

## College Letter Head

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### Prescribed Format of application for Research Center First Time Recognition / Continuation / Extension / Permanent Recognition

( Please neatly type this prescribed format on your College Letter Head )  
( Don't delete any point ) ( You may write Not Applicable )

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Ref. No. :

Date : / /

To,  
The Registrar  
University of Mumbai,  
M.G. Road, Fort,  
Mumbai – 400 032.

Sir,

I / we / Our Institute hereby wish to apply for Granting of : First Time Recognition / Continuation of Recognition/Extension of Recognition / Permanent Recognition for conducting Research / Special Studies leading to .....  
..... Degree(s) of the University of Mumbai.

( Strike out whichever is not applicable )

1. Our College / Institute is affiliated to this University and is also conducting Research / Special Studies in .....  
for the past ..... years; as per section 84 of the Maharashtra Universities Act 1994.
2. Our College / Institute is not yet affiliated to this University.

The required Fees of Rs. .... ( Rs. ....  
..... ) is paid along with this application in the form of DD No. ....

I / We here-by provide the necessary information and documents in support of our application for your consideration.

College  
Seal

Principal / Director  
( College Stamp )



Prescribed Format of Application for Research Center for seeking **First Time Recognition / Continuation of Recognition / Extension of Recognition / Permanent Recognition Status**

Application for : .....

( Pls. State whichever is applicable out of )

(First Time Recognition / Continuation of Recognition / Extension of Recognition / Permanent Recognition Status)

- For Subject(s) : 1) ..... 2) ..... 3) ..... 4) ..... 5) ..... 6) .....

College Name : .....

Postal Address : .....  
.....  
.....  
.....  
.....

Principal's / Director's Name : .....

Contact Details :  
Phone ( Direct ) : .....  
Phone ( Board ) : .....  
Phone ( Mobile ) : .....  
E-mail address : .....



**Prescribed Format of application for Research Center  
First Time Recognition / Continuation / Extension / Permanent Recognition**

*( Pls. do not delete any point. You may write Not Applicable. Pls. attach all necessary documents )*

**A. General Information of College / Institution**

Sr. No.	Particulars / Requirements	Actual Status	Remarks by LIC ( after actual verification )
	( To be filled by college )		
1	Name and Address of the College / Institute		
2	Name & Address of the Trust / Society / Association / Industry administering the College / Research Centre / Institute		
3	The constitution & Names of the Managing Body		
4	Year of Establishment ( Trust )		
	Society Registration No./ Date		
5	College / Inst. Establish Year		
	Whether minority status		
	Aided / Unaided / Autonomous		
	University Affiliation letter No. and Date		
	NAAC / NBA accredited ( if yes mention the grade )		
6	Research Center Recognition Letter No. and Date		
7	Government Permission letters No. and Date		
8	Apex Body Approval Letter No. and Date		



**A. General Information of College / Institution** ( continued from page - 1 )

Sr. No.	Particulars	Actual Status			Remarks by LIC ( after actual verification )
		( To be filled by college )			
9	Courses offered ( UG )	Sr. No.	Course Name	Intake	
		1			
		2			
		3			
		4			
		5			
		6			
		7			
		8			
10	Courses offered ( PG )	1			
		2			
		3			
		4			
		5			
		6			
		7			
11	Recognized Research Labs available ( for courses )	1			
		2			
		3			
		4			
		5			
		6			
		7			
		8			
		9			
12	Students Enrollment ( Last year )	UG -	PG -		
13	Students Enrollment ( Last year )	Ph.D. -	Other -		



**B. Physical facilities available at College / Institution** ( as per UGC / University guidelines )

Sr. No.	Particulars	Actual Status	Remarks by LIC ( after actual verification )
	( To be filled by college )		
14	Principal's / Director's Office		
15	Teachers / Staff Room		
16	Administration Office		
17	Common Room ( Ladies )		
18	Class Rooms (Pls. State Nos.)		
19	Computer Lab		
20	Research Laboratory		
21	Language Lab. ( with Software )		
22	Stores / Instruments Room		
23	Library ( Mention No. of Books )		
24	Reading Room		
25	Evaluation / Assessment Hall		
26	Conference / Seminar Hall		
27	Play Ground ( Sq. Meters )		
28	Hostel (No. of Accommodations)		
29	Girls Hostel ( Accommodations )		
30	Gymkhana		
31	Canteen / Mess		
32	Proper Wash-rooms facility		
33	Facility for Physically challenged		
34	NSS Unit ( with intake ) if any		
35	NCC Unit ( with intake ) if any		
36	Sports Facilities		
37	Cultural facilities		
38	Welfare : Recognized by University		
39	Recipient of Best College / Institute		
40	Other Credentials ( if any )		



