



**Yashwantrao Chavan Maharashtra Open University**  
Dnyangangotri near Gangapur Dam, Nashik, Pin Code-422222,  
Maharashtra (India)

**NAAC ACCREDITED WITH GRADE 'A'**

*(UGC Recognised State University established on 1st July 1989 by an Act XX (1989) of the  
Maharashtra State Legislature.)*

**Ph.D ORDINANCE 2023**

*(Under Section 23 of YCMOU Act, 1989) (As approved by the Board of Management meeting held  
on 28.02.2024)*

## **An Ordinance to provide for Ph. D. (Doctor of Philosophy) Degree Programme under all Schools of Yashwantrao Chavan Maharashtra Open University**

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An Ordinance to provide for Ph. D. (Doctor of Philosophy) Degree programme in the concerned subject of Commerce / Management / Humanities / Social Sciences / Agriculture / Education / Distance Education / Architecture / Science / Technology / Health Science / Computer Science / Interdisciplinary / Multidisciplinary Studies conducted by the concerned Schools.

### **1. Title and Commencement:**

Whereas it is expedient to provide for the Ph. D. (Doctor of Philosophy) Degree programme in the concerned subject of Commerce / Management / Humanities / Social Sciences / Agriculture / Education / Distance Education and in Architecture / Science / Technology / Health Science / Computer Science / Interdisciplinary / Multidisciplinary Studies conducted by the concerned School, the Board of Management in exercise of the power conferred by sub-section (2) of section 23 of the Yashwantrao Chavan Maharashtra Open University Act, 1989, is hereby pleased to make the following Ordinance:

- 1.1 This Ordinance may be called the “Ph. D. (Doctor of Philosophy) Degree Programme of Yashwantrao Chavan Maharashtra Open University Ordinance, 2023.
- 1.2 This Ordinance shall come into force from the date of its approval by the Board of Management.

### **2. Definition:**

In this Ordinance, unless the context otherwise requires,

- 2.1 “Act” means The Yashwantrao Chavan Maharashtra Open University Act, 1989.
- 2.2 “Ph. D. (Doctor of Philosophy)” means the Doctoral Programme in the concerned subject of Commerce / Management / Humanities / Social Sciences / Agriculture / Education / Distance Education / Architecture / Science / Technology / Health Science / Computer Science conducted by the School of Commerce and Management / School of Humanities and Social Sciences / School of Agricultural Sciences / School of Education / School of Continuing Education / School of Science / School of Health Science / School of Computer Science / School of Multidisciplinary Studies / School of Online Learning.
- 2.3 “Programme Fees” means the fees for Ph. D. Programme as determined by the concerned authorities of the University.
- 2.4 “Research and Recognition Committee (RRC)” means the committees constituted under clause 5 of the Statute relating to Doctoral research Committee (DRC); for each School, namely,
  - (1) School of Humanities and Social Sciences
  - (2) School of Commerce and Management
  - (3) School of Agricultural Sciences
  - (4) School of Education
  - (5) School of Continuing Education
  - (6) School of Architecture, Science & Technology

- (7) School of Computer Science
- (8) School of Health Science
- (9) School of Online Learning
- (10) School of Multidisciplinary Studies

**3(A). Objectives of the Ph. D. Programme:**

The objectives of the Ph. D. programme shall be to encourage and strengthen the research activities in various subject domains of Commerce and Management / Humanities and Social Sciences / Education / Agriculture / Architecture, Science & Technology / Health Science / Computer Science / Distance Education/ Interdisciplinary/ Multidisciplinary; in general, and in particular the objectives shall be -

- 3.1 To enable doctoral students of various Schools to gain a common understanding of the research process;
- 3.2 To enable doctoral students of various Schools to inculcate research skills and scientific attitude
- 3.3 To prepare doctoral students to face critical academic and professional challenges in the future life.

**3(B). Language of the Programme / Medium of Instruction:**

- 3.1 The Ph. D. thesis can be prepared by using English & Marathi language for all Schools; Ph. D. thesis in language can be prepared by the concerned languages in which the Research Work is completed.
- 3.2 The Ph. D. thesis for School of Agricultural Sciences can only be prepared by using the English language.
- 3.3 The Language and Medium of Instruction of the Ph. D. Entrance Test, Course Work, and Supplementary Learning material (if any), shall be Marathi & English for all Schools, except the School of Agricultural Sciences.
- 3.4 The Language and Medium of Instruction of the Ph. D. Entrance Test, Course Work and Supplementary Learning material (if any), shall be English & Marathi only for Ph. D. Program offered by the School of Agricultural Sciences.

**4(A) Admission and Eligibility:**

- 4.1 The University shall decide, on annual basis, the maximum number of candidates to be admitted to the Ph. D. program, which shall be announced in advance in a notification and on website.
- 4.2 Admission to the Ph. D program will be made once in a year, preferably at the beginning of the academic year.
- 4.3 Eligibility criteria for admission to the Ph.D. Programme.-The following are eligible to seek admission to the Ph.D. programme:

(1) Candidates who have completed: i. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks 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/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time. Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme 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/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

(2) Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its 10 THE GAZETTE OF INDIA : EXTRAORDINARY [PART III—SEC.4] 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. programme.

Percentage of marks in qualifying Master's Degree or Equivalent (50% Weightage); for every additional one percent of total marks over and above 55 %, 1.1 (one point one) Weightage shall be awarded to a candidate.

