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## Shivaji University, Kolhapur



# Ph. D. : Prospectus

For the Academic Year : 2015-16

For more Information : [www.unishivaji.ac.in](http://www.unishivaji.ac.in)  
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### List of Abbruations Used

Abbruation	Full Form
BCUD	Board of College and University Development
BOS	Board of Studies
BUTR	Board of University Teaching & Research
CSIR	Council of Scientific & Industrial Research
COE	Controller of Examinations
DRC	Departmental Research Committee
EFLU	English and Foreign Languages University
JROD	Joint Report of Open Defence
MCQ	Multiple Choice Questions
PPPR	Partly by Paper Partly by Research
QIP	Quality Improvement Programme
RRC	Research and Recognition Committee
T & D	Theory and Dissertation
UGC	University Grants Commission

## Shivaji University, Kolhapur.

### Rules for Ph.D. course (2015-2016)

#### R.Ph.D. 1 DATE OF APPLICATION :

A candidate seeking admission to the Ph.D. Degree shall apply to the Director, Board of College and University Development (BCUD), in the prescribed application form.

#### R.Ph.D. 2 ELIGIBILITY :

For admission to the Ph.D. programme in a related subject of concerned faculty, the applicant shall fulfil the following conditions:

- i. Candidate who has secured minimum of 55 % marks (50% for SC/ST category) at Post-Graduate degree examination or its equivalent degree with equivalent grade points in a relevant subject of this University or of any other University as equivalent thereto.  
OR
- ii. Candidate who has done Master's degree by research such as M.Sc. PPPR / M.Sc.-T&D, M. E./M.Tech of this University or of any other University recognized by this University as equivalent thereto.
- iii. Approved teachers serving in the affiliated colleges with postgraduate degree with minimum 50% marks.
- iv. Candidate who has obtained P.G. degree before 19<sup>th</sup> September, 1991 with minimum 50% of marks.
- v. Persons working in National Laboratories/ Educational or Research Institutes / Government / Semi Government / Private Organizations nominated / sponsored by the respective employer and should have a Post Graduate Degree with minimum 50% marks with at least 10 years experience in the relevant field.
- vi. Persons with exceptional abilities and passed Post Graduate Degree Examination with 50% of marks and with 10 years experience after Post Graduation in related fields.
- vii. A Senior citizen of 65 years of age and above, or eminent person with proven publications having Post Graduate Degree with 50% marks, in exceptional cases at the discretion of Hon. Vice-Chancellor on academic basis, the candidates may be exempted from entrance test and interview.
- viii. The fellow members of the Institute of Chartered Accountants or Institute of Cost and Works Accountants or having qualification of Company Secretary shall be held eligible

for registration for Ph.D. in the subject of concerned Board of Studies (BoS) in the Faculty of Commerce provided that they possess a Bachelor's Degree of any statutory University. Such candidate should have at least 5 years of professional experience.

- ix. Candidates appearing for the post graduate final year examination may appear for the entrance test. He/She should submit the result of qualifying examination at the time of interview. Failure to which his/her score in the merit will be calculated excluding his/her score in the P.G. degree course provided he/she fulfils all the eligibility criteria at the time of admission.
- x. Candidates, working in National Laboratories/ Educational or Research Institutes/ Government / Private organizations fulfilling the above conditions and nominated/ sponsored by the respective employer, will have to submit no objection certificate.
- xi. Final eligibility will be confirmed after the approval of the synopsis by Research and Recognition Committee (RRC) and payment of requisite fees along with submission of the relevant documents.
- xii. The candidates shall be held provisionally registered for Ph.D. till their final eligibility certificate is issued by Eligibility Section to PGBUTR Section. The PGBUTR Section will not place the synopsis of Ph.D. candidates before the Research and Recognition Committee, unless the final eligibility process has been completed. Candidates will be informed about their eligibility status by BUTR Section.

### **R.Ph.D. 3 ENTRANCE TEST AND INTERVIEW :**

- i. **Nature of the Examination :**
  - a) Examination will consist of Written Test and Interview
  - b) For each subject question paper will be of 100 marks (50 MCQs of 2 marks each)
  - c) Entrance Examination will be offline/online.
  - d) The duration for the examination will be one and half hour.
  - e) A candidate will be held eligible for Interview only if he/she secures minimum of 40 marks (35 marks for SC/ST Category) in the Written Test
  - f) The Interview is compulsory for all the candidates.
- ii. The Entrance Test will assess the depth of the candidate's knowledge in the relevant subject. The syllabus for the Entrance Test, except in the Faculty of Engineering & Technology will be based on the compulsory papers at the Master's Degree Level and introductory aspects of research methodology relevant to the subject. The syllabus for Entrance Test for the Faculty of Engineering and Technology will be based on GATE syllabus and introductory aspects of research methodology in relevant subject. At the

time of interview, candidates are expected to discuss their research interests/areas and the research methodology.

