BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY
LUCKNOW
प्रज्ञा शील करुणा
ESTABLISHED 1996

बाबासाहेब भीमराव अम्बेडकर विश्वविद्यालय

केन्द्रीय विश्वविद्यालय
विद्या विहार, रायबरेली रोड, लखनऊ–226025

BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY
(A Central University)
Vidya Vihar, Rae Bareli Road, Lucknow-226025

Letter No. 819 /BBAU/19
Date: 12 / 7 /2019

NOTIFICATION

The 66th meeting of Academic Council held on 19.06.2019 vide Agenda item No. 03 has approved the M.Phil./Ph.D. Regulation (2016) as amended in 2019 of the University. A copy of the M.Phil./Ph.D. Regulation (2016) as amended in 2019 of the University is enclosed herewith for necessary action.

Registrar

Copy to:-

1. All Deans/ Heads/ Coordinators of the School/ Department/ Courses, BBAU, Lucknow.
2. OSD, Amethi Campus, Amethi.
3. Finance Officer, BBAU, Lucknow.
4. Controller of Examination, BBAU, Lucknow.
5. Dy. Registrar (Estt.), BBAU, Lucknow.
6. SO to VC, BBAU, Lucknow, for information please.
7. PS to Registrar, BBAU, Lucknow, for information please.
8. I/c Web-site, BBAU, Lucknow with a request to upload the same on University web-site.
9. Guard File.

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(A CentralUniversity)
VidyaVihar, Rae Bareli Road, Lucknow-226025

M.Phil./Ph.D. Regulation (2016) as Amended in 2019

1. Introduction

1.1 This regulation shall be called Master of Philosophy (M.Phil.)/Doctor of Philosophy (Ph.D.) regulations amended in 2019 incorporating the provisions of the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2019.

1.2 The degree of Master of Philosophy (M.Phil.)/Doctor of Philosophy (Ph.D.) of Babasaheb Bhimrao Ambedkar University (herein after referred to as the M.Phil./Ph.D. degree respectively) shall be awarded to those fulfilling the conditions as laid down in these regulations.

2. Eligibility Criteria for Admission to M.Phil. Programme:

2.1 Candidates for admission to M.Phil. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-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, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

2.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled and other categories of candidates in their respective category as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th 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.

3. Eligibility Criteria for Admission to Ph.D. Programme:

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

3.1 Master's Degree holders satisfying the criteria stipulated under Clause 2 above.

3.2 Candidates who have cleared the M.Phil. Course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade

in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled and other categories of candidates in their respective categoryas per the decision of the Commission from time to time.

3.3 A person who's M.Phil. Dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution.

(Above mentioned points 3.2 &3.3 shall be applicable only for integrated courses)

3.4 Candidates possessing a Degree (considered equivalent to M.Phil. Degree of an Indian Institution) from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.An equivalence of the University will recommended for the equivalency of these degrees with UGC recognized degrees in India.

3.5 The admission for Foreign/NRI students shall be taken up as per University regulations prescribed for the Foreign/NRI students.

4. Duration of the Programme:

4.1 M.Phil. programme shall be for a minimum duration of two (2) consecutive semesters / one year and a maximum of four (4) consecutive semesters / two years.

4.2 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years. *The Course work has to be passed in the one semester from the date of registration. In case a candidate fails to clear the course work in one attempt, he/she shall have to clear the exam the next subsequent semester. No additional attempts shall be given thereafter.* All candidates admitted to the M.Phil. and Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one/two semesters.

4.3 Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the University.

4.4 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of one year for M.Phil. and two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil./Ph.D. for up to 240 days.

5. Procedure for Admission:

5.1 The University will conduct M.Phil. and Ph.D. entrance test as per following guidelines.

5.1.1 The University shall decide a predetermined and manageable number of M.Phil. and/or Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio (as indicated in Para 7.5), laboratory, library and such other facilities on half yearly for Ph.D. and on annual basis for M.Phil. through their respective Departmental Research Committee (D.R.C.);

5.1.2 It will be Notified on the Babasaheb Bhimrao Ambedkar University (BBAU) website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates well in advance. The University will conduct Ph.D. Entrance Test twice in a year.

