



GOVERNMENT OF MAHARASHTRA

DR. HOMI BHABHA STATE UNIVERSITY MUMBAI



MINIMUM STANDARDS AND PROCEDURE FOR THE AWARD OF Ph.D. DEGREE (With effect from December 13th, 2023)

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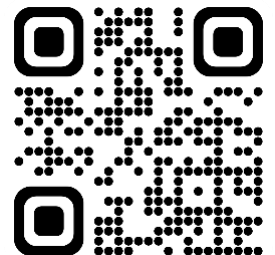
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Dr. Homi Bhabha State University, Mumbai

No. Exam. /Thesis/HBSU/VCD/ December of 2023.

MINIMUM STANDARDS AND PROCEDURE FOR THE AWARD OF Ph.D. DEGREE (With effect from December 13th, 2023)

WHEREAS the University Grants Commission has issued a Notification, University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022, on 7th November 2022, and the notification in the Gazette of India on 7th November 2022 (Kartika 16, 1944), in supersession of the earlier UGC (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2016; applicable to all Universities in India from the date of their publications in the Gazette of India;

AND

WHEREAS as per the provisions of Sub-Section (1) of Section 73 of the Maharashtra Public Universities Act 2016, the conditions under which students shall be admitted to courses of study for degrees, diplomas, certificates, and other academic distinctions are required to be prescribed by the Ordinances and, therefore, it is expedient to prescribe minimum standards and procedure for award of Ph.D. degree by Ordinances;

AND

WHEREAS the Government of Maharashtra, as per Notification No. MIS-2018/C.R.248/U.E.3. dated 15th February 2019 has constituted Dr. Homi Bhabha State University, comprising of a cluster of the Institute of Science, Mumbai as a lead college and Elphinstone College, Mumbai, Sydenham College, Mumbai and Secondary Training College, Mumbai as constituent colleges;

AND

WHEREAS the constituent colleges run Ph.D. programmes in different subjects and regularly admits students for the same;

AND

WHEREAS the Rules and Regulations of the University of Mumbai shall be made applicable *mutatis mutandis* to the Dr. Homi Bhabha State University, wherever required as a Transition Provision;

AND

WHEREAS it will take considerable time to make the Ordinances prescribing minimum standards and procedure for award of Ph.D. degree of the Dr. Homi Bhabha State University;

NOW THEREFORE, I, **Prof. Rajanish K. Kamat, Vice-Chancellor** of the Dr. Homi Bhabha State University, Mumbai, by and under the power vested in me under Sub-section (8) of Section 12 of the Maharashtra Public Universities Act, 2016, hereby issue the following directives:

1. These Directives shall be applicable to the University Departments, constituent colleges and institutions of Dr. Homi Bhabha State University.
2. The provisions of this VCD shall be applicable to the candidates admitted for Ph.D. after the date of the VCD,
Provided that the candidates admitted prior to the date of this VCD shall be governed by the provisions of rules and regulations of VCD April 30th, 2021, Dr. Homi Bhabha State University, Mumbai.
3. These Directives shall come into force immediately from the date of this VCD and remain in force till the Ordinances in this regard coming into force.

4. Definitions

In these Directives, unless the context otherwise requires:

- a. "UGC" means the "University Grants Commission", New Delhi.
- b. "The Act" means the Maharashtra Public Universities Act, 2016;
- c. "University" means Dr. Homi Bhabha State University, Mumbai;
- d. "HBSU" means the Dr. Homi Bhabha State University, Mumbai;
- e. "Adjunct Faculty" means a part-time or contingent instructor, but not full-time faculty member hired to teach by HBSU;
- f. "Cumulative Grade Point Average (CGPA)" means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places;
- g. "Credit" means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit;
- h. "College" means a constituent institution of HBSU engaged in higher education and/or research;
- i. "Commission" means the University Grants Commission established under Section 4 of the UGC Act 1956;
- j. "Course" means one of the specified units which go to comprise a programme of study;
- k. "Course Work" means courses of study prescribed by the School/Department/ Centre to be undertaken by a student registered for the Ph.D. Degree;
- l. "Degree" means a degree awarded by a HBSU in accordance with the provisions of section 22 (3) of the Act;
- m. "External examiner" means an academician/researcher with published research work who is not the part of any of the constituent college of HBSU;
- n. "Foreign Educational Institution" means—(i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode;
- o. "Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale;
- p. "Guide/Research Supervisor" means an academician/researcher recognized by HBSU to

supervise the Ph.D. scholar for his/her research;

- q. "Interdisciplinary Research" means research conducted by a Ph.D. scholar in two or more academic disciplines;
- r. "Open and Distance Learning Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- s. "Online Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- t. "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own;
- u. "Programme" means a higher education programme pursued for a degree specified by the Commission under sub-section (3) of section 22 of the Act;
- v. "Prospectus" means any document, whether in print or otherwise, issued for providing fair and transparent information relating to HBSU and its programmes, to the general public (including to those seeking admission in HBSU);
- w. "Research Proposal" means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;
- x. "Admission" means the admission taken at the University Department/Constituent College/Institution by completing the formalities and paying the prescribed fee;
- y. "Head of Centre" means the Head of the Constituent College/Institution/University Department where the Ph.D. programme is conducted;
- z. "Ph.D. PET" means the Pre-Entrance Test conducted for the admissions to the Ph.D. Programmes of the University;
- aa. "Recognized" means recognized by the appropriate Authority;
- bb. "Research Centre or Centre" means the University Departments/Research Institute/Constituent College or its department recognized by the University to conduct the Ph.D. programme/s;
- cc. "Research and Recognition Committee" or "RRC" means Research and Recognition Committee for the concerned subject;
- dd. "Candidate" means a person seeking admission to the Ph.D. programme;
- ee. "Ph.D. Scholar" means a person registered for a Ph.D. programme and pursuing the degree;
- ff. "Research Guide" or "Guide" means the person recognized by the University for guiding students for a Ph.D. programme of the University;

5. Eligibility Criteria for Admission to the Ph.D. Programme:

Subject to the conditions stipulated in these Directives, the following persons are eligible to seek admission to the Ph.D. programme:

A. Candidates who have completed:

- a. 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 policies of the Government of Maharashtra prescribed from time to time or for those who had obtained their Master's degree prior to 19th September, 1991. The relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

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 policies of the Government of Maharashtra prescribed from time to time.

- B.** Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. 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 policies of the Government of Maharashtra prescribed from time to time.

A person whose M.Phil. Dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme at the same center subject to successfully defending the Viva-Voce.

A candidate possessing 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.

- C.** A candidate possessing Ph.D. Degree of HBSU or any other recognized university, as per the guidelines of the UGC from time to time, in a given subject and wants to pursue Ph.D. in the same or other subject.

6. Duration of the Programme:

- a. Duration of Ph.D. programme shall be a period from the date of admission i.e., date of first fees paid to the Programme to the date of submission of thesis for the degree.
- b. Ph.D. programme shall be of a minimum duration of three years and a maximum of six Years from the date of admission including the course work; *Provided that the candidate has spent at least two years in active research work after registration (i.e., Topic Approval).*

A maximum of an additional two (2) years can be given through a process of re-registration provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission i.e., date of first fees paid in the Ph.D. programme.

