and service book, and appropriate follow up actions will be taken.
(w) Even if the Respondent resigns from, or otherwise leaves the Centre, the complaint is nevertheless investigated as far as possible according to this procedure.
(x) In any instance of alleged or suspected research misconduct by a person not connected with the centre / university in a research activity conducted in collaboration with outside institution / agency, the matter shall be referred to the head of the institution / agency / organization concerned, and the Competent Authority of Research Centre / University may direct that the collaborative research activity be amended, reduced, or discontinued, if needed.
(y) If the DAIP and / or IAIP at the Research Centre fails to discharge it's duties or there is an inordinate delay on their part, then the IAIP of the University will directly take next appropriate step in the case.

13. Penalties

(a) Without prejudice to the provisions of any law in force for the time being, the penalties prescribed under the University rules of disciplinary action may, for good and sufficient reasons, be imposed on the researcher found guilty of misconduct.
(b) The penalty to be imposed shall essentially be commensurate with the severity or gravity of the misconduct committed. For acts of repeated misconduct, more severe punishments may be awarded.
(c) The penalties for the cases of plagiarism shall be as per the respective rules.
(d) The penalties may include one or a combination of the following:

(1) **Minor Penalties:**
(i) censure,
(ii) fine,
(iii) suspension of guideship for specified period,
(iv) retraction of reported work;
(v) withholding of increment of pay for specific period without affect subsequent increment(s), (vi) recovery of losses caused.

(2) **Major Penalties:**

(i) retraction of degree or any award

(ii) stoppage of increment, with or without effect on future increments,

(iii) reduction to a lower scale of pay, grade, post or service,

(iv) compulsory retirement,

(v) termination of / dismissal from / removal from service (this does not apply to any person appointed on probation and temporary person or to a person likely to retire),

(**Explanation:** the meaning of these actions shall be as per those given in the disciplinary rules and / or clarified in the disciplinary order issued by the authority).

R.PhD.31 - Promotion of academic integrity and prevention of plagiarism

1. Objectives

(a) To create awareness about responsible conduct of research, thesis, dissertation,

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promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff.

(b) To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.

(c) To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of HEI committing the act of plagiarism.

2. Duties of HEI

Every HEI should establish the mechanism as prescribed in these regulations, to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism.

3. Awareness Programs and Trainings:

(a) HEI shall instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source.
(b) HEI shall conduct sensitization seminars / awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.
(c) HEI shall ensure that a coursework of atleast two credits of Research Ethics be mandatory for all scholars admitted to the PhD programme irrespective of any exemption that may have been granted from the overall coursework.

(d) HEI shall include the cardinal principles of academic integrity in the curricula of Undergraduate (UG) / Postgraduate (PG) / Master's degree etc. as a compulsory course work / module.
(e) HEI shall include elements of responsible conduct of research and publication ethics as a compulsory course work / module for Masters and Research Scholars.
(f) HEI shall include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the HEI.
(g) Train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.
(h) Establish facility equipped with modern technologies for detection of plagiarism.
(i) Encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

4. Curbing Plagiarism

(a) HEI shall declare and implement the technology based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.
(b) The mechanism as defined at (a) above shall be made accessible to all engaged in

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research work including student, faculty, researcher and staff etc.

(c) Every Research Scholar & Research Supervisor submitting a thesis, dissertation, or any other such documents to the HEI shall submit an undertaking indicating that the document has been prepared by them and that the document is their original work and free of any plagiarism.

(d) The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the HEI.

(e) HEI shall develop a policy on plagiarism and get it approved by its relevant statutory bodies / authorities. The approved policy shall be placed in public domain.

(f) Each supervisor shall submit a certificate indicating that the work done by the researcher is plagiarism free.

(g) HEI shall submit to INFLIBNETsoft copies of thesis within a month after the declaration of eligible for award of Ph.D. degree for hosting in the digital repository under the "Shodh Ganga e-repository".

5. Similarity checks for exclusion from Plagiarism

The similarity checks for plagiarism shall exclude the following:

(i) All quoted work either falling under public domain or reproduced with all necessary permission and / or attribution.

(ii) All references, bibliography, table of content, mathematical formulae, chemical formulae, names and addresses, preface anda cknowledgements.

