



Guidelines for YCMOU Ph. D. Program

1. Registration

- 1.1 Depending upon the position of vacant seats in the various disciplines, admission to Ph. D. Programme will take place in July session every year. The admission schedule will be announced through advertisement on the YCMOU website and/or in national and state newspapers for session indicating the Disciplines which are on offer during the session. All applications in the prescribed format shall be received at the Research Unit of YCMOU by duly notified dates. The applications will be submitted through online mode.
- 1.2 The schedule of the admission related activities like getting the position of the vacant seats from the Disciplines offering Ph. D. Programme, notification of the advertisement on the website/ newspaper, last date of submission of application, setting and moderation of Entrance Test Question Papers, fixing the date of the entrance examination, evaluation of the answer scripts, Meeting of the Doctoral Research Committee, School Council for the purpose of finalization of the admission, meeting of the Research Council (RC), uploading the results on the website, etc., will be prepared by the Research Unit.
- 1.3 The Entrance test for admission to the Research Degree Programmes will be conducted by Controller of Examinations (COE) with the support of Research Unit and concerned School or any other nodal agency decided by the University Authorities from time to time. Accordingly the various preparatory activities pertaining to the entrance test like arrangement of question papers, issue of Hall Tickets to the candidates, conduct of examination etc. will be undertaken by COE.
- 1.4 The Evaluation Division will get the answer scripts of entrance test evaluated centrally with the help of approved list of evaluators provided by the Schools of Studies. After evaluation, the subject-wise merit list of the candidates will be prepared by COE and will be sent to Research Unit which in turn will be sent to the Schools of Studies along with the schedule of admission.

- 1.5 Students enrolled in Ph.D. Programme may work on **full-time** basis or on **part-time** basis at the University as per the Clause 5.3 of YCMOU Regulations for conducting Research Degree Programmes.
- 1.6 The proposal for change from part-time to full-time or vice versa will have to be approved by the Doctoral Research Committee and the School Council and placed before the Research Council for approval. The decision of the RC in this matter will be final.
- 1.7 The duration of the programme will be counted from the date of commencement of the academic session or from the date of admission letter whichever is later.

2. Doctoral Research Committee (DRC)

All major activities of Research Degree Programs will be undertaken by the discipline specific Doctoral Research Committee (DRC). The constitution of the DRC will be done in the following manner:

- 2.1 There will be a DRC for each Discipline that will manage all aspects of research programme pertaining to the Discipline. The Composition of the DRC will be as per the Provision under Clause 3.1.3 of Regulations for Conducting Research Degree Program (YRCRDP). The DRC will exercise the powers and perform the functions as mentioned in Clause 3.1.4 of the YCMOU (YRCRDP). The term of the external experts will be for three years.
- 2.2 Each discipline will choose the Research Programme Coordinator and his/her term will be for two years. This position will rotate among the faculty members, who are eligible to become Research Supervisors. If the existing coordinator agrees, the discipline concerned may also extend his/her term for another two years. Another faculty member may also be designated as Co-Research Programme Coordinator to facilitate the research related activities.

3. Eligibility Criteria for admission in Ph.D. Programme

A candidate will be eligible for admission and registration for the Ph. D. programme, provided he/she:

- 3.1 Possesses Master's Degree from a University recognized by UGC or any other qualification recognized as equivalent thereto in such fields of study as are notified for the purpose from time to time by the University with at least 55% marks [50% marks in the case of SC, ST, OBC (Non-creamy Layer) and Differently-abled and other categories of candidates as per the decision of UGC

from time to time, or for those who had obtained their Master's Degree prior to 19th September, 1991].

- 3.2 Qualifies in the entrance examination (PET) conducted by YCMOU at the state level. However, a discipline may decide separate terms and conditions for short listing of the candidates who have qualified UGC NET (Including JRF/UGC-CSIR NET/GATE/Teacher Fellowship holders and M. Phil. Degree Holders.) for the purpose of finalizing the list of the candidates to be called for interview.

