



**SVKM'S Narsee Monjee College of Commerce and Economics**  
**(AUTONOMOUS)**

**Guidelines for PhD Programme**

**I) RULES FOR AWARD of Ph.D. DEGREE**

University Grants Commission has issued a notification for Minimum Standards and Procedure, for the award of Ph.D. degrees on 5<sup>th</sup> May 2016, and subsequent notification has been issued in the Gazette of India on July 5, 2016, in supersession of the earlier UGC (Minimum Standards and Procedure for Award of Ph.D. Degrees) Regulation 2009, applicable to all the Universities in India from the date of their publication in the Gazette of India. SVKM's Narsee Monjee College of Commerce and Economics (Autonomous) has adopted Minimum Standards and Procedure for Award of Ph.D. which is notified hereunder.

**Academic Council meeting held on 18<sup>th</sup> June, 2020 considered and adopted the following rules for Ph.D. programme of the College.**

These rules shall be applicable to SVKM's Narsee Monjee College of Commerce and Economics (Autonomous)

1. The provisions of these rules shall be applicable to the candidates admitted after the date of the issue of these rules,
  - Provided that the candidates admitted prior to the date of these Rules, but after 5<sup>th</sup> July 2016, shall be governed by the provision of the UGC regulations 5<sup>th</sup> July 2016.
  - Provided further that the candidate admitted after 11<sup>th</sup> July 2009 but prior to 5<sup>th</sup> July 2016, shall be governed by UGC Regulations 11<sup>th</sup> July 2009.
  - Provided further that the candidates admitted prior to 11<sup>th</sup> July 2009 shall be governed by provisions of the relevant rules and regulations prevailing at the time.
2. These rules shall come into force immediately from academic year 2020-21
3. In these Directives, unless the context otherwise requires:
  - a) "The Act" means the Maharashtra Public University Act 2016;
  - b) "Admission" means the admission taken at SVKM's Narsee Monjee College of Commerce and Economics (Autonomous) by completing the formalities and paying the prescribed fee;
  - c) "Candidate" means a person seeking admission to the Ph.D. programmes and also a person registered for a Ph.D. programme and working for the degree as the case may be;
  - d) "College" means SVKM'S Narsee Monjee College of Commerce and Economics(Autonomous);
  - e) "Head of Centre" means Head of the Department where the Ph.D. programme is conducted;

- f) "PET" means Pre-Entrance Test conducted for admission to the Ph.D. programmes of the college;
- g) "Principal" means Head of the college;
- h) "Recognised" means recognised by appropriate Statutory Regulatory Authority;
- i) "Research Centre" means the Department of the College which is recognised by the University to conduct the Ph.D. programme/s;
- j) "Research and Recognition Committee" or RRC means Research and Recognition Committee of the College;
- k) "Research Guide" or "Guide" means the person recognized by the University for guiding learners for Ph.D. programmer of the college;
- l) "University" means the University of Mumbai;
- m) "UoM" means the University of Mumbai;
- n) "UGC" means the University Grants Commission, New Delhi.

## **2. Eligibility Criteria for admission to the Ph.D. program:**

Subject to the conditions stipulated in these rules, the following persons are eligible to seek admission to the programme:

- a. A candidate seeking admission to the programme shall have a Master's degree or a professional degree equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks aggregate or its equivalent Grade 'B' in the UGC 7 or 10-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognised or authorised 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.
- b. Relaxation of 5% of marks, from 55% to 50% or an equivalent relaxation of grade, shall be allowed for those belonging to reserved categories/differently abled 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 19<sup>th</sup> September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

OR

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, recognised or authorised 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.

OR

A candidate possessing Ph.D. Degree of University of Mumbai or any other recognised university, as per the guidelines of the UGC from time to time, in a given course and wants to pursue Ph.D. in the same or other course.

### 3. Duration of the programme:

- a. Ph.D. programme shall be for a period from the date of admission to the program 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 course work;

provided that the candidate has spent at least one year after registration;

provided further that the minimum period shall be two years from the date of admission for candidates who have pursued Ph.D. after Master's degree by research and registers for Ph.D. in the same course;

- c. Extension up to a maximum period of four semester/two years for Ph.D. 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 candidate concerned shall submit the application in the prescribed format for extension through his/her Research Guide and the Head of the Department, 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 Principal on a case to case basis.

Provided that no candidate shall be permitted to extend the duration of the 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. Regarding extension for duration of Ph.D. programme, the college should abide by the UGC norms.

- d. 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.

### 4. Procedure for admission to Ph.D. Programs:

- a. First three years (2020-21 to 2022-23) all admissions for Ph.D. programs shall be through a **Pre-Entrance Test (PET)** conducted by the University of Mumbai and interviews conducted by the college.
- b. From year 2023-24 onwards all Ph.D. admissions will be through Pre-Entrance Test (PET) conducted by the college and interviews conducted by the college.
- c. The College shall notify on an annual basis a predetermined and manageable number of vacant seats of Ph.D., depending on the number of available research guides, prescribed quota at the departments, and academic and physical facilities available,

keeping in mind the norms regarding the scholar-teacher ratio.

