



**SAVITRIBAI PHULE PUNE UNIVERSITY**

(Formerly University of Pune)

CIRCULAR NO. 152/2024

**ORDER**

WHEREAS the University Grant Commission has prescribed UGC (Minimum Standards and Procedures for Award of Ph.D. Degrees) Regulations, 2022 in supersession of the UGC (Minimum Standards and Procedures for Award of M.Phil./Ph.D. Degrees) Regulation, 2016.

AND WHEREAS the conditions under which students are to be admitted to courses/ programs are required to be prescribed by the Ordinance and therefore, it is expedient to prescribe minimum standards and procedure for award of Ph.D. degrees by Ordinance;


AND WHEREAS the Academic Council of the University, in its meeting held on 22<sup>nd</sup> June, 2024 has approved the revised draft of the Ordinance prescribing minimum standards and procedure for award of Ph.D. degrees for University Departments, Research Centres at affiliated colleges and recognized institutions and recognized research institutions, as per the UGC (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022;

AND WHEREAS it will take considerable time to make the Ordinance in this regard as per the provisions of Sections 74 of the Maharashtra Public Universities Act, 2016;

THEREFORE, I, Prof. (Dr.) Suresh Gosavi, Vice-Chancellor of the Savitribai Phule Pune University, by and under the power vested in me under Sub-section 8 of Section 12 of the Maharashtra Public Universities Act, 2016, hereby issue the following directives:

1. The Minimum Standards and Procedure for Award of Ph.D. Degrees as prescribed in the Annexure shall be applicable from the year 2024-25 and onwards;
2. This Order shall be applicable to the University Departments, Research Centres at affiliated colleges and recognized institutions and recognized research institutions of the University.

This order shall remain in force till the Ordinance in this regard comes into force.

  
**Prof. (Dr.) Suresh Gosavi**  
Vice-Chancellor

Ref. No. PGS/2097

Date : 09/07/2024

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**ANNEXURE**  
**STANDARDS AND PROCEDURE FOR AWARD OF PH.D. DEGREES**

**1. Eligibility criteria for admission to the Ph.D. program:**

1.1 Candidates who have completed:

- i) A 1-year/2-semester master's degree program after a 4-year/8-semester bachelor's degree program with Research/Honors or a 2-year/4-semester master's degree program after a 3-year bachelor's degree program or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a 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 assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/DT-A/NT-B/NT-C/NT-D, SEBC\* & OBC (non-creamy layer if applicable)/ Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree program should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/DT-A/NT-B/NT-C/NT-D, SEBC\*& OBC (non-creamy layer if applicable)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.

- ii) Candidates who have completed the M.Phil. program with at least 55% marks in aggregate or its equivalent grade in a 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 assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. program. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/DT-A/NT-B/NT-C/NT-D, SEBC\* & OBC (non-creamy layer if applicable) /Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.

## **2. Duration of the Program:**

2.1 Ph.D. Program 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 to the Ph.D. program. Pre-Ph.D. presentations will be allowed only after the completion of 3 years.

2.2 A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance/Regulation of the University concerned, provided, however, that the total period for completion of a Ph.D. program should not exceed eight (8) years from the date of admission in the Ph.D. program.

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; however, the total period for completion of a Ph.D. program in such cases should not exceed ten (10) years from the date of admission in the Ph.D. program.

2.3 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. program of a maximum of 10 years from the date of admission to the Ph.D. Program.

2.4 Tuition Fee & Other Fees shall be applicable till the date of submission of the Thesis as per the University circular.



### 3. Procedure for admission:

3.1 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/regulatory bodies concerned and taking into account the reservation policy of the State Government from time to time.

3.2 Admission to the Ph.D. program shall be made using the following methods:

a. Procedure for admitting students who have qualified in Category-2 and Category-3 mentioned in the public notice No.F.4-1(UGC-NET Review Committee)/2024(NFT)/140648 dated March 27, 2024, issued by the UGC. The UGC, in the said notice, has categorized students passing the UGC-NET examination into three categories as follows:

Category-1: Eligible for (i) admission to Ph.D. with JRF and (ii) appointment as an Assistant Professor.

