



Thursday the 19th November, 2015

DIRECTION

No. 22/2015

Date : 19.11.2015

Subject : Prescribing procedure for recognition of Supervisor, Research Center and award of Ph.D. degree in all Faculties (in accordance to U.G.C. Regulation 2009) , Direction 2015.

Whereas University Grants Commission vide its Regulation dated 1st June 2009 for minimum standards and procedure for awards of M.Phil. /Ph.D. degree, 2009 prescribed the criteria for award of Ph.D. Degree, recognition of Ph.D. supervisor, procedure of admission, allocation of supervisor, course work , Evaluation and Assessment methods for award of Ph.D. degree published in the Gazette of India Part-III on 11th July 2009.

AND

Whereas, Ordinance No.19 of 2015 in respect of prescribing procedure for recognition of Supervisor, Research Center and award of Ph.D. Degree in all Faculties (in accordance to U.G.C. Regulation 2009) is in existence in the University.

AND

Whereas, it is necessary to arrange the meetings of Research and recognition Committee for the Ph.D. registration applications received on or before 15th January 2015 as per old Ordinance No.19/2009.

AND

Whereas, it is necessary to incorporate the saving clause/s for the candidates registered under the old Ordinance No.19/2009.

AND

Whereas, the Academic Council in its meeting held on 28.04.2015 while confirming the actions taken on the minutes vide item No.2 recommended some suggestions to the Ordinance No.19/2015 for smooth implementation of the procedure laid down by Ordinance No.19/2015.

AND

Whereas, the Management Council in its meeting held on 12.06.2015 considered and approved the recommendations of Academic Council regarding amendments to Ordinance No.19/2015 vide Item No.121 and resolved that the said recommendations be placed before the Academic Council in the amendment format along with the suggestions of the Management Council.

AND

Whereas, the Management Council in its meeting held on 28.08.2015 while confirming the minutes of the meeting dated 12.06.2015 suggested some corrections regarding amendments to Ordinance No.19/2015 vide Item No.122(12) .

AND

Whereas, the procedure for recognition of research Center, recognition of Ph.D. supervisor and registration of Ph.D. students as per new Ordinance No.19/2015 is as per the guidelines of U.G.C.

Now, therefore, I, Dr. Mohan K. Khedkar, Vice-Chancellor of Sant Gadge Baba Amravati University, in exercise of powers conferred upon me under sub-section (8) of section 14 of the Maharashtra Universities Act, 1994 hereby direct as under:-

1. This direction may be called “.Prescribing procedure for recognition of Supervisor, Research Center and award of Ph.D. degree in all Faculties (in accordance to U.G.C. Regulation 2009) Direction 2015.”
2. This direction shall come into force from the date of its issuance.
3. The colleges/Institute/departments having approved supervisor/s shall be treated as Research Center and need not to apply for the recognition as Research Center. If the Supervisor retires or leaves the college, the recognition will be ceased.
4. The maximum intake capacity of Research Center shall be 30 per subject/laboratory.
5. The word “Centre” wherever appears in Ordinance No.19/2015 be replaced by the word “Center”
6. The numbers of all the appendices be in the Roman Style i.e. I – XI.
7. Para 1.1 of Ordinance No.19/2015 is as follows-

1.1 Norms and Procedure for recognition of Ph.D. Supervisor

A person seeking recognition as a Ph.D. Supervisor shall submit the application in the prescribed form (Appendix-I) along with non-refundable fees as prescribed by the University from time to time on or before last working day of August every year and shall satisfy the following conditions :-

- i) Must possess Master’s Degree in the relevant subject.
- ii) Must have Ph.D. in the relevant subject in which recognition is sought and shall have completed at least one year research experience after award of Doctoral Degree.
- iii) Must have at least Five Years of Post Graduate Teaching Experience or Ten Years of Under Graduate Teaching Experience as an approved teacher or ten years of working experience of Librarian/Director Physical Education / ten years of Industrial Experience with proven record of research.
- iv) Must have published five research publications in the subject in an indexed & peer reviewed reputed journals which have at least five years of standing and having consistency in publication after award of Ph.D. Degree of which one publication must be single authored.