- d. The College shall notify well in advance on its website and through advertisement at national level. The details notified on the website shall include the number of seats vacant, course/discipline-wise distribution of vacant seats, criteria for admission, procedure for admission, examination centre where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates.
- e. The admissions shall be based on the criteria notified by the College, keeping in view the guidelines/norms in this regards issued by the UGC and other statutory bodies concerned.

**5. Pre-Entrance Test (PET):**

- a. The PET shall be conducted course-wise for pre-declared courses 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 college well in advance. The syllabus for PET shall be, 50% based on research methodology and the remaining 50% shall be course specific.
- b. The College may conduct the PET only for the courses where there are vacancies to be filled.
- c. The PET should be conducted by the College normally within three months of the date of beginning of the academic year.
- d. The validity of the PET result for taking admission for Ph.D. programme shall be for three years from the declaration of the respective result.
- e. The candidate seeking admission to a Ph.D. programme in a course other than the course in which he/she has obtained Master's degree shall take the PET in the course in which he/she has obtained Master Degree and clear an **Aptitude Test** in the course in which he/she is seeking admission, specially designed and conducted by the college where he/she is seeking admission provided that both the courses are from the same faculty.
- f. For the candidate seeking admission to a Ph.D. programme in a course of a faculty other than the faculty in which he/she has obtained the Master's degree, the rules of change in faculty shall be applicable.
- g. The 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 the college.

**6. Exemption from PET:**

The following candidates shall be exempted from PET:

- a. Candidates who have qualified UGC-NET/UGC-CSIR NET/SLET/GATE/INSPIRE and any other JRF holders of the apex bodies like CSIR/ ICAR/ ICMR/ DBT/ DST/ ICSSR.
- b. Candidates who have passed M.Phil. Programme of UoM or any other recognised University/Institution, provided the M.Phil. is as per UGC guidelines.
- c. Ph.D. degree holder of University of Mumbai or any other recognised University who desires to pursue Ph.D. at this College.

**7. The Structure of PET:**

- a. The PET shall be of Multiple Choice Questions (MCQ) and of 100 marks.
- b. The PET shall consist of 100 MCQs of one mark each.

- c. The test shall comprise two papers; Paper-I shall be on Research Methodology, research aptitude, logical reasoning, comprehension, communication and general knowledge. Paper-II shall be course-specific and the examination of this section shall be based on the respective Master's syllabus of UoM /College.
- d. Each paper will have 50 questions and the **qualifying marks** shall be a minimum of 50% marks in each of the papers, viz. Paper-I & Paper-II.
- e. Relaxation of 5% of marks, from minimum 50% to minimum 45%, in each of the papers, viz. Paper-I & Paper-II shall be allowed for those belonging to reserved categories/differently abled and other categories of candidates as per policies of the Government of Maharashtra, prescribed from time to time.
- f. Online PET certificates shall be issued by the College.
- g. No request for Revaluation and/or Photocopy shall be entertained.

**8. Interviews for admission to Ph.D. programme:**

- a. Interviews of the candidates who have cleared PET shall be organised by the College.
- b. The Principal of the college shall constitute Ph.D. interview Committees course-wise. The constitution of the Interview Committees shall be as follows:  
The Committee shall comprise
  - i. The Principal as the Chairperson;
  - ii. One or two subject experts from outside, who are Ph.D. holders in the discipline and not below the rank of Associate Professor;
  - iii. The recognised guide in the department.
- c. The interview shall be conducted at the respective Department 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 college;
  - iv. Whether the proposed area of research can contribute to new/additional knowledge.
- d. The Head of the Department shall submit the report of the committee to the Principal within a period of not more than 30 days from the date of completion of the interviews.
- e. The college shall publish the lists of candidates selected for admission and submit the same to the University for information, within a period of 30 days of registration of the candidate.
- f. The College shall maintain the list of all the Ph.D. registered learners on its website on a yearly basis. The list shall include the names of the registered candidate, topic of his/her research, name of his/her guide/co-guide, date of enrolment/registration.

**9. Allocation of Research Guides:**

- a. The recognitions of teachers to guide Ph.D. shall be approved by the University of Mumbai.
- b. The allocation of Research Guide for a selected research learner shall be decided by the Principal, depending on the number of learners per Research Guide, the available specialisation among the Guides, research interests of the learners as indicated by them at the interviews, and the facilities available.
- c. In case of a topic which is inter-disciplinary in nature, where the Research Guide and the Head of Department feel that the expertise in the Centre has to be supplemented from outside, the Principal may appoint a Co-Guide from outside the College; provided that the terms and conditions as may be specified are agreed upon by the consenting centre.
- d. At any given time, a Professor cannot guide more than eight Ph.D. learners; an Associate Professor cannot guide more than six Ph.D. learners and an Assistant Professor cannot guide more than four Ph.D. Scholars.
- e. In case of relocation of Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in these regulations are followed and spirit and the research work does not pertain to the project secured by the college/Research Guide from any funding agency. The learner will however give due credit to the parent Research Guide and the College for the part of research already done.

**10. Admission:**

The selected learner shall complete the formalities of admission at the college by paying the prescribed fees.