- iii. a) Those candidates who have passed UGC-CSIR-NET / SLET / SET / GATE /P.G.D.T.E. (Post Graduate Diploma in Teaching English of EFLU, Hyderabad) BET/GPAT/ M. Phil (obtained the degree or passed only theory examination) may be exempted provided that they submit the proof of passing of these examinations, However, they have to appear for the Interview. Where a Candidate has done M.Phil. from Other University and applying for admission to Ph.D. Course, such a candidate will have to appear for the Entrance Test and Interview. The Candidates having UGC-CSIR-NET/SLET/SET/ GATE/P.G.D.T.E. (Post Graduate Diploma in Teaching English of EFLU, Hyderabad) BET/GPAT/ M.Phil. from Home University are exempted from the Entrance exam however they can appear for Entrance exam if they so wish.

**Special Provision for UGC/CSIR/DST/JRF/SRF etc Qualified candidates. :**

Those candidates qualified for fellowships from the Apex Bodies in Higher Education/Funding agencies or qualified for UGC-CSIR/DST/JRF/SRF etc. will be exempted from Entrance Test, but they have to appear for the Interview before the Departmental Research Committee (DRC). To such candidates D.R.C. will allot the Guide/Supervisor/Co-Guide/Co-Supervisor.

- b) Foreign candidates (those who have not obtained Master's degree from Indian Universities) are exempted from appearing for written test, however, they should appear for Interview in person / telephonic / online.
- iv. If M.Phil. student wants to take admission to Ph.D. course after passing M.Phil theory examination, he/she may be allowed to do so. He / she will be exempted from Entrance Test but will have to appear for the Interview.
- v. Candidates admitted through QIP- Ph. D. scheme of AICTE at the QIP research centre, after satisfying all the requirement, of the QIP scheme are exempted from the entrance test and interview, to enable them to register for the respective Ph.D. programme of the University.
- vi. A candidate seeking admission to Ph.D. Course in University departments/centres at affiliated colleges/recognized institutes shall have to pass the Entrance Test in the relevant subject. In case of the interdisciplinary subjects, the candidate should apply for the Entrance Test in the desired subject of Ph.D. The Interview will be conducted by Departmental Research Committee. In case of non-existence of the Department in the University, the Interview will be conducted by the committee constituted by the Hon. Vice-Chancellor.

- vi. Foreign candidates can apply any time during the year.
- vii. Qualifying in the Entrance Test does not essentially mean the guarantee for admission.

#### **R.Ph.D. 4 DEPARTMENTAL RESEARCH COMMITTEE (DRC)**

##### i. The constitution of DRC

1.	Head of the Department	Chairperson
2.	One Senior Professor (by rotation)	Member
3.	One Senior Associate Professor (by rotation)	Member
4.	Chairperson of concerned BoS	Member
5.	Two P.G. teachers (nominated as mentioned below) from the recognized Ph.D. centres /affiliated colleges	Members

(Note :- Two P.G. teachers are to be nominated by the Dean of the concerned Faculty in consultation with Head of the Department (HOD), in absence of the HOD in consultation with BoS Chairperson).

All the above members necessarily be research Guides/Supervisors for Ph.D. and one of them should be from reserve category and one must be woman member. It is responsibility of the member from the reserve category to observe the reservation policy of Government of Maharashtra.

If DRC cannot be constituted as above, due to the small size of the Department, then the recognized research Guides/Supervisors from the affiliated colleges / recognized institutes may be nominated as members by the Dean of the concerned faculty for the formation of DRC.

##### ii. The CRC to conduct Interview in the subject where University Department does not exist will be constituted by the Hon. Vice-Chancellor as follows :

1.	Senior Professor	Chairperson
2.	Chairperson, Board of Studies in the concerned subject.	Member
3.	Two subject experts to be nominated by the Hon. Vice-Chancellor (who shall be research Guides/Supervisors for Ph.D. and one of them should be from the reserve category).	Members
4.	One subject expert from research centre (by rotation) who shall be a research Guide/ Supervisor.	Member

- iii. Quorum for DRC/CRC meeting will be three. The tenure of the DRC/CRC will be of two academic years.
- iv. The approval of the DRC/CRC has to be obtained from the Hon. Vice-Chancellor in the month of March/April.

#### **R.Ph.D. 5 MERIT LIST :**

The Written Test will be of 100 marks and Interview will be of 10 marks.