(iii) All generic terms, laws, standard symbols and standard equations

(iv) All small similarities of minor nature,<1%;

(v) For a thesis of a research scholar, cases where the material in the thesis is shown as plagiarised from research paper / s or patents published by the same scholar.

(vi) The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

6. Detection / Reporting / Handling of Plagiarism

(a) If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, the member shall report it to the Departmental Academic Integrity Panel (DAIP).

(b) Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel (IAIP) of the HEI.

(c) The authorities of HEI can also take suo-moto notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the HEI on the basis of findings of an examiner. All such cases will be investigated by the IAIP.

7. Departmental Academic Integrity Panel (DAIP)

The constititon of DAIP will be as per the prevailing UGC document

(a) All Departments in HEI shall notify a DAIP whose composition shall be as given below:

(i) Chairman - Head of the Department

(ii) Member - Senior academician from outside the department, to be nominated by the

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head of HEI.
(iii) Member - A person well versed with anti plagiarism tools, to be nominated by the Head of the Department.
(iv) Co-opted member/s if any

(b) The members of DAIP will be nominated / appointed / co-opted by the Head of the HEI.

(c) The DAIP should preferably have member/s of the appropriate reserved category.

(d) The tenure of the members of DIAP shall be three years. Member/s retiring from service will be allowed to complete the tenure but no fresh term be allowed to them.

(e) The quorum for the meetings shall be two-third of the total members including co-opted members. However, Chairman is mendatory for DIAP meetings.
(f) The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
(g) The DAIP shall have the power to assess the level of plagiarism and recommend penalties accordingly.
(h) The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP preferably within a period of 60 days from the date of initiation of the proceedings.

8. Institutional Academic Integrity Panel (IAIP)

The constititon of IAIP will be as per the prevailing UGC document

A1) IAIP for Research Centre

a) HEI shall notify a IAIP whose composition shall be as given below:
(i) Chairman – Head of the HEI
(ii) Member - Senior Academician other than Chairman, to be nominated by Head of HEI.
(iii) Member - One member nominated by the Head of HEI from outside the HEI
(iv) Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the HEI.
(v) Co-opted member/s if any

A2) IAIP for University

a) University shall notify a IAIP whose composition shall be as given below:

(i) Chairman – Pro-Vice-Chancellor / Dean / Senior Academician of the University
(ii) Member - Senior Academician other than Chairman, nominated by the Vice-Chancellor.
(iii) Member - One member nominated by the Head of HEI from outside the HEI
(iv) Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the HEI.
(v) Co-opted member/s if any

(b) The members of IAIP will be nominated / appointed / co-opted by the Head of the HEI.

(c) The IAIP should preferably have member/s of the appropriate reserved category.

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(d) The tenure of the members of IAIP shall be three years. Member/s retiring from service will be allowed to complete the tenure but no fresh term be allowed to them.

(e) The quorum for the meetings shall be two-third of the total members including co-opted members. However, Chairman is mendatory for IAIP meetings.

(f) The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.

(g) The IAIP shall have the power to assess the level of plagiarism and recommend penalties accordingly.

(h) The IAIP shall consider the recommendations of DAIP.

(j) The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.

(k) The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.

(l) The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Head of the HEI preferably within a period of 60 days from the date of initiation of the proceedings.

(m) The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

9. Level of Plagiarism and Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing Research programs and on faculty & staff of the HEI only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provid enough opportunity to defend himself or herself in a fair or transparent manner.

9.1 Penalties in case of plagiarism in submission of thesis and dissertations

A) IAIP and DAIP shall impose penalty considering the severity of the Plagiarism.

i. Level 0: Similarities upto 10% - Minor Similarities, no penalty.

ii. Level 1: Similarities above 10% to 40% - Such Research Scholar shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.

iii. Level 2: Similarities above 40% to 60% - Such Research Scholar shall be debarred from submitting a revised script for a period of one year.

iv. Level 3: Similarities above 60% -Such Research Scholar registration for that programme shall be cancelled.

B) Penalty on repeated plagiarism- Such Research Scholar shall be punished for the plagiarism of one level higher than the previous level committed by Research Scholar. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

C) Penalty in case where the degree / credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then degree or credit shall be put in abeyance for a period recommended by the IAIP and approved by the Head of the Institution.