**11. Research Advisory Committee (RAC) for Ph.D. learners:**

- a. There shall be a Research Advisory Committee (RAC) for each Ph.D. learner, which shall be constituted by the Head of the Department immediately after the admission of the candidate.
- b. The RAC has the following composition: -
  - i. Head of the Department or his/her nominee will be the Chairperson, provided that the Head is a Ph.D. and provided further that if the Head is not a Ph.D. the Principal shall appoint a Senior teacher from the department holding Ph.D. degree and as per seniority in the department;
  - ii. Research Guide will be the Convenor;
  - iii. One or two outside experts from the same field who will be nominated by the Principal, provided that the experts are Ph.D. in the same or related areas and senior/s in teaching (Associate Professor)/research.

- c. The candidate shall submit a six-monthly progress report of his/her work to the RAC through his/her Guide and also make a presentation before the committee about his/her research work once in six months.
- d. 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.
- e. A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six months' progress report shall be submitted by the RAC to the Principal, with a copy to the research learner.
- f. In case of any suggestions given by the Research Advisory Committee for improvement of the work the candidate should make the changes accordingly.
- g. 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 learner fails to implement these, the RAC may recommend to the department with specific reasons, cancellation of the registration of the research learner. The department in turn recommends the same to the Principal. The Principal will communicate the decision to the research learner.

**12. 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, eight 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 learner in consultation with the Guide and the RAC and the same shall be conveyed to the RRC.
- e. If the RRC rejects the topic and the proposal the learner shall consult the RAC and the Guide and can send a fresh proposal/title after three months but within one year.
- f. The registered learner shall not be allowed to register simultaneously for any other degree course.

- g. The registration is deemed to be confirmed once the topic and the 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 the Research Centre.

**13. Registration of the Ph.D. candidate:**

The candidate shall apply to the Principal, in the prescribed format for registration along with the prescribed registration fee. The Principal shall communicate to the candidate the registration date along with the title approved by RRC.

**14. Course Work for Ph.D.:**

Credit Requirements duration, syllabus, minimum standards for completion, etc. for Ph.D. Programme shall be as under:

- a. Ph.D. course work shall be of 12 credits;
- b. The course work shall be treated as a prerequisite for Ph. D;
- c. 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, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advance level courses preparing the learner for the degree.
- d. 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 Board of Studies.
- e. The courses shall be arranged in a formal way by the College. Record of attendance of the learner shall be kept. If the candidate has attendance less than that prescribed by the College, it will make the course null and void for the candidate.
- f. The Department where the learner pursues research shall prescribe the courses relevant to the learner based on the recommendation of the RAC.
- g. The course work may be completed either at the College or premier institutions such as IIT, HBNI, BARC, TISS, ICSSR, TIFR, IIM, provided it is conducted in a formal way.
- h. All the learners admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the department during the initial one or two semesters.
- i. 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 Ph.D. in an integrated programme may be



exempted by the Department from the Ph.D. course work. All the other learners admitted to the Ph.D. programme shall be required to complete the course work conducted by the College.

- j. The grades in the course work, including research methodology courses shall be finalized after a combined assessment by the RAC and the Department, and the final grades shall be communicated to the Head of the Centre and to the Principal.
- k. A Ph.D. learner has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the synopsis of thesis.

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

- a) Upon satisfactory completion of course work, and obtaining a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale, the 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. learner. 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.
- b) **Colloquium:** At least three months prior to the submission of the thesis, the learner shall make a presentation (Colloquium) before the Research Advisory Committee, which shall also be open to all faculty members and other research learners. The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the RAC.
- c) **Synopsis:** The candidate shall submit to the College ten copies of the synopsis of his/her thesis through his/her Research guide at least two months before submission of thesis. In no case shall the candidate submit the thesis after six months of submission of synopsis. The format of the thesis shall be as prescribed (Annexure - 1).
- d) **Research Publications:** Ph.D. scholars shall publish at least one research paper in a referred and cited journal or UGC CARE Journals and make two paper presentation in conferences/seminars before the submission of the thesis for adjudication and produce evidence for the same in the form of presentation certificate and/or report/acceptance letter from the publishers/editors.
- e) Before submission of Ph.D. thesis, every candidate shall fulfil the requirements prescribed with respect to detection of plagiarism and will not indulge in any other form of academic dishonesty (Annexure-2). While submitting for evaluation, the thesis shall have an undertaking from the research learner 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.

**f) Appointment of referees for Ph.D. thesis:**

Appointment of referees is as per Annexure-3.

**g) Submission of thesis:**

- i) The thesis shall be submitted in the prescribed format in spiral bound form and printing on both sides of a paper, along with a soft copy (CD). Soft copy shall have individual chapter wise files.
- ii) The Ph.D. candidate shall submit three copies of his/her thesis.

**h) Evaluation of Thesis:**

The Ph.D. thesis submitted by a research scholar shall be evaluated by his Research Guide and two external examiners.