Merit list will be prepared as under :

- i. The weightage of the candidates, appearing for the Entrance Examination will be as under.
  - a. Total percentage of marks/grade/credit secured in the Post Graduate Degree Examination will be converted to **50%**.
  - b. Total marks secured in the Entrance Examination will be converted to **40%**.
  - c. The marks secured in the Interview out of **10**.
  - d. Total of a, b and c will be out of **100**.
- ii. For the students who are exempted from the entrance test, the merit list will be prepared as follows :
  - a. Total percentage of marks/grade/credit secured in the P.G. Degree will be converted to **90%**.
  - b. The marks secured in the interview out of **10**.
  - c. Total of a & b will be out of **100**.
- iii. Admission will be based on the combined merit list prepared as per (i) and (ii) above.
- iv. All admissions will be processed through the DRC and CRC .
- v. The reservation policy of Government of Maharashtra will be followed for admission quotas.
- vi. The merit list of selected candidates prepared by the DRC/CRC will be valid for that particular academic year.
- vii. There is no provision of supply of photocopy or re-evaluation of the answer books.
- viii. In case of students from Other Universities applying for admission to Ph.D. course, it shall be necessary to ensure equivalence of the courses offered by the said students. The quota for the students from Other Universities is 10 (Ten) percent of the intake capacity. The reservation rules are applicable to 10% quota. The quota for the Home University Students is 90% (Ninety) percent. Those who have obtained PG degree or M.Phil. degree or Ph.D. degree from other Universities, shall be considered as Other Universities students. Those who have obtained PG degree from Home University and M.Phil. or Ph.D. degree from Other University shall be considered as Home University students.



#### **R.Ph.D. 6 ALLOTMENT OF THE RESEARCH GUIDE/SUPERVISOR :**

- i. Allotment of the Research Guides/Supervisors shall be decided by the DRC/CRC depending on the number of students per research Guide/Supervisor, available specializations among the research Guides/Supervisors and as per the research interests of the student as indicated during interview. The allotment of research Guide/Supervisor shall not be left to the individual student or Guide/Supervisor.
- ii. The student should indicate preferences for three areas of specializations for Research at the time of interview.
- iii. The recognized Guides/Supervisors should individually submit the subject-wise details about the availability of seats to the BUTR Section. A Guide/Supervisor shall not supervise at any given point of time, more than 8 Ph.D scholars. Every Guide/Supervisor has to admit the number of student/s which he has asked, provided sufficient number of eligible candidates are available.
- iv. BUTR section will communicate to selected candidates about guide allotment.
- v. In case of vacancies available the candidates may be admitted from the waiting list from January 1.

#### **R.Ph.D. 7 REGISTRATION PROCEDURE :**

A candidate should apply for registration to the Ph.D. programme in the prescribed application form along with following documents:

- i. Twelve copies of research proposal / synopsis as indicated in the Annexure-I
- ii. A copy of the statement of marks / certificates (Post Graduation degree, M. Phil. / NET / SET / GATE / BET/JRF etc.)
- iii. Migration and Transfer Certificate (whichever in necessary).
- iv. The registration form duly filled in and signed along with registration fees as prescribed by the university from time to time will be forwarded to the Director, BCUD through the Head of the University Department / Principal / Director of Recognized Institution.
- v. Authenticated copy of professional experience along with copies of the published research work in the proposed area wherever necessary.
- vi. Sponsorship letter from the Institution or Company wherever necessary.
- vii. Fee structure shall be as prescribed by University Authorities from time to time.(Annexure-VI)

#### **R.Ph.D. 8 RESEARCH GUIDE/SUPERVISOR :**

A candidate will work under recognized research Guide/Supervisor of the University allotted by DRC/CRC provided that he / she is not relative (such as husband / wife / daughter / son / brother / sister) of the Guide/Supervisor/Co-Guide/Co-Supervisor.

##### **i. Guidance by Co- Guides/Co-Supervisors :**

- a. If the research topic is of interdisciplinary nature then the scrutiny committee will recommend for co-guide based on interdisciplinary nature of proposed research work. The letter regarding Co-Guide/Co-Supervisor will be issued by PGBUTR Section after approval by concerned RRC.
- b. The candidate can pursue the research in the interdisciplinary subject under two guides but he/she will get his/her degree in the subject in which he/she has secured his/her post graduate degree. The DRC/ CRC of the subject in which he/she secured post graduate degree will scrutinize the synopsis and other related issues. In such circumstances the matter may be referred to the Ad hoc Board of Multi Faculty Interdisciplinary Studies or Interdisciplinary Studies in the faculty and its decision will be final.
- c. A Guide/Supervisor shall supervise maximum 8 candidates. He /She can also supervise 4 more students as a co-Guide/Co-Supervisor. No seat will be considered vacant for admission purpose till the final result of the student is declared by COE.