OR

- 3.3 Possesses a Degree considered equivalent to M. Phil. Degree of an Indian Institution or 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 for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

4. Duration

- 4.1 The **minimum** and **maximum** duration after registration for the Ph. D. Programme shall be **three years** and **six years** respectively. The minimum and maximum duration for Ph. D. under integrated mode will be **three and half years** and **six and half years** respectively. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph. D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave / Child Care Leave once in the entire duration of M. Phil. / Ph. D. for up to 240 days.
- 4.2 A student who has been registered for the Ph. D. programme may apply for deactivation of his/ her registration for a maximum period of five years or the period recommended by the DRC, whichever is less, provided:
- i. He/she has successfully completed the pre-PhD course work,
 - ii. His/her synopsis has been approved by the DRC,
 - iii. He/she has completed at least minimum two years period from the date of his/her registration,
 - iv. His/her progress reports during these two years are satisfactory.
 - v. He/she has paid full fee.

Such applications will be considered by the concerned DRC and its recommendation will be placed before the School Council and the final decision will be taken by the Research Council. Such a research student within the prescribed period of deactivation may apply for reactivation of his / her registration and will be required to submit his / her thesis within one year from the date of reactivation of his/her registration. He/she will pay the prescribed fee for one academic session at the time of reactivation of his/her registration.

After deactivation of the registration, the seat under the respective research supervisor will be treated as vacant.

5. Pre-PhD Course Work

All the admitted candidates shall undergo and successfully complete the prescribed Course Work in accordance with the provisions of YRCRDP.

- 5.1 The credit assigned to the Pre-Ph.D. course work shall be of 16 credits of minimum one semester duration and maximum two consecutive semesters (one year). Further DRC may also recommend area specific Bridge Course/ Additional Course to a student in case the student is required to acquire additional knowledge in the respective area of his/her research work.
- 5.2 The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as Quantitative methods, Qualitative methods, Mixed Methods, Computer Applications, Research Ethics and Review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph. D. degree.
- 5.3 The supervisor will ensure that the student completes the prescribed Course Work successfully before undertaking the Ph. D. Thesis.
- 5.4 The Course Work per four credit course will be delivered in the following manner:
- (i) Minimum Number of hours for class room teaching learning: 30 hours
 - (ii) Minimum Number of hours for library work: 20 hours
 - (iii) Minimum Number of hours for tutorial and other interactive activities: 10 hours
- 5.5 In the case of 8 credit course, the minimum number of hours for each component of delivery will proportionately increase two times.
- 5.6 80% attendance in the class room teaching is compulsory for each student pursuing Ph. D. programme.
- 5.7 Evaluation of the Course Work:
There will be three components of evaluation methodology to evaluate the course work assigned by the DRC:

Components of evaluation for each course	Marks	Qualifying Marks
1. Continuous Assessment I *	25	14
2. Continuous Assessment II *	25	14
3. Term End Examination	50	27

Total Marks	100	55
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* Continuous Assessment may include various options like assignment, term paper, field work, lab-work, book-review, seminar, group discussions, etc. Component of Viva-Voce may be included wherever required.

For successful completion of the Course Work, a student will be required to score 55 percent marks separately in each component for each course. The DRC may prescribe separate evaluation methodology to evaluate the specific bridge course/additional course assigned to individual student.

- 5.8 The Continuous Assessment will be done by the concerned course coordinator.
- 5.9 The Term End Examination will be conducted by the COE in the month of December and June like other academic programmes of the University. COE will
- i. issue the offer letters to the paper setters for setting the question papers;
 - ii. get the question papers moderated with the support of the faculties concerned in the various Schools;
 - iii. get the copies of the question papers printed/duplicated in case of number of copies required is small.
 - iv. The Disciplines concerned/Directors of the Schools will send course-wise approved lists of paper setters/moderators/ evaluators to COE.
 - v. The examination may be conducted at the Headquarters/Study Centres by COE depending upon the need and the proposals of the Schools concerned.
 - vi. The answer scripts will be sent by the COE to the approved evaluators for evaluation.
 - vii. COE will declare the results and issue the Grade Cards to the students in accordance with the evaluation methodology duly approved by the Academic Council/Research Council.
- 5.10 The course work must be completed within a maximum period of 2 semesters from the date of commencement of the academic session the student has been admitted to in accordance with clause 5.4 to 5.7 of these guidelines and in conformity with UGC Regulations, 2016. In special circumstances to be recorded in writing, the student may be allowed on the recommendations of the DRC one more semester for completion of the Course Work by the Vice Chancellor.