Such extension shall be given by the Research and Recognition Committee (RRC) concerned on the recommendation of the Guide and the respective Research Advisory Committee (RAC). The concerned candidate shall submit the application for extension through his/her Research Guide and Head of the Research Centre three months prior to the expiry of the registration period. Further extension to the Ph.D. tenure, for not more than two years, may be granted only by the Vice-Chancellor on case-to-case basis.

- c. Women candidates and persons with disability (more than 40% disability) may be allowed an additional relaxation of two years for Ph.D. in the maximum duration. In addition, women candidates may be provided Maternity Leave once in the entire duration of Ph.D. for up to 240 days.

Provided that no candidate shall be permitted to extend the duration of Ph.D. programme beyond TEN years from the date of admission, and after this period the registration of the candidate shall be deemed to have ceased.

7. Procedure for Admission to Ph.D. Programmes:

- a. All admissions for Ph.D. programmes shall be through the Ph.D. Pre - Entrance Test (Ph.D.PET) conducted by the University and the Interviews conducted by the Research Centres. Admissions for Ph.D. programmes shall be on the basis of results of an entrance test (Ph.D. PET) and the Interviews conducted by the Research Centre/s.

Provided that till this University conducts its own Ph.D. PET, the candidates who have cleared the Ph.D. PET conducted by any recognized University shall be considered for the Ph.D. admissions.

- b. The University shall notify on a yearly or half-yearly basis a predetermined and manageable number of vacant seats of Ph.D., depending on the number of available research guides, prescribed quota at the Centres, and academic and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio.
- c. The University shall notify well in advance on its website and through advertisement in at least two national newspapers, of which at least one shall be a Marathi newspaper, the procedure for admission to the Ph.D. programmes. The details notified shall include the number of vacant seats, subject/discipline-wise distribution of vacant seats, and criteria for admission, procedure for admission, examination centre(s) where entrance test shall be conducted and all other relevant information for the benefit of the candidates.
- d. The admissions shall be based on the criteria notified by the University, keeping in

view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government prescribed from time to time.

- e. The admissions to various Ph.D. programmes shall be held once or twice in a year, depending on the availability of the vacant seats.

8. Ph.D. Pre-Entrance Test (Ph.D. PET):

- a. The Ph.D. PET shall be conducted subject-wise for pre-declared subjects for Ph.D. admissions. The details of the test such as syllabus, format, day and date, venue and time, etc., shall be declared by the University in advance. The syllabus of the Ph.D. PET shall consist of 50% based on Research Methodology and 50% shall be subject specific.
- b. The University may conduct the Ph.D. PET only for the subjects where there are vacancies to be filled.
- c. The Ph.D. PET shall be conducted at the centre(s) to be notified in advance. Changes of centres, if any, shall also be notified well in advance.
- d. The Ph.D. PET should be conducted by the University normally within three months of the date of beginning of the academic year.
- e. The validity of the Ph.D. PET result for taking admission for a Ph.D. programme shall be for three years from the declaration of the respective result.
- f. The Ph.D. PET shall be conducted in online mode in controlled environment and the candidates will not be allowed to take the test from a location other than those specified by the University.

9. Exemption from Ph.D. PET:

The following candidates shall be exempted from Ph.D. PET:

- a. Candidates who have qualified in UGC-NET/UGC-CSIR NET/SLET/GATE/CEED and any other JRF holder of the apex bodies like CSIR/UGC/ICAR/ICMRI DBT/DST/ICSSR;
- b. Candidates who have passed M.Phil. Programme of any recognized University/Institution provided the M.Phil. is as per the UGC guidelines;
- c. Ph.D. degree holder of this University or any other recognized University who desires to pursue Ph.D. at this University.

10. The structure of Ph.D. PET:

- a. The Ph.D. PET shall be of Multiple-Choice Questions (MCQ) and of 100 marks.
- b. The Ph.D. PET shall consist of 100 MCQs of one mark each.
- c. The test shall comprise of two Papers. Paper I shall be on Research Methodology, research aptitude, logical reasoning, comprehension, communication, and general knowledge. Paper II shall be subject-specific and the examination of this section shall be based on the respective Master's syllabus of HBSU.
- d. Each Paper will have 50 questions and the qualifying marks shall be 50% of the aggregate, taking Paper I and II together.
- e. Relaxation of 5% of marks, from 50% to 45%, shall be allowed for those belonging to

reserved categories/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per policies of the Government of Maharashtra prescribed from time to time.

- f. Online Ph.D. PET certificates shall be issued by the university.
- g. No request for Revaluation and Photo Copy shall be entertained for Ph.D. PET examination.

11. Interviews for admission to Ph.D. programme:

- a. Interviews of the eligible candidates shall be organized by the Research Centres.
- b. The eligible candidates shall apply, in prescribed format, to the Research Centres where they desire to pursue Ph.D.
- c. The Centres shall compile all such applications and, after due verification, shall invite the candidates for interviews.
- d. The Heads of the Research Centres shall constitute subject-wise Ph.D. Interview Committees. The constitution of the Interview Committees shall be as follows:

The committee shall comprise of- The Head/Principal/Director as the chairperson; one or two external subject experts, who are Ph.D. holders in the relevant/concerned subject/discipline; one University/College teacher, not below the rank of Associate Professor, from the reserved category of the faculty concerned, where applicable; and the recognized guide/s from the subject/discipline concerned.

- e. The interview shall be conducted at the respective Research Centres and the following aspects shall be considered during the interview:
 - i. Whether the candidate has basic knowledge of the chosen area;
 - ii. Whether the candidate possesses the competence for the proposed research;
 - iii. Whether the research work can be suitably undertaken at the Institution/College;
 - iv. Whether the proposed area of research can contribute to new/additional knowledge.

Provided that for selection of candidates, a weightage of 70% to the entrance test (Ph.D. PET) and 30% to the performance in the interview shall be given.

- f. The Research Centres shall submit the reports of the Committees to the University (Thesis Section) within a period of not more than 15 days from the date of completion of interviews.
- g. The University and the Research Centre shall publish the lists of candidates selected for admission.
- h. The University shall maintain the list of all the Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her Research Guide/Co-Guide, date of enrolment/registration.

12. Recognition of Research Guides:

- a. The recognition already granted to the teachers/scientists to guide the Ph.D. students prior to these Directives shall continue.
- b. Eligibility Criteria for granting Recognition as a Research Guide and Co-guide:

Any regular Professor/Associate Professor of the University Department/Constituent Institute/College with at least five research publications in refereed journals and any regular Assistant Professor of the University Department/Constituent Institute/College with a Ph.D.

degree and at least three research publications in refereed journals may be recognized as Research Guide. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by the university under the supervision of a faculty member who is not an employee of HBSU or its constituent Colleges/institutes would be in violation of these Regulations.

For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfil the above requirements.

Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the University/Institution may relax the above condition for recognition of a person as Research Guide with reasons recorded in writing.

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

- c. Only a full-time regular teacher of the University Department/ Constituent Institute/College of HBSU can act as a Research Guide. The external supervisors/research guides are not allowed. However, a Co-Guide may be allowed in inter-disciplinary areas from other departments of the same or other institute/college or from other related institutions/organizations with the approval of the Research and Recognition Committee.

