



## राष्ट्रसंत तुकडोजी महाराज नागपूर विद्यापीठ

(पैदास कोटिपेस हाकर, विद्यया विद्यापीठ अविमुक्त कर्मण ५२३ दिनांक १ अगिष्ट, १९२३ म्हाय स्थपित, व पठारपु विद्यापीठ अविधिकत,  
१९९४ म्हाय संघालित यका विद्यापीठ)

### अध्यादेश व परिनियम कक्ष

सकाती विधकी मातान इतरकोन इतर, विदयान इपेर मार्ग, नागपूर-४४०००१ तुफती कनाक (कावी) - ४४०२ - ४५२५४७/४५२५४८

पत्र क. साप्र/अध्या/परि/२०१२/८६२

दि. १६ ऑक्टोबर, २०१२

प्रति,

सर्व संचालित व संलग्नित महाविद्यालयांचे सन्माननिय प्राचार्य,  
राष्ट्रसंत तुकडोजी महाराज नागपूर विद्यापीठ, नागपूर.

**विषय: निर्देश क्रमांक २९/२०१२.**

महोदय,

आपणास कळविण्यात येत आहे की, मा. कुलगुरुंनी दिनांक १२ ऑक्टोबर, २०१२ रोजी महाराष्ट्र विद्यापीठ अधिनियम, १९९४ च्या कलम १४(८) अंतर्गत खालीलप्रमाणे निर्देश क्रमांक २९/२०१२ निर्गमित केलेला आहे.

**Direction No. 29 of 2012 :- "Eligibility criteria and procedure for registration of candidates, allotment of supervisors/ guides and research topics, submission of thesis and its evaluation for the award of Degree of Doctor of Philosophy Direction, 2012."**

वरील निर्देश हा विद्यापीठाच्या संकेतस्थळ क्रमांक [www.nagpuruniversity.org](http://www.nagpuruniversity.org) वर माहिती व अंमलबजावणीकरिता उपलब्ध करण्यात आलेला आहे. आपणास विनंती करण्यात येते की, आपल्या महाविद्यालय/विभाग/संस्थेतील सर्व शिक्षक व विद्यार्थ्यांच्या निदर्शनास ही सूचना आणून घावी व ह्या निर्देशानुसार आवश्यक कार्यवाही घेण्यात यावी.

धन्यवाद,

आपला विनित,

(डॉ. अशोक गोमाशे)  
कुलसचिव

प्रत माहिती व आवश्यक कार्यवाहीकरिता अप्रेषित:-

१. संचालक, म.वि.वि.म.,
  २. उपकुलसचिव (परीक्षा/आचार्य पदवी कक्ष),
  ३. सर्व विभाग प्रमुख व सर्व अधिकारी,
  ४. उपकुलसचिव, कुलगुरुचे कार्यालय,
  ५. सह संचालक, उच्च शिक्षण, नागपूर.
  ६. माहिती शास्त्रज्ञ, विद्यापीठ परिसर ग्रंथालय, अमरावती मार्ग, नागपूर.
  ७. स्वीय सहायक, कुलसचिव कार्यालय,
- } राष्ट्रसंत तुकडोजी महाराज  
नागपूर विद्यापीठ, नागपूर. ४.

(प्रशांत मोहिते)

उपकुलसचिव (प्रशासन)



**◦RASHTRASANT TUKADOJI MAHARAJ NAGPUR UNIVERSITY**

(Established by Government of Central Provinces Education Department by Notification No. 513 dated the 1<sup>st</sup> of August, 1923 & presently a State University governed by Maharashtra Universities Act, 1994)

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**DIRECTION NO. 29 OF 2012**

**ELIGIBILITY CRITERIA AND PROCEDURE FOR REGISTRATION OF CANDIDATES, ALLOTMENT OF SUPERVISORS/ GUIDES AND RESEARCH TOPICS, SUBMISSION OF THESIS AND ITS EVALUATION FOR THE AWARD OF DEGREE OF DOCTOR OF PHILOSOPHY DIRECTION, 2012.**

(Direction issued under Section 14(8) of the Maharashtra Universities Act, 1994)

Whereas the Maharashtra Universities Act No. XXXV of 1994 has come into force with effect from 22<sup>nd</sup> July 1994;

AND

Whereas the University Grants Commission has framed Regulation prescribing Minimum Standards for Ph.D. Degrees of the Universities vide its notification No.F.I-/2002/(PS) Exemp., dt. 1 June 2009 published in the Gazette of India, dt. 11/17 July 2009 (hereinafter UGC Regulation, 2009);

AND

Whereas the Academic Council and the Management Council of the University in its meetings held on 24<sup>th</sup> September 2009 and 20<sup>th</sup> November 2009, respectively, have accepted the said UGC Regulation, 2009 and have also decided to implement it by the University for which an Ordinance is required to be framed;

AND

Whereas the process for framing an ordinance is time consuming one and since the existing ordinances for award of Ph.D. degrees are found to be inconsistent with the UGC Regulation, 2009;