6. Selection Procedure for Admission

Selection of candidates who are eligible as per Clause 3 of these Guidelines for admission to Ph. D. Programme will be done in following manner:

- 6.1 Those who secure at least 50% marks in the entrance test (PET) (45% marks in case of SC/ST/PH) will be shortlisted for the interview in order of merit subject to the maximum limit of five times of the vacant seats.
- 6.2 The selection of the candidates will be made strictly in order of merit on the basis of the candidate's performance in the interview. The performance of the candidates in the interview will be judged in the following manner:
- 6.3 At the time of time of interview for admission, 40% weightage will be given to research aptitude, 40% to subject knowledge and 20% weightage to her / his communication skills.
- 6.4 The interview of the candidates will be conducted by the discipline specific DRC. The recommendation of the DRC pertaining to the admission shall be placed before the School council for approval. The Research Programme Coordinators through Director of the School concerned shall forward the recommendations of the School Council to the Research Unit, in the prescribed format, for placing it before the RC for final approval. After approval by the RC the Research Unit shall issue offer of admission letters to the selected candidates. A candidate who accepts the offer will remit the prescribed fee within the stipulated time to the Research Unit.
- 6.5 Selected candidates **will be enrolled provisionally** and will undergo course work as prescribed by the DRC of the Discipline. Their Admission to Ph. D. Programmes will be treated confirmed after approval of the synopsis by the RC / RCSC.

7. Allocation of Research Supervisor

- 7.1 Every student registered for a Research Degree Programme shall be required to pursue the programme under the supervisor(s) approved by the Research Council. Supervisor/Co-Supervisor for students shall be recommended by the DRC and the School Council concerned or the Research Committee from among the panel of Supervisors recognized by YCMOU. External Supervisors are not allowed. However co-supervisors are allowed in inter-disciplinary areas from other

Disciplines of YCMOU or from other related institutions with the approval of the Research Council.

- 7.2 In case of topics which are of inter-disciplinary nature where the Discipline concerned feels that the expertise in the Discipline has to be supplemented from outside in addition to the supervisor from the Discipline, who shall be known as the Research Supervisor, may be assigned a Co-Supervisor from outside the Discipline/ Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions / Colleges.
- 7.3 The eligibility conditions for approval of a teacher as Research Supervisor and the number of student to be allocated to a Research Supervisor will be in accordance with clause 9.2 and 9.6 of YCMOU Regulations for conducting Research Degree Programmes.
- 7.4 All the existing teachers/academics empanelled as Research Supervisors (prior to the date of notification of YCMOU Regulations for conducting Research Degree Programmes) who are guiding M. Phil. / Ph. D. students will continue to guide the students already assigned by the DRC. However, fresh students will be assigned to them only if they fulfill the conditions of eligibility criteria for a Research Supervisor in accordance with the clause 9.2 of YCMOU Regulations for conducting Research Degree Programmes.
- 7.5 A research supervisor after his/her superannuation will continue to be the supervisor of the students allocated to him/her subject to his/her consent. However, in such cases the Programme Coordinator will be the Joint-Supervisor to discharge the various administrative functions of the supervisor.
- 7.6 The Supervisor allotted by the DRC of the Discipline concerned can be changed on the request of the student or the concerned supervisor on academic, administrative ground or any other exigency with valid justification. The DRC will consider such applications and will send its recommendations to the School Council. The recommendations of the School Council will be placed before RC for approval.

8. Change of the Topic / Title of the Thesis

Change in the Topic / Title of the Thesis will be approved in the following manner:

- 8.1 Change in the Topic / Title in nature of grammatical corrections/ syntax will be approved by the Director, Research Unit on the proposal of the concerned

supervisor through the Director of the School Concerned and recommended by the DRC.

- 8.2 On the request of the candidate for Minor Change in the Topic of the thesis, the matter will be considered by the DRC and on the recommendations of the DRC and the School Council, the change will be approved by the Vice Chancellor. However, the minor change in the title of Ph. D. thesis can be effected within **two years** of provisional registration for Ph. D.
- 8.3 A request for a major change of topic may be considered within one year from the date of approval of the original topic. Such request for a major change in the topic will be considered and recommended by the DRC, concerned School Council and finally will be approved by the RC. Such a student will be required to pay the additional Fee of one year duration.