13. Allocation of Students to Research Guides:

- a. The allocation of Research Guide for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Guide, the available specialization among the Guides and research interests of the candidates/scholars as indicated by them at the time of interview/viva voce.
- b. In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Guide from the Department itself, who shall be known as the Research Guide, and a Co-Guide from outside the Department on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.
- c. A Research Guide who is a professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as a Research Guide can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Guide can guide up to a maximum of four (4) Ph.D. scholars. After exhausting the respective quota/allotment of candidates, vacancy will be considered with the research guide only after award of Ph.D. degree to the candidate(s) who has already submitted the thesis. Mere submission of Ph.D. thesis will not be considered as vacancy with the guide.
- d. 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.

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

14. Admission of International students in Ph.D. programme. -

- a. Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 13.3 above.
- b. International students will be admitted for the Ph.D. programme of HBSU in accordance with the guidelines/norms issued by the statutory/regulatory bodies of HBSU.

15. Admission:

The selected student shall complete the formalities of admission at the Research Centre in the prescribed format by paying the prescribed fees.

16. Research Advisory Committee (RAC) for PhD students

- a. There shall be a Research Advisory Committee (RAC) for each Ph.D. student which shall be constituted by the Head of the Research Centre immediately after the admission of the candidate.
- b. The RAC shall have the following composition:
 - (i) Research Supervisor - Convenor;
 - (ii) Co-Supervisor, if appointed;
 - (iii) One external expert from the same field and one expert from the department (if available) - Nominated by the Head of Research Centre; provided that the experts are Ph.D. holders in the same or related areas and senior in teaching/research.
- c. The Research Advisory Committee shall have the following responsibilities:
 - (i) to review the research proposal and finalize the topic of research;
 - (ii) to guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to complete;
 - (iii) to periodically review and assist in the progress of the research work of the research scholar.
- d. The research scholar shall submit a six-monthly progress report of his/her work to the Research Advisory Committee through his/her Guide and appear before the Research Advisory Committee once in six months to make a presentation of the progress of his work for evaluation and further guidance. The six-monthly progress reports shall be submitted by the RAC to the Head of Centre, with a copy to the research student.
- e. In case of any suggestions given by the Research Advisory Committee for improvement of the work, the candidate should make the changes accordingly.

- f. In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the student fails to implement these, the RAC may recommend to the Centre, with specific reasons, cancellation of the registration of the research student.

17. Topic Approval:

- a. The candidate in consultation with the Research Guide and RAC shall decide the topic of research and shall write a suitable research proposal in the format prescribed. The candidate shall submit, along with the application, five copies of his/her research proposal.
- b. The research proposal shall be placed before the respective Research and Recognition Committee (RRC).
- c. The RRC shall consider the topic of research and research proposal and if satisfied, shall give approval to the topic of research and research proposal.
- d. The RRC may suggest minor changes to the title and the proposal if it deems fit; such changes will be made by the student in consultation with the Guide and RAC, and the same shall be conveyed to the RRC.
- e. If the RRC rejects the topic and proposal, the student shall consult the RAC and the Guide and can send a fresh proposal/title after three months, but within one year.
- f. The registered student shall not be allowed to register simultaneously for any other degree Program.
- g. The registration is deemed to be confirmed once the topic and proposal are approved by the RRC.
- h. If the candidate desires to modify the title and/or the proposed plan of the research, he/she shall apply at least six months before the date of submission of synopsis. The RRC concerned may approve such changes on the basis of recommendation of the RAC, Research Guide and the Head of Research Centre.

18. Registration of Ph.D. candidate:

- a. The candidate shall apply to the Registrar, HBSU, in the prescribed format for Registration, along with the prescribed registration fee.
- b. The date of Ph.D. registration of the candidate shall be the date of *Topic Approval*.

19. Course Work for Ph.D.:

The Credit Requirements, number, duration, syllabus, minimum standards for completion, etc. of the Course Work for Ph.D. programme shall be as under:

- a. The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a "Research and Publication Ethics" course of two credits as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The distribution of 12 credits is as follows.
 - i. Four Credits for Research Methodology course. (HBSU will conduct the examination and evaluation of the course)
 - ii. Two Credits for "Research and Publication Ethics" course. (HBSU will conduct the examination and evaluation of the course)

- iii. All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching / education / pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars should be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations. Four credits will be assigned for the same.
- iv. Two credits for research paper publication or participation / presentation in workshop/seminar/conference/hands-on training related to research work.
- b. A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.
- c. All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, and instructional and assessment methods. They shall be duly approved by the Academic Council of HBSU.
- d. The courses shall be arranged in a formal way by the University through University Departments/ Constituent Colleges and also at identified Institutions where experts in the areas of course work shall deliver requisite number of lectures. Record of attendance of the students shall be maintained. The attendance of a candidate less than that prescribed by the University shall make the course null and void for the candidate.
- e. All the students admitted to the Ph.D. Programmes shall be required to complete the course work prescribed by the Department within the first two semesters after admission.
- f. The candidates already holding M.Phil. Degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated programme, may be exempted from the Research Methodology Course (Four Credits). All the other students admitted to the Ph.D. programme shall be required to complete the course work approved by the University.

20. Assessment Methods, Minimum Standards/Credits for Award of the Degree, etc.:

- a. Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (b) of Regulation 19 above, the Ph.D. scholar shall be required to undertake research work and produce a draft thesis before completion of six years from the date of registration for the Ph.D. Women candidates and persons with disability (more than 40 %) may be allowed a relaxation of two years for Ph.D. in the maximum duration.
- b. **Colloquium/Pre-Synopsis Presentation:** At least three months prior to the submission of the thesis, the student shall make a presentation (Colloquium) before the Research Advisory Committee, which shall also be open to all faculty members and other research students. The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the RAC and the Research Guide/Co-Guide.
- c. **Synopsis:** The candidate shall submit to the University five copies of the synopsis of his/her thesis along with a soft copy through his/her Research Supervisor at least three months before submission of thesis. The format of the synopsis shall be as prescribed.
- d. **Research Publications:** Ph.D. scholars shall publish at least one research paper based

on his own research and as first or corresponding author in a refereed and cited journal/UGC approved journal and make two paper presentations in conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints/acceptance letter from the publisher/editor.

- e. Before submission of Ph.D. thesis, every candidate shall fulfil the requirements prescribed with respect to detection of plagiarism and any other form of academic dishonesty. While submitting for evaluation, the thesis shall contain an undertaking from the research student and a certificate from the Research Guide attesting to the originality of the work, vouching that there is no plagiarism and any other academic dishonesty and that the work has not been submitted for the award of any other degree/diploma of the same University or to any other University.