**i) Viva voce:**

- i) The viva voce of Ph.D. candidates shall be in the form of Open Defence of the thesis.
- ii) The viva voce of the research learner to defend the Ph.D. thesis shall be conducted only if the evaluation reports of the two external examiners is satisfactory and include a specific recommendation for conducting the viva voce.
- iii) The viva voce shall be conducted by the viva voce committee.
- iv) The Ph.D. viva voce committee shall be constituted by the college and shall consist of the following.
  - 1) The Principal or his/her nominee (not below the rank of Associate Professor) as Chairperson
  - 2) The Research Guide as convenor
  - 3) The External Examiner who is appointed to conduct the viva voce
  - 4) One Professor/Associate Professor from any department other than the department concerned.
- i) The viva voce shall be open to the members of the RAC, all faculty members of the department concerned, other research scholars and other interested experts/researchers.
- ii) 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 / course area concerned and on the critiques given in the evaluation reports.
- iii) If the evaluation report of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend viva voce, the thesis shall be sent to subsequent external examiner out of the approved list of examiners and the viva voce shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research learner shall be declared ineligible for the award of the degree.
- iv) The day, date, time and place for the viva voce shall be notified by the Head of the Department at least eight days in advance.
- v) When the Head of the Department/the Principal himself/herself is the Guide for the Ph.D. learner, the viva voce committee shall be appointed by the Principal/Chairman of the governing Body.
- vi) In case of dispute, the Principal/the Chairman of Governing Body shall take an appropriate decision.

- vii) If neither of the external examiners is able to be present at the time of the viva voce, the Principal on the recommendation of the Research Guide and the Chairman, Governing Body may appoint a senior Research Guide to act as an external examiner for the viva voce.
- viii) In case the Research Guide concerned is not available for the viva voce, the Principal on the recommendation of the Head of the Department may appoint one of the senior Research Guides as examiner.
- ix) 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 examiners and submit it to the College. This report signed by all the members of the committee shall be included in the thesis at the beginning. Further, along with the report, a list of the persons attending the open defence (attendance sheet) shall also be submitted to the College. The College shall recommend to the University to award Ph.D. degree to the research scholar.
- x) In case the viva voce is not satisfactory, the examiners 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.

**j) Provisional Certificate:**

On the recommendation of the College, 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 the viva voce, in accordance with the provisions of the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil. /Ph.D. Degrees) Regulations, 2016.

**k) 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 bound copy of the thesis in the prescribed format, shall be sent to the College and 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 INFLIBNET, along with the learner's approval form (Annexure-4), for hosting of the same so as to make it accessible to all institutions/colleges.

These Rules shall come into force with immediate effect i.e. from the date of circulation and shall remain in force till the amendments in new Rules and Regulations are formulated.

Place: Mumbai  
Date:

Principal

## Annexure 1 Guidelines for preparation of Thesis

### SHRI VILE PARLE KELVANI MANDAL'S NARSEE MONJEE COLLEGE OF COMMERCE AND ECONOMICS (AUTONOMOUS)

#### GUIDELINES FOR PREPARATION OF THESIS

#### For Ph. D. Guidelines for preparation of Thesis

##### **Preamble:**

The content of the Thesis (hereinafter called as report) must be paid utmost attention, which is being submitted in partial fulfillment of the requirements of the Ph.D. degree. A standard format is equally important and may be prescribed by the college, which helps in bringing uniformity in all the reports and improves the aesthetics of report. The same format shall also be followed in preparation of the final soft copies to be submitted to the library.

#### **1. Organization of the Thesis**

This report shall be presented in a number of chapters, starting with Introduction and ending with Conclusions. It shall be ensured that all the chapters will have a precise title reflecting the contents of the chapter. A chapter can be subdivided into sections, sub-sections and so on as to present the content discretely and with due emphasis.

The report may be divided into two or more parts, each with an appropriate title, when the work comprises two or more mutually independent investigations. However, the numbering of chapters will be continuous right through, for example Part 1 may comprise Chapters 2-4, Part Two, and Chapters 5-8.

##### **1.1 Introduction:**

The title of Chapter 1 shall be Introduction. It shall justify and highlight the problem posed, define the topic and explain the aim and scope of the work presented in the report. It may also highlight the significant contributions from the investigation.

##### **1.2 Review of Literature:**

This shall normally form Chapter 2 and shall present a critical appraisal of the previous work published in the literature pertaining to the topic of the investigation. The extent and emphasis of the chapter shall depend on the nature of the investigation.

##### **1.3 Report on the Present Investigation:**

The reporting on the investigation shall be presented in one or more chapters with appropriate chapter titles.

- Due importance shall be given to experimental setup, procedures adopted, techniques developed, methodologies developed and adopted.
- While important derivations/formulae should normally be presented in the text of these chapters, extensive and long treatments, copious details and tedious information, detailed results in tabular and graphical forms may be presented in Appendices. Representative data in table and figures may, however, be included in appropriate chapters.
- Figures and tables should be presented immediately following their first mention in the text. Short tables and figures (say, less than half the writing area of the page) should be

presented within the text, while large table and figures may be presented on separate pages.

- Equations should form separate lines with appropriate paragraph separation above and below the equation line, with equation numbers flushed to the right.

#### **1.4 Results and Discussions:**

This shall form the penultimate chapter of the report and shall include a thorough evaluation of the investigation carried out and bring out the contributions from the study. The discussion shall logically lead to inferences and conclusions as well as scope for possible further future work.