8. Para 2 ,2.1 and 2.2 of PART-A of Ordinance No.19/2015 is as follows-

2. Recognition of Research Center

Affiliated college of the University having standing of Ten Years may apply for recognition as Research Center for the subject having at least one recognized Ph.D. Supervisor in the subject.

A person who satisfies the eligibility conditions prescribed for recognition as a Ph.D. supervisor and applies for recognition as a Ph.D. supervisor shall have to apply through the Principal for recognition of his/her working place as a Research Center (RC) submitting details regarding the facilities available in college in Appendix-II of this ordinance along with the fees prescribed for each subject. Committee mentioned in following Para, shall visit the college and submit its report to the University as per Appendix-C of Regulation No. 7/1998.

2.1 Committee for recognition of Research Center:

- i) Dean of the concerned faculty - Chairman
- ii) Chairman B.O.S. of the concerned Subject in the respective faculty - Member
- iii) Head of the University department of the concerned subject. - Member
(where there is no University Department in the University then the Head of PG Department of the affiliated college having P.G. Studies in the subject to be nominated by the Vice-Chancellor)

The recommendations of this committee shall be placed before the Board of University Teaching and Research (BUTR) for approval. The University shall communicate the decision of the BUTR to the concerned college regarding recognition of Research Center.

2.2 Intake Capacity of the Center :

The intake capacity will be decided as follows:

The number of students to be admitted at each such recognized Research Center shall not exceed EIGHT students (including students registered in other Universities under their Supervision) per supervisor. Provided that, in the initial phase of recognition of a person as a Ph.D. supervisor, the permissible number of students shall be only two and this shall be increased within the maximum capacity limit only after successful guidance to these two students by the Supervisor. Every recognized supervisor shall submit the declaration about the details of the students working under him in a prescribed format as per appendix-XI before 31st March of the year.

9. Sub-para (i) of Para 2.1 of PART-B of Ordinance No.19/2015 is as follows-

2.1 Eligibility for admission:

- i) Student having Master's Degree with at least 55% marks or equivalent CGPA (50% marks in case of SC/ST candidates) in the relevant subject of this University or of any other statutory University recognized as equivalent thereto and passed the **Ph.D. Entrance/Aptitude Test** conducted by this University, will be eligible for admission to Ph.D. programme.

Provided that, following candidates shall be exempted from the condition of PET/PAT

- a) UGC/CSIR (JRF) qualified/GATE/GPAT.
- b) M. Phil. Course of this or any other statutory University (excluding M. Phil. programme through Distance Education Mode)
- c) Teacher Fellowship holder

10. Para 3.2 of PART-B of Ordinance No.19/2015 is as follows and additional Para 3.3,3.4 and 3.5 .

3.2 Ph.D. Registration:

- a) Head of the Research Center shall forward the applications of Ph.D. students in prescribed format (Appendix-IV) to the University for registration on or before 31st August of every year along with following documents.
 - i) Certificates and statement of marks for all relevant qualifying examinations.
 - ii) Certificate of successful completion of course work.
 - iii) The synopsis recommended by RC along with soft copy.

- b) All eligible students will be called for presentation before R.R.C. The concerned Supervisor may also remain present during interaction. The decision of Research and Recognition Committee will be made available on University Website. Candidates will be informed the decision of R.R.C accordingly.

After approval to the research proposal by the R.R.C., the student will be registered for Ph.D. Degree and will be issued a Registration Certificate/letter by the University. 1st September of the concerned year in which the student submits application for Ph.D. program shall be considered as the date of Ph.D. Registration. Registration of the student shall be valid only for Five Years from the date of registration. After expiry of the stipulated period, the Ph.D. registration of a student will be treated as cancelled.

- 3.3** Provided that if dispute is there between Guide and Research Scholar, both should be called before R.R.C.
- 3.4** Candidate shall have to work for minimum period of one calendar year after change of supervisor.
- 3.5** Re-Registration will be allowed.