21. Submission of Thesis:

- a. The thesis shall be preferably written in English except when the research is in language subjects like Marathi, Hindi etc. Apart from English, the thesis may also be written in regional language subject to approval from RRC/Statutory Bodies of the University.
- b. The thesis shall be in the prescribed format.
- c. The candidate shall submit three copies of the thesis along with the soft copy (in CD containing a single file of full thesis as well as chapter wise / section wise files) after the completion of a period of minimum three months and before six months from the date of submission of the synopsis. If a candidate fails to submit his/her thesis within six months from the date of submission of synopsis, he/she shall apply for an extension (of a maximum period of six months) giving reason for delay, along with prescribed fee for late submission, to the **Director, Board of Innovation, Incubation and Linkages, HBSU** through the Guide. If the candidate fails to submit the thesis within the extended period, then his/her registration will be deemed to be cancelled.
- d. Every research scholar shall check his/her thesis with reputed anti-plagiarism software like “Turnitin” or “iThenticate” or “URKUND” and shall submit the certificate of plagiarism check along with the thesis. The similarity index less than or equal to 15% (i.e. $\leq 15\%$) will be considered allowed, excluding references and self-citations.
- e. The Research Scholar shall submit all the necessary documentation for the research work, as stated above, along with copies of the papers published/accepted for publication and produce evidence of publication with ISSN/ISBN numbers including acceptance letters from the publishers or copies of publications.
- f. The candidate shall follow other guidelines as may be issued by the University from time to time in this regard.

22. Appointment of Referees for Evaluation of PhD Thesis:

- a. The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of HBSU. They shall submit the evaluation report in the prescribed format. Such examiner(s) should be academics with a good record of scholarly

publications in the field. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and can be conducted online/offline.

- b. The Guide may suggest names of six (6) experts in the relevant field of research in the prescribed format to the Director, Board of Innovation, Incubation and Linkages, HBSU, for appointment as External Referees for the approval of the Hon. VC. Out of 6 external referees, three shall be from Maharashtra State and three from outside Maharashtra (within India and/or abroad), each from reputed institutes and/or universities in India or abroad. If the thesis is written in regional language i.e. Marathi and if suitable referees outside Maharashtra State are not available, then the Guide can suggest the names from Maharashtra State only.
- c. Director, Board of Innovation, Incubation and Linkages, upon his/her satisfaction, shall forward the suggestions to the Hon. VC. Hon. VC shall select two referees from the list, one from Maharashtra and the other from India/abroad for evaluation of the thesis. The Director, Board of Innovation, Incubation and Linkages, shall send the invitation to the two referees. The acceptance from the two referees will be deemed fit to start the examination process.
- d. If the acceptance to examine is not received from both or either of the referees within 30 days, Hon. VC may select additional referee(s) to work as external referee. If required, suggestions for additional names from the Guide may be invited.
- e. The referees are expected to send their reports in the prescribed format (**ANNEXTURE 11**) within 30 days from the date of receipt of the thesis. In the case of undue delay in receiving the report from the referee(s) despite reminder(s), the Director, Board of Innovation, Incubation and Linkages, shall refer the thesis to the alternative referees appointed by the Hon. VC after waiting for 2 months.

23. Evaluation of Thesis:

- a. A thesis may be considered acceptable for holding the viva voce examination only if the evaluation reports of both the external referees on the thesis are satisfactory and include a specific recommendation for conducting the viva voce examination.
- b. On receipt of the satisfactory reports from the two external referees and Ph.D. supervisor, the same shall be referred to the Hon. Vice Chancellor for selecting the Referee for conducting the viva voce.
- c. If one or both external referee(s) recommend acceptance of the thesis subject to minor modifications/revisions, the thesis can be resubmitted only once after incorporating the modifications, within a period of six months. The thesis so resubmitted shall be re-examined by the same referee(s).
- d. If the evaluation report of one of the external referee is unsatisfactory and does not recommend *viva voce*, the University shall send the thesis to the next external referee out of the approved panel of Referees and the *viva voce* examination shall be held only if the report of the latest referee is satisfactory. If the report of the latest Referee is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree on the basis of the thesis submitted.
- e. A thesis rejected by two referees may be resubmitted after revision in the light of comments by the external Referees, not earlier than one year and not later than two

years from the date of such intimation to the candidate. The thesis so resubmitted may be re-examined by the same Referees. In case one or both Referees are not available, the thesis may be referred to new Referees from the approved panel.

- f. Rejection of the thesis so resubmitted will disqualify the candidate from further consideration for the award of the Ph. D. degree, in the topic of research chosen by him/her.
- g. Confidentiality shall be maintained during the entire process.
- h. The University shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

24. Viva voce:

- a. The *viva voce* of Ph.D. candidates shall be in the form of Open Defence of the thesis.
- b. The *viva voce* of the research student shall be conducted only if the evaluation reports of the two external referees are satisfactory and include a specific recommendation for conducting the *viva voce*.
- c. The *viva voce* shall be conducted at the Research Centre by the *Viva Voce* Committee, constituted by the University and shall consist of the following:
 - i. Dean/ Head of Research Centre or his/her nominee - Chairperson
 - ii. The Research Guide as convenor
 - iii. Co-Guide, if appointed
 - iv. The External Referee who is appointed to conduct the *viva voce*.
- d. The *viva voce* shall be open to the members of the RAC, all faculty members of the Centre, other research scholars and other interested experts/ researchers from within the University or from other institutions.
- e. The day, date, time and the place for the *viva voce* shall be notified by university, at least eight days in advance.
- f. When the Head of University Department himself/herself is the Research Guide for the Ph.D. student the *viva voce* committee shall be appointed by the Dean of the Faculty concerned. When the Head of the Research Centre or Dean of the Faculty himself/herself is the Research Guide for the Ph.D. student the *viva voce* committee shall be appointed by Hon'ble Vice Chancellor.
- g. The *viva voce* shall include a brief presentation by the candidate with respect to the research work done and the candidate should be tested for his/her knowledge in the research/subject area concerned and, on the critiques, given in the evaluation reports.
- h. In case of dispute, the Dean of the Faculty concerned shall take an appropriate decision.
- i. The *viva voce* Committee shall evaluate the performance of the candidate and make a consolidated report signed by all the members along with the reply given to the queries raised by the external referees and submit it to the University. This report, signed by all the members of the committee, shall be submitted along with the thesis. Further, along with the report a list of the persons attending the open defence (attendance sheet) shall also be submitted to the University.
- j. In case the *viva voce* is not satisfactory, the Referees may unanimously recommend,

with reasons, that a fresh *viva voce* be organized within a period of not less than one month. If the defence is still not satisfactory, the panel should record the reasons for the same. The Committee may recommend the resubmission of the thesis with suggested changes or recommend the rejection of the thesis.

- k. A copy of the Report on the *viva voce* shall be forwarded to the Director, BoEE for declaration of the result.

25. Provisional Certificate:

Prior to the actual award of the degree, the University shall issue a Provisional Certificate to the effect that the degree has been awarded from the date of *viva voce* in accordance with the provisions of University Grants Commission (Minimum Standards and Procedure for Award of Ph. D. Degrees) Regulations, 2022.

26. Ph.D. through Part-time Mode-

- a. Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- b. The Head of the Research Centre and Ph.D. Interview Committee shall have authority to take appropriate decision regarding admission to Ph.D. through Part-time Mode at the concerned research centre.
- c. The Research Centre shall obtain a “No Objection Certificate” from the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - i. The candidate is permitted to pursue studies on a part-time basis.
 - ii. His/her official duties permit him/her to devote sufficient time for research.
 - iii. If required, he/she will be relieved from the duty to complete the course work.