#### **1.5 Conclusions:**

This will be the final chapter of the report. A brief report of the work carried out shall form the first part of the Chapter. Conclusions derived from the logical analysis presented in the Results and Discussions Chapter shall be presented and clearly enumerated, each point stated separately. The scope for future work should be stated lucidly in the last part of the chapter.

#### **1.6 Appendix:**

Detailed information, lengthy derivations, raw experimental observations etc. are to be presented in the separate appendices, which shall be numbered in Roman Capitals (e.g. "Appendix I"). Since reference can be drawn to published/unpublished literature in the appendices these should precede the "Literature Cited" section.

#### **1.7 Literature Cited:**

This should follow the Appendices, if any, otherwise the Conclusions chapter. The candidates shall follow the style of citation and style of listing in one of the standard journals in the course area consistently throughout his/her report. However, the names of all the authors along with their initials and the full title of the article/monogram/book etc. have to be given in addition to the journals/publishers, volume, number, pages(s) and year of publication.

Citation from websites should include the names(s) of author(s) (including the initials), full title of the article, website reference and when last accessed. Reference to personal communications, similarly, shall include the author, title of the communication (if any) and date of receipt.

##### **1.7.1 Publications by the candidate:**

Articles, technical notes etc. on the topic of the report published by the candidate may be separately listed after the literature cited. This may also be included in the contents. The candidates may also include reprints of his/her publications after the literature citation.

#### **1.8 Acknowledgements:**

The acknowledgments by the candidate shall follow the citation of literature, signed by him/her, with date.

## **2.0 Thesis Format**

### **2.1 Paper:**

The report shall be printed / photocopied on white bond paper, whiteness 95% or above, weight 70 gram or more per square meter. The size of the paper shall be standard A4; height 297 mm, width 210 mm.

## **2.2 Type - Setting, Text Processing and Printing:**

The text shall be printed on single side of a page. The standard font shall be **Times New Roman** of **12 pts** with **1.5-line spacing**.

### **2.2.1 Page Format:**

The Printed Sheets shall have the following written area and margins:

Top Margin	:	15 mm
Head Height	:	3 mm
Head Separation	:	12 mm
Bottom Margin	:	22 mm
Footer	:	3 mm
Foot Separation	:	10 mm
Left Margin	:	30 mm
Right Margin	:	20 mm
Text Height	:	245 mm
Text Width	:	160 mm

When header is not used the top margin shall be 30 mm.

### **2.2.2 Pagination:**

Page numbering in the text of the report shall be Hindu- Arabic numerals at the center of the footer. Page number "1" for the first page of introduction chapter shall not appear in print; only the second page will bear the number "2". The subsequent chapter shall begin on a fresh page. Pagination for pages before the Introduction chapter shall be in lower case Roman numerals, e.g., "iv".

### **2.2.3 Header:**

When the header style is chosen, the header can have the Chapter number and Section number (e.g., Chapter 2, Section 3) on even numbered page headers and Chapter title or Section title on the odd numbered page header.

### **2.2.4 Paragraph format:**

Vertical space between paragraphs shall be about 2.5-line spacing. A paragraph should normally comprise more than one line. A single line of a paragraph shall not be left at the top or bottom of a page. The word at the right end of the first line of a page or paragraph should, as far as possible, not be hyphenated.

## **2.3 Chapter and Section Format:**

### **2.3.1 Chapter:**

Each chapter shall begin on a fresh page with an additional top margin of about 75mm. Chapter number (in Hindu - Arabic) and title shall be printed at the center of the line in 6mm font size (18pt) in bold face using both upper and lower case (all capitals or small capitals shall not be used). A vertical gap of about 12 mm (spacing after font size 36 with single line spacing) shall be left between the Chapter number and Chapter title lines as also between Chapter title line and the first paragraph.

### **2.3.2 Sections and Sub-sections:**

A chapter can be divided into Sections, Sub-sections and Sub-Sub Sections so as to present different concepts separately. Sections and sub-sections can be numbered using decimal

points, e.g. 2.2 for the second section in Chapter 2 and 2.3.4 for the fourth Sub-section in third Section of Chapter 2. Chapters, Sections and Subsections shall be included in the contents with page numbers flush to the right. Further subsections need not be numbered or included in the contents.

The Section and Sub - Section titles along with their numbers in 5 and 4mm (16 and 14 pt) fonts, respectively, in bold face shall be flushed to the left (not centered) with 15 mm space above and below these lines.

In further subdivisions character size of 3 and 3.5 with bold face, small caps, all caps and italics may be used for the titles flushed left or centered. These shall not feature in the contents.

### **2.3.3 Table / Figure Format:**

Tables and figures should be presented in portrait style as far as possible. Small size table and figures (less than half of writing area of a page) should be incorporated within the text, while larger ones may be presented on separate pages. Table and figures shall be numbered chapter -wise. For example, the fourth figure in chapter 5 will bear the number Figure 5.4 or Fig 5.4.

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 Figures reproduced from elsewhere shall be cited in the last and separate line in the table and figure caption.