AND

Whereas Direction No. 10 of 2011, repealing the Direction No. 7 of 2011, was issued to give effect to the UGC Regulation 2009 and since in the meeting of the Academic Council held on 23-2-2012 certain suggestions have been made to be incorporated in the Direction No. 10 of 2011;

Now, therefore, I, Dr. Vilas Sapkal, Vice-Chancellor, Rashtrasant Tukadoji Maharaj Nagpur University in exercise of the powers vested in me under Section 14(8) of the Act, do hereby issue the following Direction:

- 1) This Direction shall be called “Eligibility criteria and procedure for registration of candidates, allotment of supervisors/ guides and research topics, submission of thesis and its evaluation for the award of Degree of Doctor of Philosophy Direction, 2012”.
- 2) This Direction shall come into force from the date of its issuance.
- 3) **Scope:-** This Direction shall apply to Ph.D. courses of all the Faculties of the University.
- 4) **Definitions:**

**In this direction, unless the context requires otherwise;**

- a. **“Act”** means the Maharashtra Universities Act, 1994 (xxxv of 1994).
- b. **“Board of Studies”** means a Board for a particular subject or group of subjects constituted as per provisions of Section 37(2) of the Act and as provided under original Statute 23, as amended from time to time.
- c. **“Faculty”** means a Faculty constituted as per the provisions of Section 33(5) of the Act and as provided under original Statute 18, as amended from time to time.
- d. **“Head, Place of Research”** means the Head of the place of the research, designated by the University/Principal of the College/ Director of the Institute.
- e. **“Place of Research”** means all the post-graduate teaching departments of the University and also any other place which is recognized as the place of research by the University.
- f. **“Ph.D. Entrance Test (PET)”** means the test conducted by the Rashtrasant Tukadoji Maharaj Nagpur University in accordance with the applicable rules.
- g. **“Research & Recognition Committee”** means a committee for the particular Board of Studies constituted as per provision of Section 36(A)(5) of the Act, 1994.
- h. **“Senior Citizen”** means a citizen of India who has **attained** the age of 60 years.
- i. **“University”** means the Rashtrasant Tukadoji Maharaj Nagpur University.

5) Subject to compliance with the requirements of this Direction an applicant fulfilling the following criteria shall be eligible for registration for the Ph.D. Degree of this university:

- a) Has passed Post Graduate Degree (Master's Degree) Examination of the University or an equivalent degree of any other university recognized thereto; in concerned subject, with at least 50% marks or equivalent Grade Point Average (GPA);

**OR**

Is having a Post Graduate Degree and is holding a post in the rank of Assistant Director **or its equivalent post** or above and working in National Laboratories/ Institutes /Government and nominated /sponsored by the respective employer.

**Explanation:** Person who has obtained a Master's Degree of any Statutory Indian University and working outside India and holding a post equivalent to Assistant Director or above shall also be included in this category;

**OR**

Has passed graduate degree examination with 50% of marks and is having minimum 15 years experience after graduation in the related field with exceptional research abilities/ contribution to be judged by an expert in respective field appointed by the Research and Recognition Committee;

**OR**

Is a graduate in any faculty with atleast 50% of marks and having minimum 3 years of experience after graduation and has developed important new techniques (new for the country) or designed and fabricated special instruments or apparatuses which are deemed by competent judge in respective field appointed by Research and Recognition Committee to be a valuable contribution.

**OR**

Is a fellow member of the Institute of Chartered Accountants, Institute of Cost and Works Accountants, Institute of Chartered Secretaries, with a Bachelor's degree from any statutory university of India and has atleast 5 years of professional experience. However, such a person shall be held eligible only for the subject comprised in the Boards of Studies in the Faculty of Commerce;

**AND**

- b) Has a valid score in Ph.D. Entrance Test (PET) conducted by the University, as per the relevant rules. However, persons fulfilling one of the following conditions shall be exempted from this requirement;
- (i) Has qualified in GATE/SET/NET/JRF examinations of the apex bodies such as IIT/ CSIR / UGC /ICAR/CMR/DBT etc.;
  - (ii) Holds M.Phil. degree in the concerned subject from any Statutory University;
  - (iii) Possesses Ph.D. degree in any faculty;
  - (iv) Is a full time teacher with 7 years of teaching experience or an officer of any Statutory University, not below the class II rank, with 7 years administrative experience;
  - (v) Is a Scientist / Officer working in Government Department, Organizations, National Laboratories and Research Institutions having 7 years research experience;
  - (vi) Is a full time approved teacher in a junior college (10+2), or is an approved full time teacher teaching to the diploma courses of 2/3 years duration polytechnic or pharmacy courses and is having minimum 10 years teaching experience;
  - (vii) Is a fellow member of the Institute of Chartered Accountant, Cost & Works Accountants or Chartered Secretaries or is an advocate, a Judge, or an architect having P.G. Degree with minimum 5 years of professional experience and/or service experience, and registered with their respective councils.
  - (viii) Is a senior citizen;
  - (ix) Is a foreign national having come to India for pursuing research for Ph.D. degree.