##### **ii. Guidance by Co-Guide/Co-Supervisor / New Guide/Supervisor :**

- a. In case of demise or ineligibility of the Guide/Supervisor on any grounds the BUTR section with the recommendation of R.R. Committee will allocate new Guide/Supervisor to candidate according to his / her specialization.
- b. If 50% or more work has been completed by the candidate under the deceased Guide/Supervisor the recognized co-Guide/Supervisor may be appointed by BUTR section to supervise the work of the candidate. The name of the deceased Guide/Supervisor be printed on the thesis along with the name of Co-Guide/Co-Supervisor.

##### **iii. Independent Research ( without Guide/Supervisor)**

The candidate may work independently on the recommendation of RRC subject to the approval of Hon. Vice-Chancellor on fulfillment of the following conditions:

- a. He / she should satisfy the eligibility conditions and should have a fulltime teaching / or research experience of at least 10 years. He / She should have at least 3 research publications with ISBN / ISSN and with impact factor of 2 and above.

- b. He / She should submit his 6 monthly progress report through the Head of University department. In case the University department does not exist, it should be submitted to BUTR section.
  - c. All other conditions for Ph.D. course are applicable.
- iv. Transfer of Guide/Supervisor

In the case of transfer of Guide/Supervisor from the institution, where the candidate is registered and the candidate has worked for minimum 3 terms with him/her shall continue to work under the same Guide/Supervisor. A candidate who has worked for less than 3 terms will be transferred to a new Guide/Supervisor by BUTR section on the recommendation of the RRC. However, the candidate should submit no objection certificate from the previous Guide/Supervisor for continuation of the same topic as well as the acceptance letter from the new Guide/Supervisor.

- v. Change of the Guide/Supervisor

All the cases related to change of Guide/Supervisor will be finalized by BUTR on the recommendations of RRC subject to the fulfillment of following conditions.

- a. Guide/Supervisor can be changed after submission of minimum two progress reports.
- b. No objection certificate from the previous Guide/Supervisor as well as continuation of the topic.
- c. Acceptance from the new Guide/Supervisor. In case of dispute, the Hon. Vice-Chancellor's decision will be final.
- d. In case of demise of a Guide/Supervisor, the candidate shall have to apply for change of Guide/Supervisor to BUTR section.

#### R.Ph.D. 9 RESEARCH PROPOSAL / SYNOPSIS :

- i. After submission of a research proposal / synopsis by a student for registration to the Ph.D. degree course, the student along with his Guide/Supervisor should be called before a Scrutiny Committee for presentation.
- ii. The Scrutiny Committee shall consist of

1.	The Head	Chairperson
2.	The Chairperson of BOS (concerned subject.)	Member
3.	Two experts nominated by the Dean of the concerned faculty in consultation with Head and BOS Chairperson,	Member
4.	Guide/Supervisor of the research student	Member

The Head of the Department will act as the Chairperson of the Scrutiny Committee. The Scrutiny Committee will go through the details of the proposal and will instruct the student to submit the proposal or modify the proposal or to submit new proposal for the consideration of the RRC. scrutiny committee may recommended for co-guide based on interdisciplinary nature & research work proposed in synopsis. The quorum for the Scrutiny Committee shall be three. Guide/Supervisor of Research student must be present for Scrutiny.

- iii. In case of the resubmission of the modified proposal, specific written instructions should be given to the concerned candidate. The resubmitted proposal will be forwarded by the Chairperson of the Scrutiny Committee along with remarks to the BUTR section.
- iv. Where University Department does not exist a Scrutiny Committee will be constituted by the Hon. Vice-Chancellor consisting of Chairperson, Guide/Supervisor, two experts, and the Chairperson of the Board of Studies of the concerned subject.
- v. All applications will be scrutinized by the Scrutiny Committee with its recommendations and shall be placed before RRC for its final approval.
- vi. The procedure and processing of applications at the RRC will be as follows :
  - a. All applications will be placed before the RRC for provisional approval of titles / synopses of proposed research work.

- b. After the approval of the title and synopsis by the Research and Recognition Committee, a confirmation letter will be issued and the candidate will be asked to pay the necessary fees within one month.
- c. After final registration, the title of the topic with details of the student, Guide/Supervisor and institute will be displayed on the University website to avoid duplication.

#### **R.Ph.D. 10 MAXIMUM PERIOD :**

- i. The maximum period for Ph.D. programme for thesis submission shall be 6 (Six) years. If the thesis of the candidate is ready after the expiry of 6 (six) years, He / she may be allowed to submit his/her thesis by an extension by re-registering his/her name after paying the prescribed fees. He/she may submit his/her thesis within two years from the date of extension of registration. If he/she fails to submit his/her thesis within two years from extension of registration his/her performance as well as registration will stand cancelled. For extension of registration he/she should apply through Guide/Supervisor in the prescribed application form signed by concerned HOD and Principal.
- ii. M.Phil students who have completed and passed the course work and wish to convert their research work for Ph.D. with meaningful extension of the topic of research approved by the Scrutiny Committee and the RRC, The student may submit the thesis after completion of minimum period of one year from the date of registration for Ph.D.