5.1.3 The reservation for admission in M.Phil./Ph.D. Programme shall be applicable as per Chapter VII, Clause 9 of the University Academic Ordinance. Further, the distribution of seats shall be as per reservation rules, 5% seat shall be reserved for differently disabled candidates on Horizontal basis. Further, 10% Reservation for Economically Weaker Section (EWSs) for admission shall be given as per Govt. of India Rules as amended time to time. Two Supernumerary seats under the Ph.D. courses in each Department will be available for permanent Teaching and Non-teaching employees of the University. 15% Supernumerary seats will be available for Foreign/NRI students in M.Phil. and Ph.D. programme.

5.2 The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.

5.3 The University as mentioned in Clause 1.2 shall admit candidates by a two stage process of Entrance test and Interview:

5.3.1 50% marks of the Entrance Test shall be the qualifying marks. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific along with relaxations mentioned in clause 2.2. The Entrance Test shall be conducted at the Centre(s) notified in advance (changes of centres, if any, also to be notified well in advance) at the level of the University as mentioned in clause 1.2; and

5.3.2 An interview/viva-voce to be organized by the University as mentioned in clause 1.2 when the candidates are required to discuss their research interest/area through a presentation before a duly constituted Department Research Committee (DRC).

5.4. The Entrance test shall be based on single question paper of two hours consisting of 100 objective type questions of one (01) mark each. The question

paper will consist of 50 questions from Research Methodology and another 50 questions will be from the specific subject. The Merit List of candidates shall be prepared on the basis of the following criteria:

(A) 50% of total marks in the entrance examination would be basis to qualify for the interview. Further, a relaxation of 5% marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-creamy layers)/ differently-abled category in their respective category in the entrance examination conducted by the University as per the University Grants Commission Gazette Notification No. 325, Extraordinary Part-III, Section -4 dated 27.08.2018 (first amendment in 2018)

(B) Another 30 marks will be categorized as follows.

(a) (1) For Ph.D-: Break of margin 10 marks shall be added to the marks obtained in the written examination to the candidates who have qualified in the National Eligibility Test or equivalent test of U.G.C/C.S.I.R/I.C.A.R/I.C.M.R/G.A.T.E/G.P.A.T/D.B.T/D.A.E/I.C.H.R. or passed M.Phil. at the time of interview, or those who are currently working in an externally funded project for fellowship in the University in the following manner:

For J.R.F./Project Fellow/Research Assistant or equivalent = 10 Marks
M.Phil. + NET = 07 Marks
M.Phil./NET = 05 Marks

(a) (2) For M.Phil-: Break of margin 10 marks shall be added to the marks obtained in the written examination to the candidates who have qualified in the National Eligibility Test or equivalent test of U.G.C/C.S.I.R/I.C.A.R/I.C.M.R/G.A.T.E/G.P.A.T/D.B.T/D.A.E/I.C.H.R. or passed M.Phil. at the time of interview, or those who are currently working in an externally funded project for fellowship in the University in the following manner:

For J.R.F./ Project Fellow/Research Assistant or equivalent = 10 Marks
NET with no fellowship = 05 Marks

Marks obtained against JRF/NET will be given in their respective category only.

(b) Academic career: 05 mark (02 marks to be given as per final percentage of Bachelor's degree and 03 marks for Master's degree).

(c) The Interview/Viva Voce shall be based on allotment of 05 marks on competence of candidate for proposed research plan, 05 marks on feasibility/suitability of the plan and 05 marks on its novelty.

***(C)** The final merit list shall be prepared by adding the marks obtained in entrance test (70 percent out of 100 marks) and 30 % marks obtained under (a), (b), (c) & (d) of (B) above by the University (as per the University Grants Commission Gazette Notification No. 389, Extraordinary Part-III, Section -4 dated 16.08.2018 (2nd amendment in 2018).*

5.5 The interview/viva voce shall also consider the following aspects, viz. whether:

5.5.1 The candidate possesses the competence for the proposed research;

5.5.2 The research work can be suitably undertaken at the University;

5.5.3 The proposed area of research can contribute to new/additional knowledge.

5.6 The University shall maintain the list of all the M.Phil. /Ph.D. registered students on its website on half yearly (semester) basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrollment/registration.