11. Clause (c) of Para 4.3 of Ordinance No.19/2015 is as follows-

- c) The text should be in Times New Roman, Font size 12 with 1.5 spacing. In case of Marathi/Hindi it should be in Krutidev, Font size 14 except Urdu/Persian

12. Para 4.4 of Ordinance No.19/2015 is as follows-

- 4.4.** Plagiarism in synopsis and final thesis shall be examined/ tested by authentic software at University and the University will take the decision accordingly.

13. Last sub-para of Para 5 of Ordinance No.19/2015 is as follows-

‘The examiners shall report to the Academic Council which shall –

- (i) recommend to the Management Council that the candidate be declared eligible for the award of the Degree of the Doctor of Philosophy, if both the examiners recommend acceptance of the thesis;
- (ii) recommend to the Management Council that the thesis of the candidate be rejected if, both the examiners do not recommend its acceptance.
- (iii) recommend to the Management Council that the candidate be permitted to revise and resubmit the thesis within 12 months from the date of the decision of the Management Council, if both the examiners recommend revision of the thesis. The revised thesis shall be submitted to the same examiners. If, on revision of the thesis one of the examiners recommends acceptance and the other recommends rejection or re-revision of the thesis then the thesis shall be submitted to a third examiner whose decision on the thesis shall be final. If the third examiner also recommends revision, the candidate shall not be given any further opportunity for revision and his thesis shall be rejected.
- (iv) If one examiner recommends acceptance and the other recommends rejection, then a third examiner be appointed from amongst the approved panel at office level;
In such case the decision of the third examiner shall be final.
- (v) If one examiner recommends acceptance and the other recommends revision then a third examiner be appointed from amongst the approved panel at office level. If the third examiner recommends rejection of the thesis it shall be rejected. If the third examiner recommends revision, the candidate shall be permitted to submit his thesis in a revised form within 12 months from the

date of receiving the communication in this behalf. Copies of the revised thesis shall be submitted to all the three examiners and the decision of the majority of the examiners shall be accepted. No candidate shall be given a second opportunity for revising his thesis.

14. Last sub-para of Para 5.1 of Ordinance No.19/2015 is as follows-

The result shall be officially declared by the University within eight days from the date of the receipt of the favorable report on the defense of the thesis; however, the date of final submission of the thesis shall be treated as the date of award of Ph.D. Degree.

15. Para 5.2 of Ordinance No.19/2015 is as follows-

5.2 Submission of probable list of experts for evaluation:-

The list of the experts, who shall be not below the rank of Associate Professor/equivalent grade [with their full address, Pin Code, e-mail, Telephone/Cell number, Fax number (if any)] from within the state and outside the state/country shall be prepared by the RC depending on the topic of the thesis by using the various data bases of UGC/ search engines such as Google Scholar - web sites and to be submitted to RRC for its consideration in a sealed envelope. The list of evaluator should not include name of members of the authorities/committees/recognized supervisors of the University.

16. Para 9 of Ordinance No.19/2015 is as follows-

9 Nothing in this ordinance shall apply to the candidates already Registered by Research and Recognition Committee under old ordinances viz. 43, 50, 65, 70, 78, 92, 105, 113, 35 of 1980, 39/2005 and 19 of 2009.

No registration from the date of enforcement of this ordinance shall be under provisions of old ordinance no. 19/2009 and only the candidates registered under it, shall be governed under the old ordinance in all respects, thereafter this ordinance shall stand repealed.

Amravati.
Dated : 07.11.2015.

Sd/-
Dr.Mohan K.Khedkar
Vice-Chancellor

DIRECTION

No:- 23/2015

Date :- 19/11/2015.