#### **R.Ph.D. 11 COURSE WORK :**

Candidates who have registered for Ph.D. will have to complete the course work for minimum period of one year duration before the submission of spiral bound thesis.

- i. A candidate who has obtained M.Phil degree or has completed his / her theory course as per new UGC Rules and Regulations (of July-2009) shall be exempted from Ph.D. course work.
- ii. A Candidate who has passed M. Phil. degree after 11<sup>th</sup> July, 2009 and who has completed prerequisite course on Quantitative Techniques and Computer application conducted by Shivaji University will be exempted from Ph. D. course work.
- iii) In the following cases, Ph.D. course work shall be compulsory.
  - a) A candidate has registered directly for Ph.D.

- b) M.Phil registration of a candidate is converted into Ph.D.registration.
  - c) In the case of candidate seeking admission after completing M.Phil Course work/ M.Phil Degree (old i.e. prior to UGC norms of July-2009) then the part of Ph.D. course work in respect of 'Computer Applications & Quantitative Methods shall be compulsory
  - d) In Case candidates having M. Phil. Degree from other University the course work with respect to Computer Application & Quantitative Methods shall be compulsory.
- iv) The course work shall contain following papers :
- 1. Research Methodology 100 marks
    - a. Quantitative Techniques
    - b. Computer Applications
  - 2. Recent Trends in the subject concerned 100 marks
  - 3. Optional papers (based on specialization) with 80 marks of University examination + 20 marks for presentation of a review on published research papers from national/ international journals on the concerned specialized areas. The Departments should identify some specialized research papers and prepare their syllabi. The same should be approved by the Bos/Ad hoc Boards as the case may be.
- v. The pattern of M.Phil theory course work and Ph.D course work shall remain same and it will be taught in the Department/College/Centre as per the given scheme.
- vi. The medium of instruction of the course work shall be English except the papers in languages.
- vii. The nature of question paper for the subject / paper shall be as indicated below:
- 1) Short answered questions
  - 2) Long answered questions
  - 3) Short notes
  - 4) Solutions/exercise oriented questions/Problems.
- Note:**
- a) There shall be equal justice of numerical marks given to the pattern above.
  - b) Apart from the Nature of Questions prescribed above, flexibility shall be offered for paper setting in the subjects /papers like Mathematics, Statistics and the subjects/papers under the Faculty of Engineering and Technology.
- viii. The student should write the answers in English except language subjects.
- ix. The student has to secure minimum 40% marks to complete the course work in individual head (1), (2) and (3) stated in (iv) above.

#### **R.Ph.D. 12 PROGRESS REPORT :**

- i. Each candidate shall submit to the Director, BCUD through his / her Guide/Supervisor six monthly progress report, in pro-forma as per the **Annexure-V** ending June 30<sup>th</sup> and December 31<sup>st</sup> every year.
- ii. If a candidate fails to submit two consecutive progress reports as stated above he/she shall be asked to give the reasons, within a period of one month. After one month, all such cases, will be placed before the RRC for its consideration.

#### **R.Ph.D. 13 CHANGE IN TITLE :**

- i. A candidate may be allowed to make minor changes in the title of his / her research work subject to approval by the RRC and provided that he / she applies for the change at least six months before the anticipated date of submission of his / her thesis or earlier. The candidate shall submit his application duly recommended by the Guide/Supervisor, through the concerned HoD of University Department. (BUTR section, in case the University Department does not exist).
- ii. If the change in the title involves major changes in the content of the work, matter may be referred to DRC / CRC and on their recommendations the Research and Recognition Committee will take the decision.

#### **R.Ph.D. 14 SIZE, STYLE & BINDING OF THESIS :**

A candidate submitting Ph.D. thesis for the award of Ph.D Degree is required to follow the rules regarding the font, style and binding of thesis, except in special case in which the Guide/Supervisor or Head of Institute recommends that it will not be possible to comply with the requirements of these rules giving reasons. The Thesis should be written with following Specifications’.