*Student qualified JRF/NET in the respective category [UR/SC/ST] will be considered in the same category.

6. Registration and Tuition Fee:

Students admitted shall register and pay the fees for the semester in which he/she is admitted. The fee structure for both M.Phil./Ph.D. admission will be as per the University norms and revision may be carried out by the University in the fee structure time to time as it is required. Fellowship for both M.Phil.and Ph.D. students shall be given as per UGC norms issued from time to time.

6.1. Late fee of Rs. 200/-shall be charged for the first ten days after the due date of registration/fee submission notified by the University. But for students who have gone outside the state for fieldwork with due permission of the Supervisor and Head of Department, no late fee shall be charged for the first ten days (Late fee for foreign students shall be US $ 15. It may be revised time to time as prescribed in the NRI Regulation). In case the period of absence exceeds 10 days due to other reasons, the candidate will deposit Rs. 500/- as late fee on the recommendation of supervisor and HOD alongwith he prescribed fee.

6.2 Fee once paid to the University shall not be refunded except the caution money which shall be paid back to the Ph.D. scholars within three months after award of Ph.D. Degree or the cancellation of the registration, whichever is earlier.

Fee payable at the time of submission of thesis:

(a) For evaluation of thesis - Rs. 3,000/- (for SC/ST/PH -Rs 1,500/-)

(b) For viva-voce examination - Rs. 1,200/- (for SC/ST/PH -Rs 600/-)

6.3 On the recommendation of the supervisor and co-supervisor (if any) the Department Research Committee (DRC) may permit a Ph.D. scholar to pursue his/her research work at other University/Government recognized institution(s), if deems fit for the cause of good research.

6.4 Only a full time regular teacher can acts as supervisor. The DRC may appoint one co-supervisor in addition to the regular supervisor to promote inter-disciplinary research on the request of the scholar along with the consent of the supervisor and proposed co-supervisor. The co-supervisor may be from the same department/school/university or from other universities/Institutions/Centres. External Co-supervisor shall submit their CV to Chairman, DRC through his/her HOD for recognition in this University as Supervisor/Co-Supervisor. The DRC will consider his/her suitability as per University rules and recommend the case through BPGS/School Board to the Academic Council for recognition of Co-supervisor. The co-supervisor and the supervisor will consult each other in all matters pertaining to the progress of work of the candidate. The candidate may be allowed to work in labs outside the country as well, with a co supervisor, where progress would be monitored jointly.

6.5 The minimum period of registration is three years including course work. The maximum registration period for full time students shall be four years. However, the DRC, on the recommendation of the supervisor/Co-supervisor, may grant extension in the registration period by up to three semesters (i.e. 18 months). In special circumstances the Vice-Chancellor may grant further extension of one more semester

(i.e. six months) on the recommendation of Supervisor, Head of the Department and Dean of the School. However, the candidate is not eligible for the UGC NON NET Fellowship/Scholarship during extension period.

6.6 Full fee shall be payable to the University by the M.Phil./Ph.D. scholars for all such extended periods, i.e. one year or six months as the case may be. For field study, the approval/permission is to be obtained by the scholar from the Head duly forwarded by the Supervisor.

6.7 M.Phil./Ph.D. scholars shall be required to be present in the University or in the Institution approved for the prescribed terms, their presence in the institution being duly recorded and maintained in the Department/Institution concerned by the supervisor/Co-supervisor as the case may be.

6.8 In case the appointed supervisor retires, he shall continue as supervisor, provided that candidate has worked under him/her for two years from the date of registration. In case appointed supervisor retires and candidate has worked under him/her for less than two years or on leave for more than a year, or otherwise, and there is no co-supervisor in the concerned Department to supervise the Ph.D. scholar, the allotment of the supervisor/co-supervisor shall be made by the DRC giving due consideration to the views of the original supervisor and the concerned candidate in this regard. In case a supervisor or co-supervisor is not alive, the DRC can recommend another supervisor through on the written request by the research scholar.