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9.2 Penalties in case of plagiarism in academic and research publications

I. Level 0: Similarities up to 10% - Minor similarities, no penalty.
II. Level 1: Similarities above 10% to 40% -
   i) Shall be asked to withdraw manuscript.
III. Level 2: Similarities above 40% to 60% -
   i) Shall be asked to withdraw manuscript.
   ii) Shall be denied a right to one annual increment.
   iii) Shall not be allowed to be a supervisor to any new Ph.D. scholar for a period of two years.
IV. Level 3: Similarities above 60%
   i) Shall be asked to withdraw manuscript.
   ii) Shall be denied a right to two successive annual increments.
   iii) Shall not be allowed to be a supervisor to any new Ph.D. scholar for a period of three years.

9.3 - Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him / her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension / termination as per service rules shall be taken by the HEI.

9.4 - Penalty in case where the benefit or credit has already been obtained –
If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his / her benefit or credit shall be put in abeyance for a period recommended by IAIP and approved by the Head of the Institution.

9.5 - HEIs shall create a mechanism so as to ensure that each of the paper publication / thesis / dissertation by the student, faculty, researcher or staff of the HEI is checked for plagiarism at the time of forwarding / submission.

9.6 - If there is any complaint of plagiarism against the Head of an HEI, a suitable action, in line with these regulations, shall be taken by the Controlling Authority of the HEI.

9.7 - If there is any complaint of plagiarism against the Head of Department / Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the IAIP and approved by the Competent Authority.
9.8 - If there is any complaint of plagiarism against any member of DAIP or IAIP, then such member shall be excused from the meeting(s) where member's own case is being discussed / investigated.

R.PhD.32 - Regarding cases not covered under these Regulations

i) For any cases which are not covered under these Regulations may be forwarded to Board of Deans / Academic Council / Vice-Chancellor, as required, for guidance and directions.

ii) For interpretation of any of these regulations or for any additional regulations to be formulated pertaining to Ph.D. program / Research Scholar / Research Supervisor / Co-

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Supervisor / Care-Taker Supervisor / Research Centre and any other concerned stake holders, be referred to Vice-Chancellor for guidance and appropriate directions.

iii) For any cases of grievances pertaining to Research Scholar / Research Supervisor / Co-Supervisor / Care-Taker Supervisor / Research Centre and any other concerned stake holders may be referred to Ph.D. Grievance Redressal Committee / Vice-Chancellor for guidance and appropriate directions.

R.PhD.33 - Eligibility criteria for Ph.D. Research Supervisor, Ph.D. Co-Supervisor, Number of Ph.D. scholars permissible per Ph.D. Research Supervisor, etc.

1. Should be a Full Time Approved Regular Faculty member in the Department of the University or it's affiliated College / Institute which should be presently a recognised research centre for Ph.D. of the University of Mumbai (UoM) in the concerned subject in which recognition is desired.

2. Working as Professor / Associate Professor with a Ph.D. and at least five research publications in peer-reviewed or refereed journals (Post-Ph.D. and not pertaining to their Ph.D. Topic / Title), provided that approval as Professor / Associate Professor is given by UoM.

OR

Working as Assistant Professor with a Ph.D. and at least three research publications in peer-reviewed or refereed journals (Post-Ph.D. and not pertaining to Ph.D. Topic / Title), provided that approval as Assistant Professor is given by UoM.

The research publications must be in the same subject or its allied / cognate subject as determined by the Research Recognition Committee (RRC) of the concerned subject.
The research publications must be in reputed journals those are included in SCOPUS, Web of Science, ABDC journals etc. wherever applicable.

3. Two years of University approved PG Teacher experience in the concerned subject or it's allied / cognate subject as determined by the RRC of the concerned subject. However, if the appointment is for PG Teacher itself in the Colleges / Institutes / University Departments where only PG (Master's) program are offered then PG Teacher approval is not required. (Only two years of experience is required if PG Teacher appointment is as an Assistant Professor in such cases)

4. For those working in research institutions of Central Government / State Government or other research organizations which are recognised Ph.D. research centres of the UoM, the scientists / academic experts in such research institutions who are equivalent to Professor / Associate Professor / Assistant Professor can be recognized as research supervisors if they fulfill the above requirements in (1), (2) and (3). (The said equivalent to be determined by the RRC as per the existing rules / regulations)

5. Provided that in areas / disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the RRC in the concerned subject may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

6. (i) Co-Supervisor should be existing recognised Research Supervisor of the University.