- i. For Theses writing “Times New Roman” font should be used. Size of the paper should be A-4 size, except for drawings, graphs, photographs and maps on which no restriction is placed. A margin of 3.5 cms be left on the left hand side and bound in a standardized form. A line spacing of 1.5 be followed and printed on both sides.
- ii. The title, degree, year, subject, faculty, name of the student and the Guide/Supervisor should be printed neatly and legibly on the front cover as indicated in Annexure-II
- iii. A thesis which consists of a collection of pamphlets or excerpts / published papers or a single pamphlet must be bound in a similar manner as said above.
- iv. The candidate should submit four hard bound copies (black cover with golden embossed letters ) of thesis along with CD of the same.
- v. The Ph.D. thesis should contain:-

- a. Results of the research stating whether the work is based on the discovery of new facts by the candidate or of new relations of facts observed by others and how the work contributes to the general advancement of knowledge.
- b. The candidate shall indicate the sources from which his/her information has been derived and the extent to which his/her work is based on the work of others and shall indicate which portion or portions of his/her thesis he/she claims to be original
- c. The candidate's Declaration (As prescribed in Annexure-III)
- d. Guide/Supervisor's Certificate (As prescribed in Annexure IV).
- e. The language of Ph.D. thesis shall be English except for the theses in modern European and Indian languages.
- f. A candidate submitting his / her thesis in the subject relating to Social sciences, Education, Physical education, Arts & Fine arts may write his / her thesis in Marathi provided the same is recommended by the Guide/Supervisor submitted through HoD and is approved by the RRC-however a candidate has to submit a synopsis summary of thesis in English.
- g. The language used in the thesis should be grammatically correct and of appropriate standard with no typographical mistakes.

#### **R.Ph.D. 15 SUBMISSION :**

- i The candidate will not be allowed to submit his/her thesis unless he/she works for four terms.
- ii. A candidates shall publish one research paper in a refereed Journal (approved by concernd BoS) before the submission of the final thesis. If the research papers are published in Journals with ISSN/ISBN, these journals must be published continuously from last five years. As evidence of the same the candidate should submit acceptance letter or the reprint, singed and certified by Dean/HOD.
- iii. A candidate may submit one copy of draft thesis (spiral bound) any time during the year, after the completion of minimum prescribed period of two years and the passing of course work to the HOD for the scrutiny.
- iv. The research student shall make a presentation of his/her thesis before the Scrutiny Committee at least two months prior to final submission of the thesis, He/she shall incorporate suggestions made by the committee and then the thesis shall be submitted to the office through HOD. In case of non-existence of the Department a student can submit the thesis directly to BUTR section.
- v. A candidate shall submit twenty copies of abstract and four copies of the thesis with necessary fees along with soft (CD) and hard copy. In the case of a Ph.D. candidate of Interdisciplinary faculty he/she has to submit 30 copies of the abstract. A candidate



may be permitted to submit the abstract and final thesis separately. However, the candidate shall have to pay the term fees till he/she submits his/her final thesis.

**R.Ph.D. 16 APPOINTMENT OF REFEREES :**

- i. The RRC in the subject concerned shall suggest the names of eight experts to the BUTR. Out of which four shall be from the state and remaining four shall be from outside the state. The Guide/Supervisor shall be the internal referee. In case of student admitted for Ph.D. in an interdisciplinary subject, the RRC will suggest four names from each discipline of interdisciplinary subject to the BUTR. In case of candidate who is working independently, the RRC will suggest four names of University recognized Guides/Supervisors to the BUTR for appointment of internal referee.
- ii. Thesis submitted by Ph.D. student shall be evaluated by the Guide/Supervisor as an internal referee and by at least two external experts, out of which one will be from outside the state.
- iii. The external referees should communicate their willingness or otherwise to evaluate the Ph.D. thesis within one month of the receipt of University letter. The internal and external referees should submit their evaluation reports within one month of the receipt of the thesis in a prescribed proforma along with a detailed report.
- iv. In the event of rejection of the thesis by one external referee the next external referee shall be appointed by the Hon.Vice-Chancellor.
- v. Unanimous final recommendation of the external referees may be accepted by the Hon. Vice-Chancellor.
- vi. If revision of the thesis is suggested by one of the external referees, the thesis should be revised by the candidate for resubmission as suggested by the referee. The revised thesis shall be sent to the same referee (who has suggested the revision) for evaluation.
- vii. If revision of the thesis is suggested by both the external referees, the thesis is considered for resubmission provided that the following conditions are fulfilled.
  - a. Half the tuition fee is to be paid by the candidate for resubmitting the thesis after revision along with examination fee.
  - b. Laboratory and examination fees are to be paid fully by the candidate for conducting research in the University Departments.
  - c. The revised thesis will have to be submitted by the candidate within the maximum period of two years.
  - d. The revised thesis shall be sent to the same referees for evaluation along with both the previous reports.
- viii. The thesis rejected by both the external referees will not be considered for resubmission.