Category-2: Eligible for (i) admission to Ph.D. without JRF and (ii) appointment as an Assistant Professor.

Category-3: Eligible for admission to Ph.D. program only and not for the award of JRF or appointment as an Assistant Professor.

This is summarized in the following table as follows:

Qualified for	Eligibility for		
	JRF	Assistant Professor	Ph.D. Admission
Category-1: Award of JRF and appointment as Assistant Professor.	Yes	Yes	Yes
Category-2: Appointment as Assistant Professor and admission to Ph.D.	No	Yes	Yes
Category-3: Admission to Ph.D. only	No	No	Yes

The admission of students belonging to Category 2 and 3 will be as per the notification mentioned above. That is, for students who qualify in Categories



2 and 3, a weightage of 70% will be given for test scores and a weightage of 30% for the interview for admission to Ph.D. programs. The Ph.D. admission will be based on the combined merit of NET marks and the marks obtained in the interview/viva voce. The marks obtained in the NET by the candidates in Category 3 will be valid for a period of one year for admission to Ph.D.

- b. The candidates with fellowships for pursuing a Ph.D. such as UGC-NET/ CSIR-NET/NBHM/ or similar national-level tests shall be admitted to the Ph.D. program based on an interview. An interview will be organized by the University Department/Affiliated College/Recognized Institute/ Recognized Research Institute where the candidates are required to discuss their research interest area through a presentation before a duly constituted Department Research Committee. This procedure will be conducted exclusively for candidates with research fellowships, as the terms and conditions of fellowships often require the candidates to seek admission to a Ph.D. program within a fixed period of time from the date of declaration of their results. The procedure for admitting such students to the Ph.D. program will be as follows:
- i) Candidates with fellowships can approach a research center and submit a written application for admission at any time of the year. The University shall issue a circular stating this, and the research center shall display this circular on its website and notice board.
  - ii) The research center may conduct interviews of such candidates periodically every three months, depending on the number of applications received and the availability of vacancies at the research center. The research center shall post the vacancies and the schedule of interviews of such candidates on its website and notice board and also inform the candidates of the interview via email/phone.
  - iii) The interview panel shall be as mentioned in (c) (viii). The Research Center shall obtain approval for the interview panel from the competent authority of the University.
  - iv) The candidates deemed successful in the interview will be provisionally admitted to the Ph.D. program. The admission will be confirmed after the Research and Recognition Committee approves it.
  - v) The research supervisor/co-supervisor will be allocated based on the current reservation status of both of the research supervisors and the research center.



vi) Vacancies for students with fellowship can be created at the time of selection of such candidates so that students do not have to wait until vacancies are created.

c.

i) The students who qualify for fellowship/scholarship in UGC-NET/NET-LS/UGC- CSIR NET/SET/GATE (Valid Score)/ JRF/ SRF/ ICAR/ ICMR/DET/DST/CEED and similar National level tests based on an interview, are exempted from PET.

ii) The university shall admit students through an Entrance Test (PET) conducted at the level of the University. The PET syllabus shall consist of 50% of research methodology, and 50% shall be subject-specific.

iii) Students who have secured 50 % marks in the PET are eligible to be called for the interview.

iv) A relaxation of 5 % marks will be allowed in the PET for the candidates belonging to SC/ST/DT-A/NT-B/NT-C/NT-D, SEBC\* & OBC (non-creamy layer if applicable) /Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.

*\*SEBC Reservation is subject to the final outcome at Writ Petition No. 3468/2024 filed in the Hon'ble Mumbai High Court.*

d.

i) The University will decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.

ii) Provided that for the selection of candidates based on the PET conducted by the University, a weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva- voce shall be given. All exempted candidates [as mentioned in (3) (3.2) (c) (i) ] will be given 70 marks in the written test accordingly.

iii) An interview will be organized by the University where the candidates are required to discuss their research interest area through a presentation before a duly constituted Department Research Committee.