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Co-Supervisors from within the same department or other departments of the same College / Institute / University or of other Institutes / University may be permitted with the approval of the competent authority i.e. RRC of the concern subject.

(ii) Adjunct Faculty member shall not act as Research Supervisor and can only act as a Co-Supervisor.

(iii) Co-Supervisor to be permitted by RRC to the Research Scholar only after the Research Scholar is registered for Ph.D. in the University Office.

7. An eligible Professor / Associate Professor / Assistant Professor can supervise upto eight (8) / six (6) / four (4) Ph.D. scholars respectively at any given time. Each Supervisor can supervise upto two international Research Scholars on a supernumerary basis over and above the permitted number of Research Scholars mentioned above. However, at any point, the total number of Research Scholars under a faculty member, either as a Supervisor or a Co-Supervisor, shall not exceed the number prescribed above.

8. Prevailing Reservation criteria of State Government and / or Central Government from time to time should be strictly followed by Supervisor and Co-Supervisor and Head of the Research Centre for admitting and registering Research Scholars under a Supervisor.

9. In case of relocation of a female Research Scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the Research Scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution / Supervisor by any funding agency. Such Research Scholar shall, however, give due credit to the parent institution and the Supervisor and Co-Supervisor for the part of research already undertaken.

10. Recognized Research Supervisors with less than three years of service before superannuation shall not be allowed to take new Research Scholars under their supervision. However, such faculty members can continue to supervise Research Scholars who are already registered before superannuation, can admit new Research Scholars as a Co-Supervisor and continue as a Co-Supervisor but not after attaining the age of 70 years.

11. For a change of Supervisor during the Ph.D. program, the Research Scholar should submit the following documents in the University Office –

i) Application (No Objection letter) of Research Scholar

ii) No Objection letter of existing Supervisor forwarded by Head of the Research Centre

iii) No Objection letter of allotted new Supervisor forwarded by Head of Research Centre

iv) No Objection letter of Head of Research Centre

v) In case of the present Supervisor is not in a position to supervise the Research Scholar (due to death, terminal illness or any other circumstances) then the head of the concerned research centre will provide the new Research Supervisor for the Research Scholar with the permission of the University Office preferably with supporting medical documents of the present Research Supervisor and justification for requirement of the new Research

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Supervisor. [Documents in (i), (iii) and (iv) mentioned above are required]

vi) Care-Taker Research Supervisor, preferably in the same / allied subject, may be provided by the head of the research centre with the permission from the University Office in case the present Research Supervisor is not in a position to supervise the Research Scholar (due to death / terminal illness / Supervisor not responding etc.) after the submission of Thesis but before the conduction of open defence viva-voce, provided there is no Co-Supervisor in the case. For the Care-Taker Supervisor the limit of Research Scholars prescribed shall not apply.

vii) For any of the conditions mentioned above in clause (11) (i) (ii) (iii) (iv) (v) (vi) not fulfilled for any reason then the concerned subject RRC and subsequently the Board of Deans will be the competent authority to permit and facilitate for Change of Supervisor (subject to final decision in court of law if the matter is sub-judiced).

viii) If present Supervisor is not in service due to disciplinary action (suspension / termination etc.) and not willing to give No Objection letter to the registered Research Scholars then the concerned subject RRC and / or the Board of Deans will be the competent authority to permit and facilitate for change of Supervisor (subject to final decision in court of law if the matter is sub-judiced).

ix) Self Supervisor (Self-Guide) will not be allowed under any circumstances

x) Change of Supervisor only from the same Research Centre is permitted and it has to be facilitated by Head of the Research Centre.

12. Subject to fulfilment of conditions in (1) & (2) above, Research Supervisor Recognition can be granted to existing Supervisors of any other University (recognized by UGC or any other Central Authority) provided they have successfully supervised at least one Ph.D. awarded Research Scholar in the previous University. However, they shall not register fresh Research Scholars under their supervision from previous University or any other University even during their lien period.

13. Recognized Research Supervisors of this University in one subject may be recognized in any other subject/s of this University if they fulfil the eligibility criteria and / or deemed to be fit by the competent authorities (concerned subject RRC and subsequently BoD) and does not enrol more than the number of Research Scholars for Ph.D. in various subjects taken together as per clause (7) above and UGC Regulations.