Subject :- Disciplinary actions to be taken against the person/s for non co-operation/negligence / refusal of any examination work, as per provision of Section 32 of Maharashtra Universities Act- 1994, under revised Appendix-B of Ordinance No.22 of 2001

Whereas on enforcement of Maharashtra Universities Act, 1994, disciplinary action to be taken in case of malpractices u/s 32 of the Act, for such cases to which the university has prescribed disciplinary action in Ordinance No. 22 of 2001.

AND

Whereas, the Board of Examinations in its meeting held on 30/05/2015 vide Item no. 25(a) had appointed a committee No. 2/2015 to specify the nature of punishment to be imposed on guilty persons for involvement in malpractices and lapses on the part of the Paper-setter, Examiner, moderator, referee, teacher, etc or any another person connected with the conduct of University Examinations.

AND

Whereas, the Board of Examination in its meeting dated 21/08/2015, vide Item No 42 has considered the recommendations of Committee No. 2/2015 appointed by Board of Examinations and recommended to Management Council.

AND

Whereas, the term of Management council has expired on 31.08.2015 and is yet to be constituted, and therefore the Hon'ble Vice- Chancellor, has approved the said recommendations of Board of Examinations on behalf of Management Council u/s 14(7) of Maharashtra Universities Act, 1994 on dated 22.09.2015.

AND

Whereas, the Ordinance No. 22 of 2001 is prescribed for unfair means, malpractices and lapses on the part of students or persons, connected with the conduct of Examination and Evaluation and its Part – two provides the Appendix – “B” regarding the details of punishment for malpractices and lapses on the part of the Paper-setter, Examiner, moderator, Referee, Teacher or any another person connected with the conduct of University Examinations.

AND

Whereas, the Board of Examinations has accepted to revise and substitute the existing Appendix –B as stated in above para, on the recommendations of Committee No. 2 of 2015. and the existing Appendix-B is to be replaced by the revised Appendix-B.

AND

Whereas, the matter is required to be regulated in respect of detail specifications of punishment mentioned in for smooth & timely completion of examination process by Ordinance No. 22 of 2001.

AND

Whereas, the matter is to be implemented from the Winter – 2015 examination.

Now therefore, I, Dr. Mohan Khedkar, Vice – Chancellor of Sant Gadge Baba Amravati University in exercise of powers conferred, upon me under sub Section (8) of section 14 of the Maharashtra Universities Act, 1994, hereby direct as under :-

1. This Direction may be called “Disciplinary actions to be taken against the person/s for negligence / refusal of any examinations work, as per provision of Section 32 of Maharashtra Universities Act-1994, under Appendix-B Under ordinance No. 22 of 2001.”
2. This Direction shall come into force from the date of it’s issuance.
3. The existing Appendix-B appended under Part – Two of Ordinance No. 22 of 2001, vide para-5 , Clause –(h), and also vide para-6, clause (b), hereby stands repealed and substituted by the new appendix-B to this Direction to be enforced from Winter – 2015 Examinations.

Amravati
Dated : 7/11/2015

Sd/-
(Dr. Mohan Khedkar)
Vice –Chancellor

Appendix- B

**Disciplinary action to be taken against the person/s for non co-operation /
negligence/refusal of any examination work, as per provision of Section 32 of Maharashtra
University Act- 1994**

Rules of punishment for malpractices and lapses on the part of the Paper-setter, Examiner, moderator, Referee, Teacher or any another person connected with the conduct of University Examinations.

A) Pre-examination work.

