BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY

(A Central University)

Vidya Vihar, Rae Bareli Road, Lucknow-226025

Ref No: /BBAU/ A /08

Date : /12/2008

NOTIFICATION

The Board of Management of the University in its 34th meeting held on 07.11.2008. has approved the modification/amendments in the existing Ph.D. Regulations. A copy of the revised Ph.D. Regulations of the University is enclosed.

REGISTRAR

Copy to :-

1. PS to Vice Chancellor
2. Deans/Heads of all School/Departments
3. DR(Estt.)
4. DR/A/AR/A
5. Guard File.

REGISTRAR

2008

BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY, LUCKNOW

Amendments to Ph. D Regulation 1999

(Approved by the Board of Management in its 34th meeting held on 07-11-2008)

1. Introduction:

1.1 These Regulations shall be called the Doctor of Philosophy (Ph. D) Regulations-1999, *as amended in 2008* shall be implemented from the date of notification.

1.2 The degree of Doctor of Philosophy of Babasaheb Bhimrao Ambedkar University (hereinafter 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 from the date of deposit of fee after recommendation of DRC twice in a year, through BPGS and approval of the same by the Vice Chancellor. The same shall be reported to Academic Council..

2.3 Advertisement/Notices for Ph. D registration shall ordinarily be issued with the general admission notice of the University and mid of the year.

2.4.1 Prescribed application forms for seeking registration for the Ph. D. degree can be obtained from the Academic Section on payment of **Rs.200/- (Rs.50/-for SC/ST/PH)**. The form duly filled and signed by the candidates shall be accompanied with 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 to the Academic Section on or before 31st March/ 30th September and Academic Section shall forward the same to the concerned Head of Department. The admission shall be finalized by the DRCs through BPGS within 30 days of receipt of application forms from Academic Section and within next 15 days the admission should be made after taking approval from the Vice Chancellor and shall be reported to the Academic Council.

2.4.2 In case of employed candidate, the application shall be submitted to the Academic Section with NOC from the head of the Institution where the candidate is employed and he/she shall be treated as part time Ph.D. student. The part time Ph.D. student shall stay at the place of research guide for not less than 90 days during the whole period of research work and shall give an undertaking to this effect at the time of registration. No fellowship/scholarship shall be paid to the part time Ph.D. scholars.

Eligibility for Registration:

The Ph.D. degree shall be opened to :

3.1 (a)Candidates both full time & part time who have obtained a Masters Degree i.e.M.A./M.Sc./MCA/ LL.M./MLISc./M. Phil/M. Tech of this University or any other University established by law for the time being in force or any other degree

recognized as equivalent thereto in that subject with 50% or equivalent marks in qualifying examination (45% for SC/ST/PH).

(b)Ph. D Scholars may be permitted to get registered for the Ph. D degree in a school different from the one in which they had obtained their Master's Degree provided DRC and BPGS find it relevant to the Ph. D. in that school.

3.2 The reservation for admission in Ph.D. programme shall be applicable as per University rules as provided in the Chapter VII, Clause 9 of Academic Ordinance. Further the seats shall be distributed among the faculty (teacher-wise) as per reservation rules i.e. 50% for General and 50% for SC/ST(by maintaining 2:1 ratio).

3.3 The Ph. D degree shall in all cases, mention the title of the thesis, name of the Department and School which examined and recommended for the award of degree.

3.4. All employees engaged in research work in various Departments of the University under the schemes/projects shall be eligible to enroll themselves as Ph. D. Scholars vide conditions as laid down in Clause 3.5 .

3.5 (a)Subject to 2.4.2 of the regulation Teachers/Research Assistants/Senior Research Assistants /Senior Technical Assistant/Asstt. Curators/Asst. Librarian/ Dy. Librarian/Librarian/Curator/Museum Assistants and other employed candidates of the University & other institution\s may be registered for the Ph.D degree under the following conditions on part time basis:-

(i) that they fulfill the minimum conditions laid down for being enrolled as Ph. D. scholars;
(ii) that their registration for Ph. D. will not interfere their normal work;
(iii) they shall pursue research work for two terms (one year) more, than the full time Ph. D. scholars of that school.
(iv) they shall not be entitled for any fellowship/scholarship sanctioned for the purpose.