## **3.0 Auxiliary Format**

### **3.1 Binding:**

The final hard bound copies to be submitted after the viva-voce examination will be accepted during the submission of thesis/dissertation/ project report in black colour.

### **3.2 Front Cover:**

The front cover shall contain the following details:

- Full title of thesis in 6 mm 22 point's size font properly centered and positioned at the top.
- Full name of the candidate in 4.5 mm 15 point's size font properly centered.
- A 50 mm diameter replica of the Institute emblem followed by the name of department, name of the Institute and the year of submission, each in a separate line and properly centered and located at the bottom of page.

### **3.2.1 Lettering:**

All lettering shall be embossed in gold.

### **3.2.2 Bound back (Spiral):**

The degree, the name of the candidate and the year of submission shall also be embossed on bound side (spine) in gold.

### **3.3 Blank Sheets:**

In addition to the white sheets (binding requirement) two white sheets shall be put at the beginning and the end of the thesis.

### **3.4 Title Sheet:**

This shall be the first printed page of the report and shall contain the submission statement: the Thesis/ Dissertation submitted in partial fulfillment of the requirements of the Degree, M. Phil./ Ph.D., the name and Learner number of the candidate, name(s) of the Guide and Co-Guide (s) (if any), Department, college and year of submission.

- Sample copy of the 'Title Sheet' is appended (Specimen 'A')

### **3.5 Dedication Sheet:**

If the candidate so desires s/he may dedicate her/his report, which statement shall follow the title page. If included, this shall form the page 1 of the auxiliary sheets but shall not have a page number.

### **3.6 Internal Approval Sheet:**

In the absence of a dedication sheet this will form the first page and in that case shall not have a page number. Otherwise, this will bear the number two in Roman lower case "ii" at the center of the footer. The top line shall be:

1. Certificate

- Sample copy of the 'Internal Approval Sheet' is appended (Specimen "B")

### **3.7 Approval Sheet:**

In the absence of a dedication sheet this will form the second page. Otherwise, this will bear the number three in Roman lower case "iii" at the center of the footer. The top line shall be: Thesis Approval for Ph.D.

The Approval Sheets are to be included only in the hard bound copies which are submitted after the successful Ph.D. viva voce examination.

- A sample copy of the Approval Sheet is appended (Specimen 'C')

### **3.8 Abstract:**

The 500 word abstract shall highlight the important features of the thesis/dissertation and shall correspond to the electronic version to be submitted to the library for inclusion in the website. The Abstract in the thesis, however, shall have two more parts, namely, the layout of the thesis giving a brief chapter-wise description of the work and the key words.

### **3.9 Contents, List of Figures and Tables:**

The contents shall follow the Abstract and shall enlist the titles of the chapters, section and sub-section using decimal notation, as in the text, with corresponding page number against them, flushed to the right.

Two separate lists of Figure captions and Table titles along with their numbers and corresponding page numbers against them shall follow the Contents.

### **3.10 Abbreviation Notation and Nomenclature:**

A complete and comprehensive list of all abbreviations, notations and nomenclature including Greek alphabets with subscripts and superscripts shall be provided after the list of tables and figures. (As far as possible, generally accepted symbols and notation should be used). Auxiliary page from dedication (if any) to abbreviations shall be numbered using Roman numerals in lower case, while the text starting from the Introduction shall be in Hindu-Arabic. (The first pages in the both the cases shall not bear a page number).

### **3.11 A Declaration of Academic Honesty and Integrity:**

A declaration of Academic honesty and integrity is required to be included along with every thesis/dissertation/ project report after the approval sheet. The format of this declaration is given in Specimen 'D' attached.



**Specimen 'A': Title Sheet**

(Title)

Submitted in partial fulfillment of the requirements  
of the degree of  
(Doctor of Philosophy)

by  
(Name of the Learner)  
(SAP NO.)

Guide (s):  
Name of Guide (s)

(Emblem of University in diameter of 50 mm)

Shri Vile Parle Kelavani Mandal's Narsee Monjee College of Commerce and Economics  
(Autonomous)  
(Year)

**Specimen 'B': Internal Approval Sheet**

**CERTIFICATE**

This is to certify that the project entitled "**Title of project**" is a bonafide work of "**Name of learner**" (**SAP No.**) submitted to the SVKM'S Narsee Monjee College of Commerce and Economics (Autonomous) in partial fulfillment of the requirement for the award of the degree of **Ph. D.**" in "**Program Name**".

(Name and sign)  
Co- Guide

(Name and sign)  
Guide

(Name and sign)  
Head of Department

(Name and sign)  
Principal

**Specimen `C': Approval Sheet**

Thesis Approval for Ph. D.

This thesis / dissertation/project report entitled **(Title)** by **(Author Name)** is approved for the degree of \_\_\_\_\_**(Degree details)**.

Examiners

1. ....

2. ....