14. If a recognized Research Supervisor of UoM joins other University or a College / Institute etc. of other University or joins any other company / organization etc. then the Supervisor can continue with the Research Scholars already registered at the material time. However, the Supervisor will not be allowed any fresh Research Scholars to be registered even during the Lien Period.

15. If a recognized Research Supervisor of UoM assumes a charge at higher position on deputation or otherwise in the UoM or the Govt., then the Supervisor shall deemed to enjoy the status of recognized Research Supervisor. In such cases the Supervisor can continue with the existing Research Scholars as well as can register fresh Research Scholars.

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16. CA / CS / ICWA qualification be considered equivalent to PG (Masters') Degree as per UGC's Public Notice D.O.No. 9-35/2016 (CPP-II) dated 15th April, 2021.

17. If a candidate applying for Research Supervisor recognition is fulfilling all the eligibility criteria stipulated for a recognized Research Supervisor but the College / Institute in which working as a Full Time Approved Regular Faculty member is not a Research Centre then the candidate can be granted Research Supervisor recognition by the RRC. However, the said candidate can register Research Scholars only from the parent College / Institute (in which working as a Full Time Approved Regular Faculty member) becomes a recognized Ph.D. Research Centre of UoM in the concerned subject.

18. For existing Research Supervisors who have presently registered Research Scholars from other Colleges / Institutes (where they are not a Full Time Approved Regular Faculty member) then in such cases they are permitted to complete these Research Scholars under their supervision. However, henceforth they cannot admit / register new Research Scholars under their supervision from other Colleges / Institutes where they are not a Full Time Approved Regular Faculty member. In such cases, any new Admission / Registration, post commencement of this regulation shall be null and void, if not as per the norms of these regulations. The Head of the concerned Research Centre (Director / Principal / Head of the University Department etc.) and the Research Supervisor will be responsible for the consequences there of, if the norms of these regulations are not followed strictly.

19. If a research supervisor who is already recognized to supervise students for Ph.D. degree in a Research Centre under the UoM is transferred to / appointed in another Research Centre under the UoM, the recognition shall continue in the new Reserarch Centre,

Provided that the Research Supervisor informs to the University about such a change and interest to continue the recognition, and produces a no objection certificate from the Head of new Research Centre and receives permission from the UoM,

Provided further that the new Research Centre is recognized by the University for the Ph.D. Degree in the subject concerned.

Provided that the research supervisor is not permitted to register new Research Scholars in the previous Research Centre or any other Research Centre.

20. It shall be within the jurisdiction of the RRC and / or Board of Deans, after following due procedure, to suspend temporarily / withdraw / cancel / terminate the recognition of a Research Supervisor at any time on account of persistent irregularity / indiscipline in the academic duties without any valid reasons, or if the Research Supervisor is found to be involved in - violation of rules, administrative / academic lapses, wilful and perpetual negligence of duties, malpractices, plagiarism, activity involving moral turpitude, fraudulent academic accomplishments, or behavior / actions are against the Code of Conduct or Research / Profession.

21. Research Supervisor is mandatory for entire duration of Ph.D. program of the Research Scholar irrespective of the existence of Co-Supervisor. In case of any academic dispute between the research supervisor and co-supervisor, the decision of the research supervisor will be final and binding.

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22. The documents submitted by the candidates for Research Supervisor Recognition and Co-Supervisor Recognition and PG Teacher Recognition will be preserved for a minimum duration of six months from the date of decision in the BoD meeting (if the matter is not sub-judiced).

23. The documents submitted by the Research Scholars for Ph.D. program will be preserved for the minimum duration of six months from the date of viva-voce wherein the said Research Scholar is declared eligible for the award of Ph.D. degree (if the matter is not sub-judiced).

24. For any cases which are not covered under these Regulations may be forwarded to Board of Deans / Academic Council / Vice-Chancellor, as required, for guidance and directions.

Note: Group of allied / cognate subjects will be determined by Board of Deans and will be reviewed as and when required.

R.PhD.34 - Academic, research, administrative, and infrastructure requirements to be fulfilled by Colleges for getting recognition for offering Ph.D. programs

(1) Colleges / Institutes offering duly running approved Post-graduate (Master) Programs OR 4-year Undergraduate Programs (Honours with Research) may offer Ph.D. programs, provided they satisfy the availability of status of Research Guides, required infrastructure, and supporting administrative and research facilities as per these Regulations.