6.9 Whenever change of the supervisor becomes necessary, the period of research of the Ph.D. scholar may be extended on the request of the student. The DRC in each individual case shall consider and decide such period of extension duly recommended by the supervisor and the Head of the Department. No fellowship/scholarship shall be paid for the extended period.

6.10 A full time M.Phil./Ph.D. scholar shall not accept any paid assignment, apart from research fellowship or Research Assistantship, as the case may be, during the entire period of the research programme.

6.11 A M.Phil./Ph.D. scholar shall not be permitted to take any other degree course/ diploma during his/her registration period expect when it is a part-time certificate/diploma course.

6.12 The candidates who are in service having to take three years study leave from the employer to complete his/her Ph.D. programme. However, permanent Teaching/Non-teaching employee of the Babasaheb Bhimrao Ambedkar University, Lucknow of admitted under Supernumerary Quota will take only six months leave for the Course Work.

7. Allocation of Research Supervisor: Eligibility criteria to be a Research Supervisor, Co-Supervisor and Number of M.Phil./Ph.D. scholars permissible per Supervisor, etc.

7.1 Any regular Professor of the University with at least five research publications in referred journals and any regular Associate/Assistant Professor of the University with a Ph.D. degree and at least two research publications in referred journals may

be recognized as Research Supervisor provided that in areas/disciplines where there is none or only a limited number of referred journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

7.2 The allocation of Research Supervisor for a selected research scholar shall be decided by the DRC of Department concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview.

7.3 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (03) M.Phil. and Eight (08) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (02) M.Phil and six (06) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (01) M. Phil and four (04) Ph.D. scholars.

(i) Vice Chancellor can be a research guide for students as per entitlement provided the candidates register in the first two years of his tenure. Also the approving authority for all matters pertaining to such candidates shall be the Dean Academic Affairs.

7.4 In case of relocation of an M.Phil./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 in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the BBAU for the part of research already done.

7.5. Change of Supervisor shall normally not be allowed. Only under special circumstances it may be considered by the D.R.C. and may be approved by the Vice Chancellor. If the supervisor of a candidate proceeds on long leave for a period of more than 12 months, or he/she proceeds on leave for a period of less than 12 months, but later extends his/her leave beyond 12 months, then prior to proceeding on leave beyond six months the supervisor must recommend/propose the name of authorized signatory / co-supervisor to the DRC with the consent of Research Scholar. However, if the candidate presents the Pre- Ph.D. seminar satisfactorily or submits the thesis, before the supervisor proceeds on leave, then the existing supervisor shall continue to be the supervisor. (b) If the supervisor of a candidate expires or is terminated from the University service or otherwise, he/she shall cease to be the supervisor. (c) In all the cases, where the existing supervisor of a candidate ceases to be the supervisor, the DRC shall appoint the co-supervisor, if any, as supervisor of the candidate, provided the co-supervisor is from the same discipline. If there is no co-supervisor for the concerned candidate or the co-supervisor is from a different discipline, then the DRC shall appoint a new supervisor from amongst the faculty members with the consent of scholar. This seat may be allotted beyond the maximum no. of seats permissible. A supervisor can take M.Phil./Ph.D. students before three years of his/her retirement. After completion of three years of the residential period, the same

supervisor will continue till submission of thesis. However, DRC can appoint a co-supervisor for the M.Phil./Ph.D. Scholar with the consent of the supervisor and the scholar.

8. Course Work: Credit Requirements, number, duration, syllabus, minimum standards for completion, etc. will Beas per University Regulations amended from time to time.

8.1 The credit assigned to the M.Phil./Ph.D. course work shall be 16 credits as mentioned in detail below.

Semester-I (Course Work) [It will be common for both M.Phil. and Ph.D.]

Sr. No.	Course Code	Paper Title	Credit
1	MPH/DPH 101	Research Methodology	04
2	MPH/ DPH 102	Discipline Specific: Optional Paper	04
3	MPH/ DPH 103	Advanced Paper-I*	04
4	MPH/ DPH 104	Advanced Paper-II*	04
Total Credits			**16**

*The name and content of Advanced Papers to be decided by the respective DRC. However, it should be papers to be taught by faculty and Synopsis and Literature review will not be counted as Advance paper I and II.