**C. Statutory obligations of the College / Institution**

Sr. No.	Particulars / Requirements	Actual Status		Remarks by LIC ( after actual verification )
	( To be filled by college )		Yes / No	
41	Govt. Reservation policy observed in Teaching Appointments			
42	Govt. Reservation policy observed in Admin. Appointments			
43	Govt. Reservation policy observed in College Admissions			
44	College / Institution is participating in University Examinations			
45	College / Institution have Fixed Deposit of Rs. Five Lakh			

**D. Scientific / Research Profile of the College / Institution**

Sr. No.	Particulars / Requirements	Actual Status		Remarks by LIC ( after actual verification )
	( To be filled by college )			
46	Eminent Personalities as Teacher			
47	Eminent Personalities as Alumina			
48	Patents received / Applied, if any			
49	State / National / International / Avishkar Awards			
50	Principal Name			
	Qualifications			
	Pay Scale		Basic Pay	
	Experience as Teacher		Experience as Principal	
	Approved as Teacher		Approved as Principal	



**E. Research Facilities of the College / Institution**

51	Research Departments ( Please state Nos.)				
	<b>Research Dept. Name</b>	<b>Recognition status</b>	<b>Recognized Teacher's Names</b>	<b>Rank</b>	<b>Remarks</b>
1.			1.	Professor	
			2.	Asso. Professor	
			3.	Asst. Professor	
2			1.		
			2.		
			3		
3			1.		
			2.		
			3.		
4			1.		
			2.		
			3.		
5			1.		
			2.		
6			1.		
			2.		
7			1.		
			2.		
8			1		
			2.		
9			1.		

Sr. No.	Particulars / Requirements		Actual Status		Remarks by LIC ( after actual verification )	
	( To be filled by college )					
52	Are all Research Departments well equipped ?	Department Name		Yes / No		
		1				
		2				
		3				
		4				
		5				
		6				
		7				
		8				
		9				



**F. Research Facilities of the College / Institution** ( continued from page - 1 )

Sr. No.	Particulars / Requirements	Actual Status		Remarks by LIC ( after actual verification )
53	Presentation Facility LCD / OHP / Video / Virtual Facility			
	Internet / Wi-Fi connectivity / Computer Facilities			
54	No. of Conferences / Seminars held at college / Institute			
	Papers Presented by Teachers / Students at college / Inst.			
55	No. of Publications by Teachers at other college / Institute			
	No. of Publications by Research Students at other centers			
56	Total No. of Researchers awarded with Ph.D. Degree.			
57	Research Grants received from any Apex body		Rs.	
			Rs.	
			Rs.	
			Rs.	
58	Various Fees charged by college / Institute for Research activities (give Head-wise details)	<b>Heading</b>	<b>Amount</b>	
			Rs.	
			Rs.	
			Rs.	
			Rs.	
			Rs.	
			Rs.	
59	Recognition Fees Paid (Produce Receipt)	Academic Year – 2014 - 15	Rs.	
		Academic Year – 2015 - 16	Rs.	
		Academic Year – 2016 - 17	Rs.	
	Permanently recognition fees Paid	Up-to :	Yes / No	
60	Latest LIC Report for Recognition	All conditions complied	Yes / No	
	Earlier LIC Report for Recognition	All conditions complied	Yes / No	