Sr. No.	Nature of Malpractice / Lapses	Punishment	Fine
1	Paper set without memorandum / solutions. (where ever necessary)	Disciplinary action as decided by the B.O.E.	Minimum Rs. 5,000/- per paper and entry in service book.
2	Paper-Setter repeating question in same/different section/s.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 5,000/- and entry in service book.
3	Paper-Setter setting question outside the scope of the syllabus.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 5,000/- and entry in service book.
4	Paper-setter found responsible for leakage of the question set in the University/College/Institution examination's either intentionally or by negligence, before commencement of examination.	Disciplinary action as decided by the B.O.E.	Minimum Rs.10,000/- and entry in service book.
5	Leakage of question/question paper set in the university examination before commencement of examination at the University/College/Institution/ examination centre by any persons .	Disciplinary action against the guilty / responsible person/s as per the prevailing rules / standard code by the concerned authorities.	Minimum Rs. 10,000/- and entry in service book of concern officer and co-officer.
6	Supervisor / Guide showing negligence in supervision of dissertation / project work / thesis / research norms (e.g. use of manipulated data by a student)	Disciplinary action as decided by the B.O.E.	Minimum Rs. 5,000/- and entry in service book.
7	Full plagiarism in thesis / Research work by Candidate.	Withdrawal of Ph.D.Degree, Rejection of Ph.D. Degree.	Minimum Rs. 10,000/- and entry in service book* (*Where applicable)
8	Disobeying order of examinations works (In case of improper justification)	As decided by the concerned authority of the University.	Minimum Rs. 5,000/- and entry in service book.
9	Subject examination committee not submitting the question paper set in appropriate covers / envelop or wrong insertion of question paper.	As decided by the concerned authority of the University.	Minimum Rs. 2,000/- and entry in service book.
10	Negligence in the moderation work in Subject examination Committee.	Disciplinary action as decided by the B.O.E.	Minimum Rs.1000/- per paper for each member and entry in service book.
11	Paper-Setter / member omitting question/s at time of finalization of question-paper set at examination or repeating serial number of question while writing or wrong insertion of question paper in the envelope.	As decided by the concerned authority of the University.	Minimum Rs. 1,000/- per paper for each member and entry in service book.
12	Setting an unsolvable problem in question paper (mathematical/accounting/engineering/pharmacy etc., issues like time factor/not having solution)	As decided by the concerned authority of the University.	Minimum Rs. 1,000/- per paper and entry in service book.

B) During Examination / Valuation work

Sr. No.	Nature of Malpractice / Lapses	Punishment	Fine
1	Officer/Co-officer-incharge / invigilator showing apathy in carrying out duties related to examinations. (e.g. not taking rounds to examination hall at examination centre during examination period , opening the packet of question paper before prescribed time etc.)	Disciplinary action as decided by the B.O.E.	Minimum Rs. 1,000/- and above as decided by concerned committee and entry in Service book.
2	Officer / Co-officer - incharge / Invigilator or any other persons helping examinee in copying answers in the examination or showing negligence in reporting cases of copying by examinee when on supervision duty.	Disciplinary action as decided by the B.O.E.	Minimum Rs.5,000/- and entry in service book.
3	Invigilator/Teacher/Co-officer/Officer in charge and any other concerned with examination work helping examinees in mass copying while on examination duty.	Disciplinary action as decided by the B.O.E.	Minimum Rs.10,000/- entry in service book.
4	Negligence of External and Internal Examiner in the conduct of practical examination /project / internal marks etc.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 1,000/- and above as decided by the concerned authority.
5	Mistake in opening the sealed and proper packet of Question paper.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 1,000/- fine for each person and in addition all expenditure for reprinting, distribution shall be recovered from the concerned persons.
6	Delay in joining the assigned duties of examination work.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 1000/- Plus Rs. 200/- per day.

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C) Post Examination work.