8.2 Mode of Evaluation*

Course Code	Sessional	End Semester
MPH/ DPH 101	30%	70%
MPH/ DPH 102	30%	70%
MPH/ DPH 103	30%	70%
MPH/ DPH 104	30%	70%

*The composition of Sessional test (such as term paper, book review, presentation, written examination) may be decided in detail by the department. However, there shall be written test in the End Semester Examination based on the syllabus floated by the DRC in each course.

Semester-II for only M.Phil. Students

Sr. No.	Course Code	Paper Title	Credit
1	MPH-201	Dissertation	08
2	MPH-202	Pre-Presentation Seminar	04
3	MPH-203	Viva Voce	04
		Total Credits	**16**

*Total credit for M.Phil. Programme shall be 32.

8.3 The course work shall be treated as prerequisite for M.Phil./Ph.D. Degree. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, advanced tool and techniques, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for M.Phil./Ph.D. degree. The course structure, mode of evaluation, the composition of sessional and End Semester examination to be approved by the appropriate academic bodies, viz., DRC, BPGS, School Board and Academic Council of BBAU.

8.4 All courses prescribed for M.Phil. and Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content,

instructional and assessment methods. They shall be duly approved by the authorized academic bodies viz DRC, BPGS, School Board, Academic Council of BBAU.

8.5 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Departmental Research Committee (DRC), as stipulated under sub-clause 8.1.

8.6 Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the DRC and the final grades shall be communicated to the concerned department.

8.7 A M.Phil./Ph.D. scholar 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 dissertation/thesis.

9. Research Committees

9.1 Subject to the general provision of the academic council all matters connected with the Ph.D. program of the University shall be dealt with in accordance with these regulations by following committees-

(i) The Research Degree Committee of the university (RDCU)
(ii) The School Board (SB)
(iii) The Board of Post Graduate Studies (BPGS)
(iv) The Department Research Committee (DRC)
(v) Research Advisory Committee (RAC)

9.2 The RDCU shall consist of the following:

(i) Vice Chancellor (Chairman)
(ii) Dean of the School Concerned
(iii) Head of Department Concerned
(iv) All members of the concerned Department Research Committee
(v) Supervisor and co- supervisor (if any) of the Ph.D. scholar concerned.

The Controller of Examination Shall be the member Secretary and Convener to all the RDCU's.

9.3 DRC committee

9.3.1 The DRC shall consist of the following:

(i) The Head of Department (Chairman)
(ii) All Professors in the Department
(iii) One Associate Professor and one Assistant Professor of the department concerned, by rotation according to the seniority for a period of two years provided such teachers have Ph.D degree.
(iv) Supervisor and Co-Supervisor, if any, shall attend as special invitee(s) for disposal of cases of his/ her Ph.D. scholar.
(v) One SC/ST nominee with Ph.D. degree and not below the rank of Associate Professor shall be nominated by the Vice Chancellor from amongst the

teachers of the University for a period of two years, if there is no SC/ST member in the committee.
Generally DRC shall meet at least twice in a year, but special meeting may be held in case of necessity.

9.3.2 The DRC shall have power to co-opt such members of the concerned department as may be helpful to them in their deliberations.

9.4 DRC Functions

9.4.1 There shall be a DRC, or an equivalent body for similar purpose as defined in the Statutes/Ordinances of the University, for each M.Phil. and Ph.D. scholar. The Supervisor of the scholar shall be the member of this Committee. This Committee shall have the following responsibilities:

9.4.1.1 To review the research proposal and finalize the topic of research;

9.4.1.2 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 do.

9.4.1.3 To periodically review and advise in the progress of the research work of the research scholar.

9.4.2 A research scholar shall appear before the DRC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Department to the University through proper channel.

9.4.3 In case the progress of the research scholar is unsatisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DRC may recommend for cancellation of the registration of the research scholarto the University with specific reasons.

