1999

BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY, LUCKNOW

Regulations Governing the award of the degree of Doctor of Philosophy

1. **Introduction:**

1.1 These Ordinances shall be called the Doctor of Philosophy (Ph.D.) regulations 1999 and shall come into force from the date The Board of Management approves them.

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

2. **Application for Registration:**

2.1. There shall be two terms of six months each in a year for Ph.D. registration viz.,

1st April to end of September.
1st October to end of March.

2.2. Candidates for the degree of Doctor of Philosophy may be registered at the beginning of any term, i.e., either from 1st April or from 1st October provided that the result of the qualifying examination is declared before the commencement of the term.

2.3. Advertisement / Notices for Ph.D. registration shall ordinarily be issued in the first week of February and August every year.

2.4.1. Prescribed application forms for seeking registration for the Ph.D. degree can be obtained (from publication cell at the Public Relations Officer on payment of Rs.50/- only). The form duly filled in by the candidates in his own handwriting shall be accompanied by attested copies of mark sheets of the qualifying examination as well as of all previous examinations from High School / Higher Secondary or equivalent examination onwards. The application form complete in all respects shall be submitted either directly or through the teacher, he wishes to have as his supervisor, to the Head of Department concerned on or before 31st March / 30th September.

2.4.2. In case of external candidates, the application shall be forwarded to the Head of the Department concerned through the Head of the Institution where the candidates are seeking permission to work.

3. **Eligibility for Registration:**

3.1. The Ph.D. degree shall be opened to:

(a) Candidate who has obtained a Masters degree M.A. / M.Sc. / LL.M. / M.Phil. / M. Tech. of this university or any other university established by law for the time being in force or any other degree recognised as equivalent thereto in that subject and who has pursued a regular course of research in that or allied subjects in one of the Departments of the concerned Schools of this university for a period of not less than four terms (2 years).

(b) A candidate who has obtained a Masters Degree of this university and has pursued a regular course of research in that or allied subject in any one of the non degree conferring institutions in this country recommended by the concerned Department Research Committee (DRC: See clause 4.3.1) and recognised by the Academic Council as centres for Ph.D. Research work for Alumni of this university for a period of not less than four terms (2 years).

Provided further that a candidate mentioned in (a) and (b) above shall have to pass a "research course work" of one term duration (six months) if he has not obtained M.Phil. Degree. The syllabi of the "research course work" shall be prescribed by the BPGS of the concerned Department.

3.2. Only those candidates shall be eligible for Ph.D. registration who have secured at least 55% or equivalent grade point average in the qualifying examinations. (50% for S.C./S.T. candidates).

3.3. In case of all external Ph.D. Scholars, there shall be an Internal Supervisor belonging to a Department of the university and an External Supervisor in the candidate's own institution. The former shall perform the administrative and academic functions of supervision and also scrutinise the work of the candidate on the spot at least once in a year. For such visits T.A & D.A. shall be borne by the candidate's institution.

3.4. Ph.D. Scholars may be permitted to submit their thesis for the Ph.D. degree in a School different from the one in which they had obtained their Master's degree.

3.5. The Ph.D. certificate shall in all cases, mention the title of the thesis, the Department and School which examined and recommended the award.

3.6. Research Assistants / Senior Research Assistants / Asstt. Curators / Asst. Librarian / Dy. Librarian / University Librarian / Curators / Museum Assistants and such other incumbents of posts as are approved by the Academic Council may be registered for the Ph.D. degree under the following conditions:

(i) that they fulfil the minimum conditions laid down for being enrolled as Ph.D. scholars;
(ii) that their registration for Ph.D. will not interfere with their normal work;
(iii) that their cases are recommended by the concerned Head of the Department / Director / Supervisor for registration ;

(iv) they shall pursue a regular course of research for two terms (one year) more than the full time Ph.D. scholars of that faculty.

Note: The Senior Technical Assistants in the School of Science who are engaged in research and who have to perform duties equivalent to that of Senior Research Assistants may also be permitted for Ph.D. registration on the above conditions.