Performance in the Entrance Test and Interview (50 % Weightage: 30% for Entrance test and 20% for Interview).

- The candidates possessing M. Phil. Degree (with course work) of any statutory University or an Institution of higher learning recognised by UGC, shall be exempted from the written test of Ph. D. program, however, such candidates shall be required to appear for the personal interview.
- The candidates who have qualified in any of the National Level Ph. D. Eligibility Test such as NET / GATE (Ph. D. level) or are Teacher Fellowship holders, shall be exempted from the written test of Ph. D. program, however, such candidates shall be required to appear for the personal interview.

- The JRF-qualified students are admitted into the Ph.D. programme based on an interview as per the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022.
- For students who qualify in Categories 2 and 3. 70% weightage will be given for test scores and 30% for the interview for admission to Ph.D. programmes. 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 Categories 2 and 3 will be valid for a period of one year for admission to Ph.D.

The Ph. D. Entrance Test in a subject shall be of 200 marks. It shall consist of Paper-I of 50 marks and Paper-II of 150 marks.

Examination of Paper-I (of 50 marks) will be conducted in the First Session and Examination of Paper-II (of 150 marks) will be conducted in Second Session.

The Examination of Paper-I shall be common to all students, irrespective of their specialization at the Master's Degree level. While the Examination of Paper II shall be subject-wise. However, it would be mandatory for each student to complete and pass the Examinations of Paper I and Paper-II, independently.

The Vice Chancellor shall constitute appropriate Committees, at the University and School levels for conducting the Test and interview respectively. During the interview, the School Committee may make a provisional allocation of selected applicants to the eligible Guides.

#### **4(B) Procedure for Ph. D. Registration:**

- 4.1 The candidate desiring to seek registration for Ph. D. programme shall purchase / download the prospectus along with the prescribed admission form and the list of recognised research guides from the University website or from the Regional Centres on payment of the cost of prospectus as may be determined by the Director of the concerned School, and approved by the concerned authorities of the University from time to time.
- 4.2 The candidate shall finalize the research topic in consultation with the proposed research guide chosen from the list of recognised research guide, who has consented for the work. The responsibility to choose the appropriate guide entirely lies with the student. Therefore, the student must ensure that the selected guide possesses the specialization (i.e.: Ph. D.) in the concerned subject.  
The candidate may submit the Ph. D. Application form without selecting a Guide. In such case, if the student secures admission through the Entrance Test, the Director of the concerned School shall allot a suitable guide to the student.
- 4.3 The candidate shall submit the application form along with the registration fees as may be determined by the concerned School, from time to time, and approved by the concerned authorities of the University, accompanied with the following documents:

- (a) Outline of the research proposal approximately in 2500 words, which is clear and specific about the title and proposed area of research. The following points should be clearly explained in the research proposal:  
 Title / Need / Scope of Research / Novelty / Objectives / Hypothesis / Research Question / Assumptions / Review of Related Literature / Research Methodology / Tools of Data Collection and Analysis / Bibliography with justifying usability according to APA style;  
 (This list is only indicative. A few more points may be added if required)
  - (b) Area of research
  - (c) Letter of consent of the research guide (if chosen) to supervise the research work;
  - (d) Attested copies of all relevant certificates of academic qualifications, experience, certificate of merit or appreciation (if any);
- 4.4 A declaration by the research guide stating the number of research students presently pursuing research under him/her (M.Phil. and Ph.D. together) in Y.C.M. Open University and other Universities / Institutions.
- 4.5 The Director of the concerned School may forward the research proposal(s) to the subject expert(s) to seek the remarks. If an expert of the specific subject is not available in the YCMOU, an outside expert (local or outstation) may be contacted. The Director of the concerned School shall identify such expert(s) and obtain approval by Hon. Vice Chancellor.
- 4.6 The Director of the concerned School shall place all the applications before the Doctoral Research Committee (DRC) for its consideration and recommendation.
- 4.7 The Doctoral Research Committee (DRC), having considered each application, may prepare its report with the recommendation that-
- a) One more additional research guide (co-guide) may be added to supervise the research work, if the topic is of interdisciplinary / multidisciplinary nature;
  - b) the research proposal may be accepted as it is;
  - c) the research proposal may be accepted subject to specific modifications;
  - d) the research proposal may be rejected completely.
- 4.8 The minutes of the meeting of the Doctoral Research Committee (DRC) shall be placed before the concerned University Research Council (URC) whose decision thereon shall be final.
- 4.9 The Director of the concerned School shall communicate the decision of the University Research Council (URC) to all concerned candidates. A copy may be forwarded to research guide for information.
- The list of students indicating the decision of URC about their research proposal (along with reasons in case of modifications and rejections) shall be made available on the website of the University by the Director of concerned School.
- 4.10 If the research proposal has been accepted by the University Research Council (URC), the concerned candidate is deemed to have been granted registration for Ph. D. programme and thereafter the candidate shall be, required to pay the prescribed fee for necessary period, as may be determined by the Director of concerned School.

4.11 On the payment of programme fees, the candidate will be allotted a Permanent Registration Number (PRN).

4.12 The Ph. D. programme shall consist of the components namely,

- (a) YCMOU Ph. D. Entrance Test (YCMOU-PET) OR The UGC NET Criteria
- (b) Prescribed Course Work

The Regular Course Work shall include four courses in a semester. The coursework may be designed in the format of Theory Papers (with End Written Examination). However, One Paper on Research Methodology (Including Quantitative Techniques and Computer Applications required for the concerned subject) should be common across all Schools including a two-credit mandatory course entitled "Research and Publication Ethics" (RPE).