#### **R.Ph.D. 17 OPEN DEFENCE (O. D.) :**

There shall be a viva-voce with open defence. The open defence shall be conducted only after receiving the positive reports from the referees. One of the external referees nominated by the Hon. Vice-Chancellor and the internal referee shall conduct the open defence of the candidate within one month. The Head of the Department or the Dean of the concerned faculty or the senior teacher in the subject concerned nominated by the Hon. Vice-Chancellor shall act as Chairperson for the open defence. The other external referee may send questions in writing to the referees attending the viva-voce to seek clarification on any point in the thesis. The queries raised by the external referees in their reports be placed before the open defence committee. The open defence of the candidate shall be conducted as follows.

- i. After the receipt of positive report from external referees, date for open defence shall be arranged in consultation with one external referee by the Chairperson, who is to conduct the open defence along with the internal referee (Guide/Supervisor).
- ii. The Chairperson, external referee and the Guide/Supervisor shall prepare a joint report of the open defence (JROD) and forward it to the Director, B.C.U.D. They shall recommend either the award of the degree to the candidate or a fresh open defence within six months if the performance of the candidate is unsatisfactory.
- iii. If both the external referees communicate unwillingness to conduct the open defence, Hon. Vice-Chancellor will nominate the next referee from the list provided by RRC.

#### **R.Ph.D. 18 DECLARATION OF RESULT :**

- i. The viva-voce will be held only after fulfillment of the essential requirements.
- ii. The date of viva-voce would be considered to be the date of declaration of result.
- iii. On the final approval of the Hon. Vice-Chancellor, the CoE shall declare the result after the fulfillment of all conditions.
- iv. Along-with the degree, the BUTR shall certify to the effect that the degree has been awarded in accordance with the provisions of the UGC rules and regulations as published in the Gazette of India dated 11<sup>th</sup> July, 2009.
- v. Certificate of appreciation will be given as one of the best selected thesis of Shivaji University by the CoE provided;
  - a. Thesis having published research papers in Journals with cumulative impact factor of more than five.
  - b. Research papers published should be based on the thesis.

- c. Only first authored research papers will be considered.
- d. Impact factor of the journals will be considered on the date of submission of thesis.

**R.Ph.D. 19 DEPOSITORY OF UGC :**

Following the successful completion of the evaluation process and announcement of the award of Ph.D. the university shall submit a soft copy of the Ph.D. thesis to the University Grants Commission (UGC) within a period of thirty days, for hosting the same in INFLIBNET, accessible to all institutions / universities.

**R.Ph.D. 20 ADDITIONAL Ph.D. DEGREE :**

- i. A candidate seeking admission for the additional Ph.D. degree on different topic within the same subject will be exempted from written test but he / she will have to appear for interview.
- ii. A candidate seeking admission for the additional Ph.D. degree other than the subject in which the candidate has been previously awarded the degree, the candidate will have to complete admission process in the subject for which the candidate wish to register for Ph.D.

**R.Ph.D. 21 CANCELLATION OF Ph.D. REGISTRATION :**

- i. A student can cancel his/her registration through his/her Guide/Supervisor by paying the necessary fees.
- ii. If candidate fails to fulfill the necessary conditions/requirements mentioned in the allotment letter/provisional admission letter.

## ANNEXURE – I

### Broad guidelines for preparation of synopsis

While preparing the synopsis for the Ph.D. work, following points shall be noted and followed carefully :

- A. The proposed synopsis for research should be self contained and should cover the rationale for carrying out research.
- B. There should not be repetition of the work or topic or theme.
- C. The synopsis of the proposed research shall contain the following points :
  1. Title of the Research Proposal
  2. Choice of the topic with reasoning or significance
  3. Statement of the problem
  4. Review of the relevant literature (noted works should be considered not the text book reviews)
  5. Objectives of the study
  6. Hypothesis of the study
  7. The methodology comprising
    - a. Methods of research
    - b. Sampling design and assumptions
    - c. Conceptual framework if any
    - d. Research design (explanation of how research is being conducted and the tools used for the same)
    - e. Methods of data collection
    - f. Methods of data analysis (use of parametric and non-parametric tools and techniques as the case may be)
  8. The chapter scheme : (objectives must be reflected in the scheme)
  9. Select Bibliography / Weblography.

**ANNEXURE - II**

**Format of the cover page of the thesis**

**Title in Block letters**

**A thesis submitted to**

**Shivaji University, Kolhapur**

**for the Degree of Doctor of Philosophy**

**in**

**Subject**

**under the Faculty of**

**by**

**Name of the Candidate**

**under the Guidance of**

**Name of the Guide/Supervisor**

**Name of the Co-Guide/Co-Supervisor : (If any)**

**Name of the Department / College / Institution:**

**Year**

**ANNEXURE - III**

**Declaration by the Student**

I hereby declare that the thesis entitled .....

.....  
.....

completed and written by me has not formed earlier the basis for the award of any degree or similar title of this or any other university or examining body.