27. Depository with INFLIBNET:

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degrees, the CD of Ph.D. thesis, along with the hard copy of the thesis in the prescribed format, shall be sent to the University Library. After receiving the CD of the thesis in the format suggested, the library shall prepare metadata of the thesis and shall then submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting of the same so as to make it accessible to all institutions/colleges.

- 28. In case of any dispute, the BoEE shall be the authority to take appropriate decision, which shall be final.

- 29. Additional procedural details and formats relevant to these VCDs shall be as prescribed in the Guidelines issued separately from time to time and shall be applicable in addition to these VCDs.



The VCD along with the guidelines shall come into force with immediate effect and shall remain in force till the amendments in ordinances and new rules and regulations are formulated in pursuant to the subject matters dealt with in this VCD is made by appropriate authorities.

Place: Mumbai

**Prof. Rajanish Kamlakar Kamat
Vice-Chancellor,**

Date: December 13th, 2023

Dr. Homi Bhabha State University, Mumbai

GUIDELINES FOR Ph.D. PROGRAM

With reference to the VGD. No. Exam./Thesis/HBSU/VCD/ DECEMBER of 2023 on **MINIMUM STANDARDS AND PROCEDURE FOR THE AWARD OF Ph.D. DEGREES**, following

are the detailed guidelines concerning the procedures, formats and other general and specific requirements for candidates enrolling for Ph.D. at HBSU.

- 1. Ph.D. Registration Form.** (Annexure 1)
- 2. Format of Proposal for Ph.D. Topic Approval.** (Annexure 2)
- 3. Half Yearly Progress Report / RAC meeting Report:**
The candidate shall submit at the end of every six months a Half Yearly Progress Report of his/her work in the prescribed format through the RAC. (Annexure 3)
- 4. Process for Submission of Synopsis of the thesis for Doctoral Research Work**
 - 4.1** Prior to submission of synopsis of thesis, a comprehensive assessment of the research work shall be made by RAC. This assessment shall be through a Pre-Synopsis Presentation (Seminar).
 - 4.2** The seminar shall be open to all faculty members, research scholars and PG students for getting feedback and comments, which must be suitably incorporated into the thesis under the advice of the Guide. This open seminar is a pre-requisite for submission of Ph.D. Synopsis.
 - 4.3** A research scholar shall submit five (5) hard copies along with a soft copy of Synopsis of the thesis. (Annexure 4)
Along with synopsis, the candidate shall also submit the pre-synopsis presentation report. (Annexure 5)
 - 4.4** Details of the Pre-Synopsis Seminar shall be adequately notified through a notice so as to enable interested faculty members and students to attend the same.
 - 4.5** A Research Scholar can be allowed for this Pre-Synopsis Seminar after completion of the following requirements:
 - 4.6** A research scholar whose registration has been confirmed and who has completed his/her course work as well as research work and is sure of compiling the results into a thesis.
 - 4.7** Written consent of permission from the member of the RAC (Annexure 5).
 - 4.8** Other conditions like terms kept, fees paid, etc. have been fulfilled.
 - 4.9** The research scholar must publish...
 - 4.10** At least one research papers as a first author/corresponding author in a peer reviewed/refereed/UGC recognised International or National Journal of repute (including the papers accepted for publications) and produce evidence

4.11 for the same in the form of acceptance letter from the publisher or copies of the publication; AND...

4.12 Make minimum two oral/poster presentations in conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints at the time of synopsis submission.

4.13 Over and above if the candidate has applied/awarded for patent then he/she is required to produce patent application or publication reprint or galley proof.

4.14 Candidate is required to submit the photocopies of all receipts of fees paid.

4.15 RAC shall forward the Pre-Synopsis Presentation (Ph.D.) Report to RRC.

(Annexure 5)

4.16 The synopsis shall be submitted within three months from the date of successful completion of Pre-Synopsis Presentation. If the synopsis is not submitted within three months from the date of successful completion of the Pre-Synopsis Presentation, the candidate has to apply for extension (of maximum period of three months) to Dean/RRC through the Guide and the Co-guide (if any).

4.17 The Research Scholar has to submit five hard copies of the synopsis of the proposed thesis along with a soft copy in PDF on a CD along with the undertaking **(Annexure 6)** to the **Director, Board of Innovation, Incubation and Linkages, HBSU, Mumbai**, through the Guide and Co-guide (if any). The soft copy shall be used for quick communication with the examiners.

4.18 The synopsis should contain introduction, chapter-wise brief account of the work done and overall conclusions. It should include the following components:

- 1) Title page/Cover Page (**Specimen A**)
- 2) Introduction
- 3) Definition of Problem
- 4) Aims and Objectives
- 5) Methods and Techniques
- 6) Chapters of the Thesis
- 7) References (main and important only. Not more than 50)
- 8) Signature of candidate and Research Supervisor with place and date
- 9) List of Papers Published by candidate.

Note: The above format is illustrative.

4.19 The synopsis should not exceed fifteen pages (excluding the list of references), one and half line spaced, on A4 size pages in a font size of 12 point and font style of Times New Roman. The text shall be typed on both sides of the paper.

5. Submission of Thesis:

4.20 The thesis shall be preferably written in English except when the research is in language subjects like Marathi, Hindi etc. Apart from English, the thesis may also be written in regional language subject to approval from RRC/Statutory Bodies of the University.

4.21 The format of the Ph.D. thesis shall be according to the Specimen B-F.

4.22 The candidate shall submit three hard copies of the thesis along with the soft copy (in a CD/Pen Drive which contains single file of full thesis as well as chapter wise / section wise file) within six months from the date of submission of the synopsis. If a candidate does not submit his/her thesis within six months from the date of submission of synopsis, he/she has to apply for an extension (for a maximum period of six months) with prescribed fine for late submission to the **Director, Innovation, Incubation and Linkages, HBSU, Mumbai**, through the Guide. If the candidate fails to submit the thesis within the extended period, then his/her registration will be deemed to be cancelled.

4.23 Every research scholar must check his/her thesis report with reputed anti-plagiarism software like “Turnitin” or “iThenticate” or “URKUND” and must submit the certificate of plagiarism check along with the thesis report. The similarity index less than or equal to 15% ($\leq 15\%$) will be required and will be allowed accordingly, excluding references and self-citations.

4.24 The research scholar shall submit all the necessary documents for the research work, as stated above, along with copies of the papers published / accepted for publication and produce evidence of publication with ISSN/ISBN numbers including acceptance letters from the publishers or copies of publications.