(b) An outstanding scholar with published work of high quality and actively engaged in research and having ten years' experience of teaching of PG courses may also be eligible for registration for Ph.D. under self guidance subject to other rules of admissions applicable.

4.Research Committees

4.1.Subject to the general provision 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 Board of Post Graduate Studies (BPGS)
(iii) The Department Research Committee (DRC)

4.2 The RDCU shall consist of the following:-

(i) Vice-Chancellor (Chairman)
(ii) Pro-Vice-Chancellor (if any)
(iii) Dean of the School concerned
(iv) Director of the Centre/Institute(if any)
(v) Head of the Department concerned
(vi) All Members of the concerned Department Research Committee including the

representative of SC/ST.

(vii) Guide and Co-guide (if any) of the Ph. D. scholar concerned.

The Controller of Examination 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 provided such teachers have Ph. D. degree.

(iv) Guide and Co-guide, if any, of the Ph. D. scholar concerned.

(v) One SC/ST nominee with Ph.D. degree will be nominated by the Vice Chancellor.

Generally DRC shall meet twice in a year in case of necessity

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

4.3.3 The DRC shall:

(a) Examine the application forms submitted by the candidates for enrolment as Ph. D. scholars after the proper scrutiny and prepare a merit list on the basis of following criterion for all Ph.D. scholars :-

(i) 50% weight age shall be given on the basis of marks obtained in the PG Degree of concerned subject 5% weightage is to be given students passed out from BBAU at PG level.

(ii) 25% weight age shall be given on the basis of marks obtained in the Graduate Degree of concerned subject

(iii) 15% & 10% weightage shall be given on the basis of marks obtained in the Intermediate (12th) & High School (10th) Std. respectively.

For JRF & NET qualified candidates above conditions shall be exempted and they shall be given preference over the candidates maintained on para (a).

(b) to recommend the guide through the BPGS.

(c) After admission candidates shall submit a plan of work in consultation with the guide along with the six monthly progress report of the research work for evaluation.

4.3.4 Eligibility for Guide.

(a) All Professors, Readers in PG departments of the University with Ph.D. degree shall be deemed to be research guide in the respective subjects.

(b) Lecturers working in PG departments of the University with doctoral degree in the concerned subject with three years teaching experience are eligible for recognition as research guides. Those Lecturers working without Ph.D degree will require 3 years teaching experience in PG departments besides the 2 years PG teaching experience after Ph.D. degree. Those who are working in research institutions will require 5 years research experience after Ph.D. degree. Such Lecturers shall apply to the Chairman, DRC for getting recognition as research guide.

(c) The maximum number of candidates that a guide may supervise shall not exceed 8 for Professor, 6 for Reader and 4 for Lecturer at any time. The seats for candidates working under the supervision of more than one guide(in joint supervision) will be counted half to the each guide to justify their work load.

A seat for Ph.D. registration under a faculty member will be counted vacant after submission of thesis by the scholar under the guidance of the said teacher.

4.3.5. DRC may appoint One Co-guide in addition to the regular guide to promote inter-disciplinary research on the request of the scholar and on the consent of the proposed guide and Co-guide. The guide/co-guide may be from the same department/school/University or from other Universities/Institutes/Centres.

4.3.6 In case there are guide and co-guide for a scholar, he/she shall be counted half to each guide within the prescribed quota limited to 50% of total seats prescribed for a teacher..

4.4..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 school individually before their registration and they shall be registered for Ph. D.