Further, I declare that I have not violated any of the provisions under the acts of Copyright/Piracy/Cyber/IPR etc. amended from time to time.

Place :

Name & Signature of Research Student

Date :

**ANNEXURE - IV**

**Guides/Supervisor's Certificate**

This is to certify that the dissertation entitled .....

.....

being submitted herewith for the award of the Degree of Doctor of Philosophy in (subject) ..... under the Faculty of..... of Shivaji University, Kolhapur is the result of the original research work completed by Shri./Smt. .... under my /our supervision and guidance and to the best of my / our knowledge and belief the work embodied in this thesis has not formed earlier the basis for the award of any degree or similar title of this or any other University or examining body.

Place :

Date :

Co-Guide/Co-Supervisor

Research Guide/Supervisor

(Signature with Name & Designation)

(Signature with Name & Designation)

**ANNEXURE - V**

**Progress Report**

1. Name of the student :
2. Date of Registration :
3. Faculty ..... Subject .....
4. Whether the candidate is regular student/  
Independent student / JRF /SRF/ DRF/ UGC  
Teacher Fellow/ Teacher/ Employed person
5. Whether the candidate is  
attending course work regularly  
If not, give reason
6. Name of the Guide/Supervisor :
7. Title of the research work :
8. Period of report :
9. Details of the work done :

Signature of the student

Signature of the Guide/Supervisor

Signature of the Co-Guide/Co-Supervisor

Date :

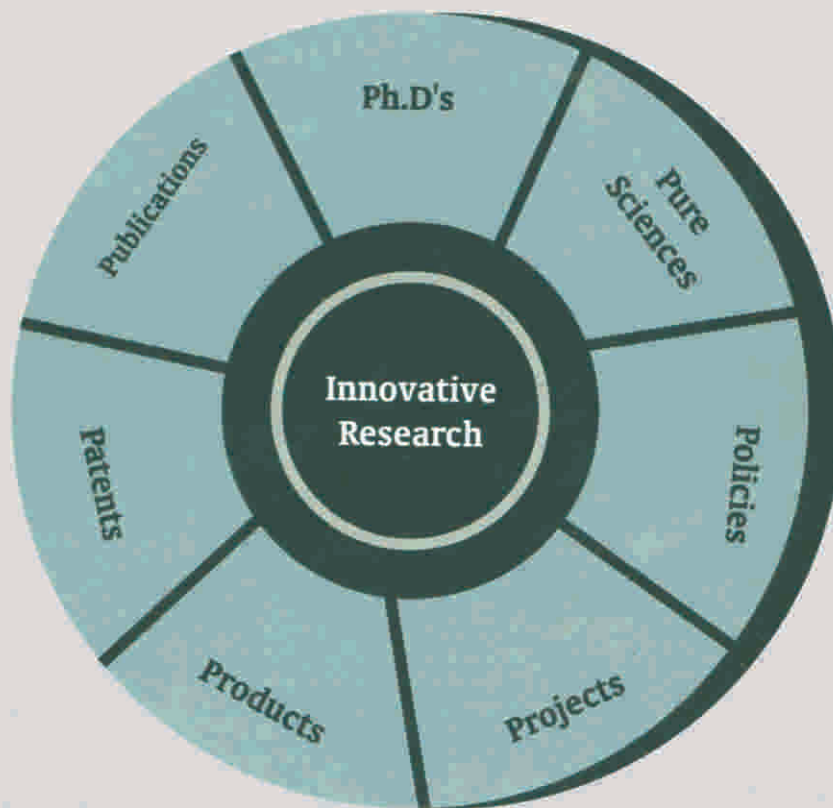
Place :



**ANNEXURE – VI****Fee structure**

<b>Particulars/ Details</b>	<b>Fee for Regular Student &amp; DRF</b>	<b>Fee for JRF/SRF/Teachers &amp; Employed Person</b>
Registration Fee	733	2197
Lab- Fees. (Sci/Engg.)	2197	4392
Library Fee	733	1464
Internet Fee	1464	1464
Tuition Fee	5564	5564
Lab. Dev Fee	1464	1464
Medical Charges	146	146
<b>Total (INR)</b>	<b>12301</b>	<b>16691</b>

- For an academic year the fee structure will be as above.
- For Thesis evaluations & Viva-voce Rs. 4000/- will be charged.
- In case of independent Student the fee structure will be same as JRF/SRF/ Teachers & Employed Person . In addition Rs. 2000 will be charged as thesis examination fee.
- Five time Registration Fees and Tuition Fees of the regular students shall be charged for the foreign students.
- There will be increase in fees by 10% per year.
- Separate fees will be charged along with eligibility application as per rule.



### 7 Ps of Innovative Research

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