AND

- c) In case candidate has obtained his qualifying degree from any University other than Rashtrasant Tukadoji Maharaj Nagpur University he should be residing within the jurisdiction of the University on the date of his registration for Ph.D. for a period not less than six months.

**6) INTER DISCIPLINARY RESEARCH**

Application for research in inter-disciplinary areas from applicants belonging to a faculty or subject other than the faculty or subject in which research is proposed to be done shall be permissible on the basis of the proven ability and aptitude of the researcher for such kind of research. Such proposal shall be referred to the Board of inter-disciplinary studies. On examination the Board shall send the proposal to the concerned RRC, depending on the major component of the research, for registration.

**7) VALIDITY OF RESULT OF PET**

The candidate who has been declared to be successful in the Ph.D. Entrance Test of the university shall be eligible to submit his application for registration for Ph.D. within a period of 60 months from the date of result of his Ph.D. Entrance Test.

**8) ALLOTMENT OF RESEARCH GUIDE/CO-GUIDE :**

An eligible candidate shall approach the Place of Research where he intends to do the research work. On the basis of number of seats available with the approved Ph.D. Guides, the available specialization amongst the Ph.D. Guides and the research interest of the candidate, the guide shall be allotted by the Committee consisting of Head, Place of Research and 2 senior teachers, who are recognized Ph.D. supervisors, nominated by the Vice-Chancellor.

The modality regarding conduct of meetings of the committee, preparation of list of guides, vacancies with individual guides, their specialization and any other matter shall be such as laid down by the University.

While granting admission to candidates for Ph.D. programme, due attention shall be paid to the State Reservation Policy.

In case certain facilities of research **do** not exist in the jurisdiction of the University, the candidate may be permitted by the Guide and Head of the Place of Research to carry out his research work at an Institution approved by any Statutory University or Central/State Government, outside the jurisdiction of the University for such period as may be approved by the Research and Recognition Committee.

**9) PROCEDURE FOR ADMISSION/ REGISTRATION**

- (i) After allotment of guide, an eligible applicant seeking admission to the Ph.D. programme shall apply for registration to the Controller of Examinations, through his guide and the Head of the Place of Research, in the prescribed form **(Annexure-I)** along with the registration and other fees, as may be prescribed from time to time and also relevant supporting documents on any working day of the University. The date of submission of the application form shall be considered as the date of registration subject to the approval of Research and Recognition committee.
- (ii) The applicant shall submit the application for registration alongwith eight copies of synopsis of his proposed research work.
- (iii) Every application for registration shall be placed for consideration before the Research and Recognition Committee of the concerned subject, constituted as per section 36(A)(5) of the Act. The Research and Recognition Committee (RRC) shall take decision either to accept or reject the research topic on the basis of the submitted synopsis and also the personal interview /presentation by the candidate. The RRC may accept the research topic subject to suitable modifications. The decision of Research and Recognition Committee shall be final. After acceptance of the application by the RRC, the candidate shall be treated as a registered Ph.D. candidate.

The concerned guide may be invited during the interview/ presentation by the candidate, if deemed fit by the RRC.

- (iv) The last date for submission of application for Ph.D. registration shall be 15<sup>th</sup> January and 15<sup>th</sup> July of every calendar year. All the applications received on or before these dates shall be placed before the Research & Recongition Committee and the meeting of the Research & Recognition Committee shall be called as far as possible, within 60 days from the last date of application for registration of Ph.D.
- (v) After approval of application by Research and Recognition Committee, the particulars of the candidate, title of research work, research guide and place of work shall be displayed on the website of the University, within a period of one month, as far as possible.
- (vi) Once a candidate has been registered for any Ph.D. programme of the University, he shall not be allowed to be registered simultaneously for any other research degree programme of this or any other University in India or abroad. The breach of this condition shall result in automatic cancellation of registration in this University.

- (vii) If a candidate desires, he may be permitted to partially modify the title and or the plan of the approved research work by the concerned Research and Recognition Committee. The proposal for partial modification, however, should be recommended by the guide and Head of the Place of Research.

#### 10) **TENURE OF REGISTRATION**

The registration of a candidate shall be valid and shall remain in force for a period of 5 years from the date of registration and shall stand cancelled automatically on expiry of the said period of 5 years.

Provided that on recommendation of the guide and also the head of the place of research an extension upto maximum period of 12 months may be permitted. The decision for extension, however, shall be taken by the relevant Research and Recognition Committee. In case Research & Recognition Committee is not in existence for any reason, the powers may be exercised by the Vice-Chancellor. The application for extension of the period of registration under this clause shall be submitted at least 3 months prior to the date of expiry of registration. The decision to extend the period as above shall be taken and communicated within the period of 60 days. On failure to take decision and communicate it by the university it shall be deemed that the extension has been granted. In no circumstances, however, second extension shall be permitted. Therefore, on expiry of the extended period of registration the candidate shall be required to apply for registration afresh following the procedure *denovo*.