4.5. Scientists/Scientific Officers/Research Officers under research projects/research Centres in the grade of Lecturer & above level of this University, shall be eligible to guide Ph. D. scholars in concerned department, provided:

(a) their appointment in the University is for a period of not less than five years and from the date of registration, they must have full remaining term for completing the Ph.D. guidance
(b) they hold Ph. D. degree and
(c) they must fulfill other eligibility criteria mentioned in Para 4.3.4
(d) They shall apply to the Chairman, DRC through their Director/Coordinator for recognition as research guide.

4.6. Such candidates as are already registered as Ph. D. scholars in some recognized Institutions/Universities and whose supervisors/Guides 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 he/she continues to work on the same topic and they have completed at least the minimum period stipulated for Ph. D. research including the period spent earlier in another Institution/University.

Change of Guide: In extraordinary conditions such as death of guide or otherwise, the Vice Chancellor may on the recommendation of DRC & BPGS permit the change of guide if such a need arises to protect the academic interest of the candidate beyond quota.

5. Enrolment :

5.1.(a) Each DRC shall send a copy of the minutes along with the application of the candidates, on a prescribed proforma to the Vice Chancellor through the Registrar for approval. 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. The registration of the candidate shall be counted from the date of payment of fee by the candidate

5.1.(b) All admission process for Ph. D should be completed with one month after last date of the receipt of the applications. The meeting of DRC and BPGS should be

convened accordingly.

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 below within 15 days.
The Head of the department shall send a complete list of candidates who have been registered as Ph. D. scholars to the Registrar within 15 days of the last date for payment of fee.

Admission Fee (Chargeable only once)	Rs. 500/-
Enrolment/Registration Fee (Chargeable only once)	Rs. 50/-
Medical Examination Fee	Rs. 50/- per annum
Sports Fee	Rs. 50/- per annum
Identity Card Fee	Rs. 50/- per annum
Library Card fee	Rs. 50/- per annum
Laboratory Caution Money for Science department	Rs. 500/-
Library Caution Money	Rs. 500/-
General Caution Money	Rs. 300/-

The Tuition fee payable to the University by a Ph. D. scholar shall be as follows -

Laboratory based studies for Science department	Rs. 2500/- p.a. (Rs. 1250/- p.a. for SC/ST/PH)
Non-Laboratory based studies	Rs1000/- p.a. (Rs. 500/- p.a.for SC/ST/PH)

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. 2000/-
(for SC/ST/PH –Rs 1000/-)
(b) for viva-voce examination - Rs. 1000/-
(for SC/ST/PH –Rs. 500/-)

5.3 The BPGS may on the recommendation of concerned DRC permit a Ph. D. scholar to pursue his research work at such a place or places outside the University as the DRC and BPGS approves.

5.4 A Ph. D. scholar registered in a Department of University and permitted to work in an institution by the Head on recommendation of the guide outside Lucknow may have a co-guide recognized by the University along with the institution/departments in which he/she is working with the approval of the concerned BPGS. The Co-guide as well as the guide in the University will consult one another in all matters pertaining to the progress of work of the candidate.

5.5.1(a).The minimum period of registration is two years and maximum is four years for full time Ph. D. students with University Fellowship/Scholarship. The BPGS may grant extension of registration for an additional period up to one year (2 terms). In the special circumstances the Vice-Chancellor may grant further extension of one term (i.e. six months) on recommendations of Guide, Head of the Department and Dean of the School. The candidate is not eligible for the University Fellowship/Scholarship during extension period. For the part time Ph.D. students, the minimum period of registration is three years and maximum is five years and the same rule for extension as mentioned above will be applicable.

5.1.1.(b) If a part time Ph.D Scholar wants to convert as a full time scholar before completing 3 years then half of the time spent as a part time scholar shall be counted as full time scholar and will not be eligible for fellowship /scholarship for the earlier period.

5.1.1.(c) If a full time Ph.D. scholar wants to convert as part time scholar before completing 2 years then he/she will be allowed to submit the Ph.D. thesis after 2 years (after a total period of 3 years).