The coursework should be of 12 Credit Points for at least one semester. The main research work (Thesis) would be of 48 Credit points. Thus, the total credit points will be 60 (12+48) for Ph. D. Program.

The Syllabi and Teaching Learning Methodology, Duration, Session details, Evaluation Process shall be designed by the Director of concerned School and subsequently approved by the concerned statutory bodies of the University.

If required, the student shall be permitted to opt for courses offered by other School(s) depending upon the interdisciplinary nature of research topic. The decision about such choice shall be recommended by the research guide and Director of the concerned School.

4.13 The candidate must successfully complete and pass in each paper/component of course work securing at least 55 per cent of the marks ( the candidates possessing M. Phil. degree from any statutory university or a recognized institution of higher learning are exempted from course work),

4.14 The format and layout of the Ph. D. thesis shall be specified by the concerned School and the details of the same shall be made available on the University website.

4.15 The Paper-I of the YCMOU Ph. D. Entrance Test (YCMOU-PET) shall be designed and developed by the School of Education on behalf of all other Schools.

The syllabi, content, format and layout of Paper-I shall be designed and developed by the Director, School of Education in consultation with Directors of all other Schools, while the syllabi, content, format and layout of Paper-II shall be designed by the Director of the concerned School. It shall be approved by the concerned statutory authorities of the University.

The modalities, procedure, rules, regulations of YCMOU-PET shall be developed by the Director, School of Education in consultation with Directors of all other Schools

Such modalities, procedure, rules and regulations of YCMOU-PET shall be submitted by the Director, School of Education to Hon. Vice Chancellor for approval.

4.16 The policy of social reservation shall be strictly followed in the Ph. D. Entrance Test and in admission process. The prescribed relaxations in eligibility and scoring shall be applicable as in force currently in the State of Maharashtra.

## **5. Duration of Programme Registration:**

5.1 Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme. A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the university; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme. 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. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

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

5.2 No candidate shall submit the thesis for evaluation before completion of two years of study from the date of registration (student has to register himself within the stipulated period as mentioned by the concerned School). The date of research topic approval by the concerned URC shall be considered to count the start of registration period. It means the duration of two years period shall be counted from the date of URC meeting in which the research topic was approved.

The candidate can submit the thesis within a maximum period of Six years from the date of registration failing to which his registration shall stand cancelled.

5.3 The registration of a student shall be cancelled on the following grounds, namely:-

- (i) Non-payment of programme fees within the specified period;
- (ii) Non-compliance with the provisions of the relevant Statutes, Ordinances, Rules and Regulations of the University;
- (iii) Failure to complete course work or submit the thesis within the period as specified in clause 5.
- (iv) Failure to complete four successful research presentations within five years.
- (v) If the Director of concerned School does not receive three subsequent six monthly progress reports from student (duly signed and forwarded by guide), the registration of the student shall get cancelled.
- (vi) If the student fails to attend the research presentations (organized periodically by the concerned School) consequently three times.
- (vii) If the student fails to attend and attempt at least one research presentation seminar organised by the concerned School within a span of twenty four months from the date of registration (i.e. from date of concerned URC meeting).

5.4 The candidate whose registration has been cancelled under may apply for an extension of registration period with the recommendation of the RPC, within a period of not exceeding three months from the date of cancellation of registration, to the Director of the concerned School, who may grant permission of extension of registration for a period of one year (the



date of period of extension shall be counted from the date of cancellation of registration). The candidate shall have to pay the extension fees, as may be determined by the concerned School and approved by the concerned authorities of the University, from time to time.

The Director of the concerned School will ensure that the research topic of the student at the time of extension must be the same, as approved initially by the Doctoral Research Committee (DRC) of the concerned School.

5.5 In case a candidate wishes to change the topic of research, he / she may be permitted to do so within one year from the date of his / her initial registration. The modified research proposal shall be submitted again to the concerned DRC and URC for consideration and approval.

The date of initial registration shall be valid to count the registration period of such cases even though the URC approves the changed research topic.

### **6. Modes of Payment of Fees:**

6.1 Each and every kind of fees can be paid through online mode as specified by the Director of the concerned School and approved by the concerned authorities of YCMOU.

6.2 The details of fee structure for Ph. D. program would be as mentioned below:

(i) YCMOU-PET Fee:	Rs. 1000/- (one thousand only)
(ii) Course work fees	Rs. 10,000/- per year (Ten thousand only)
(ii) Ph. D. Program Fee:	Rs. 20,000/- per year (Twenty thousand per year)
(iii) Ph. D. Thesis Submission Fee:	Rs. 20,000/- (Twenty thousand only)
(iv) Ph. D. Extension Fee:	Rs. 20,000/- (Twenty thousand only)

### **7. Ph. D. Programme for Whom?**

Ph. D. programme shall be open to persons of either sex (including transgender) and of whatever race, creed, cast or class and it shall not be lawful for the University to adopt or impose on any person any test whatsoever of religious belief or profession or political or other opinion in order to entitle him to be admitted as a student in the University.

### **8. Procedure:**

8.1 Every candidate during his period of registration shall have to attend mandatory Course Work sessions (required for completion of course work) organised by the concerned School at the head quarter or at any other place at his own cost.

8.2 The time table, duration and plan of Course Work sessions shall be prepared by the Director of concerned School and approved by the concerned statutory authorities of the University.