Date:

Place:

**Specimen `D' – Declaration  
Declaration**

I declare that this written submission represents my ideas in my own words and where others' ideas or words have been included, I have adequately cited and referenced the original sources. I also declare that I have adhered to all principles of academic honesty and integrity and have not misrepresented or fabricated or falsified any idea/data/fact/source in my submission. I understand that any violation of the above will be cause for disciplinary action by the College and can also evoke penal action from the sources which have thus not been properly cited or from whom proper permission has not been taken when needed.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Name of learner)

Date:

**Specimen `E' – Starting Chapter Page Formatting**

**Chapter 1**

**Introduction**

**1.1 (Specimen “E”)**

**1.1.1 Formatting Guidelines**

**Specimen "F" – Various standard Styles of listing of references**

**Chapter #**

**References**

**ASME standard**

**Book,**

[1] Merritt, H. E., 1971, Gear Engineering, Pitman, New York, pp. 82–83.

**Journal Paper,**

[2] Arakere, N. K., and Nataraj, C., 1998, "Vibration of High-Speed Spur Gear Webs," ASME Journal of Vibration Acoustics, 120(3), pp. 791–800.

**Proceeding Paper,**

[3] Stewart, R. M., 1977, "Some Useful Data Analysis Techniques for Gearbox Diagnostics," Proceedings of the Meeting on the Application of Time Series Analysis, ISVR, University of Southampton, Southampton, UK.

**Thesis,**

[4] Kong, D. W., 2008, "Research on the Dynamics and Fault Diagnosis of the Large Gear Transmission Systems," Ph.D., thesis, JiLin University, Changchun, China.

**IEEE standard**

**Book,**

[1] J. F. Curtis, (Ed.), Processes and Disorders of Human Communication. New York: Harper and Row, 1978.

**Journal Paper,**

[2] J. Schroeter and M. M. Sondhi, "Techniques for estimating vocal-tract shapes from the speech signal," IEEE Trans. Speech Audio Process., vol. 2, no. 1, pp. 133–150, 1994.

**Proceeding paper,**

[3] J. M. Pardo, "Vocal tract shape analysis for children," in Proc. IEEE Int. Conf. Acoust., Speech, Signal Process., 1982, pp. 763–766.

## **Annexure: 2**

### **Rules and Regulations for Plagiarism and any Other Academic Dishonesty**

As per the ethics in higher education, fair conduct of research and prevention of misconduct, and as per UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018, learners, researchers and faculty members should not perform any academic misconduct by the theft of intellectual property in any manner.

The research work carried out by the learner, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude common knowledge or coincidental terms, up to fourteen (14) consecutive words. It shall be covered by Zero Tolerance Policy on Plagiarism.

#### **Similarity checks for exclusion from Plagiarism**

The similarity checks for plagiarism shall exclude the following:

- i) All quoted work reproduced with all necessary permission and/or attribution.
- ii) All references, bibliography, table of contents, preface, and acknowledgements.
- iii) All generic terms, laws, standard symbols, and standard equations.

#### **Levels of Plagiarism**

Plagiarism will be quantified into the following levels in ascending order of severity for the purpose of its definition:

- i) Level 0: Similarities up to 10%
- ii) Level 1: Similarities above 10% and up to 40%
- iii) Level 2: Similarities above 40% and up to 60%
- iv) Level 3: Similarities above 60%

#### **Detection/Reporting/Handling of Plagiarism**

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel (IAIP) of the college.

The authorities of college can also take suo moto notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the authorities on the basis of findings of an examiner. All such cases will be investigated by the IAIP.

#### **Departmental Academic Integrity Panel (DAIP)**

- i) All Departments in the college shall notify a DAIP whose composition shall be as given below:
  - a. Chairman - Head of the Department
  - b. Member - Senior academician from outside the department, to be nominated by the Principal.
  - c. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including the Chairman).

- ii) The DAIP shall follow the principles of natural justice while deciding about the allegation of

- plagiarism against the learner, faculty, researcher, and staff.
- iii) The DAIP shall have the power to assess the level of plagiarism and recommend penalty/ies accordingly.
  - iv) The DAIP after investigation shall submit its report with recommendation on penalties to be imposed, to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

#### **Institutional Academic Integrity Panel (IAIP)**

- i) composition shall be as given below:
  - a. Chairman – Principal/Senior Academician of the college.
  - b. Member - Senior Academician other than Chairman, to be nominated by the Principal.
  - c. Member - One member nominated by the Principal from outside the college.
  - d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Principal.

The Chairman of DAIP and IAIP shall not be the same. The tenure of the Committee members including the Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

- ii) The IAIP shall consider the recommendations of DAIP.
- iii) The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
- iv) The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the learner, faculty, researcher and staff of the college.
- v) The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- vi) The IAIP shall send the report after investigation and the recommendation on penalties to be imposed, to the Principal, within a period of 45 days from the date of receipt of recommendation of DAIP/complaint / initiation of the proceedings.
- vii) The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

#### **Penalties**

Penalties in the cases of plagiarism shall be imposed on learners pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff of the college only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and the individual in question has been provided enough opportunity to defend himself or herself in a fair and transparent manner.

#### **Penalties in case of plagiarism in submission of thesis**

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of Plagiarism.