9. Progress Report

- 9.1 The progress of a research student shall be monitored by the supervisor(s). **However, generating the six monthly progress reports on the prescribed format will be the responsibility of the research student.** The six monthly progress reports will be presented by the student before the concerned Discipline Group after approval of the same by the Supervisor. The recommendation of the Discipline Group will be placed before the DRC and School Board for approval. The student may be required to present the progress report before the DRC as and when required. In case of unsatisfactory progress over a time period of one year and/ or non-submission of timely report, the DRC may recommend de-registration of the student to the School Council. The recommendations of School Council will be forwarded to the RC. However, the Research Programme Coordinator will send a show cause notice to the student concerned before placing his matter for de-registration in the DRC. University reserves the right to cancel the registration under **clause 8.8** of the YRCRDP, Ordinance.

10. Submission of the Thesis

Upon satisfactory completion of the course work, a student registered for Ph. D. will be required to submit a thesis.

- 10.1 Each research student will attend and present research paper in at least two seminars / conferences **prior** to the pre- submission seminar.

- 10.2 The **Pre-submission seminar**, to be organized by the Research Programme Coordinator concerned, will be before the DRC to be chaired by the Director of the School concerned and will be **open to all**. The minutes of the Pre-submission seminar containing the suggestions by the faculty present in the Seminar will be recorded by the Supervisor concerned and the copy of the same will be forwarded to the Research Unit for the record. A written certificate from the Supervisor that the suggestions made by the faculty in the Pre-submission seminar have been duly incorporated in the thesis will be submitted by the supervisor at the time of submission of the thesis.
- 10.3 At least one research paper in the area of study for Ph. D. should be published / accepted for publication in a peer reviewed / refereed journal (online or print) **before** the thesis submission.
- Provided that in areas/disciplines where there is no or only a limited number of referred journals the discipline concerned may relax the above condition of publication in a refereed journal.
- 10.4 In consonance with UGC Regulations, 2016 before submission the research scholar will have to test his/ her thesis through the anti plagiarism software as per the procedure laid down by the Research Council from time to time.
- In case of the theses written and submitted in Hindi or vernacular language (Marathi), the above condition will be relaxed till the appropriate software to scan such thesis is available.
- 10.5 The research student shall submit a copy in electronic form and 5 hard copies of the summary of the thesis (3000-5000 words), duly approved by the supervisor(s) at least 45 days before the submission of thesis.
- 10.6 Five copies along with one in the electronic form shall be submitted to the Research Unit through the Director of the School concerned in the following format:
- Hard bound/ spiral bound. After Viva Voce, one Hard Bound copy in Maroon Colour with material in Golden Colour after incorporation of errata, if any, will be submitted to the Research Unit by the student for record purpose.
 - Typed / word processed on both side of the papers in one and half- space.
 - Font size: 12 point in Times New Roman or Calibri font type for thesis written in English language, while for thesis written in Hindi / Marathi language, Font Size 14.

- Margin 1.25 inch from all four sides.
- The Thesis shall include a declaration by the Research Scholar that the work reported in thesis is original and carried out by the Scholar himself/herself and that the material from other sources, if any, are duly acknowledged. The format of the certificate has been provided in Annexure I.
- The Thesis shall also include a certificate signed by the supervisor(s) and forwarded by the Director of the School concerned about the originality of the work and successful completion of the Course Work. The format of the certificate has been provided in Annexure II.

11. Evaluation of Thesis

- 11.1 The thesis shall be examined by the internal examiner(s) i.e. supervisor(s) and two external experts nominated by the Vice Chancellor (3 experts in order of preference) from the panel of experts proposed by the supervisor and approved by the DRC and School Council. In case the Vice-Chancellor feels that the panel contains the repetition of the names of external experts or are not appropriate, he/she may nominate the names of the external experts from the common pool of area-wise experts of the discipline concerned approved by the School Council in order to expedite the evaluation process. The name of the Experts included in the panel of evaluators will be placed by the Chairperson in the meeting of the DRC and School Council for consideration and approval.
- 11.2 The report of the evaluation will be given on a prescribed format to be sent to the evaluator by the Research Unit.
- 11.3 All efforts should be made so as to complete the entire process of the evaluation of Ph. D. thesis within a period of six months from the date of submission of the thesis.
- 11.4 In case the examiner(s) suggests certain modifications in writing or re-submission of the thesis, the same should be communicated in writing to the candidate, who will be asked to resubmit the thesis with all the modifications within six months. The research supervisor(s) will ensure the compliance of suggestions of the examiner(s) before resubmission of the thesis. The modified thesis shall be referred again to the examiner(s) concerned for re-evaluation.
- 11.5 If one of the external examiners does not recommend the thesis for the award of a Ph. D. degree, the thesis shall be referred to another examiner for independent

evaluation. If the third external examiner recommends the thesis for the award, the viva voce examination shall be organized. However, if this examiner also rejects the thesis, the thesis shall be deemed to be rejected by the University.