4.25 The research scholar is also required to submit the copies of following certificates:

4.26 CERTIFICATE OF FESS PAID duly endorsed by the Account Section as per the proforma provided by the University. (Annexure 7)

4.27 NO DUES certificate duly endorsed by the Department as per the proforma provided by the University. (Annexure 8)

4.28 NO DUES certificate duly endorsed by the library as per the proforma provided by the University. (Annexure 9)

4.29 Course Work completion Certificate. (Annexure 10) (Student has to submit Annexure 10-A to Annexure 10-D to Director, BOEE to get course work completion certificate Annexure 10)



Annexure 1

Dr. Homi Bhabha State University, Mumbai

REGISTRATION FORM

FOR THE DOCTOR OF PHILOSOPHY (Ph.D.) PROGRAMME (Academic Year 20__ - __)

Affix Latest
Passport size
Colour
Photograph of
candidate with
signature

Admission in the Faculty of

Research Centre

Subject

Information to be filled by the Candidate

1.	Name of the Candidate in block letters (As Entered in PG Degree Certificate):							
2.	Date of Birth	:			Age: Years	Sex:	Male	Female
	DD MM YYYY						Transgender	
3.	Nationality	:			Religion	:		
4.	Category	:						
	Physically or Visually Challenged		:	No	Yes	Details:		
5.	a) Father/Guardian's Name		:					
	b) Mother's Name		:					
6.	Address for Correspondence (Please essentially mentioned your E-Mail id and Mobile Phone Number)				:	Permanent Address (Please essentially mentioned your E-Mail id and Mobile / Landline Phone Number)		
7.	Educational Qualifications (Self-attested Photocopies must be enclosed)							
	Degree	School/College/ Institution	Board/ University	Subjects Studied	Marks Obtained (%)	Year of Passing	Specialisation	
	Bachelor's							
	Master's							
	M.Phil.							
	NET/SLET/ GATE/PET							
8.	Date of Admission to Ph.D. Program:							
9.	Title of Research Topic:							
10.	Date of Approval of Research Topic: <i>* Enclose the topic Approval letter</i>							
11.	Aadhar Card Number (Attach Photocopy):							



12.	ABC ID (Attach Photocopy) :
13.	Payment Details :

The application fee of Rs. _____ paid. (Attach Receipt)

Particulars	Details
Bank Branch	
Transaction No.	
Amount	
Dated	

Signature of the Applicant

DECLARATION BY THE CANDIDATE

I hereby declare that the information provided in this registration form is correct to the best of my knowledge and belief. If any information is found to be false/incorrect, HBSU, Mumbai may cancel my candidature.

I further declare and undertake that I shall follow all the rules and regulations in force at HBSU from time to time.

Date:

Signature of the Candidate

Place:

Name: _____

EMPLOYER'S CERTIFICATE

(Where applicable; on Employer's Letter Head)

This _____ institute/organization has _____ **No** **Objection** if Mr./Ms./Mrs. pursues research work leading to a Ph.D. under HBSU, Mumbai.

We also assure you that,

- All local facilities will be extended to the candidate.
- His/her official duties permit him/her to devote sufficient time for research.
- If required, he/she will be relieved from the duty to complete the course work.

Name of Institute/Industry/Organization:

Complete Address:

Date:



Signature of Employer/Authorized

PersonName:

Designation

:Phone:

Email:



(Annexure 2)

Dr Homi Bhabha State University, Mumbai

Proposal for Ph.D. Research Topic Approval

1. Faculty: Arts/Commerce/Science/Interdisciplinary
2. Name of Research Centre:
3. Subject:
4. Name of Research Scholar:
5. Name of Guide:
6. Recognition Number of Guide:
7. Name of the Co- Guide (if any):
8. Recognition Number of Co-Guide:
9. Proposed title:
10. Introduction to topic:

11. Importance (justification) of research work:

12. State of current knowledge (literature survey):

13. Research objectives, methodology and expected outcomes.

14. Work elements showing details of implementation of proposed research work along with time schedule: -

Work Elements	
Preparation of the Synopsis Course work	00 to 06 months
Laboratory work/Field work/ Survey etc.	07 to 30 months or more
Compilation of the thesis Pre-submission presentation Submission of thesis	31 to 36 months or more

15. Reference (Max. 20)

Date:

Signature of Student

Place:

Signature of Guide and Co-guide

(*Attached RAC Report with this proposal)



(Annexure 3)

Dr Homi Bhabha State University, Mumbai
Half Yearly Progress Report/RAC Meeting Report
(January – 20.. to June – 20.. / July – 20.. to Dec – 20..)

1. Faculty : Arts/Commerce/Science/Interdisciplinary
2. Name of Institution
/Research Centre :
3. Subject :
4. Name of Research Scholar :
5. Name of Research Supervisor :
6. Date of RAC meeting :
7. Proposed title :
8. Comments/Suggestions from Committee members:

Date:

Place:

	RAC Member 1	RAC Member 2	Research Supervisor (Convener) and Co-Supervisor (If any)
Name			
Signature			



(Annexure 4)

Dr Homi Bhabha State University, Mumbai

Synopsis of the Thesis

- 1) Title page/Cover Page (Specimen A)**
- 2) Introduction
- 3) Definition of Problem:
- 4) Aims and Objectives
- 5) Methods and Techniques
- 6) Chapters of the Thesis
- 7) References (main and important only. Not more than 50)

Date:

Place:

Signature of Student

Signature of Guide and Co-guide

List of Papers Published by candidate:



(Annexure 5)

PRE-SYNOPSIS PRESENTATION (Ph.D.) REPORT

Faculty of: _____

Subject: _____

1. Name :
2. Date of Admission
3. Registration No. and Date :
4. Title :
5. Dates of Half Yearly Progress Reports

1) _____ 2) _____ 3) _____

4) _____ 5) _____ 6) _____

7) _____ 8) _____ 9) _____

6. Pre-Synopsis Presentation: Date: _____ Time: _____
Place: _____

7. Publications/Papers presented/submitted (Attach Copy/Proof)
Number of Paper Published: _____ Number of Papers Presented: _____

(Minimum One Paper published/accepted as a first author/ corresponding author and minimum two conference certificates for oral/poster presentation)

8. Quality of work done: Excellent/Good/Satisfactory/Unsatisfactory

9. Depth of work done: Enough/Just Sufficient/Insufficient

10. Expected Date of Submission of Thesis:

11. Recommendation: The candidate can be allowed to submit the synopsis: YES/NO
(If NO, give comments)

Comments (If any):

	RAC Member 1	RAC Member 2	Research Supervisor (Convener) and Co-Supervisor (If any)
Name			
Signature			



(Annexure 6)

**UNDERTAKING TO BE SUBMITTED BY THE STUDENT
FOR SUBMITTING THE SYNOPSIS OF THE THESIS
(To be submitted along with synopsis)**

Date: _____

I am submitting herewith **five hard** copies of the synopsis of the proposed thesis along with a soft copy in PDF on a CD, entitled

I am aware that I have to submit my thesis within a maximum of 6 (six) months from the date of submission of the synopsis. I hereby give the undertaking to submit my Ph.D. thesis within 6 (six) months.

(Signature of the
Student)Name: _____
Registration No.: _____
Faculty and Subject: _____

(Signature of Guide): _____
Name: _____
(Signature of Co-guide): _____
Name: _____



1. Format of the Ph. D. Thesis

The final thesis shall be submitted in accordance with the following specifications, except in special cases in which concerned Guide /dean is satisfied that it will not be possible to comply with the requirements of these rules:

1) Paper

a) Quality

The thesis shall be printed/xeroxed on white paper, whiteness 95% or above, weight 70 gram or more per square meter.

b) Size

Size of the paper shall be A4 (210 mm x 297 mm) except for maps, drawing, graphs on which no restriction is placed.

2) Type-setting, Text processing and Printing

a) The text shall be printed employing LaserJet printer, the text having been processed using a standard text processor.

b) The standard font shall be Times New Roman of 12 pts with 1.5 line spacing. Fancy fonts should be avoided for text writing.