**G. Academic and Administrative Staff Profile of the College / Institution**

Sr. No.	Particulars / Requirements		Actual Status		Remarks by LIC ( after actual verification )
	( To be filled by college )				
61	Academic Cadres	Sanctioned Posts	Actual working	Approval status	
	Principal				
	Vice Principal				
	Professors				
	Asso. Professors				
	Asst. Professors				
62	Administrative Cadres	Sanctioned Posts	Actual working	Approval status	Remarks by LIC
	Registrar				
	Admin Officer				
	Office Supdt.				
	Accountant				
	System Officer				
	Jr./ Asst. Librarian				
	Head Clerk				
	Jr. Accountant				
	Network Technician				
	Sr. Clerk				
	Jr. Clerk				
	Cashier				
	Lab. Technician				
	Lab Assistant				
	Lab. Attendant				
	Library Attendant				
	Peon				
	Sweeper				



**G. Constitution of Statutory committees at the College / Institution**

Sr. No.	Particulars / Requirements	Actual Status		Remarks by LIC ( after actual verification )
	( To be filled by college )			
63	Local Management Committee ( as per constitution)	Yes / No		
	Meetings are conducted as per provision	Yes / No		
64	Research advisory Committee	Yes / No		
	Meetings are conducted as per provision	Yes / No		
65	Teachers Grievances cell	Yes / No		
	Meetings are conducted as per provision	Yes / No		
66	Students Grievances cell	Yes / No		
	Meetings are conducted as per provision	Yes / No		
67	Non Teaching Staff Grievances cell	Yes / No		
	Meetings are conducted as per provision	Yes / No		
68	Anti Ragging Committee	Yes / No		
	Meetings are conducted as per provision	Yes / No		
69	Women Development Cell	Yes / No		
	Meetings are conducted as per provision	Yes / No		
70	Internal Complaints Committee	Yes / No		
	Meetings are conducted as per provision	Yes / No		
71	Standing Committee for Reservations	Yes / No		
	Meetings are conducted as per provision	Yes / No		

**H. Old LIC Reports of the College / Institution**

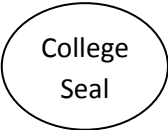
Sr. No.	Particulars / Requirements	Actual Status		Remarks by LIC ( after actual verification )
	( To be filled by college )			
72	Latest LIC Report : UG	All conditions complied	Yes / No	
	Last LIC Report : UG	All conditions complied	Yes / No	
73	Latest LIC Report : PG	All conditions complied	Yes / No	
	Last LIC Report : PG	All conditions complied	Yes / No	
74	Latest LIC Report : Research	All conditions complied	Yes / No	
	Last LIC Report : Research	All conditions complied	Yes / No	



**I. Miscellaneous Information of the College / Institution**

Sr. No.	Particulars / Requirements	Actual Status	Remarks by LIC ( after actual verification )
	( To be filled by college )		
75	Affiliation Fees ( UG ) paid		
76	Affiliation Fees ( PG ) paid		
77	University share in Examinations Fees paid		
78	Sports / Ashwamedh Fee Pro-Rata paid		
79	Court cases pending ( Teachers )		
80	Court cases pending ( Administrative staff )		
81	Status of Fire Audit		
82	The required no. of Fire extinguishers		
83	Salary of Teaching Employees ( Proof )		
84	Salary of Non Teaching Employees ( Proof )		

**J. Declarations by the Principal / Director of the College / Institution**

85	I hereby declare that, the information stated here-in-above is true to the best of my knowledge and belief and also based on factual status.		
86	I certify that, the terms and conditions, time to time, on which, my college / Institute was granted affiliation / recognition are complied with required necessary actions.		
87	I also certify that, all Circulars, Regulations, Ordinances, Statutes and Orders issued by University are strictly adhered.		
88	I further declare that, we shall participate in all Examination activities and also Evaluation processes including Revaluation program at the University and/or at the College / Institute		
89	I am also aware that, any information provided by me, if found false or fabricated, any time in future also, it will be liable for strict action against me and my college / institution, which also leads to cancellation of my approval / and or de-affiliation .		
90	Chairperson / Secretary ( Governing Trust )		Principal / Director ( College Name )



**Report of the Local Inquiry Report**

*( To be Filled by Local Inquiry Committee members after inspection )*

LIC Members Names : 1. \_\_\_\_\_  
2. \_\_\_\_\_  
3. \_\_\_\_\_

Date of visit : \_\_\_\_\_ Reported at ( time ) \_\_\_\_\_ Time spent : \_\_\_\_\_

Conditions : 1.  
2.