#### 11) **CANCELLATION OF REGISTRATION AND ITS CONSEQUENCE**

A. Cancellation of registration:- The registration of a candidate for the Ph.D. programme may be cancelled in the following manner;

(a) Voluntary Cancellation :

The candidate can opt for voluntary cancellation of his Ph.D. registration. In such event the application duly signed by the candidate and duly endorsed by the Guide and Head of Place of Research shall be submitted to the Controller of Examinations. The candidate shall personally appear before the Controller of Examinations and shall submit a declaration of cancellation under his signature. The Controller of Examinations shall then endorse the declaration of the candidate contained in his application and forward it to the relevant Research and Recognition Committee. The registration shall stand cancelled from the date of acceptance of the application by the Research and Recognition Committee.



**(b) Cancellation for misconduct :**

If a candidate after registration, during the course of research work, is found to be guilty of commissions and omissions amounting to misconduct like indiscipline, dereliction of duties, unbecoming behavior, insubordination etc., the registration shall be cancelled by the relevant Research and Recognition Committee by way of punishment on the receipt of report from the Guide and the Head of Place of Research work.

Provided that the Head of Place of research work before submitting report to the University shall grant an opportunity to the candidate for submitting his explanation and shall conduct such enquiry as deemed necessary.

Provided also that the involvement of the candidate in a criminal offence involving moral turpitude shall be treated to be a misconduct and registration shall be cancelled with immediate effect on his/her conviction by the Competent Court. In such case there shall be no requirement of offering opportunity of being heard before cancellation of the registration.

**(c) Cancellation for failure to abide by the provisions of this Direction and/or Rules framed by the University :**

The registration of a candidate committing breach of provisions of this direction and/or Rules framed by the University shall be cancelled by the Controller of Examinations on receipt of the report from the Guide and the Head of Place of Research and the approval from Research and Recognition Committee.

Provided that the Head of Place of Research shall before submitting report to the University shall provide opportunity to the candidate to submit his explanations.

**B. Consequence of cancellation of registration:-**

Where the candidate whose registration has been cancelled as above has received scholarship/financial assistance from funding agencies like UGC, CSIR, University etc., the amount so received shall be recovered from the Candidate and shall be promptly returned by the candidate to the funding agency. Where the funding agency happens to be the Rashtrasant Tukadoji Maharaj Nagpur University an interest at the Rate of 18% may be charged by the university from the candidate on failure to return the amount within a period of 3 months from the date of cancellation of the registration. Further, the university make take appropriate steps for recovery of the amount from the candidate.

**12) SUPERVISION****(A) GUIDE**

Candidate shall be required to complete his/her doctoral research under the supervision of allotted approved guide. In specific cases co-guide/second supervisor **may** also be permitted for justified reasons. The **concerned** Research & Recognition Committee may allow change of guide on the production of a 'No Objection Certificate' from the earlier allotted guide and an acceptance letter from the new guide. In case of such a change, the candidate shall work for a minimum period of one calendar year under the new guide before he submits the thesis. The requirement of 'No Objection Certificate' shall not be necessary if the candidate justifies the non-availability of his earlier allotted guide. The justification will have to be endorsed by the Head, place of research.

**(B) Maximum students per Supervisor**

No Ph.D. Supervisor shall have more than eight candidates, of this university, registered under him for the Ph.D. study. A vacancy with a supervisor shall occur as soon as a candidate registered under **him** submits Ph.D. thesis as per the provisions of this Direction.

**(C) SELF GUIDE**

The research and recognition committee may on considering the published research work of the candidate and or his teaching /research experience of 15 or more years in senior college/institute, exempt him from carrying out his research work leading to Ph.D. degree under the guidance of a guide and allow him to carry out the research work under self guidance. The decision of the Research and Recognition Committee in this regard shall be final. The RRC may in such cases prescribe any additional condition(s), which it may deem proper.

**(D) Redressal of disputes**

In case of a dispute between a candidate and his guide or a co-guide the committee, consisting of the following members, shall examine the matter and report to the Vice-Chancellor;

- (i)** Dean of the concerned faculty (Chairman),
- (ii)** Nominee of the Vice-Chancellor,
- (iii)** The Head, place of research (If the complaint is against the Head or the Dean, he/she shall not participate in the proceedings of the meeting. In that case, additional member/s may be nominated by the Vice-Chancellor)

The report shall include, among other things, specific recommendations of the committee. Based on the recommendations of the committee the Vice-Chancellor may issue appropriate directions. The decision of the Vice-Chancellor shall be final and binding on the parties.

13) **COURSE WORK**

- (a) After having been admitted to Ph.D. course every candidate **shall** have to undertake course work of minimum period of one semester which will be treated as pre Ph.D. preparation. The course work must include topics on research methodology, quantitative methods of computer application, seminars, and review of published research work in the relevant field.
- (b) The evaluation of course work shall be done by the concerned Guide. Completion report of the Course work shall be submitted by the Guide to the Head of the Place of Research in duplicate **(Annexure- II)**. Copy of completion report shall thereafter be forwarded by the Head of the Place of Research to the University Ph.D. Cell.
- (c) If found necessary by guide, with consent of Head of the Place of Research, course work may be carried out by the candidates in departments/institutes/affiliated colleges either within or outside the University. In such a case completion report of the course work shall be submitted by the Head of the concerned department /institute /affiliated college to the guide who shall forward it to the Head of the Place of Research. Copy of the completion report shall thereafter be forwarded by the Head of Place of Research to University Ph.D. Cell.