- iv) The Department Research Committees shall be as under:
- A) Admission to University Departments:
- (i) Head of the Department concerned (Chairperson);
  - (ii) Two subject Experts (One from the Department concerned and One from outside);
  - (iii) Two nominees of the Vice-Chancellor – One General and One Reservation.
- B) Admission at Research Centers at Affiliated Colleges and Recognized Institutions:
- (i) Principal / Director of the Affiliated Colleges and Recognized Institutions concerned (Chairperson);
  - (ii) Two subject Experts (One from the Department concerned and One from outside);
  - (iii) Two nominees of the Vice-Chancellor – One General and One Reservation.
- C) Admission at Recognized Research Institution:
- (i) Director (Chairperson);
  - (ii) Academic coordinator of the institution;
  - (iii) Two subject Experts (One from the Department concerned and One from outside);
  - (iv) Reservation nominee appointed by the Vice-Chancellor.

The final interview score will be based on the average of the scores given by the chairperson and the two subject experts only.

- 3.3 The University Departments/Research Centers at affiliated colleges and recognized institutions/recognized research institutions shall obtain the nominees of the Vice-Chancellor on the Departmental Research Committee as mentioned in rule no. 3.2 (d) (iv) of this order for the purpose of the admission process.
- 3.4 The interview shall be conducted at the respective research centers, within a period of not more than Sixty days (60) from the date of declaration of result of the PET.





- 3.5 The following aspects shall be considered during the interview, namely:-
- (i) whether the candidate possesses the competence for the proposed research;
  - (ii) whether the research work can be suitably undertaken at the Department/Institution/College;
  - (iii) whether the proposed area of research can contribute to new/additional knowledge.
- 3.6 The research center shall submit the report of the committee with regard to the interviews to the PG Admission Section of the SPPU within three (03) working days from the date of completion of the interview process. PG Admission Section of the SPPU shall publish the list of candidates selected for admission within a period of not more than fifteen days of completion of the interview process in the Faculty concerned.
- 3.7 The Research Center shall maintain the list of all the Ph.D. registered students on its website on a year-wise basis. The list shall include the name of the registered candidate, the topic of his/her research, the name of his/her supervisor/co-supervisor, the date of enrolment/registration etc.
- 3.8 University campus Departments and Recognized Research Centers that are eligible to conduct Ph.D. programs shall:
- (i) notify well in advance on the University's website specifying the number of seats according to Departments and Recognized Research Centers for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission and all other relevant information for the candidates;
  - (ii) adhere to the State-level reservation policy, as applicable.
- 3.9 University will maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation and the department/school/center), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website of the institution and update this list every academic year. University Departments & Recognized Research Centers shall maintain such data. The link to their website is to be linked to the SPPU website.



#### 4. Allocation of Research Supervisor:

Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

4.1 Permanent faculty members working as Professor/Associate Professor of the University Department/Research Center with a Ph.D. and at least five research publications in relevant research areas and in UGC CARE list journals and permanent faculty members working as Assistant Professors in the University Department/Research Center with a Ph.D., and at least three research publications post Ph.D. in UGC-CARE journals in relevant research area may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by the University under the supervision of a recognized research supervisor who is not an employee of the University or its affiliated Postgraduate Colleges/institutes would be in violation of these Regulations. A research supervisor may be allowed to get associated with not more than one other research center only in case no research center is approved at the institute/college where such research supervisor is working, with the approval of the University. For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by SPPU, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements. Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the SPPU may relax the above condition of publications for recognition of a person as a Research Supervisor with reasons recorded in writing.

Co-supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the Research & Recognition Committee.



4.2 In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Center/College/University may be appointed, with the approval of the Research Advisory Committee.

4.3 Allotment of Research Supervisors will be done by the respective University Departments/Research Centers as per the following guidelines:

On the basis of the interview, allotment of Research Supervisors for selected candidates shall be decided by the University Departments/Research Centers in a formal manner depending on the number of candidates per teacher, the available specialization among the Research Supervisors and the research interest as indicated during interview by the candidates. The allotment/allocation of Research Supervisor shall not be left to the individual candidate or Supervisor. The reservation policy will be observed at the time of allotment.