3) Page Format

The text shall be typed on one side or double side of the paper leaving a margin of;

a) For single side printing:

4 cm on left hand side and 3 cm on right hand side as well as 3 cm at top and 3 cm at bottom.

b) For double side printing:

For odd number pages : 4 cm on left hand side and 3 cm on right hand side as well as 3 cm at top and 3 cm at bottom.

For even number pages : 3 cm on left hand side and 4 cm on right hand side as well as 3 cm at top and 3 cm at bottom.

4) Header and Footer

a) Page numbering in the text of the thesis shall be Times New Roman of 10 pts at the centre of the footer.

b) Header can have the Chapter title on odd and even numbered page.

5) Pagination

a) Page number for the first page of each chapter shall not appear in print, next page onwards will bear the page number.

b) Pagination for pages before the first chapter shall be in lower cases Roman numbers e.g., "iv".

6) Paragraph Format

- a) Paragraph shall be in justify mode.
- b) The first line of each paragraph should normally be indented by five characters or 12 mm. A candidate may, however, choose not to indent if (s)he has provided sufficient paragraph separation.
- c) Vertical space between paragraphs shall be about 2.5 line spacing.
- d) Paragraph should normally comprise more than one line.
- e) A single line of a paragraph shall not be left at the top or bottom of a page.

7) Chapter and Section Format

- c) Chapter
- d) The subsequent chapters shall begin on a fresh page (fresh odd number page in case of double sided printing). When header style is chosen the first page of each chapter will not have the header.
- e) Chapter number and title shall be printed at the centre of the line in 16 pts in bold face using both upper and lower case (all upper case or all lower case shall not be used). A vertical gap of about 25mm shall be left between the Chapter number and Chapter title lines and between Chapter title line and the first paragraph.
- f) Sections and Sub-sections
- g) A Chapter can be divided into Sections, Sub-sections and Sub-sub-sections so as to present different concepts separately e.g. 3.2 for the second section in Chapter 3, 3.2.4 for fourth sub-section in second section of Chapter 3 and 3.2.4.1 for the first sub-sub-section in fourth sub-section in second section of Chapter 3.
- h) The Section and Sub-section titles along with their numbers in 14 and 12 pts fonts respectively in bold face shall be flushed to the left (not cantered) with 10mm space above and below these lines.
- i) The Sub-sub-section shall be in normal fonts.

8) Table and Figure Forma

- a) As far as possible tables and figures should be presented in portrait style. Small size tables and figures (less than half of writing are of a page) should be incorporated within the text, while larger ones may be presented on separate pages. Tables and Figures shall be numbered chapter-wise in bold face. For example, the second figure in chapter 3 will bear the number Figure 3.2 or Fig. 3.2.
- b) Table number and title will be placed above the table, while the figure number and caption will be located below the figure. Reference for Table and Figure reproduced from elsewhere shall be cited.

9) Equation/Formula

Use Arabic numerals with single decimal right justified (<Chapter Number>.
<Equation serial Number>)

10) References

The citation and referencing in the thesis should be as per any one of the internationally accepted Referencing System (Harvard System/APA System/Vancouver System/Oxford/Footnote etc)

Note: It is compulsory that a particular referencing system adopted is consistently used throughout in the thesis.

2. Organization of the Ph.D. Thesis

1) Layout of Thesis

Following layout of the thesis is illustrative and may normally be adopted for the Ph. D. Thesis:

1. Cover page (Specimen B)
2. Title page (Specimen B)
3. Candidate's Declaration (Specimen D)
4. Certificate from the Guide (Specimen E)
5. A copyright transfer certificate (Specimen F)
6. Acknowledgment
7. Contents
8. List of Symbols, figures and tables (*If any*)
9. Preface of thesis
10. Introduction
11. Literature review (*for faculty of Humanities, Commerce & Management and Interdisciplinary Studies*)
12. Methodology/ Experimental /Theoretical Details
13. Chapters covering the work of the candidate (*Data Analysis /Results/ Discussion*)
14. Conclusion/Summary and scope for the future work
15. References
16. Appendices
17. List of papers communicated/ accepted/ published/ presented
18. Reprints of research papers published.
19. Plagiarism checked certificate.

2.2 Binding

- 2.2.1 Candidates should submit final hard bound copies of the thesis with black coloured cover page.
- 2.2.2 Cover page and Title page (As per Specimen B)
- 2.2.3 Lettering: All lettering shall be embossed in gold.
- 2.2.4 Spine: The degree, the name of candidate and the year of submission on the spine of the thesis shall also be embossed in gold. (**See Specimen C**).



(Specimen- A; Cover page for Synopsis)
Synopsis of the Thesis to be submitted to Dr. Homi Bhabha State
University, Mumbai for the Degree of Doctor of Philosophy in the Subject
of _____

Name of Candidate :

Title of the Thesis :

Subject :

Registration Number and Date:

Name of Research Supervisor:

Date of Superannuation of Supervisor:

Name of Co-Supervisor (*if any*):

Name of Research Centre :

Date of Submission of Synopsis:

Signature of Student

**Signature of Guide
and Co-guide**

**Director/Principal
Research Centre**



(Specimen- B; Cover page and Title page)

Title of the Thesis

**A THESIS SUBMITTED
TO
DR. HOMI BHABHA STATE UNIVERSITY, MUMBAI**

**FOR THE AWARD OF DEGREE OF
DOCTOR OF PHILOSOPHY
IN
____(SUBJECT)**

**UNDER THE FACULTY OF
_____ FACULTY**

**BY
NAME OF CANDIDATE**

**UNDER THE GUIDANCE OF
Name of the Guide
And
Name of the Co-guide (if any)**



**Name of the Institute/College
Mumbai**

Month and Year of Submission



(Specimen C: Spine of the Thesis)

Ph.D.

Name of the candidate

Month & Year



(Specimen D)
(to be included in thesis)

CANDIDATE'S DECLARATION

I, _____, declare that the work embodied in the Ph.D. thesis is my own bonafide work carried out by me under the supervision of _____ and the co-supervision of _____ at Dr. Homi Bhabha State University, Mumbai in the Department of _____ of the institution _____ under the faculty of _____. The matter embodied in this Ph.D. thesis has not been submitted for the award of any other degree/diploma in any University.

I declare that I have faithfully acknowledged, given credit to and referred to the research workers wherever their works have been cited in the text, tables, figures and the body of the thesis. I further certify that I have not wilfully lifted some other's work, para, text, data, results, etc. reported in the journals, books, magazines, reports, dissertations, thesis, etc. or available at websites and included them in this Ph.D. thesis and cited as my own work. I solely own the responsibility for the originality of the entire content. I certify that I have read and followed UGC rules and regulations related to Ph.D.

Date:

Place:- Mumbai

(Signature of the Candidate)

(Name of the Candidate)



(Specimen E)
(to be included in thesis)

CERTIFICATE

This is to certify that the thesis entitled _____
_____(Title of thesis) which is being submitted herewith for the award of degree of Doctor
of Philosophy in _____(subject) under the faculty of _____of
Dr. Homi Bhabha State University is based on the original research work carried out by
_____(Name of candidate) under my supervision. I/We further certify
that the candidate under my supervision has done the entire work and that no part of it has been
submitted previously for any other university. I/We further certify that this work *prima facie* is
a case for consideration of the thesis for the degree of Doctor of Philosophy.