14) **PROGRESS REPORT**

Every registered candidate shall submit to the Controller of Examinations of the University, through guide, the progress report of his research after every six months in the prescribed form, **(Annexure- III)**. If a candidate fails to submit three consecutive reports his registration may be cancelled by the relevant Research and Recognition Committee on recommendation of the guide.

15) **SUBMISSION AND EVALUATION OF THESIS**

**(A) SUBMISSION OF THESIS**

- (i) The submission of thesis shall be permitted only after completion of twenty four months, from the date of registration. However, candidate shall be permitted to submit the summary of thesis after 22 months. The summary should contain introduction, chapter wise brief account of the work done and overall conclusions.

- (ii) At least three months before the date of submission of the summary of the thesis each candidate shall give a pre-submission seminar. The seminar shall be arranged by the Head of the place of research, on the request of the candidate duly endorsed by the guide. It should be duly certified by Head place of research.
- (iii) On the basis of discussions and suggestions made in the pre submission seminar the candidate shall submit to the Controller of Examinations ten copies of the summary of his thesis through his guide within three month from the date of seminar.
- (iv) The candidate shall be allowed to submit his thesis after completion of a period of two months and before six months from the date of submission of the summary, failing which the candidate will have to pay the fine prescribed by the University from time to time for late submission. Late submission of thesis may be allowed up to the completion of one year from the date of submission of the summary or till the expiry of the registration period, whichever is earlier.
- (v) Five copies of the thesis shall be submitted in compact bound form along with a soft copy (CD), through his guide and Head of the Place of Research.
- (vi) The final thesis shall be presented in accordance with the following specifications:
  - (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 with minimum of one and- half spacing.
  - (c) A margin of one-and-a half inches shall be on the left hand side.
  - (d) The title of the thesis, name of the university, name of the concerned subject in which thesis is submitted (like Economics, Political Science, Physics, chemistry etc.) name of the concerned faculty, name of the candidate, name of the guide and co-guide, wherever appointed, month and year of thesis submission shall be printed on the title page and the front cover. (For specimen see in Annexure-IV)
- (vii) The thesis shall include a Certificate of the guide (**Annexure- V**) and a Declaration by the candidate (**Annexure-VI**) that the work reported in the thesis has been carried out by the candidate himself and that the material from other sources, if any, is duly acknowledged. The thesis should also be accompanied by the certificate of pre-submission seminar issued by guide and Head, Place of Research. (**Annexure-VII**).

- (viii) The thesis shall be written in English/Marathi/Hindi except where it relates to foreign or other Indian Languages. In the Faculty of Science, Law, Engineering and Technology, Medicine (Pharmaceutical Science) the thesis shall invariably be written in English only.

**(B) APPOINTMENT OF REFEREES**

- (1) On receipt of the copies of the summary of the thesis the same shall be placed before the relevant Research and Recognition Committee, as soon as possible, for recommending panel of referees, for evaluation of the thesis, comprising of not less than six referees in an alphabetical manner with their full addresses, e-mail addresses, telephone numbers, mobile numbers and pin code for correspondence. The RRC while recommending the panel of referees may take into consideration the names of experts suggested by the guide.

Provided firstly, that the RRC shall recommend the panel in such a way so as to include at least two referees within the State but out of the jurisdiction of this University and at least four referees outside the State or outside India, if available.

Provided secondly, that if the referees within the State are not available the panel shall be recommended so as to have all the referees outside the State of Maharashtra.

Provided thirdly, that if language of thesis is Marathi and referees are not available out of the state or out side India, the panel shall be recommended so as to have all referees within the state of Maharashtra.

- (2) The panel of referees, recommended by the Research and Recognition Committee, shall be placed before the Committee appointed under section 32(5) of the Act and the said committee shall recommend the names of the referees in order of preference, category-wise as mentioned above, for being finally approved and appointed to the Board of Examinations.

**(C) EVALUATION**

- (1) The thesis shall be evaluated by three referees (hereinafter external referees) out of which atleast two shall be out of Maharashtra, for all the faculties, subject to the compliance of proviso second and third in clause (B) above.

- (2) After the candidate has submitted the copies of thesis and Board of Examinations has appointed category-wise panel of referees the Controller of Examinations shall, preferably within one week from the date of appointment of referees as per Clause (B) above, request the first referee from each of the categories mentioned in proviso 1<sup>st</sup> of sub clause (1) of clause (B) of para 15 on the list to communicate within 15 days their willingness to examine the thesis. Copy of the summary of the thesis submitted by the candidates shall be sent to the referees alongwith the request letter. If the referee fails to communicate his acceptance/ willingness within 30 days from the date of dispatch of the first invitation letter, Controller of Examinations shall send the invitation letter to next referee in the panel. If the referee fails to convey his acceptance within 15 days, Controller of Examinations shall send a reminder to the referee to send the acceptance letter immediately.