3.7. All employees engaged in research work in various Department of the university and schemes / projects shall be eligible to enroll themselves as Ph.D. Scholars vide conditions as laid down in clause 3.6 [Sub para (i) (ii) and (iii)]

4. Research Committees:

4.1. Subject to the general supervision of the Academic Council all matters connected with the Ph.D. programme of the university shall be dealt with in accordance with these regulations by the following committees:

(i) The Research Degree Committee of the University (RDCU)
(ii) The Department Research Committee (DRC)
(iii) The Board of Post Graduate Studies (BPGS)

4.2. The RDCU shall consist of the following:

i. Vice-Chancellor (Chairman)
ii. Pro-Vice Chancellor
iii. Director of Institute concerned
iv. Dean of the School concerned
v. Members of the concerned Department Research Committee
vi. Supervisor and Co-supervisor, if any, of the Ph.D. scholar concerned

The Registrar shall be the secretary and convener to all the RDCUs.

4.3.1. The DRC shall consist of the following:

i. The Head of the Department (Chairman)
ii. All Professors in the Department
iii. One Reader and one Lecturer from the teaching staff of the Department, by rotation, according to seniority, every two years
iv. Supervisor and Co-supervisor, if any, of the Ph.D. scholar concerned

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

4.3.3. Each DRC shall:

(a) examine the application forms submitted by candidates for enrolment as Ph.D. scholars and after proper scrutiny in accordance with the merit criteria laid down by the concerned RDCU / faculty shall send the synopsis of the candidate to three outside experts for their opinion on the suitability of the synopsis for conducting research and recommend them accordingly for registration as Ph.D. scholar,

(b) recommend candidate only when the subject offered by the candidate is one which can be pursued in the university (and in the recognised institution, in case of external candidates) and the candidate is by habit, character and qualifications, a fit and proper person to be registered for Ph.D. research and recommend the field of research in which the candidate will carry out research and recommend a supervisor with his consent to guide the research project. Provided in case of related subjects on an specific request, the DRC may, if necessary, recommend appointment of a co-supervisor.

4.3.4 Ordinarily there shall not be more than eight Ph.D. scholars at a time under a professor and not more than six under a Reader. Regular Lecturer with Ph.D. degree or with five years research experience in a university level institution may guide not more than four Ph.D. scholars at a time. Teachers of the university enrolled as Ph.D. scholars are counted within the quota prescribed.

Provided that all the Ph.D. scholars including teachers registered for Ph.D. who have completed the minimum residential requirement and who have been granted extension in their registration period will not be counted within the quota of the supervisor concerned.

4.3.5 Such regular teachers of the university who do not possess Ph.D. degree shall not be eligible to guide any Ph.D. scholar.

4.6.1. Such teachers of the university as are appointed as Scientists under research projects in the university shall be eligible to guide Ph.D. scholars provided they hold lien on their substantive posts and are otherwise qualified to do so.

4.6.2. Scientists / Scientific officers / Research Officers / Research fellows under research projects / research centres of this university, shall be eligible to guide Ph.D. scholars provided:

(a) their appointment in the university is for a period of not less than five years,
(b) they hold Ph.D. degree and
(c) the concerned Board of Post Graduate Studies recommends their appointment as supervisors.

4.7. Teachers of the university shall also be permitted to guide Ph.D. scholars registered in other universities as co-supervisors provided :-

(a) there is a vacancy with the teacher under whom the candidate intends to work,
(b) the sponsoring university seeks previous permission in the matter, and

(c) the concerned Board of Post Graduate Studies approves it.

4.8. In case of registration of foreign students as Ph.D. scholars the equivalence of the degree possessed by them shall be settled by the equivalence committee of the concerned faculty individually before their registration and they shall be registered for Ph.D. only if the degree taken by them entitled them for enrolment as Ph.D. scholars in their own university. However, they may be registered provisionally on the recommendation of the concerned Board of Post Graduate Studies pending settlement of the equivalence.

4.9. While making their recommendations, the DRC shall see that the recommendations are made in conformity with these regulations and such other directives as may be issued from time to time by Board of Post Graduate Studies / Academic Council in regard to matters connected with Ph.D. research.

4.10. Such candidates as are already registered as Ph.D. scholars in some recognised institutions / universities and whose supervisors join this university may be recommended for registration here as internal Ph.D. scholars. They will be permitted to submit their thesis after the expiry of one year from the date of their registration in this university provided they have completed at least the minimum period stipulated for Ph.D. research including the period spent earlier in another institution / university.

5. Enrolment :

5.1. Each DRC shall send a copy of the minutes along with the application of the candidates, on a prescribed proforma to the concerned Board of Post Graduate Studies which may approve the subject of research and appoint the supervisor for research. The academic section of the main registry shall issue letters of admission to the candidates recommended by the Board of Post Graduate Studies after proper scrutiny with copies to the concerned Head of the Department and the supervisor.