Date:-

Place:

-

Seal

Signature of Guide
(Name of Guide)

Signature of Co-Guide (If any)
(Name of Co-Guide)

Seal

Director/Principal Research
Centre



(Specimen F)
(to be included in thesis)

COPYRIGHT TRANSFER CERTIFICATE

Title of the Thesis :
Candidate's Name:
Guide's Name :
Co-Guide's Name:

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Date:

(Signature of the Candidate)

(Signature of the Guide)

(Signature of the Co-Guide)



Annexure 7
Certificate regarding fees paid:
(to be submitted along with thesis)

This is to certify that Mr./Ms./Mrs. _____

Faculty of: _____ College/Institute _____

Subject: _____ Registration No. _____

has paid the fees as per the following details:

Term	Amount	DD / Receipt / Transaction number	Date
1st			
2nd			
3rd			
4th			
5th			
6th			
Thesis Adjudication			

Signature of Candidate with Date: _____

For Office Use

Name of the Verifier (Account Officer): _____

Signature: _____

Date: _____



Annexure 8
No Dues Certificate from Department
(to be submitted along with thesis)

This is to certify that Shri/Smt _____ of
_____ Department has been using laboratory facilities and has no dues
against him/her.

Lab Assistant / Technical Assistant (if applicable)

Head of Department



Annexure 9
No Dues Certificate from Library
(to be submitted along with thesis)

This is to certify that Shri/Smt _____ of
_____ Department has been using library facilities and has no dues
against him/her.

Library Assistant

Librarian

Annexure 10
COURSE WORK COMPLETION CERTIFICATE
(to be submitted along with thesis)



HBSU

Dr. Homi Bhabha State University

Stick
Passport Size
Photograph

DR. HOMI BHABHA STATE UNIVERSITY, MUMBAI

MAHATMA GANDHI ROAD, FORT, MUMBAI -400032.

CERTIFICATE

This is to certify that Mr./Ms./Mrs. _____

Has been a regular student of Ph.D. with registration number _____. He/she has successfully completed Ph.D. course work conducted by Dr. Homi Bhabha State University, Mumbai and has earned _____ grade in seven-point grading scale.

Seal

Director

Board of Examinations and Evaluation



Annexure 10-A
RESEARCH METHODOLOGY COURSE WORK COMPLETION
CERTIFICATE
(to be submitted along with thesis)

CERTIFICATE

This is to certify that Shri/Smt _____ (Name) of
_____ (College/Institute) from _____ Department
has been a regular student of Ph.D. program with registration number _____. He/ She has
successfully completed **Research Methodology Course-work** held from _____ to____
_____ organized by Dr. Homi Bhabha State University, Mumbai and
earned _____ marks out of 100 with 04 (Four) Credits.

Course Co-Coordinator (If any)

Course Coordinator



Annexure 10-B
RESEARCH PUBLICATION ETHICS COURSE COMPLETION
CERTIFICATE
(to be submitted along with thesis)
CERTIFICATE

This is to certify that Shri/Smt_____ (Name) of
_____ (College/Institute) from _____ Department
has successfully completed Course on Research Publication Ethics (RPE) and earned _____
marks out of 50 with 02 Credits held from _____ to
_____ organized by Dr. Homi Bhabha State University, Mumbai-32.

Course Co-Coordinator (If any)

Course Coordinator



Annexure 10-C
CERTIFICATE OF TEACHING ASSIGNMENT
(to be submitted along with thesis)

This is to certify that Shri/Smt _____ (Name) of
_____ (College/Institute) from _____ Department
has been assigned ____ hours per week of teaching/research assistantship for conducting tutorial
or laboratory work and evaluations for the session _____. He/she has successfully completed
the teaching assignment for the session _____ and earned _____ marks out of 100
with Four (4) credits.

Supervisor

Head of the Department

**Director/Principal
Research Centre**



Annexure 10-D
CERTIFICATE OF RESEARCH PUBLICATION /
PARTICIPATION IN WORKSHOP/SEMINAR/CONFERENCE/
HANDS-ON TRAINING
(to be submitted along with thesis)

This is to certify that Shri/Smt _____ (Name)
of _____ (College/Institute) from
_____ Department has completed the following research
activities related to his/her research work and earned _____ marks out of 50 with Two (2)
credits.

1. Number of Research Papers Published: _____
2. Participation in workshop/seminar/conference: _____
3. Presented research work in seminar/conference: _____
4. Participation in hands-on training: _____

Supervisor

**Director/Principal
Research Centre**

Annexure 11

DR. HOMI BHABHA STATE UNIVERSITY, MUMBAI Ph. D. THESIS EVALUATION REPORT

1. Name of the Candidate :
2. Subject :
3. Title of Ph. D Thesis :
4. a) Name of Referee :
- b) Address :
- Telephone No. :
- Mobile No. :
- E mail address :

REFEREE'S REPORT

a) The Report should state in clear and unequivocal terms whether:

Sr. No.	POINTS	YES	NO
1.	The Thesis be accepted for the award of the Ph. D. Degree		
2.	Questions to be asked in Open Defense Viva Voce (The referee is required to suggest on a separate sheet of paper the areas in which clarifications are to be sought at the Open Defense with specific questions to be asked at the time of Open Defense.)		
3.	The Thesis be revised and resubmitted (The lines on which the Thesis is to be revised may please be indicated in detail on a separate sheet of paper)		
4.	Thesis be rejected (The reasons for rejection - may please be given on separate sheet).		
5.	The Thesis can be published.		
6.	The Thesis can be published with modifications . (The modifications be indicated clearly on a separate sheet)		

b) Kindly attach a detailed report of the evaluation of the thesis as Indicated in Section A, B & C separately.

Section - A : If the thesis is accepted for the Ph.D. Degree then please give:

- i) The merits of the thesis
- ii) The demerits of the thesis
- iii) The questions to be asked at the Open Defense

Section - B : If revision and resubmission is recommended, then please Give

- i) Merits of the thesis, if any
- ii) Demerits of the thesis.
- iii) Detailed suggestions to the candidates for revision

Section - C : If the thesis is rejected, then please give

- i) Merits of the thesis, if any
- ii) Demerits of the thesis
- iii) Reasons for rejection.

Date

Signature of the Referee
Name (In Block Letters)



Dr Homi Bhabha State University

विश्वविद्यालयः बौद्धिकसंस्कृतेः प्रेरणास्रोतः अस्ति
अर्थात् विद्यापीठ हे बौद्धिक संस्कृतीची प्रेरणा स्रोत असते।

VISION

"To be a premier institution of higher learning, committed to academic excellence, research, innovation, and social transformation, that prepares future leaders for a sustainable and equitable world."

MISSION

- Our mission is to provide high-quality education, foster critical thinking, communication, collaboration, creativity and encourage innovative research that leads to social transformation.
- We aim to empower our students with the necessary skills, knowledge, and values to contribute to the betterment of humankind.
- We strive to create an inclusive, diverse and welcoming environment that promotes personal growth, teamwork, ethics and leadership development.