Where the referee has accepted to examine the thesis, the Controller of Examinations shall forward the thesis to him within one week after receipt of letter of acceptance and shall request the referee to submit the report within 45 days from the receipt of the thesis.

- (3) The external referees shall independently send their reports in the prescribed format to the Controller of Examinations within forty-five days from the date of receipt of the thesis. If the referee fails to do so, the Controller of Examinations shall send a reminder immediately after the expiry of the said period and request him to submit the report within thirty days. If the concerned referee fails to comply even within the extended period the Controller of Examinations shall cancel his appointment and invite the next referee from the approved panel to evaluate the thesis.
- (4)
  - (i) As soon as reports of two referees have been received those shall be placed before the Vice-Chancellor by the Controller of Examinations. The reports shall be opened and if both the referees have recommended acceptance of the thesis the process for conduct of open viva-voce test shall be initiated immediately notwithstanding that the report of the third referee has not been received. If one of the two referees whose reports have been received has either rejected or suggested revision of the thesis then further steps for conduct of the open viva-voce shall be taken only after report of the third referee has been received by the university.
  - (ii) The viva-voce shall be conducted by the nearest external examiner. After the satisfactory viva-voce test the candidate shall become eligible for the award of Ph.D. Degree.

- (iii) If the external referees by majority do not approve the thesis, then the candidate shall not be eligible for award of Ph.D. Degree.
- (iv) If the referees by majority recommended revision of the thesis, then the candidate shall submit revised thesis (five copies) within 12 months from the date of the communication by the Ph.D. Cell and the revised thesis shall then be sent to original referees who have suggested revision and it will be subjected to the process of evaluation and conduct of viva-voce test as prescribed above. The referees recommending revision must state the reasons for his opinion and also must clearly indicate the direction in which he desires the thesis to be revised.
- (v) If out of the three referees, one has recommended the acceptance of thesis, the second has recommended rejection and the third one has recommended revision then the following procedure shall be followed :

The thesis shall be sent back to the candidate alongwith the recommendations of the referee, who has suggested revision. The candidate shall resubmit the thesis, within a period of 12 months, revised in terms of the recommendations of the referee. Thereafter, the revised thesis shall be sent back to the referee who had recommended the revision of the thesis. If the thesis is accepted by the referee then the candidate shall be declared to have become eligible for appearing in the open viva-voce test.

- (vi) The guide of the candidate shall be the internal referee for open defence. In case of a candidate working independently defence shall be conducted by the external referee only.
- (5) After ascertaining that the reports are favourable , Controller of Examinations shall arrange the viva and the defence of the thesis on the earliest date suitable to the internal examiner, preferably the nearest external examiner and the Head of the Place of Research who will act as Chairman. In case the Head of the place of research is not available he shall nominate senior research guide as Chairman for the defence. The Controller of Examinations shall make the reports available to the Head of Place of research/ Chairman a day before the date of the viva. In case of any difficulties, the Dean of the concerned faculty shall take appropriate decision .

**16) VIVA-VOCE AND OPEN DEFENCE OF THE THESIS**

- (1) The day, date, time and the place for the viva voce and the open defense of the thesis shall be notified by the Controller of Examinations preferably eight days in advance. Normally the viva voce and the open defence of the thesis shall be arranged in the University. However, in exceptional cases, the Vice-Chancellor may permit the viva to be conducted at a different place.
- (2) The open defence of the thesis shall take place in presence of guide (internal referee), one external examiner and the Head, place of research who shall jointly evaluate the performance of the candidate. In case of dispute, Dean of the concerned faculty shall take the appropriate decision.
- (3) If the external referee is unable to be present at the time of the open defense, the Vice-Chancellor, on recommendation of the guide and the Dean of the concerned faculty, shall appoint a senior research guide to act as an external referee for the open defense of the thesis. In case the internal referee is not available, the Vice-Chancellor shall appoint one of the senior rese arch guides as an internal referee, on the recommendation of the Dean of the concerned faculty & Head of the place of research.
- (4) The referees present for the viva-voce and the open defense of the viva-voce of the thesis shall submit to the Controller of Examinations their final report in written form duly signed by them, immediately after the open defence is over, alongwith the copy of the thesis, through the Chairman of the Viva-voce, about the award of Ph.D. degree.
- (5) In case the defence is not satisfactory the referees may unanimously recommend with reasons that a fresh viva-voce and open defense of the thesis be organized within a period of not less than one month. If the defence is still not-satisfactory the committee would record the reasons for the same and refer it to Board of Examinations for consideration.
- (6) The result shall be officially declared by the Controller of Examinations within eight days from the date of the receipt of the favourable report on the defence of the thesis.