- 11.6 The **examiners' reports** will be communicated to the School concerned and the Supervisor to be **shared with the candidate** prior to the viva-voce examination to enable her / him to address the issues raised therein while preparing to defend the thesis.
- 11.7 The **viva voce examination** shall be conducted at YCMOU as an open defense of the thesis by a panel comprising of one of the external examiners nominated by the Vice-Chancellor and the supervisor(s) of the candidate. The Director concerned shall be the Chairperson of the panel. The Supervisor from YCMOU shall be the Convener of the panel. In case of non-availability of the internal supervisor due to any reason or no-internal supervisor from YCMOU, the Research Program Coordinator will organize the Viva-voce. The date for open defense, venue, and topic of the thesis with a brief abstract shall be communicated to the Research Unit by the Director of the School concerned. This should also be given wide publicity by the School concerned so as to facilitate larger participation.

12. Award of the Ph.D. Degree

- 12.1 The report of the viva voce examination prepared by the External Examiner and the Research Supervisor(s) will be sent to the Research Unit through the Director of the School concerned. The report shall be placed before the Vice Chancellor for approval of the award of the Degree.
- 12.2 The Research Unit will communicate the approval of the Vice-Chancellor along with evaluation reports and joint report of the viva-voce examination to the Controller of Examinations for issuance of the Provisional Certificate and Notification. The award of the Degree will be placed before the Academic Council for ratification and the notification will be issued by the Registrar, YCMOU.
- 12.3 The Ph. D. degree will be awarded at the Annual Convocation.

13. Grievance Redressal

The Research Programme Coordinator will place the representations/grievances raised by the Research Scholars before the DRC of the Discipline concerned. The DRC will

consider and resolve the grievance of the scholar. In case the student is not satisfied with the decision of the DRC, he/she may submit his/her grievance to the Grievance Redressal Committee constituted by the RC. The recommendations of the Committee will be submitted to the Vice Chancellor whose decision will be final.

14. Miscellaneous

- 14.1 **Records** related to admission, registration, payment of fees, and other learner records will be maintained by the **Research Unit**. The relevant information on the payment of fee by the research student will be regularly communicated by the Research Unit to the respective Disciplines enabling them to keep an update on the status of the research student.
- 14.2 The guidelines to conduct the Research Degree Programme for International students will be framed separately.
- 14.3 The applications of the registered Ph. D. scholars seeking 'No Objection Certificate' for issue of Visa will be considered by the Research Unit if the student has been invited to present a paper in any International Conference/Seminar/Workshop etc., by the Institutions located abroad. In such cases, 'No Objection Certificate' can be issued by the Research Unit without any financial liability on the University.
- 14.4 After pre-submission of the thesis by a candidate, the seat of the supervisor under whose supervision he/she was registered will be treated as vacant from the date of pre-submission seminar.

Annexure-I

Yashwantrao Chavan Maharashtra Open University, Nashik

Declaration by the Research Scholar

I _____ Enrolment Number (PRN)
_____ hereby declare that the research embodied in this thesis entitled,

is an original research work done by me under the supervision of

of School of _____ YCMOU for the award of
Doctor of Philosophy in _____ from Yashwantrao Chavan Maharashtra
Open University, Nashik.

I hereby also declare that to the best of my knowledge no part of this thesis fully or partly has been submitted previously to this or at any other university/institution for the award of any Research Degree/Diploma.

Date:

Signature of the Candidate

Place:

Name of the Candidate

Annexure-II

Yashwantrao Chavan Maharashtra Open University, Nashik

CERTIFICATE

This is to certify that the thesis entitled: _____

*submitted by _____ for the award of Doctor of
Philosophy in _____ is a bonafide work carried by him/her under my
supervision and guidance. No part of this thesis fully or partly has been submitted previously
to this or at any other university/institution for the award of any Research Degree/Diploma.*

Date:

Name & Signature of the Supervisor

Place:

Signature of the Director of the School of _____

FORWARDED FOR EVALUATION