Sr. No.	Nature of Malpractice / Lapses	Punishment	Fine
1	Marks of Project / Internal / Practical etc. are not submitted within prescribed time(i.e. 10 days)	As decided by concerned authority of the University.	After 10 days up to 14 days = Rs. 1,000/- After 15 days = Rs. 500/- per day including Rs. 1000/-.
2	Favouring a examinee by examiner, moderator, referee in assessment of answer books / dissertation / project report / thesis by assigning the marks to which the examinee is not entitled to	Disqualification from any examination work + disciplinary action by the concerned authorities.	Minimum Rs. 10,000/- and entry in service book.
3	Negligence in assessing answer books / under - valuation or over -Valuation by 25 %.	Disciplinary action by the concerned authorities.	Minimum of Rs. 5,000/- and entry in service book.
4	Examiner showing negligence in detecting malpractices used by the examinee while assessing answer books.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 5,000/- per examinee and entry in service book.
5	Improper valuation in University examination (Theory / Practical / project / viva voce etc.)	Disciplinary action as decided by the B.O.E.	Minimum Rs.2,000/- or above as may be decided by concerned authority and entry in service book.
6	Negligence in entry of marks in control sheet.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 100/- per entry.
7	Mistake in totalling of marks on answer-books by examiner.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 50/- per mistake which may be deducted from the valuer's remuneration at C.A.P. Centre.
8	Non-assessment of the answer/s or a part of answer.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 200/- per question or part of answer.
9	Any negligence by Examiner / Moderator / Referee in assessment / evaluation of answer book / dissertation / project work of an examinee.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 2,000/- and entry in service book.
10	Entering marks against wrong seat number.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 100/- per mistake and not more than Rs. 2,000/-
11	Not staying at C.A.P. Centre in the scheduled time.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 500/- per day.
12	Not evaluating the minimum number of answer books depending upon "Valuer examinee ratio" in concerned subject as decided by the C.A.P.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 2,000/- of above as may be decided by the concerned authority.

D) Any other Lapses.

Sr. No.	Nature of Malpractice / Lapses	Punishment	Fine
1	Refusal of any examination work without any genuine reason (The genuine reason shall be considered only on producing valid proof/certificate, duly countersigned by concerned principal.)	Disciplinary action by the concerned authority.	Rs. 5,000/- and entry in service book.
2	Flying squad member not visiting the examination centre.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 5,000/- per assignment.
3	Refusal to work as paper setter / moderator /officer/ co-officer / examiner / Assistant valuation officer.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 5,000/- per assignment and entry in service Book.
4	Principal not relieving the teachers for University examination work without proper justification, not providing substitute / false certification etc.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 2000/- or above as decided by the concern authority and entry in service Book.
5	Other irregularities which are not covered above.	Disciplinary action as decided by the B.O.E.	Minimum Rs. 2,000/- or above as decided by the concern authority and entry in service book.
6	Disobeying order of examinations works (In case of improper justification)	As decided by the concerned authority of the University.	Minimum Rs. 5,000/- and entry in service book.
7	Non co-operation of the Principal regarding University Work	(a) Disciplinary action as decided by the B.O.E. + de-affiliation of the college to be recommended. (b) To held-up enrolment of students of concerned college.	Minimum Rs. 10,000/- and entry in service book.

In addition to above the following conditions will also be applicable:-

- 1) The Board of Examination will be the competent authority to decide the quantum of punishment and disciplinary action to be taken against Teacher / Principal for not co-operating in the University examinations work.
- 2) Appropriate disciplinary action such as show- cause notice, strong warning, entry of punishment / fine in the service book of concerned person, fine, withholding promotion / increment/s and next AGP score, withdrawing the recognition, suspension or termination to be implemented by the concerned management of the college, shall be imposed by the concerned after decision of competent authority .
- 3) All serious malpractices relating to the examination work on the part of Teacher / Principal, should be reported to the B.C.U.D., Collegiate Section for bringing it to the notice of the concerned Local Enquiry Committee, immediately after the decision of B.O.E.
- 4) The competent authority may report the case of the concerned implicated person to the appropriate police authority as per the provision of the Maharashtra Universities Act, 1994.
- 5) Fine imposed should be paid at the university cash counter and receipt of the payment should be submitted to the office of the Controller of Examinations within a month from date of its intimation.
- 6) In case of non-payment of fine in due period, the Principal / College Management* (* where applicable) should deduct said amount of fine from the salary of the concerned person and said amount should be deposited to the University, as mentioned above, within a period of two months, from the date of its intimation.
- 7) The teacher can not refuse any University work. If they do so (without any justifiable reason) the disciplinary action will be taken as per provision of section 32 of the Maharashtra Universities Act-1994 and refusal shall be treated as misconduct and such person shall be liable for disciplinary action prescribed above along with an entry in Service Book.

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