8.3 Every candidate shall have to attend and attempt four research seminars and make four successful research presentations in the seminars, and the period between such seminars shall not be less than six months, using suitable modern presentation technology. Such research presentation seminars shall be arranged periodically by the Director of the concerned School. The schedule of research presentation seminars shall be made available on the website of the University. The details of the research presentation seminar are mentioned below:

- (i) First presentation for the finalisation of Research Topic
  - (i) Second presentation for the Outline of Research Topic (Research Proposal);
  - (ii) Third presentation after completion of nearly 50 to 60 per cent of the research work;
  - (iii) Pre-Submission Seminar after completion of entire research work, and When the DRC is of the opinion that the thesis is ready for submission in all respect; the candidate shall give a Pre-Submission Seminar on the research findings at least two months prior to the submission. This presentation shall be made in the presence of the DRC and one faculty member (a recognised guide) nominated by the Director of concerned School.
- 8.4 The candidate who has successfully completed his / her first presentation shall be allowed to make the second presentation; after satisfactory and successful completion of the first and second presentation and the course work, the candidate shall be allowed to make his third presentation.
- The candidate, after successful completion of all three research presentations, shall prepare the draft copy of thesis for Pre-Submission Presentation Seminar.
- Upon successful completion of Pre-Submission Presentation Seminar, the candidate shall be allowed to submit the thesis to the University.
- 8.5 The candidate shall submit through his research guide the six monthly progress reports of his research work during the entire registration period, till submission of thesis to the Director of concerned School.
- 8.6 Before the submission of thesis, the candidate shall have to write and publish at least two research papers related to the topic of the research, which shall be either published or accepted for publication in the refereed research journals or magazine (having high Impact Factor) as recommended by the DRC of concerned School and approved by the Academic Council of the University. The copies of published papers (reprints) shall be submitted to concerned School. The lists of such approved research journals shall be periodically updated by the concerned URC. The publications in the Conference proceedings converted into journals may also be considered in this case.
- 8.7 The candidate shall be required to make the research presentations before Expert Committee. The Expert Committee would include the members of DRC and Director of the concerned School or his nominee.
- It is mandatory that the research guide should be present for all research presentations of the student.
- At the time of research presentation, the student shall submit the copy of presentation paper (in print format) duly signed by him and the research guide, to the presentation evaluation committee.
- It is also mandatory for the student to bring all raw data, questionnaire (filled up), references and such other relevant material, at the time of second, third and fourth research presentation. The student should communicate and inform in writing to the Director of concerned School about the readiness for research presentation.

The research seminar presentations for Ph. D. students shall be periodically arranged for various subjects by the Director of concerned School.

8.8 The research presentation seminars shall be arranged at the University headquarter. The research presentations shall be evaluated by an Expert Committee.

The Expert Committee shall consist of:-

- (i) The Director of concerned School or his nominee, as the Chairman.
- (ii) The subject expert(s) nominated by the Director of concerned School, and
- (iii) The DRC members.

The expert committee may suggest some modifications in the research methodology, objectives, hypotheses, scope, data analysis and interpretation at the time of presentation.

8.9 The decision of the Director or Chairman of expert committee shall be final which shall be accordingly communicated to the concerned candidate immediately after his / her presentation is over. The research presentation evaluation report format shall be prepared by the Director of concerned School. One copy of the research presentation evaluation report indicating the remarks of the committee duly signed by the Director or Chairman shall be immediately issued to the student. The student shall acknowledge the receipt of research presentation evaluation report on the second copy of the said report and hand it over to the Director or Chairman of the research presentation seminar. The Director or Chairman shall write critical and relevant comments in the research presentation evaluation report. The report shall be concluded with any one of the following options:

- (i) Presentation has been Approved,
- (ii) Presentation has been Conditionally Approved subject to suggested modifications to be carried out within specific time limit,
- (iii) Presentation has been Completely Rejected.

In case of option (ii) in this clause, it will be mandatory for the student to submit the revised copy of presentation paper (duly signed by student and guide) within the stipulated time period to the Director of concerned School. The revised presentation paper shall be accompanied by the letter mentioning compliance of the suggested modifications, duly signed by the student and the research guide.

If the student fails to submit the revised presentation paper within the stipulated time to the Director of concerned School, the same presentation shall stand cancelled and shall be treated as rejected. The student shall again have to appear for the presentation.

## **9. Submission of Thesis:**

The thesis shall comply with the following conditions:

- (i) It must be a piece of research work characterised either by a discovery of facts or by a fresh approach towards the interpretation of facts. Innovative design or work with sufficient originality or research towards application of known principles can also comprise the thesis. In either case, it should evidence the capacity of candidate for methodical work, critical evaluation and examination and sound judgement. The thesis

will indicate how far it embodies the results of his / her own efforts and in what respects the investigation appear to contribute to knowledge domain in the subject.