- i) Level 0: Similarities up to 10% - Minor Similarities, no penalty.
- ii) Level 1: Similarities above 10% and up to 40% - Such a learner shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii) Level 2: Similarities above 40% and up to 60% - Such a learner shall be debarred from submitting a revised script for a period of one year.
- iv) Level 3: Similarities above 60% -Such a learner's registration for that program shall be cancelled.
- a) **Note 1:** Penalty on repeated plagiarism- Such a learner shall be punished for the plagiarism of



one level higher than the previous level committed by him/her. In cases where plagiarism of the highest level is committed, then the punishment for the same shall be operative.

- b) **Note 2:** Penalty in case where the degree/credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit as the case may be, then his/her degree or credit shall be put in abeyance for a period recommended by the IAIP and approved by the Head of the Institution.

**Penalties in case of plagiarism in academic and research publications**

- I. Level 0: Similarities up to 10% - Minor similarities, no penalty.
  - II. Level 1: Similarities above 10% and up to 40%
    - i. Shall be asked to withdraw manuscript.
  - III. Level 2: Similarities above 40% and up to 60%
    - i. Shall be asked to withdraw manuscript.
    - ii. Shall be denied a right to one annual increment.
    - iii. Shall not be allowed to be a supervisor to any new Master's, ., Ph.D. Learner/scholar for a period of two years.
  - IV. Level 3: Similarities above 60%
    - i. Shall be asked to withdraw manuscript.
    - ii. Shall be denied a right to two successive annual increments.
    - iii. Shall not be allowed to be a supervisor to any new Master's, ., Ph.D. Learner/scholar for a period of three years.
- a. Note 1: Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then disciplinary action including suspension/termination as per service rules shall be taken by the college.
  - b. Note 2: Penalty in cases where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be, then his/her benefit or credit shall be put in abeyance for a period recommended by IAIP and approved by the Principal.
  - c. Note 3: The College shall create a mechanism so as to ensure that each paper publication/thesis/dissertation by a learner, faculty, researcher or staff of the college is checked for plagiarism at the time of forwarding/submission.
  - d. Note 4: If there is any complaint of plagiarism against the Principal, a suitable action, in line with these regulations, shall be taken by the Governing Body of the college.
  - e. Note 5: If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the IAIP and approved by the Competent Authority.
  - f. Note 6: If there is any complaint of plagiarism against any member of DAIP or IAIP, then such member shall excuse himself / herself from the meeting/s where his/her case is being discussed/investigated.

## Annexure

### Composition of RRC and Appointment of Referees for Ph.D.

#### Composition of Research & Recognition Committee (RRC)

Principal	Chairman
Head of the Department (if Head does not possess Ph.D. and/or not recognized guide of University of Mumbai then senior most teacher in the department concerned who is Ph.D. and is recognized guide of University Of Mumbai);	Member
Two Experts-	Member
i) Chairman, Board of Studies (of the course concerned) of the University of Mumbai;	Member
ii) From Industry or National Research Institute (nominated by the Principal)	Member
Expert in the area of Specializations (nominated by the Principal), where a referee is to be appointed for evaluation of highly specialized topic or course	Member
Convenor Research Committee/Vice Principal Research	Ex-officio member

#### Appointment of Referees for Ph.D.

- 1) Upon submission of dissertation/thesis for adjudication, the proposal for referee appointment shall be placed before the Research & Recognition Committee concerned for its consideration. RRC shall preferably recommend a total of six names from the panel of approved Examiners. Out of these names, three names shall be from the State and other three names shall be from Outside the State.
- 2) The list of names of examiners / referees so recommended by the Research and Recognition committee shall be placed before the Chairman for his approval. He shall nominate the Examiners for evaluation of thesis with preference number.
- 3) The invitation letters shall be sent to the first referee of each category. If any referee refuses to accept the invitation for such evaluation, the invite letter shall be sent to the next referees from the same category in the serial order.
- 4) The synopsis and thesis shall be sent to the examiners / referees who have accepted the appointment.
- 5) If all the referees refuse to accept the appointment, fresh proposal is to be placed before the Research & Recognition Committee concerned for its consideration.

**Annexure  
Learner Approval form**

Name of the Author	
Department	
Degree	
University	
Guide	
Thesis Title	
Year of Award	

**Agreement**

1. I hereby certify that, if appropriate, I have obtained and attached hereto a written permission/statement from the owner(s) of each third party copyrighted matter to be included in my thesis, allowing distribution as specified below.
2. I hereby grant to the university and its agents the non-exclusive license to archive and make accessible, under the conditions specified below, my thesis, in whole or in part in all forms of media, now or hereafter known. I retain all other ownership rights to the copyright of the thesis. I also retain the right to use in future works (such as articles or books) all or part of this thesis or project report.

**Conditions:**

1. Release the entire work for access worldwide	
2. Release the entire work for 'My University' only for 1 year, 2 years, 3 years and after this time release the work for access worldwide.	
3. Release the entire work for 'My University' only, while at the same time releasing the following parts of the work (e.g. because of the parts that relate to publications for worldwide access: a) Bibliographic details and Synopsis only b) Bibliographic details, synopsis and the following chapters only c) Preview/Table of Contents/24 page only	
4. View Only(no downloads)(worldwide)	

Signature of the Scholar  
Place

Signature and seal of the Guide

Date