9.4.4 A record of the progress of work of Ph.D. scholars shall be kept by his/her supervisor. The six monthly progress report of the candidate shall be forwarded by the supervisor/co-supervisor (if any), as the case may be to the Head of the Department on a prescribed proforma, in triplicate. The concerned DRC shall consider and comment on the progress reports and forward the same with specific recommendations to the Dean. The subsequent six-monthly reports shall be sent in a similar manner. The first or second six monthly report shall indicate the specific topic of research, although not necessarily the precise title of thesis, which can be notified in subsequent DRC.

9.4.5 (i) Normally there should be minimum 75 % attendance of the Research Scholar (M.Phil./Ph.D. Students), based on the Departmental monthly records. In case of field or library based studies the requirement of attendance can be relaxed by the Head of Department on recommendation of the concerned supervisor. (ii) In case the research scholar is working in other Institutions/ Universities/Centre, with his/her co-supervisors, they may maintain their attendance in those institutions. (iii) However, scholars mentioned at para (ii) above will be required to be present in the University during the period of their course work i.e. one semester.

9.4.6 Registration of M.Phil./Ph.D. scholar shall be liable to be cancelled by the DRC at any time if: (a) the course work is not completed. (b) Two consecutive six-monthly progress reports are not submitted at all or are not found satisfactory by DRC. (c) Attendance is not as per the requirements. (d) Admission may be cancelled at any time if the University finds any wrong information given by the candidate.

9.4.7 The DRC shall report to the BPGS all its proceedings pertaining to the M.Phil./Ph.D. programme in the department.

9.5 Research Advisory Committee (RAC) and its functions:

9.5.1 There shall be a Research Advisory Committee (RAC) for each registered M.Phil./Ph.D. scholar. The Research Supervisor is Convener of the committee and there will be two members working in a similar field, one from D.R.C. of the Department and another from School/University. This committee shall have the following functions/responsibilities:

9.5.1.1 To review the research proposal and finalize the topic of research.

9.5.1.2 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 study.

9.5.1.3 To periodically review and assist in the progress of the research work of the research scholar.

9.5.1.4 The progress report of the Research Scholar will be approved by the Research Advisory Committee (RAC) and the same will be placed in the D.R.C. of the concerned Department for its confirmation.

9.5.2 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 monthly progress report shall be submitted by the Research Scholar through Research Advisory Committee to D.R.C. for forwarding to the Competent Authority. The copy of evaluation report of R.A.C. may be given to Research Scholar also.

9.5.3 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the D.R.C. with specific reasons for recommendation of cancellation of the registration of the research scholar.

10. Requirement for Dissertation/Thesis submission:

10.1.1. On completion of research work for the M.Phil./Ph.D. by the candidate, Head of the Department, on recommendation of the supervisor, shall organize a pre M.Phil./Ph.D. seminar by the candidate to apprise the DRC and other teachers and research scholars of the department regarding the work done by the candidate and to receive suggestion(s) for improvement of the research work, if any.

10.1.2. After the seminar, the supervisor shall forward the application of the candidate for submission of the thesis along with a certificate about completion of the seminar and copy of one research paper in referred journal or presentation of one paper in conference/seminar for M.Phil. and two research papers

(excluding review papers and book chapters) for Ph.D. scholar published in referred journals and the exact title of the dissertation/thesis duly approved by the DRC.

11. Evaluation and Assessment Methods, Minimum Standards/Credits for Award of the Degree, etc.:

11.1 The overall credit requirement, including credit for the course work for the award of M.Phil. degree shall be 32 credits.

11.2 Upon satisfactory completion of course work, as the case may be, the M.Phil./Ph.D. scholar shall be required to present the synopsis within one month before the DRC.

11.3 Prior to the submission of the M.Phil. dissertation/ Ph.D. thesis, the scholar shall make a presentation before the DRC concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Departmental Research Committee (DRC). A scholar shall ordinarily supplicate his/her M.Phil. Dissertation within three months and Ph.D. thesis within six months from the date of his/her pre submission seminar, through the supervisor and shall forward therewith:

(i) Four copies of dissertation/thesis printed and one soft copy in PDF format along with four copies of the abstract of the work done giving the salient points.

(ii) A certificate from the Supervisor and the Head of the department after obtaining a declaration from the scholar to the effect that "the candidate has completed the research work for the full period prescribed and the dissertation/thesis embodies the results of his/her investigation conducted during the period he/she worked as a M.Phil./Ph.D. research scholar".