- (ii) It shall be satisfactory from the point of view of language and presentation of subject matter.
- (iii) The thesis shall include a declaration by the candidate that the thesis embodies his own work and the thesis or its part has not been submitted to any other University or Institute for any other Degree or Diploma.
- (iv) The thesis shall also include a certificate of research guide stating:
  - That the thesis embodies the work carried out candidate under his supervision,
  - That the candidate worked under him during the registration period,
  - That the research work carried out by the student is of original nature and of sufficiently high quality to award Ph. D. Degree.
  - That in the opinion of Research Guide, the thesis fulfils the requirements of the Ordinance relating to the Ph. D. Degree of Y.C.M.O.U. In the case where work is jointly done with other person / persons (other than the research guide), the other person's / persons' contribution should be clearly brought out.
- (v) The candidate shall be required to submit the four soft bound copies, typed on both sides of the pages of the thesis (each copy duly signed by the student and Research Guide) along with a soft copy on CD and ten copies of the summery (duly signed by the student and guide) of the thesis independently to the Director of the concerned School. The technical specifications required for the soft copy of the thesis shall be communicated to the student by the Director of the concerned School.
  - (ii) At the time of thesis submission, the student shall be required to submit copies of the following documents:
    - Copy of Letter of research topic approval,
    - Copy of Receipts of fees paid,
    - Copies (reprints) of research papers published in approved journals (or)
    - Copies of letter(s) of the Editor or Editorial Board of the approved journal indicating the research papers have been accepted for publication,
    - Copy of each research presentation seminar evaluation report (First /Second / Third / Fourth).
    - The student shall furnish copies of the research presentation seminar evaluation report also in which the presentation was rejected.
    - Copies of all correspondence by the student regarding Ph. D. research work with the Director of concerned School.
    - Ten copies of the Abstract of the thesis.
- (vi) It is mandatory on part of the student to check on the various websites and submit the report of non-plagiarism to ascertain the originality of the research investigation and thesis writing. The Research Guide should also ensure the originality of the work

submitted by the student. The student and guide may use different software's available for this purpose to ensure the non-plagiarism.

(vii) Final submission of thesis after viva-voce:

Upon successful completion of Ph. D. viva-voce, the student shall have to submit two copies of hard-bound thesis (with black binding having golden embossing / screen printing), along with two sets of CDs, using the standard word processor.

## **10. Ph. D. Thesis Evaluation:**

10.1 Following would be the steps involved in the process of Ph. D. thesis evaluation:

(a) The Director of concerned School shall invite the list of minimum six referees from the concerned research guide, after the submission of thesis. Such referees should have the experience and expertise in the similar research area. The guide should take care to avoid names of the persons / experts who stay in the same district, even though they are experts in the concerned subject. It would be advisable to include some of subject experts outside the state of Maharashtra.

(b) The list of external referees, as received from the guides, shall be submitted to the Doctoral Research Committee (DRC) of the concerned School. The DRC, upon scrutiny of the available list and recommendation of DRC members, shall prepare a list of six referees for the evaluation of said thesis. The DRC may or may not consider some or any of the experts recommended by the research guide. The panel of six referees, thus formed shall be recommended and submitted to the (URC) for approval. The URC shall review the panel of referees and may recommend changes therein, before according the final sanction.

(c) The minutes of the meetings of DRC and URC shall be submitted to Hon. Vice Chancellor for approval.

Upon approval of the minutes of DRC and URC by Hon. Vice Chancellor, the Director of concerned School shall submit the panel seeking nomination of external referees (for concerned student prepared earlier) to Hon. Vice-Chancellor,

(d) Hon. Vice Chancellor may select four names from the panel, with priority sequence as A, B, C and D. to evaluate the said thesis. Hon. Vice Chancellor may nominate the name of any other subject expert (not included in the list approved by the concerned DRC and submitted by the Director) to evaluate the said thesis.

The Director of concerned School shall contact initially, the examiners A and B to seek their consent either by post, telephone or e-mail for thesis evaluation. A copy of the thesis shall be sent to each external referee, after seeking consent by any of the said mode.

If one of the referees (from A and B) expresses the inability to accept the thesis for evaluation, the third shortlisted referee (i.e. C) shall be contacted to seek the consent for thesis evaluation. The thesis shall be sent to the third referee, after seeking his consent.

If any three referees (out of A,B, C and D) decline to accept the thesis, then the Director of the concerned School shall submit the proposal to Hon. Vice Chancellor for the nomination of other referee(s) from the same panel.

- (e) The research guide of the student being the internal referee shall also evaluate the thesis of his student and submit the evaluation report to the Director of concerned School.
- (f) The time duration allowed to the external and internal referee for Ph. D. thesis evaluation shall be of sixty days. If an external referee is unable to submit the Ph. D. thesis evaluation report within stipulated time (sixty days), the Director of the concerned School shall send three reminder letters to the referee (each after the gap of one month) to seek the report. If the external referee still does not respond to the reminder letters and fails to send the evaluation report, the matter shall be reported to Hon. Vice Chancellor and further action may be taken as per the directives of Hon. Vice Chancellor.

10.2 The External Examiners as well as the internal examiner shall individually submit their evaluation reports to the Director of concerned School. Each referee shall, after carefully examining the thesis, submit a report in the prescribed proforma to the University containing a clear that in his opinion the thesis (i) is recommended for the award of Ph. D. Degree, (ii) should be modified / revised; or (iii) may be rejected.

Following could be the possible combinations of the remarks by an external referee -

1. Accept the thesis as it is for award of Ph. D. Degree
2. Accepted with minor modifications (can be done after viva-voce)
3. Accepted with minor modifications (to be done before viva-voce)
4. Accepted after option (3)
5. Rejected after option (3)
6. Major modifications (need to be done before viva-voce)
7. Modified thesis accepted (option (6)
8. Modified thesis rejected (option (7)
9. Thesis be rejected

Following could be the possible combinations of the second referee's remarks -

1. Accept the thesis as it is for award of Ph. D. Degree.
2. Accepted with minor modifications (can be done after viva-voce)
3. Accepted with minor modifications (to be done before viva-voce)
4. Accepted after option (3)
5. Rejected after option (3)
6. Major modifications (need to be done before viva-voce)
7. Modified thesis accepted (option (6)
8. Modified thesis rejected (option (7)
9. Thesis be rejected

In case if the first or second referee recommends to reject the thesis or even after major modifications, the thesis shall be sent to the third referee.