**Proposal for : First Time Recognition / Continuation of Recognition /  
Extension of Recognition / Permanent Recognition**  
*( Strike out whichever are not applicable )*

Final Recommendations:  
*( To be written by convener )*

Date :     /     / 201

Convener's Name & Signature : \_\_\_\_\_

Member's Name & Signature : \_\_\_\_\_

Member's Name & Signature : \_\_\_\_\_

**End of Report**



Th./ ICD / 2016-17 /

Date : 04/ 02/ 2017

## **General Instructions for Local Inquiry Committee**

Please refer to the discussions held on 23<sup>rd</sup> January, 2016 and the various suggestions received there-on. The New Local Inquiry Committee Report format is further revised is attached herewith :

1. First time Recognition, Continuation of Recognition, Extension of Recognition & Permanent Recognition are Four independent procedures.
2. For Research Activity **One subject is One unit** i.e. for starting of each subject First Time Recognition for that particular subject is required to be obtained.
3. Recognition is granted initially for **five years** as provided in the section 84 of Maharashtra University Act, 1994 and can be further extended for the period, desired so.
4. Continuation of Recognition can be sought for the further period after expiry of First Time Recognition or initial Continuation of Recognition period and for that particular subject for which First Time Recognition or Continuation of Recognition was already granted.
5. The Extension of Affiliation is granted for increase in intake capacity of particular subject(s) for which First time Recognition is granted for the specific intake capacity. e.g. If, Research Center is recognized for Four studnets, the Extension can be asked for more students as desired by Research Center subject to conditions of recognition and availability of Guides and all other required facilities and infrastructure, in place.
6. Permanent Recognition can be sought for one subject or no. of subjects only after completion of minimum one cycle. i.e. the Batch admitted after First Time Recognition is passed out successfully.
7. It is also decided to have the signature on the Local Inquiry Committee Proposal jointly by the Principal / Director and the Chairman or Secretary of the Institute or the Management representative nominated and authorized by Managing Trust. The copy of resolution to such effect is required to be submitted along with LIC proposal.



8. The new prescribed format for Local Inquiry Inspection of the Colleges / Institutions for the Recognition Purpose of Research Centre is prepared by Department. You are Requested to use the same Format.
9. The Colleges / Institutions are requested to strictly use the prescribed Local Inquiry Committee format with **No Addition or No Deletion** in the format. Colleges / Institutions are requested **not to cut or delete any column or any para or any row**. They are also requested not to keep any point unattended Blank. However, they can mention **Not Applicable** in the space provided against any such information, if it is not applicable. Any information which is to be provided additionally which is not stated in the prescribed LIC format is to be supplied as a annexure and brought to the Notice of Local Inquiry Committee Members, at the time of inspection.
10. In every section the sufficient Space / Rows are provided to fill in the details by the Colleges / Institutions. It is so prepared that, it will mitigate the space requirement, however, still if additional space is required by Colleges / Institutions they may attach special sheet and annex same to the prescribed format at page no. 9 onwards. They can also download the Soft Copy of the format and fill in the required information, however, please ensure that all Rows & Points are kept as it is and don't make any change in the prescribed format.
11. The prescribed format for Local Inquiry Committee will be available on University website and also be supplied to Colleges / Institutions much before the actual LIC visit takes place. Colleges / Institutions are requested to fill in the information against each point in the specified column as the **“Actual Status”** and all completed proposal is to be submitted to the University. College / Institution will also retain three copies and prepare three files supported with all necessary documents / proofs attached therewith, strictly in the chronological order, that of the sequence of the prescribed format.
12. All Colleges / Institutions are requested to fill in the prescribed format completed in all respect & send the LIC format in PDF format to all LIC Members through e-mail with one copy to University.