5.2. On receipt of the communication regarding his admission the candidate shall report to the office of the Head of the Department concerned who shall then issue the admit card for payment of fees as prescribed in clause 5.4 of these regulations.

5.3. The Head of the Department shall send a complete list of candidates who have been registered as Ph.D. scholars to the Registrar within a month of the last date for payment of fee.

5.4. (a) The fee payable to the university by a Ph.D. scholar shall be as follows:

(i)	School for Ambedkar studies	- Rs. 1000/- per annum.
(ii)	School for Environmental Sciences	- Rs. 2500/- per annum.
(iii)	School for Information Sciences & Technology	- Rs. 2500/- per annum.
(iv)	Centre for Human Rights	- Rs. 1000/- per annum.

(v) Centre for Vocational studies (Computer Software Applications - Rs.2500/- per annum.

(v) Centre for Rural Technology:-

(a) Horticulture - Rs. 2500/- per annum.
(b) Sericulture - Rs. 2500/- per annum.

N.B.

(i) The teachers of constituent and affiliated colleges of the university are exempted for payment of all fees except registration fee, enrolment fee and admission fee. If they are not post graduates of this university, they shall also pay the enrolment fee.

(ii) External Ph.D. scholars who are working in various institutions recognised for Ph.D. research by this university shall pay the registration fee.

(iii) 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 years after submission of the thesis or the cancellation of the registration, whichever is earlier.

(iv) Fee payable at the time of submission of thesis:
(a) for evaluation of thesis Rs. 600/-
(b) for viva-voce examination Rs. 300/-

5.5. The RDCU may, on the recommendation of the concerned DRC and BPGS permit a Ph.D. scholar to pursue part of his research work but for not more than 2 terms (1-year) at such a place or places outside the university as the DRC and BPGS approves or recommends.

5.6. A Ph.D. Scholar registered in a Department of university and permitted to work in an institution outside Lucknow may have an external supervisor at that institution with the approval of the concerned BPGS. The external supervisor as well as the supervisor in the university will consult one another in all matters pertaining to the progress of work of the candidate.

5.6.1. The BPGS may grant extension of registration for an additional period upto two years (4 terms).

5.6.2. Full fee shall be payable to the university by the Ph.D. scholars for all such extended periods.

5.7.1. Ph.D. scholars shall be required to be present in the university or in the institution approved for the prescribed terms, their presence being duly recorded and maintained in the Department / Institution concerned.

5.7.2. A record of the progress of every Ph.D. scholars shall be kept by his supervisor. The six monthly progress report of the candidate shall be forwarded by the supervisor, 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 / Director with a copy to the Registrar. The subsequent six-monthly reports shall be sent in a similar manner. The first or second half-yearly report shall indicate the specific topic of research, although not necessarily the precise title of thesis.

5.7.3. Registration of a Ph.D. scholar shall be liable to be cancelled by the BPGS at any time if:

(i) his two consecutive six-monthly progress reports are not submitted at all or are not satisfactory and / or ,
(ii) his attendance is less than 75% in any term.

5.8.1. In case the supervisor appointed to guide the research work of any candidate ceases to be the supervisor by virtue of retirement, or on leave for more than a year, or otherwise and there is no co-supervisor in the concerned Department to guide the Ph.D. scholar, the assignment of the next supervisor shall be made by the concerned BPGS after giving due consideration to the views of the original supervisor and the concerned candidate in this regard. No change of supervisor shall, however, be necessary in case of absence of less than a year of the supervisor, provided the candidate has worked under him for a year or more. In such cases the BPGS shall only assign an acting supervisor during the supervisor's absence.

5.8.2. Whenever changes in the supervisor become necessary, the period of research to be subsequently put in by the Ph.D. scholar may be extended by such duration as may be decided by the concerned BPGS in each individual case.

5.9. No Ph.D. scholar shall accept, during the period of research, any paid assignment apart from research fellowship, Research Assistantship etc., unless in the opinion of the concerned BPGS such an assignment will not interfere with his research work.

5.10. A Ph.D. scholar shall not be permitted to take any other degree course, but may be permitted by the concerned BPGS to take part – time Diploma or Certificate course(s) without detriment to his research.