While granting admission to candidates to Ph.D. programs, the University Departments/Research Centers will follow the State Reservation Policy. Foreign candidates will be treated at par with the Open Category for admission.

4.4 Change of Supervisor – In case of such change, the candidate shall work a minimum period of one year under the new supervisor before he/she submits the synopsis and pre-submission presentation. There will be no condition of a one-year period to work under a new supervisor, in case the co-supervisor is made a Supervisor, provided that the co-supervisor had been appointed for a minimum of one year before the submission.

The change of co-supervisor is allowed only after submission of no objection certificate (NOC) from the previous co-supervisor & approval letter from the supervisor for a such change.

4.5 An eligible Professor/Associate Professor/Assistant Professor can supervise up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time. While counting the number of Ph.D. scholars working under a research supervisor, the candidates who have submitted their Ph.D. thesis and have yet to defend their Ph.D. thesis will not be taken into consideration.



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

4.7 Faculty members with less than three years of service left before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered with them until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years. Change of research supervisor is a must when the research supervisor is no more working with the University Department or any of the affiliated college /recognized institute with the University.

The faculty members who are on lien can continue to supervise Ph.D. Scholars who are already registered with them until lien is over.

Co-Supervisor can continue to supervise Ph.D. Scholars till the age of 70 years.

In case, Research Supervisor opt for voluntary retirement, student already registered with such research supervisor shall be transferred to other research supervisor.

4.8 Head of the Research Centre shall be responsible to inform any changes pertaining to the research supervisor's resignation, superannuation or anything otherwise, to the research scholar as well as to the University.

4.9 Change of Research Centre - The Change of Research Centre is allowed only after submission of no objection certificate (NOC) from the Head of the previous Research Centre & Supervisor/Co-Supervisor. Due credit may be given to the previous Research Centre by the research student.

## 5. Process of Admission/Registration after the interview:

5.1 A selected applicant seeking admission to the Ph.D. program shall apply to the Registrar, SPPU, in the prescribed format along with the registration fee as



may be prescribed from time to time, within a period of four months from the date of allotment of the Research Supervisor.

- 5.2 The applicant shall submit along with the application, copies of his/her Ph.D. proposal as per the Guidelines to the place of research.
- 5.3 An applicant selected by Departmental Research Committee (DRC) as mentioned in (3) (d) (iv) shall be required to make a brief presentation at the place of research before the Research Advisory Committee for provisional admission.
- 5.4 The presentation will be arranged by the Head of the Place of Research.
- 5.5 The Research Advisory Committee shall consist of:
  - 1) Head of the Department/Head of the Research Center /Principal/Director;
  - 2) Research Supervisor;
  - 3) Two experts (recognized research supervisor in the subject concerned, one from outside the University Department/Research Center).
- 5.6 In case of any suggestions given by the Research Advisory Committee for improvement of the topic, the candidate shall make changes accordingly and present the topic again before the said Committee within a period of not more than fifteen days from the date of the earlier presentation.
- 5.7 After a successful presentation, the Research Advisory Committee shall prepare a report on the basis of the presentation. The Head of the Place of Research shall send the report of the Research Advisory Committee along with the proposal within a period of not more than seven days from the date of presentation to the P.G. Admission Section of the SPPU to be placed before the Research and Recognition Committee. The date of the successful presentation shall be treated as the date of provisional admission of the candidate, and the candidate shall be given a provisional admission/registration letter.
- 5.8 The Research and Recognition Committee shall consider approval of the topic of research and appointment of a Co-Supervisor, if necessary, from other departments of the SPPU/ recognized research centers at affiliated colleges or



recognized institutions or recognized research institutions or from other related institutions, with the approval of the Research Advisory Committee.