17) **DEPOSITORY WITH UGC**

- (1) Following the successful completion of the evaluation process and announcements of the award of Ph.D., the University shall submit a soft copy of the Ph.D. thesis to the UGC, within a period of thirty days, for hosting the same in INFLIBENT accessible to all Institutions/Universities.
- (2) The University shall issue a provisional certificate certifying to the effect that the Degree has been awarded in accordance with the Regulations issued by the UGC as per the Notification dated 1<sup>st</sup> June 2009 and published in Gazette on 11<sup>th</sup> July, 2009.

18) The Ph.D. degree shall be conferred on the candidate in the ensuing convocation of the university.


19) Upon promulgation of this Direction, the Direction No. 10 of 2011 shall stand repealed.

20) **SAVING CLAUSE:**

Notwithstanding anything contained herein it is clarified that all cases in which registration has been already granted the same shall continue to be governed by the respective Ordinances and Direction even if repealed by virtue of this Direction. The procedure of submission of thesis and evaluation shall be governed by the said Ordinances/ Directions, notwithstanding their repeal.

Nagpur

Date : 12-10-2012



(Dr. V.S. Sapkal)  
Vice-Chancellor

**ANNEXURE-I**

Application fee Rs. 50/-  
 Registration fee: Rs. 300/-

Faculty of \_\_\_\_\_  
 Subject: \_\_\_\_\_

**RASHTRASANT TUKADOJI MAHARAJ NAGPUR UNIVERSITY**

“(Established by Government of Central Provinces Education Department by Notification No. 513 dated the 1<sup>st</sup> of August, 1923 & presently a State University governed by Maharashtra Universities Act, 1994.)”

Attested  
 Passport size  
 photo

**APPLICATION FORM FOR REGISTRATION AS A RESEARCH STUDENT FOR THE  
 DEGREE OF DOCTOR OF PHILOSOPHY IN THE SUBJECT \_\_\_\_\_  
 UNDER THE FACULTY OF \_\_\_\_\_**

To,  
 The Controller of Examinations,  
 Rashtrasant Tukadoji Maharaj  
 Nagpur University, Nagpur.

Sir/Madam,

I hereby apply for being registered as a research student for the degree of Doctor of Philosophy (Ph.D.) in the Subject \_\_\_\_\_ under the Faculty of \_\_\_\_\_ of the Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur.

The required fee of Rs. \_\_\_\_\_ has been paid in the University account on date \_\_\_\_\_ vide receipt No. \_\_\_\_\_. (A copy of the receipt is enclosed herewith)

- 1) Name in Full : \_\_\_\_\_  
 (In Block Letters) Surname First Name Middle Name
- 2) Name of Father/Husband : \_\_\_\_\_
- 3) Name of Mother : \_\_\_\_\_

- 4) Date of Birth : \_\_\_\_\_  
(In words \_\_\_\_\_)
- 5) Permanent Address : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 6) Address for Correspondence : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Telephone No. : \_\_\_\_\_ Mobile No. \_\_\_\_\_  
(E-mail) \_\_\_\_\_
- 7) Marital Status: (Married/ Single) \_\_\_\_\_
- 8) Religion : \_\_\_\_\_
- 9) Nationality : \_\_\_\_\_
- 10) Caste : \_\_\_\_\_
- 11) (a) I belong/donot belong to backward class\* \_\_\_\_\_  
(b) My category is SC/ST/OBC/VJ/NT/SBC\* \_\_\_\_\_
- 12) Mother Tongue : \_\_\_\_\_ Languages Known \_\_\_\_\_
- 13) Name of the University from where qualifying degree has been obtained: \_\_\_\_\_  
\_\_\_\_\_
- 14) College last attended : \_\_\_\_\_
- 15) Enrolment number (If qualifying examination has been passed from **Rashtrasant Tukadoji Maharaj Nagpur University**): \_\_\_\_\_

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**\*Strike off whichever is not applicable.**

16) Details of Examinations passed:

Examina-tion	University	Year	Subject offered	Division	Aggregate Marks	Percentage / grade

17) **Employment Status :**                      **Employed/not employed\***

(a) Designation : \_\_\_\_\_

(b) Address of office : \_\_\_\_\_

\_\_\_\_\_

18) Topic of Research : \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

19) Name and address of the Department/ Institution where the proposed research is to be carried out : \_\_\_\_\_

\_\_\_\_\_

20) Name, designation and address of the Guide under whose supervision the proposed research is to be carried out:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**\*Strike off whichever is not applicable.**

- 21) Details of Ph.D. Entrance Test : \_\_\_\_\_
- (a) Roll Number : \_\_\_\_\_
- (b) Date & year of passing : \_\_\_\_\_
- (c) Exempted from PET under clause\* : \_\_\_\_\_

- 22) List of documents enclosed : \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

Place : \_\_\_\_\_

Date : \_\_\_\_\_

(Signature of the Candidate)

(Signature of the Guide/Co-Guide)

### INSTRUCTIONS:

- 1) **Attested** true copies of the mark-list/degree certificate must be attached.
- 2) Candidate who has passed the qualifying examination from any University other than Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur should submit an original eligibility certificate from Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur.
- 3) If the Candidate belongs to the Backward Community, copy of caste certificate also should be enclosed.
- 4) Incomplete application will not be accepted under any circumstance.