6.Supplication:

6.1.1. On completion of the research work for the Ph.D. by the candidate, supervisor shall organise, in consultation with the Head of the Department under the auspices of the DRC and under his chairmanship a seminar by the candidate to apprise the teachers and other research workers of the Department of the candidates work and to receive suggestions for the improvement of the research work.

6.1.2. After the seminar, the supervisor shall forward the application of the candidate for supplication of the thesis along with a certificate about completion of the seminar and the exact title of the thesis duly approved by the DRC.

6.2. A Ph.D. scholar shall ordinarily supplicate his Ph.D. thesis with in six months from the date his seminar, through the supervisor and the Head of the Department, and shall forward therewith:

(i) four copies of thesis printed or type written.

(ii) a certificate from the supervisor and the Head of the Department to the effect that the candidate has completed the research work for the full period prescribed and that the thesis embodies the results of his investigation conducted during the period he worked as a Ph.D. research scholar.

(iii) A certificate from the Supervisor and Head of the Department to the effect that the candidate has returned all equipment's issued to him during the above period.

6.3. The thesis submitted by the candidate shall be in English or any other language approved by the concerned BPGS.

6.4. The Ph.D. scholar shall submit four copies of the abstract of the work done in about 600 words giving the salient points of his investigation for eventual publication in the Abstracts of accepted thesis for the degree.

6.5. The Ph.D. scholar shall indicate in the Preface of his thesis how far the latter embodies the result of his own research or observations, and in what respects his investigation appear to him to advance the knowledge of the subject.

6.6.1. The Ph.D. scholar may also submit as subsidiary matter in support of his supplication any printed or type-written contribution or contributions to the advancement of knowledge which he may have published independently or jointly.

6.6.2. In the event of his submitting any joint work other than with the Supervisor as subsidiary matter he shall in the Preface of his thesis, state fully his own share.

6.7. No Ph.D. scholar shall submit as his thesis any work which has been accepted or rejected for degree or any other distinction in this or any other University, but he may incorporate in his thesis the content of any work which he may have previously done on the subject.

Provided that in such a case, he shall indicate in his application and in the Preface of his thesis, the extent to which such work, previously done, had been incorporated.

5.7.2. A record of the progress of every Ph.D. scholars shall be kept by his supervisor. The six monthly progress report of the candidate shall be forwarded by the supervisor, 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 / Director with a copy to the Registrar. The subsequent six-monthly reports shall be sent in a similar manner. The first or second half-yearly report shall indicate the specific topic of research, although not necessarily the precise title of thesis.

5.7.3. Registration of a Ph.D. scholar shall be liable to be cancelled by the BPGS at any time if:

(i) his two consecutive six-monthly progress reports are not submitted at all or are not satisfactory and / or ,
(ii) his attendance is less than 75% in any term.

5.8.1. In case the supervisor appointed to guide the research work of any candidate ceases to be the supervisor by virtue of retirement, or on leave for more than a year, or otherwise and there is no co-supervisor in the concerned Department to guide the Ph.D. scholar, the assignment of the next supervisor shall be made by the concerned BPGS after giving due consideration to the views of the original supervisor and the concerned candidate in this regard. No change of supervisor shall, however, be necessary in case of absence of less than a year of the supervisor, provided the candidate has worked under him for a year or more. In such cases the BPGS shall only assign an acting supervisor during the supervisor's absence.

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5.9. No Ph.D. scholar shall accept, during the period of research, any paid assignment apart from research fellowship, Research Assistantship etc., unless in the opinion of the concerned BPGS such an assignment will not interfere with his research work.

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6.Supplication:

6.1.1. On completion of the research work for the Ph.D. by the candidate, supervisor shall organise, in consultation with the Head of the Department under the auspices of the DRC and under his chairmanship a seminar by the candidate to apprise the teachers and other research workers of the Department of the candidates work and to receive suggestions for the improvement of the research work.

7.Examination

7.1. When the candidate has completed his Seminar, the concerned BPGS shall recommend to the Controller of Examinations a panel of at least four examiners including the Supervisor along with four copies of an abstract of about 600 words of the thesis work as per Clause 6.4. The panel of examiners shall be submitted by the Controller of Examinations to Vice-Chancellor / Rector for appointment of three examiners including the Supervisor. The Controller of Examinations shall get in touch with each examiner after his appointment, along with a copy of the abstract to secure acceptance of the examinership. In case of external candidates, the Internal Supervisor shall be the examiner. However, the External Supervisor shall be invited for the Viva-Voce (See Clause 7.10)

7.2. An examiner shall ordinarily be required to accept the appointment offered by the University within the time indicated by the Controller of Examinations in the appointment letter. If, however, no information is received from an examiner within a reasonable time from the date of issue of the letter of appointment, his appointment shall stand cancelled and another examiner shall be appointed.