- 5.9 If the candidate desires to modify the title and / or the proposed plan of the research, he/she shall apply at least two months before the date of submission of the synopsis. Research and Recognition Committee concerned may approve such changes on the recommendation of the Research Supervisor and the Head of the Place of Research.
- 5.10 As per provisions of Ordinance 116, registered candidates shall not be allowed to register simultaneously for any other degree course. However, students can register for foundation courses of shorter duration.
- 5.11 The admission will be confirmed after the Research and Recognition Committee approves the topic. The decision of the Research and Recognition Committee shall be communicated to the Head of the Place of Research within seven days from the date of the decision of the Research and Recognition Committee. The Head of the Place of Research shall communicate the same to the candidate/Research Supervisor concerned within three days from the date of receipt of the decision. The Head of Research Center shall admit the candidates as per the rules and regulations of the University.
- 5.12 The date of successful presentation of the proposal will be considered the date of registration.

**6. Admission of International students in the Ph.D. program -**

- 6.1 Each supervisor can supervise up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 4.5 above.
- 6.2 SPPU will decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.
- 7. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 4.5.**



## 8. Course Work:

Credit requirements, number, duration, syllabus, minimum standards for completion, etc. for the Ph.D. program shall be as under:

8.1 Ph.D. coursework shall be 16 credits.

8.2 The coursework shall be treated as a prerequisite for the Ph.D. program.

8.3 The Ph. D. Course work shall consist of the following components, namely:-

Course 1: Research Methodology : 4 credits

(Including Quantitative methods, Computer applications, review of published research in the relevant field, training, fieldwork, Writing of Research Proposal for obtaining Financial assistance from national funding agencies, etc.)

Course 2 : Attending at least One Seminar/Conference/ Workshop (National/International) : 1 credits

Course 3 : Two Subject specific advanced level courses : 8 credits

Course 4 : Research & Publication Ethics : 2 credits

Course 5 : Pedagogical Training/Industrial Visit Report/ Assessment Statement : 1 credit

8.4 Contents of Course 1 and Course 3 above shall be prescribed by the Board of Studies concerned.

8.5 All courses prescribed for Ph.D. coursework shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the Academic Council of the SPPU.

8.6 The University Department/ recognized research center at an affiliated college or recognized institution/ recognized research institution where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee of the research scholar. It is expected that the research center offers a course on research



methodology and the two subject-specific advanced level courses and also ensures that Ph.D. student completes these courses within two years from the date of registration. Further, a course on Publication Ethics shall be completed within the period of two years from the date of registration for Ph.D.

- 8.7 Candidates already holding an M.Phil. degree from SPPU and admitted to the Ph.D. program, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. shall be exempted from the Ph.D. coursework; provided that the M.Phil. Program and admitted Ph.D. program are in the same subject. In case, M.Phil. & Ph.D. programs are different, then the candidate needs to complete Course 2, Course 3 & Course 5 mentioned in 8.3

All other candidates admitted to the Ph.D. program shall be required to pass the course work approved by the Academic Council of the SPPU by obtaining a minimum of 55% marks or its equivalent grade in the UGC 10–point scale within the initial period of two years. They will be allowed to continue the Ph.D. Course and submit their Thesis only after completing the above requirements.

- 8.8 Grades in the course work, including research methodology courses, shall be finalized after a combined assessment by the Research Advisory Committee and the Place of Research, and the final grades shall be communicated to the P. G. Admission Section of the SPPU.
- 8.9 The Research Advisory Committee can also recommend online/offline courses offered by UGC/National Agency/Moocs/SWAYAM/NPTL, etc., as part of the credit requirements for the Ph.D. program.
- 8.10 All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

## 9. Research Advisory Committee and its Functions.-

- 9.1 There shall be a Research Advisory Committee for each Ph.D. scholar. The Research Advisory Committee shall consist of the Head of the research center, the Research Supervisor of the scholar and two subject experts, of which at





least one should be from outside the department/Institute. The research Supervisor shall be the Convener of this Committee. The Research Advisory Committee needs to be approved by the Head of the Research Center. The Research Advisory Committee shall have the following responsibilities:

- (i) To review the research proposal and finalize the topic of research
- (ii) To supervise the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
- (iii) To periodically review and assist in the progress of the research work of the Ph.D. scholar.