(iii) A no-dues certificate from all the concerned Departments obtained by the research scholar.

11.4 The dissertation/thesis submitted by the candidate shall be in English or any other language approved by the concerned BPGS on recommendation of the DRC.

11.5 The M.Phil./Ph.D. scholar shall indicate in the Preface of his/her thesis how far the later embodies the original result of his/her own research or observations, and in what respects his/her investigation appear to him/her to advance the knowledge on the subject.

11.6 No M.Phil./Ph.D. scholar shall submit any work which has been accepted or rejected for any other degree in this or any other University as his/her thesis. Provided that in such a case, he/she shall indicate in his/her application that in the Preface of his/her thesis, the extent to which such a work, previously done, had been incorporated.

11.7 M.Phil. scholars shall present at least one (01) research paper in a conference/seminar and Ph.D. scholars must publish at least two (02) research paper in refereed journal and make two paper presentations in

conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

11.8 The University shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty as per the latest UGC guidelines. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same University/Institution where the work was carried out, or to any other University. A certificate/undertaking by the candidate to the effect that "the dissertation/thesis is essentially free from all kinds of plagiarism" as per the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.

11.9 The M.Phil Dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the University. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by both of them together, and shall be open to be attended by Members of the DRC, all faculty members of the Department, other research scholars and other interested experts/ researchers.

11.10 The University shall develop appropriate methods so as to complete the entire process of evaluation of M.Phil. dissertation/ Ph.D. thesis within a period of three/six months from the date of submission of the dissertation/thesis respectively.

11.11 Upon completion of the proposed research work, the scholar shall produce a draft dissertation/thesis that shall be submitted for evaluation as per the provisions of the regulation. The concerned supervisor shall submit a panel of four/eight examiners for M.Phil/Ph.D. dissertation/thesis evaluation to the Department and subsequently the list approved by the DRC of the concerned department. Four copies of dissertation/thesis along with abstract, published paper as per clause no. 11.4 and other relevant documents shall be submitted by the department to the Controller of Examinations (COE). The panel of examiners shall be submitted by COE to the Vice-Chancellor for appointment of external examiner(s). Between the two external examiners for Ph.D., one will be nominated by the Vice Chancellor to conduct Viva-Voce examination of the scholar. The supervisor will be internal examiner for Viva-Voce examination and will be authorize to contact external examiners for dates etc. Following are the criteria for recommending the external examiner(s) for the submission of panel of the examiners for evaluation of M.Phil./Ph.D. thesis evaluation. (i) The examiner should not be below the rank of Professor or Equivalent (ii) No examiner will be repeated for one year (iii) The examiner should be beyond 200 km from within the state or from other state (iv) More than one examiner should not be from the same University/Institution/Organization etc. The panel of recommended external examiners should contain the correct postal & e-mail address and telephone numbers for the speedy evaluation of the thesis. The COE shall get in touch with

each examiner and send the offer of Examiner-ship along with a copy of the abstract of the thesis for acceptance.

11.12 (a) An examiner shall ordinarily be required to accept the appointment offered by the University within a month from the issue of the letter. If no information is received from an examiner within one-month time from the date of issue of the letter of appointment, her/his appointment shall stand cancelled and another examiner shall be appointed. After acceptance received from the examiner, Ph.D. thesis may be sent for evaluation.

(b) On receipt of the acceptance of any examiner, the Controller of Examinations shall forward the copy of the dissertation/thesis to him/her and take follow up action to get the report of the examiner expeditiously.

(c) The examiners shall be requested to submit their individual reports within two months of the receipt of the dissertation/thesis.