7.3. On receipt of the acceptance of any examiner, the Controller of Examinations shall forward the copy of the thesis to him and take all action to get the report of the examiner expeditiously.

7.4. The examiners shall be requested to submit their individual reports within two months of the receipt of the thesis.

7.5. The examiners may, if they so desire, consult the co-examiners before submitting their reports. The panel of examiners shall be communicated to all the examiners as soon as the acceptance of all three examiners been received. The Head of the Department concerned shall also be intimated the names and addresses of the examiners to whom the thesis is being sent.

7.6. In submitting the report, the examiner shall state whether the thesis complies with the following conditions to merit the award of the Ph.D.

(a) It should be a piece of research work characterised either by the finding of new facts or by a fresh approach towards interpretation of facts and theories.
(b) It should reflect the candidate's capacity for critical examination and judgement.
(c) It should be satisfactory in its literary presentation.

7.7. The copy of the thesis shall be returned by the examiner soon after submission of the report.

7.8. After the examiners have examined the thesis, they 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.

Provided that where one or more examiners seek clarification or recommend revision, the report / reports of the examiner / examiners concerned (without mentioning the name / names) shall be sent to the Ph.D. scholar concerned to enable the latter to submit clarification on the points raised or to submit the thesis in a revised form, as the case may be. The clarifications shall be sent to each concerned examiner for perusal and if he is satisfied, he will make the specific recommendations for the award of the degree.

Provided further that if one or more examiners are not satisfied with the clarifications the scholar shall be asked to submit the thesis in a revised form; the revised thesis shall be sent to the concerned examiner / examiners and his / their recommendations shall be final for consideration under the following clauses (7.9.1 to 4 and 7.10).

(c) that the thesis be rejected.

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

7.9.2. In case two examiners recommend the award of the Ph.D. degree and the third examiner rejects the thesis or asks for further revision after the first under Clause 7.8(b), the reports, the recommendations and the thesis shall be referred to a fourth examiner, who may either accept or reject the thesis, and his recommendation shall be final.

7.9.3. In case two examiners ask for further revision after the first under 7.8(b), the thesis shall be rejected.

7.9.4. In case one examiner asks for further revision after the first under 7.8(b) and another rejects, then also the thesis shall be rejected.

7.10. If the examiner's reports are unanimous under Clause 7.8(a), the Viva-Voce examination of the candidate shall be conducted by a Board consisting of the Supervisor, the Co-Supervisor (if any), one external examiner and one teacher of the concerned Department, the last one to be nominated by the DRC, as Members and with the Supervisor as Chairman. In case of external candidates, the External Supervisor shall also be a Member of this Board. The date and time of the Examination shall be fixed in consultation with the external examiner for the examination. All members of the DRC shall be invited.

7.11. The Viva-Examiners shall submit a comprehensive report on the Viva-Voce examination of the candidate regarding his performance including that the discussions over the various points raised. It shall make the final recommendation for the award of the degree taking into consideration the candidate's performance at the Viva-Voce and the reports of the examiners.

7.12. The reports of all the examiners and 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.

7.13. In all other cases or wherever reports are ambiguous or not adequately covered by Clauses 7.8(b) and (c), 7.9, 7.10 and 7.12, the examiners reports shall directly be placed before the concerned RDCU for its specific decision.

7.14. A thesis once submitted cannot be re-submitted except when so directed by the examiners. The revised thesis must be submitted within six years of the formal date of registration or within one year of the date of receipt of the information from the Registrar regarding resubmission, whichever is later.

7.15. 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 Ph.D. degree.

7.16. After the approval of the Academic Council, the examiners reports may be supplied to the candidate concerned, on demand.

8.Conclusion

8.1. From the date when thesis Ordinances comes into operation all previous Ordinances on the subject shall cease to have effect.

Provided that this revocation shall not affect the previous Ordinance so revoked or anything done or suffered under any previous Ordinance so revoked or affects any right, privilege, obligation or liability acquired, arrived or incurred under any Ordinance so revoked.

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