9.2 Each semester, the Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of the Ph.D. scholar's progress report to the University. A copy of such recommendations shall also be provided to the Ph.D. scholar. The Head of the Place of Research shall submit these six monthly progress reports to the P.G. Admission Section of the Savitribai Phule Pune University within a week from the date of such presentation.

9.3 In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the University Authorities, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. program. The Dean of the Faculty concerned will decide the matter after giving natural justice to the student concerned.

## **10. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:**

10.1 Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (8.3) of Regulation 8 above, the Ph.D. scholar shall be



required to undertake research work and produce a draft dissertation/thesis.

- 10.2 Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation before the Research Advisory Committee of the Research Center concerned, which shall also be open to all faculty members and other research scholars/students.
- 10.3 The Research Center shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.
- 10.4 A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking that there is no plagiarism as per UGC Regulations and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution. Undertaking as per (a) & (b) shall be part of the thesis and be included before Index page.
- 10.5 The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least **three** external examiners who are experts in the field and not in employment of the SPPU jurisdictions. Such examiner(s) should be academicians with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside Maharashtra/India. The viva voce board shall consist of the Research Supervisor and at least one of the three external examiners, and the viva may be conducted online/offline. The viva voce shall be open to the members of the Research Advisory Committee/faculty members/ research scholars, and other interested experts/researchers. etc.
- 10.6 The viva voce of the Ph.D. scholar to defend the thesis shall be conducted if at least two external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If two of the external examiners out of the three external examiners recommend rejection, the University will send the thesis to two alternate external examiners from the approved panel of examiners, and the viva voce examination will be held only if the alternate examiners recommend acceptance of the thesis. If the alternate



examiners do not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.

10.7 The SPPU will try to complete the entire process of evaluating a Ph.D. thesis, including the declaration of the viva voce result, within a period of six (6) months from the date of submission of the thesis.

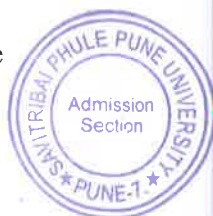
#### 10.8 SUBMISSION OF THESIS

- 1) The submission of synopsis may be permitted only after completion of 36 months from the date of registration and after successful completion of the Course Work. The synopsis should contain an introduction, a chapter-wise brief account of the work done and overall conclusions.
- 2) At least 3 months before the date of submission of the thesis, each candidate shall give a pre-submission seminar to be arranged by the Head, Place of Research at the University Department/ Research Center, on the request of the candidate duly endorsed by the supervisor. The final Research outcome of the thesis will be discussed by the research scholar with the research supervisor, other research supervisor/s present if any, and the Head, Place of Research or his/her nominee shall be necessary.
- 3) In light of the discussion during the seminar mentioned above, the candidate shall submit to the Deputy Registrar, P.G. Section of the University, a copy of the synopsis of his/her thesis through his/her supervisor within one month from the date of presentation of the seminar. The supervisor shall submit the list of recommended referees to the P.G. Admission Section of the University.
- 4) The candidate shall be allowed to submit his/her thesis after the completion of a period of two months and within six months from the date of submission of the synopsis, failing which the candidate will have to pay the prescribed fine for late submission. Late submission of the thesis shall be allowed up to the completion of one year from the date of submission of the synopsis or till the expiry of the registration period, whichever is earlier. The candidate will have to submit a synopsis again if given an extension.



At the time of submission of the Ph.D. Thesis, the registration of the candidate must be valid.