13. Their are almost 150 points ( 76 Headings and other Sub-headings ) against which information is to be filled by the Colleges / Institutions, initially. The same has to be verified at the time of inspection.
14. Many Colleges / Institutions claim that, their College / Institution is having special status i.e. Un-aided /Autonomous / Permantly Affiliated / Minority or any other claim & due to which some information asked in the LIC format is not applicible to them. These Colleges / Institutions are requested to submit there such representations seperatly to the University along with Local Inquiry Committee Report. Any such claim as above will be verified at University Level, which please note.
15. Local Inquiry Committee is designated to verify actual status and place their observations on the basis of their visit and findings their-on. They have to place their specific remarks on the actual status / ground reality of the Colleges / Institutions at the time of insepection, whatever status Colleges / Institutions claim may be,
16. LIC members are requested to mention specific remarks at the designated place. They can place “YES” remark if everything stated in actual status column is available and as per the norms / requirement and also to the satisfaction of the committee. They may write **No / Not available / Not as per norms** and shall give details of lacunas / short comings and also state the conditions on last page of the format before their signatures.
17. **Local Inquiry Committee after verifying the actual status at the time of visit are requested to verify the details against each point. The particulars / requirement mentioned in the prescribed format is only indicative & committee member have to ensure that everything is in the order and as per the standard requirement Parameters**
18. They shall also ensure that, Local Inquiry Committee is invited only when their files are completed in all respect with all documents / record. Any reply like **“will submit later / not available now / will submit to Univeristy afterwords etc.,”** shall not be entertained and LIC members are instructed to place negative remarks at such points.



19. Colleges shall also note that, if collaboration with any other Institutions / Research Centre is made and MoU to such respect have been signed, they shall produce all document / evidence and also shall co-operate for the physical inspection of such Centre / Institutions by Local Inquiry Committee members, if they desired to.
20. The information filled in prescribed format if found False or Misleading, it shall be viewed seriously and liable for appropriate action deemed fit.

Pls. note the Yearly schedule for Recognition process is as follows :

**Table - A : Yearly schedule for Recognition process**

<b>Activity</b>	<b>Yearly Schedule</b>
Application to University for Recognition	Upto 20 <sup>th</sup> March
LIC visits	March / April
Approval in BCUD / AC / MC	April / May
Letter of Recognition to Institutions	May / June
Admissions at respective Research Center	June / July

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## Step by Step Procedure of Thesis activities

- A. Research Center Recognitions
  1. Application for Recognition
  2. Appointment of LIC committee
  3. LIC Visits
  4. RRC / BUTR Approval
  5. AC / MC Approval
  6. Recognition Letter to Research Center
  
- B. Ph.D Guide / Supervisor Approval
  1. Application for Guideship
  2. Scrutiny of Application
  3. Consideration by RRC & BUTR
  4. Approval Letter to Ph.D. Guide
  
- C. PET
  1. Registration for PET
  2. Conduct of PET - Common ( objective type )
  3. Evaluation of Answer Books & Results
  4. Conduct of PET - subject-wise ( Discriptive type )
  5. Evaluation of A/Bs at respective centers & Final Results
  6. Subjectwise & Categorywise list declaration
  
- D. Admissions ( Activities conducted at Research Center )
  1. Registration at respective Research Center
  2. Aptitude Test / Interview to decide the Research competence
  3. Enrollement at Research Center
  4. Guide Allotment & Topic finalization
  5. Preparation of Topic Proposal / Outline / Scope / Chapterization
  6. Approval by Research Advisory Committee ( RAC )



## E. Topic Approval & Registration

1. Topic Submission to University
2. Consideration by RRC
3. Topic Approval letter to Researcher
4. Allotment of Registration No.

## F. Thesis & Synopsis ( Activities conducted at Research Center )

1. Course work to be completed
2. Actual Research & Thesis Writing
3. Papers Presentation
4. Review and presentations at Department RAC, every 6 months.
5. Preparation and Presentation of Synopsis
6. Synopsis submission to University
7. Preparation & approval of Thesis by Guide

## G. Evaluation of Thesis

1. Approval of Synopsis by RRC & Refree Appointment
2. Approval of Referee Appointment by Hon'ble Vice Chancellor
3. Appointment Letter & acceptance by Refrees
4. Approval of synopsis
5. Submission of Thesis to University
6. Sending the Thesis to Refrees
7. Approval by Refrees / non conformity by refrees
8. Sending the Thesis to another Refrees
9. Approval by two Refrees
10. Arrangment & conduct of Viva / Open Defence

## H. Award of Ph.D Degree

1. Report of Viva & Result Declaration
2. Enrollement in the Ph.D Scholars Register
3. Award of Degree at Convocation Ceremony
4. Display on University website