11.13 The examiner(s) may recommend one of the following. (a) that the thesis be accepted for the award of the Ph.D. (b) that the thesis be re-submitted in a revised form. (c) that the thesis shall be rejected. In case one or more examiners seek clarification or recommend revision, the report(s) of the examiner(s) concerned (without mentioning the name(s) shall be sent to the Ph.D. scholar through the supervisor concerned to enable the former to submit clarification through the supervisor on the points raised or to submit the thesis in a revised form, as the case may be. The clarification shall be sent to concerned examiner(s) for perusal and if examiner(s) is satisfied, he/she will make specific recommendation for the award of the degree; forward the copy of the thesis and the Controller of Examination will take suitable action(s) to get the report of the examiner(s) expeditiously. Similar rules would apply for M. Phil thesis as well. A thesis once submitted, cannot be re-submitted except when so directed by the examiners. The revised thesis must be submitted within six months after the requirement of revision is notified.

11.14 The report of each examiner shall be specific and state the grounds on which the recommendation is based.

11.15 The open viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. If the evaluation report of the external examiner in case of M.Phil. Dissertation, or one of the evaluation report(s) of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend viva-voce, the University shall send the dissertation/thesis to another external examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the scholar shall be declared ineligible for the award of the M.Phil/Ph.D degree.

11.16 In case of unsatisfactory report of two external examiners, the thesis shall be rejected.

11.17 If the examiners' reports are unanimous, the Open Viva-voce examination of the Ph.D candidate shall be conducted by a Board consisting of the Head of the Department (Chairman), Supervisor (also Co-supervisor, if any) as member(s) and one External Examiner who have examined the dissertation/thesis. The date and time of the viva-voce examination shall be fixed by the Supervisor in consultation with the external examiner, chairman and other members, if any. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the DRC, all faculty members of the Department, other research scholars and other interested experts/researchers.

11.18 The external Examiner shall submit a comprehensive report on the Viva-voce examination of the candidate regarding his/her performance, including the response of scholar on questions raised. The Board (as mentioned in 11.14) conducting the Viva-voce shall make the final recommendation for the award of the Ph.D. degree taking into consideration the candidate's performance at the Viva-voce and the reports of the examiners.

11.19 The reports of all the examiners and of the Viva-voce examination shall be placed before the concerned RDCU for consideration. In case of unanimous recommendations, the RDCU shall approve the award of the Ph.D. degree. The candidate shall not be required to be present before the same.

11.20 In all other cases or wherever reports are ambiguous or not adequately covered by clauses 11.10, 11.12 and 11.14, the examiners' reports shall be directly placed before the concerned RDCU for its specific decision.

11.21 The candidate shall, in case of publication of the thesis in full or in part, state on the title page that it was a thesis approved for the award of the M.Phil/Ph.D. degree of Babasaheb Bhimrao Ambedkar University, Lucknow.

11.22 After the approval of the Academic Council, the examiners reports may be made available to the candidate concerned, on request after depositing fee of Rs. 500/-

12. Treatment of Ph.D. / M.Phil. through Distance Mode/Part-time:

12.1 The University shall not conduct M.Phil. and Ph.D. Programmes through distance education mode or part time mode.

13. Award of M.Phil./Ph.D. degrees prior to Notification of these Regulations, or degrees awarded by foreign Universities:

13.1 Award of degrees to candidates registered for the M.Phil./Ph.D. Programme on or after July 11, 2009 till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of M.Phil./Ph.D. Degree) Regulation, 2009.

13.2 If the M.Phil./Ph.D. degree is awarded by a Foreign University, the Indian University/Institution considering such a degree shall refer the issue to a Standing

Committee constituted by the concerned University/Institution for the purpose of determining the equivalence of the degree awarded by the foreign Universi ty.

14. Difficulty:

Notwithstanding anything contained in these Regulation, any question, which is not covered by the Regulation, or any difficulty arising out of this Regulation, shall be dealt with by the Academic Council.

15. Depository with INFLIBNET:

15.1 Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil./Ph.D. degree(s), the University shall submit an electronic copy of the M.Phil. dissertation /Ph.D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all University/Institutions/Colleges.

15.2 Prior to the actual award of the degree, the University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of UGC Regulations, 2016 as amended upto date.

16. Repeal:

From the date when Ph.D. Regulations comes into operation all previous regulations on the subject shall cease to have effect. Provided that this revocation shall not affect the previous regulations so revoked or anything done or suffered under any previous regulations so revoked or affects any right, privilege, obligation or liability acquired, arrived or incurred under any regulations so revoked.

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