- 10.9 In the light of the discussion during the presentation, the candidate shall submit to the P.G. Admission Section of the SPPU a copy of the synopsis of his/her thesis through his/her Research Supervisor within thirty days from the date of presentation. Thesis submission will be allowed after two months and within six months from the date of synopsis submission without a late fee. A fine of Rs. one thousand per month will be imposed after six months and up to one year of synopsis submission. After one year, the candidate will have to present his/her synopsis again.
- 10.10 Research Scholars shall publish at least one research paper in Scopus, UGC CARE list journals. Guidelines for research publications issued by the SPPU, from time to time and displayed on the official website of the SPPU, will be followed.
- 10.11 **Initially, the thesis/dissertation shall be submitted in soft copy only in the format given and as per the details mentioned in the prescribed format.**
- 10.12 The final Ph.D. thesis shall be presented in accordance with the following specifications whenever necessary:
- (a) The paper used for printing shall be of A4 size.
  - (b) Printing shall be in a standardized form on both sides of the paper and in 1.5 line spacing.
  - (c) A margin of 1.5 inches shall be on the left-hand side.
  - (d) The card for cover shall not be more than 330 GSM.
  - (e) The title of the thesis/dissertation, name of the candidate, degree, name of the Research Supervisor, place of research and the month and year of submission shall be printed on the title page and the front cover. The name of the Co-supervisor, if any, may be mentioned on the title page and the front cover.
  - (f) Use the standard referencing style for bibliography/references as per the discipline.
  - (g) The hard-bound cover of the thesis/dissertation shall be of black color. The



spine of the binding [side cover] should mention 'Ph.D. thesis' on the top, the name of the candidate and the month and year.

- 10.13 The candidate shall submit online to the P.G. Admission Section of the SPPU a copy of his/her thesis and produce an acknowledgement of the receipt of the thesis by the Research Supervisor and the Head of the Place of Research.

**The hard copy of the Thesis needs to be submitted after incorporating the suggestions of the referees (if any) before Ph.D. Viva-voce.**

- 10.14 The thesis/dissertation shall include a Certificate of the Research Supervisor and a Declaration by the candidate that the work reported in the thesis/dissertation has been carried out by the candidate himself/herself and that the material from other sources, if any, is duly acknowledged.
- 10.15 It is mandatory to check for plagiarism as per UGC regulations, ensure that it is less than or equal to 10%, and submit the certificate for the same.

## **11. Viva-Voce and Defense of the Thesis**

- 11.1 The viva voce shall be arranged offline or online mode as per the University Circular. The day, date, time and place for the viva voce and the defense of the thesis shall be notified by the Head of the Place of Research at least fifteen days in advance. Normally, the viva voce and the defense of the thesis shall be arranged in the University Department. In exceptional cases, the Vice-Chancellor may allow the viva to be conducted at a Place of Research outside the campus of SPPU. In such a case, the procedure and norms for the conduct of viva, payments, etc., shall be as laid down by the University.
- 11.2 The defense of the thesis shall take place in the presence of the Research Supervisor (Internal Examiner), one External Examiner and the Chairperson, who shall jointly evaluate the performance of the candidate. In case of dispute, the Dean of the Faculty concerned shall take an appropriate decision.
- 11.3 The Chairperson for the Viva-Voce and the Panel for the defense of the thesis shall be appointed by the Head of the Place of Research or by the Dean of the Faculty concerned when the Head is the Research Supervisor, from a panel of three experts suggested by the Research Supervisor.



- 11.4 If neither of the external examiners is able to be present at the time of the defense, the Vice-Chancellor, on the recommendation of the Research Supervisor and the Dean of the Faculty concerned, shall appoint a senior Research Supervisor to act as an external examiner for the defense of the thesis. In case the Internal Examiner is not available, the Vice-Chancellor shall appoint one of the senior Research Supervisors on the recommendation of the Dean of the Faculty concerned and the Head of the Place of Research.
- 11.5 The Chairperson and the examiners present for the viva-voce, and the defense of the thesis shall submit to the P. G. Admission Section, SPPU, their final consolidated report along with the reply given to the queries raised by the external examiners in the written form, signed and accepted by the members of the Viva-Voce Panel. and a list of the persons attending the open defense in respect of the award of the Ph.D. degree immediately after the defense is over.
- 11.6 In case the defense is not satisfactory, the Chairperson and the external examiners may unanimously recommend with reasons that a fresh viva voce and defense of the thesis be organized within a period of not less than one month. If the defense is still not satisfactory, the panel will record the reasons for the same. The Committee may recommend the resubmission of the thesis with suggested changes or recommend the rejection of the thesis.