(2) Colleges / Institutes and research institutions established by the Central Government / State Government or other research organisations whose degrees are awarded by Higher Educational Institutions shall offer Ph.D. programs provided they have the following -

i.) At least two faculty members in a college / Institute as Research Guides or two Ph.D.-qualified scientists in the research institution as Research Guides, in the concerned subject.

ii.) Adequate infrastructure, administrative support, research facilities and library resources as specified by the HEI.

(3) If there is only one Research Guide in the College / Institute in the subject then a Co-Guide in interdisciplinary / allied subject / discipline in the College / Institute can be considered for recognition as a Research Centre.
(4) For an existing Ph.D Research Centre if the number of Research Guides fall below two on account of superannuation / disciplinary action / sad demise / transfer etc., then the recognition of the Research Centre will be temporarily suspended for new admissions till the Research Centre gets one additional Guide and / or Co-Guide in the same or allied subject / discipline so that the criteria of minimum two Guides requirement is fulfilled.

(5) The recognition of the Guide will be given in maximum of three subjects in the same faculty or interdisciplinary faculty. They may be counted for minimum Guide requirement for recognition of Research Centre. However number of students will remain the same as per the maximum quota for the research guide as stipulated by the UGC from time to time.
(6) For any cases which are not covered under these regulations may be forwarded to

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Board of Deans / Academic Council / Vice-Chancellor, as required, for guidance and directions.

Note : 1) Group of allied subjects will be determined by the Board of Deans and will be reviewed as and when required.

2) Co-Guide is for purpose of recognition of research centre from allied subject / discipline / interdisciplinary faculty

R.PhD.35 - Eligibility Criteria to be a Recognised Post-Graduate (PG) Teacher of the University

1) Should be a full time approved regular faculty member in the affiliated college / institute of the University of Mumbai (UoM) which should presently have a recognised running Master's program in the concerned subject / discipline.

2) A Master's degree by papers in the subject in the first class or in equivalent grade and three years of University approved experience of teaching subject to degree classes at the Principal / major / main level.

OR

A Master's degree by papers in the second class in the subject or in equivalent grade and five years of University approved teaching experience in the subject to degree class at the Principal / major / main level.

OR

A Master's degree by research in the subject and published work of acknowledge merit in the subject (minimum two publications other than publications based on the thesis submitted by them for the concerned degree) with five years of University approved experience of teaching the subject to degree classes at the Principal / major / main level.;

OR

A Ph.D. degree, in the concerned Faculty and either two years of University approved experience of teaching the subject to degree classes at the Principal / major / main level or published work of acknowledged merit in the subject (minimum two publications other than publications based on thesis submitted by them for the concerned degree)

OR

A Master's degree in the second class in the subject or equivalent grade and an M.Phil. and three years of University approved experience of teaching the subject to the degree class at the Principal / major / main level.

3) The number of PG Teachers for PG Centre will depend on the number of students in that programme / subjects in that college / institute.

4) For any cases which are not covered under these Regulations may be forwarded to Board of Deans / Academic Council / Vice-Chancellor, as required, for guidance and directions.

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University of Mumbai

No. RAPC/2026/15700

1st January, 2026

Circular :-

The Directors / Principals / Heads / Co-ordinators of the affiliated Research Institutes / Colleges / University Departments / Sub-Campuses and all other concerned stakeholders are hereby requested to note that the Management Council at its meeting held on 29th November 2025 (vide item no. 11) accepted the new Regulations for Ph.D. (R.PhD. 1 to R.PhD. 35) recommended by the Academic Council at its meeting held on 3rd November 2025 (vide item no. 3.5). The said Regulations as per Appendix are in accordance with the UGC Regulations dated 7th November 2022 for Ph.D. and are brought into immediate effect from 1st January, 2026.

The Directors / Principals / Heads / Co-ordinators of the affiliated Research Institutes / Colleges / University Departments / Sub-Campuses are instructed to bring the above contents of this circular to the notice of all the concern stakeholders and to act accordingly.

Deputy Registrar 01/01/2026
RAPC

Copy for information and necessary action to The Directors / Principals / Heads / Co-ordinators of the affiliated Research Institutes / Colleges / University Departments / Sub-Campuses.

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