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**\*Direction No. 29 of 2012, para 4) b) clauses i to ix.**

**UNDERTAKING**

I promise to abide by the provisions of rules and regulations of Rashtrasant Tukadoji Maharaj Nagpur University governing Ph.D. programmes, issued from time to time.

Date:

Place:

(Signature of the Candidate)

**ENDORSEMENT OF THE GUIDE**

- 1) I am willing to supervise the research work of the applicant. The proposed subject of research and the outline enclosed herewith have my approval;
- 2) The subject of research refers to the Board of Studies in \_\_\_\_\_ in the Faculty of \_\_\_\_\_.
- 3) The number of students already registered under my supervision are \_\_\_\_\_.
- 4) I have been recognised as a research supervisor by the University vide letter No. \_\_\_\_\_.

Date:

Place:

(Signature of the Guide/ Co-Guide)

**ENDORSEMENT OF THE HEAD OF PLACE OF RESEARCH**

Forwarded and recommended. Necessary facilities available in this Department/ Institution will be provided to the applicant.

Date:

Place:

Signature with Seal of  
Head of the Place of Research



## ANNEXURE-II

Faculty of \_\_\_\_\_  
Subject: \_\_\_\_\_

**RASHTRASANT TUKADOJI MAHARAJ NAGPUR UNIVERSITY**

“(Established by Government of Central Provinces Education Department by Notification No. 513 dated the 1<sup>st</sup> of August, 1923 & presently a State University governed by Maharashtra Universities Act, 1994.)”

**COURSE WORK COMPLETION CERTIFICATE**

I, \_\_\_\_\_, hereby certify that the course work on research methodology, computer application, seminar, review of published research work in the relevant field for a minimum period of one semester or a term of half year as per Direction No. \_\_\_\_\_ of 2012 has been completed, satisfactorily, by

\_\_\_\_\_..

Date:  
Place:

Signature of the Guide

Signature with Seal of  
Head of the Place of Research



## ANNEXURE-III

Faculty of \_\_\_\_\_  
Subject: \_\_\_\_\_

**RASHTRASANT TUKADOJI MAHARAJ NAGPUR UNIVERSITY**

“(Established by Government of Central Provinces Education Department by Notification No. 513 dated the 1<sup>st</sup> of August, 1923 & presently a State University governed by Maharashtra Universities Act, 1994.)”

**PROGRESS REPORT**

To,

The **Controller of Examinations**,  
Rashtrasant Tukadoji Maharaj  
Nagpur University, Nagpur.

Through :- (Name of the Guide) \_\_\_\_\_

Subject: Progress report for the period from \_\_\_\_\_ to \_\_\_\_\_.

Sir/Madam,

I am submitting the progress report of Ph.D. research for the duration cited under the subject mentioned above:

- 1) Name of the Research Student : \_\_\_\_\_
- 2) Name of Research Guide : \_\_\_\_\_
- 3) Date of Registration for Ph.D. Degree : \_\_\_\_\_
- 4) Place of Research Work : \_\_\_\_\_
- 5) Title of Research work : \_\_\_\_\_

- 5) Details in respect of Research work carried out during above mentioned period :

**Date:**  
**Place:**

**Signature of the Candidate**

**Signature of the Guide**



**FRONT /COVER PAGE OF THESIS**

- 1) The colour of the cover of the thesis should be black.
- 2) **Letters should be Golden colour with embossing.**
- 3) Title of the Thesis (In Block Letters)
- 4) Faculty
- 5) Subject
- 6) Name of the candidate
- 7) Name of Guide/Co-Guide
- 8) Name of the University

**FIRST PAGE OF THESIS**

- 1) Title of the Thesis (In Block Letters)
- 2) Faculty
- 3) Subject
- 4) Name of the candidate
- 5) Name of Guide/Co-Guide
- 6) Date \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_

**CERTIFICATE**

This is to certify that the work presented in this thesis entitled :

“

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_” is

the own work of Shri /Smt./Ku. \_\_\_\_\_

\_\_\_\_\_ conducted in the Department /

Institute / College \_\_\_\_\_ under my supervision.

This work has not been submitted earlier to any University/ Institution for any research degree to the best of my knowledge.

Date:

Place:

(Name, Designation **and** Signature of Guide)

**DECLARATION/UNDERTAKING**

I hereby declare that the work presented in this thesis entitled :

“ \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_” was  
carried out by me under the supervision of \_\_\_\_\_  
from \_\_\_\_\_ to \_\_\_\_\_. This work or any part of this work is based  
on original research and has not been submitted by me to any University/ Institution for the award  
of any diploma or degree.

Date:

Place:

(Name **and** Signature of Candidate)

**CERTIFICATE**

This is to certify that Shri /Smt./ Ku. \_\_\_\_\_  
has presented his/her pre-submission seminar before the expert committee on \_\_\_\_\_  
(Subject) in the Faculty of \_\_\_\_\_ in the  
compliance with the requirementy of Direction No. 29 of 2012.

Date:

Place:

(Name and Signature of Guide)

(Head, Place of Research)