**12. Academic, research, administrative and infrastructure requirements to be fulfilled by the Research Center for getting recognition for offering Ph.D. programs.**

- 12.1 Post-graduate Department & Colleges having Research Centers offering 4-year Undergraduate Programs and/or Post-graduate Programs may offer Ph.D. programs provided they satisfy the availability of at least two eligible Research Supervisors, required infrastructure and supporting administrative and research facilities as per these Regulations.
- 12.2 Colleges and research institutions established by the central government or a State government whose degrees are awarded by SPPU will offer Ph.D. programs provided they have:
- (i) At least two faculty members who are recognized as Research Supervisor in a Research Center or two Ph.D. qualified scientists in the research institution.



- (ii) Adequate infrastructure, administrative support, research facilities and library resources as specified by the SPPU

**13. Ph.D. through Part-time Mode -**

- 13.1 Ph.D. programs through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- 13.2 The Research Center concerned shall obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. program from the appropriate authority in the organization where the candidate is employed, clearly stating that:
- (i) The candidate is permitted to pursue studies on a part-time basis.
  - (ii) His/her official duties permit him/her to devote sufficient time to research.
  - (iii) If required, he/she will be relieved from the duty to complete the coursework.
- 13.3 Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central Government or a State Government shall conduct Ph.D. programs through distance and/or online mode.

**14. Grant of M.Phil. Degree -**

SPPU will not offer the M.Phil.(Master of Philosophy) program.

**15. Issuing a Provisional certificate.-**

Prior to the actual award of the Ph.D. degree, the SPPU will issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations. The name of the supervisor and co-supervisor, if any, may be mentioned on the provisional certificate.



## **16. Award of Ph.D. degrees prior to Notification of these Regulations**

Award of degrees to candidates registered for the Ph.D. program on or after July 11, 2009 & Savitribai Phule Pune University Circular No. 142 Dated 29/08/2011, till the date of Notification of these Regulations, shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 & Savitribai Phule Pune University Circular No. 217/2014 Dated 28/11/2014 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 & Savitribai Phule Pune University Circular No. 17/2017 Dated 09/01/2017 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016. Nothing in these Regulations shall impact the M.Phil. degree programs commencing prior to the enactment of these Regulations.

## **17. Redressal of Grievance**

- 17.1 In case of any dispute between a candidate and his/her Research Supervisor/Research Institute, the Committee consisting of the following shall examine the matter and report to the Vice-Chancellor of the SPPU, whose decision shall be final.
- (a) Dean of the Faculty concerned (Chairperson);
  - (b) Nominee of the Vice-Chancellor;
  - (c) The Head, Place of Research (If the complaint is against the Head/the Dean, he/she shall not participate in the proceedings of the meeting. In that case, additional member/s may be appointed by the Vice-Chancellor to replace them.)
- 17.2 The report shall include, among other things, specific recommendations. The report shall be submitted to the Vice-Chancellor & the decision of the Vice-Chancellor shall be final.





**18. Depository with INFLIBNET:**

- 18.1 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the SPPU will submit an electronic copy of the Ph.D. thesis to INFLIBNET for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.
- 18.2 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degrees, the Deputy Registrar, P. G. Admission Section, SPPU shall send the thesis and the notification regarding the declaration of the result of the Ph.D. program to the Jayakar Library of the SPPU through online mode. After receiving the thesis in the format suggested above, the Jayakar Library shall prepare the metadata of the thesis. It shall then submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all institutions/colleges.

**19. Removal of Difficulties**

If any difficulty arises in giving effect to the provisions of this order the Vice-Chancellor may issue an appropriate order for the purpose of removing the difficulty.

*Ambejon*  
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**Prof. (Dr.) Suresh Gosavi**  
Vice-Chancellor

Ref. No. PGS/ 2097

Date : 09/07/2024