The minor modifications in the thesis as pointed out by the external referees would include spelling / grammatical mistakes / typographical errors and similar other minor errors.

The Ph.D. thesis evaluation report of the external referee should invariably be concluded with one of the following options:

- (a) The thesis be accepted in the present form for the award of Ph. D. degree by Yashwantrao Chavan Maharashtra Open University.
- (b) The thesis be rejected;
- (c) The thesis should be revised, before viva-voce and resubmitted for evaluation, as the suggestions are of major type
- (d) The thesis should be revised, after viva-voce, as the suggestions are of minor type. Resubmission for Evaluation is not required.
- (e) The thesis should be revised, before the viva-voce and resubmitted for evaluation as the suggestions are of minor type.

In case of any External Examiner suggests certain modifications and re-submission of the thesis, the same shall be communicated to the candidate, who shall be asked to re-submit the thesis with all the modifications within six months of such communication. The research guide shall ensure that the suggestions of the examiner or examiners, as the case may be, are adequately addressed before the re-submission of the thesis and such re-submitted thesis shall be referred again to the examiner or examiners, as the case may be, concerned for re-evaluation.

10.3 If both of the External Examiners have unanimously recommended the thesis for the award of Ph. D. degree, the Director of concerned School shall submit the proposal regarding selection of an external referee to conduct the Viva-voce of the said student. Hon. Vice Chancellor shall nominate any one of the external referees (who have evaluated the said thesis and submitted the report with recommendation to accept the thesis) for the Viva-voce. The said Viva-voce (open defence) will be open to all interested persons. The Viva-voce shall be conducted by a three member Viva-voce Evaluation Committee consisting of:

- i) Director of the concerned School as Chairman;
- ii) Internal Referee (Research Guide of the student)
- iii) One External Referee, nominated by Hon. Vice-Chancellor

The member of the Ph D viva-voce committee could be replaced / altered, with the approval of Vice-Chancellor, in case of following situations:

- (i) If the Internal Referee (Research Guide) is unable to attend the viva-voce due to ill health, visit abroad (for more than a period of three months), sudden death, or similar such reasons, then the Vice-Chancellor shall nominate other academic person as an Internal Referee for viva-voce purpose only,
- (ii) If both the External Referees are out of India (for a period of more than six months), and both of them have submitted their positive reports with the recommendation to accept the

Ph. D. thesis, then the Vice-Chancellor shall nominate other academic person as an External Referee for viva-voce purpose only,

(iii) If the Internal Referee or the External Referee fails to attend the viva-voce, then in that case, the viva-voce shall be postponed. However, if the Internal or External Referee fails to attend the viva-voce for second time, then the Director of concerned School shall arrange for the substitute referee, after approval of Hon. Vice-Chancellor

10.4 (i) The Viva-voce Evaluation Committee as specified above, shall evaluate the candidate on his / her performance in the viva-voce test and submit its report to the Director of concerned School.

(ii) Open defence for Ph.D. Degree examination: As a part of the examination procedure, the candidate is required to submit along with his / her Ph.D. thesis additional copies of abstract of his / her thesis. The University shall ensure that as far as possible, the Viva-voce shall be held within a period of six months, from the receipt of evaluation reports of the referees. The Viva-voce shall be of open defence type and shall be open to all.

The candidate is expected to defend his / her thesis in public. The student would present his / her research topic for about 45 minutes after which the examiners may invite questions from the audience. These questions are meant to seek additional information and also initiate fruitful discussions on ideas and concepts put forth in the thesis.

The Viva-voce Committee will evaluate the candidate on his / her performance in the open defence and if the performance is found poor on the whole, the Ph. D. degree may not be awarded to the candidate.

If the panel of examiners come to the conclusion that the candidate is involved in fudging, it may recommend university authorities that the candidate be not awarded Ph. D. degree.

10.5 The Viva-voce Evaluation Committee as specified at above may recommend -

- (i) the award of the Ph. D. degree for the satisfactory performance in the viva voce;
- (ii) the rejection of the Ph. D. degree for dissatisfactory performance in the viva voce;
- (iii) the rejection of the Ph.D. degree for involvement in fudging.

10.6 If one of the External Examiners does not recommend the thesis for the award of the Ph. D. Degree, the Director of the school shall arrange to send the thesis to the third External Examiner from the panel nominated by the Vice-Chancellor, for independent evaluation. If the third External Examiner recommends the thesis for the award of the Ph. D. Degree, the Viva-voce shall be arranged. In case the third external referee recommends to reject the thesis, the thesis will be treated as rejected and Ph. D. Degree shall not be awarded to the student.

10.7 The External Examiners reports shall be made available to the candidate to enable him to address the issues raised therein for necessary modification or defending him in the Viva-voce.

10.8 The Director of concerned School shall submit the report of the Viva-voce Committee Evaluation Report along with all evaluation reports to Hon. Vice-Chancellor for approval.



### **11. Declaration of Ph. D. Result:**

- 11.1 Evaluation reports of all referees and the Evaluation Report of the Viva-voce Committee shall be submitted to Hon. Vice-Chancellor for approval.
- 11.2 Upon the approval by Hon. Vice-Chancellor, the Director of concerned School will forward the relevant documents to the Controller of Examinations for further processing.
- 11.3 The notification declaring the award of Ph. D. degree shall be issued by the Registrar.
- 11.4 Upon issue of Notification by the Registrar, the Director of concerned School will forward one copy of the hard bound thesis and one soft copy (CD) to the University Library for archive purpose.

### **12. Publication of Thesis:**

The candidate may publish the approved thesis in any form after the prior written permission of the Director of concerned School.

- 12.1 The student should acknowledge the YCMOU, Nashik
- 12.2 The student should submit an application to the Director of concerned School along with a No Objection Certificate from the Research Guide
- 12.3 The student should submit five copies of the published material to the Director of concerned School
- 12.4 After the publication of thesis, in case of any dispute about the thesis or its part, shall be entirely dealt by the candidate at his own cost
- 12.5 Any changes / modifications in the thesis for publication purpose, should be declared by the student to the university, at the time of seeking permission
- 12.5 It is not mandatory for the YCMOU to provide financial support for publication
- 12.6 The university shall also have the right on the product submitted by the Ph. D. student The student shall be allowed to use the product for commercial or any other purpose with the prior written permission from the university.
- 12.7 The Director of concerned School shall forward two copies of the published material (received from concerned student) to the University library for archive purpose.
- 12.7 The University shall have the copyright / patents and all such other rights of the material (book / product as the case may be).

### **13. Disciplinary Action:**

- 13.1 Registration of the student may be cancelled on following grounds:
  - i) Unethical research practices
  - ii) Moral turpitude
  - iii) Misconduct and misbehaviour with the university authorities
- 13.2 Grievances regarding evaluation or examinations (of Theory Papers of Course work only) shall be referred to Lapses Committee, a sub-committee of Board of Examinations, for the final decision.

#### **14. Recognition and De-recognition of Research Supervisors: –**

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

Permanent faculty members working as Professor/Associate Professor with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors with a Ph.D., and at least three research publications in peer-reviewed or refereed journals will be recognized as a Research Supervisor in the university. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors.

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 competent authority. Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University will be appointed.

An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four

Ph.D. scholars, respectively, at any given time. 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 next Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years

Recognition and De-recognition of Guides shall be done by the YCM Open University through the DRC and URC of the concerned School. The regular teachers in the YCMOU shall be eligible to become Ph. D. research guide subject to fulfilment of the prescribed norms as stated in above point no 14.

14.1 The Director of concerned School shall design and develop the prescribed format for application as the research guide. The person, who seeks to be recognized as the research

guide of YCMOU, shall have to fill up the prescribed application form and submit it to the Director of concerned School, along with the necessary documents.

14.2 Ph. D. guide recognition applications thus received shall be classified and placed before the concerned Doctoral research Committee (DRC) for consideration and recommendation. Subsequently the recommendations of DRC shall be placed before the concerned University research Council (URC) for final decision. Such decisions could be any of the following:

- (a) Approval as the Ph. D. Research Guide
- (b) Non-Approval as the Ph. D. Research Guide

14.3 The recognition shall be granted for the specific time period, which will be decided by the URC of the concerned School. It will be intimated to the person who has been recognized as research guide.

14.4 The essential qualification, duration and other norms for granting of approval as a Ph. D. research Guide shall be prepared by the Director of concerned School. The guidelines and directives of apex bodies such as UGC shall be taken into consideration while framing the norms. Such qualifications and norms shall be placed before various statutory bodies of the University for Approval.

Upon approval by the concerned statutory bodies of the University, the concerned person shall be informed by the Director of concerned School.

### **15. Change of Guide:**

15.1 The Ph. D. student once registered under the specific research guide shall work under the same guide to the maximum possible extent. However, under certain genuine and unavoidable circumstances, the student will be permitted to change the research guide. Such situations could be any of the following:

- (i) Due to severe and prolong illness of guide
- (ii) Physical and mental disability of guide
- (iii) Death of guide
- (iv) Negligence or non-cooperation on the part of guide
- (v) Unethical practices by the guide
- (vi) If the research guide goes abroad permanently or for a period of more than six months

15.2 The procedure for change of guide shall be as mentioned below:

- (i) The student shall submit an application to the Director, of the concerned School seeking change of the research guide.
- (ii) The reason for change of guide should be clearly mentioned in the application along with necessary documents.

- (iii) No Objection Certificate of the earlier guide (other than the reasons mentioned at above) and the consent letter of the proposed new guide should necessarily be attached with the application.
- (iv) In case, if the earlier guide does not provide a No Objection Certificate and the student still insists to change the guide, such cases will be submitted to the concerned DRC and URC for final decision.

#### **16. Withdrawal of Student by Guide:**

16.1 The research guide shall request the Director of concerned School to withdraw the student in the case of following situations:

- (a) If the student does not proceed with the research work without any satisfactory reason.
- (b) Inability / incompetency of the student to conduct research
- (c) Misbehaviour with the research guide
- (d) Severe illness / physical disability / if the student goes abroad for period of one year or more.

16.2 The procedure for withdrawal of student shall be as mentioned below:

- (i) The guide shall submit an application to the Director of the concerned School seeking withdrawal of the student
- (ii) The reason for withdrawal of student should be clearly mentioned in the application
- (iii) The application shall be placed before the concerned DRC and URC for final decision
- (iv) If the withdrawal request of the guide is approved by the University, under such situation, the responsibility of selecting new guide (already approved) entirely lies with the student.

#### **17. Procedure of appointing Co-Guide (Joint Supervisor):**

17.1A School may, with the approval of the DRC and URC, appoint one or two Co-Guide(s) (Joint Supervisor), from outside the School, in addition to the Guide in which case the Guide shall be in overall supervision. A Co-Guide (Joint Supervisor) need not necessarily be a teacher of the University but shall be a person recognised as Guide (Supervisor) as per the University Regulations. A Student may be assigned a Co-Guide (Joint Supervisor) only if his / her Guide so desires in view of interdisciplinary nature of problem or if the candidate carries out the work from another Institution.

17.2 The recognition of a teacher from other Universities / Researcher from the recognised Research Organisations as a Ph. D. Guide will be accorded, taking into consideration the relevant Ordinances, on the basis of a written application through the Head of the Organisation where he / she is working, along with bio-data and other supporting documents. This application shall be submitted to the concerned DRC and URC of the School for approval.

## **18. Recognition of Research Institutions / Laboratories:**

- 18.1 Recognition to a Research laboratory / Institution, as a Centre for pursuing research leading to the Ph. D. Degree of this University, may be granted on the basis of a written request by the Research Laboratory / Institution concerned and on the basis of a specific recommendation of a Regular Inspection Committee through the DRC and acceptance by the URC of the concerned School.
- 18.2 While granting such recognition the URC, if it considers it desirable, may refer the matter to the concerned DRC for its considered opinion on the suitability of the research in the given field of study.

## **19. Admissions of Persons Working in Research Laboratories / Institutions to the Ph. D. Program:**

- 19.1 Persons working in a Research organisation may be functionally classified into the following two categories for the purpose of admission to Ph. D. program:
- (i) Employees engaged in active research; and
  - (ii) Supporting and administrative staff.
- After completion of course work, the employees engaged in active research need not be full-time researchers in the University. However, such candidates will be allowed to submit their thesis only after completion of three years from the date of registration.
- The supporting and administrative staff of a research organisation shall fulfil all requirements as laid down in this Ordinance.
- 19.2 The registration for Ph. D. of a scholar working in a Research Organisation shall be under the guidance of a Guide approved by the concerned School of the University. However, such candidates may have a Co-Guide (Joint Supervisor) from the concerned Research Organisation. Those desirous of working exclusively under a faculty member of the University shall be registered as full-time scholars.

## **20. Formation of Doctoral Research Committee (DRC) and University Research Council (URC)**

- 20.1 Doctoral Research Committee (DRC):
- A Doctoral Research Committee (DRC): shall be constituted for each research scholar consisting of the Research Guide and two other members (recognised research Guides) from the University to monitor the progress of the research work. The RPC shall define the courses to be completed by the student, taking into consideration the nature of research topic selected by the student. After recommendation of RPC, the Director of concerned School shall approve the selection of courses (especially in case of courses offered by other Schools).
- (c) Pre-admission presentation of research topic and interview of the student, and
  - (d) Periodic Research Presentation Seminars
- 20.2 The composition of the University Research Council shall be as follows:
- The URC for YCMOU shall consist of the following members:

- (i) The Vice-Chancellor shall be the Chairperson of the Research Council.
- (ii) The Pro-Vice-Chancellor of the University is Member of the Research Council.
- (iii) Eight eminent experts as Members drawn from various subject domains, who are not employees of the University, nominated by the Vice-Chancellor. Out of these eight Members, two Members will be one each from Board of Management and Academic Council respectively.
- (iv) Director of each School and Division of YCMOU
- (v) Three teachers [1 Professor, 1 Associate Professor and 1 Assistant Professor (who are already Research Supervisors) of YCMOU by seniority and by rotation, nominated as a Member by the Vice-Chancellor. (v) Controller of Examinations as a Member.
- (vi) Director / Head, Research Unit (RU) shall be the Member Secretary of the Research Council.

20.3 The term of the office of the members will be three years from the date of nomination.

20.4 The Research Council shall meet at least twice in a year. One third of the total One third of the total membership shall form the quorum for the meeting

## **21. Repeal:**

21.1 Provisions of Ph. D. Degree programme rules Ordinance (Ord. 2 of 1993), as in force immediately before the commencements of this Ordinance, to the extent of the provisions of this Ordinance, are hereby repealed.

21.2 Notwithstanding such repeal of the provisions of the said Ordinance anything done or any action taken under the provisions of the Ordinance so repealed shall be deemed to have been done or taken under the corresponding provisions of this Ordinance.

21.3 Notwithstanding anything contained in this Ordinance, the Vice Chancellor may take such measures as may be necessary for removal of doubts / difficulties and to resolve any other extraordinary issue.

## **22. Concurrence with the Rules / Regulations of Apex Authorities:**

The Rules / Regulations regarding Ph. D. program as laid down by various concerned Apex Authorities shall be apply to the Ph. D. students registered under concerned School of Yashwantrao Chavan Maharashtra Open University.

The changes / modifications in the Rules / Regulations made by the concerned Apex Authorities shall also apply to the Ph. D. students registered under the concerned School of Yashwantrao Chavan Maharashtra Open University. The concerned School shall submit such changed/modified Rules / Regulations for approval to the Academic Council and its RRC for information purposes.