5.5.2. Full fee shall be payable to the University by Ph. D. scholars for all such extended periods, one year or six months as the case may be. There will be no necessity of attendance where scholar is performing field study subject to the certificate given by the concerned Guide.

5.6.1 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 guide/Co-guide as the case may be.

5.6.2. A record of the progress of Ph. D. scholars shall be kept by his guide. The six monthly progress report of the candidate shall be forwarded by the guide/co-guide (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 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.

5.6.3. (i) Ordinarily there should be minimum 75% attendance of the Research Scholar, based on the Departmental 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 guide(s).

(ii) In case the research scholar is working in other Institutions/ Universities/ Centres, where his/her co-guide is working, they may maintain their attendance in those institution

(iii) However, scholars mentioned at para (ii) above and part time scholars will be required to present in the University at least for 90 days in total.

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

(a) his two consecutive six-monthly progress reports are not submitted at all or are not found satisfactory by DRC and

(b) his/her attendance is not as per the requirements.

5.7.1. In case the guide appointed ceases to be the guide by virtue of retirement, or on leave for more than a year, or otherwise and there is no co-guide in the concerned Department to guide the Ph. D scholar, the assignment of the next guide shall be made by the concerned BPGS after recommendations of DRC giving due consideration to the views of the original guide and the concerned candidate in this regard. No change of guide shall, however, be necessary in case of absence of less than a year of the guide, provided the candidate has worked under him for a year or more. In such cases the Head of the Department on recommendations of guide shall only assign an acting guide during his/her absence. In case a guide or co-guide is not alive the DRC can recommend another guide on the application of the research student. In such cases the student shall not be counted in the prescribed quota of the teacher.

5.7.2. Whenever changes in the guide become necessary, the period of research of the Ph.D. scholar may be extended on the request of the student by such duration. The BPGS in each individual case consider and decide such period of extension duly recommended by the guide and the Head of the department through DRC. No fellowship/Scholarship shall be paid for extend period.

5.8. No full time Ph. D. scholar shall accept, any paid assignment apart from research fellowship, Research Assistantship etc. during the period of research.

5.9. A Ph. D. scholar shall not be permitted to take any other degree course, but may be permitted by the concerned Head of the department on the recommendation of the Guide to take part time Diploma or Certificate course(s)useful to his/her research work in the same station, without detriment to his research.

6. Supplication:

6.1.1. On completion of research work for the Ph. D. by the candidate, Head of the Department on recommendation of guide shall organize, a pre-Ph. D. seminar by the candidate to apprise the DRC and other teachers and research scholars of the department regarding the work of the candidate and to receive suggestions for the improvement of the research work.

6.1.2. After the seminar, the guide shall forward the application of the candidate for supplication of the thesis along with a certificate about completion of the seminar & copies of two research papers published in referred journals 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 within six months from the date of his seminar, through the guide and the Head of the Department and shall forward therewith:

(i) four copies of thesis printed or Computer printed and one soft copy in PDF format along with four copies of the abstract of the work done giving the silent

points of investigation.

(ii) A certificate from the guide 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 that the thesis embodies the results of his investigation conducted during the period he worked as a Ph. D. research scholar".

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

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

6.4. The Ph. D. scholar shall indicate in the Preface of his/her thesis how far the latter 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 of the subject.

6.5. The Ph. D. scholar may also submit as subsidiary matter in support of his/her supplication any printed or computer printed contribution or contributions to the advancement of knowledge which he/she may have published independently or jointly.

6.6. No 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 and in the Preface of his/her thesis, the extent to which such a work, previously done, had been incorporated.

7 Evaluation:

7.1. When the candidate has completed his/her Seminar, the concerned BPGS shall recommend a panel of six Indian and six foreign examiners(not in the case of Indian Language departments, however, the scholars would submit the translated English version of the abstract) including the guide along with four copies of an abstract of the thesis work. The examiners other than the guide should not be below the designation of Professor or Reader with five years of experience as reader or equivalent. The panel of examiners shall be submitted by the Controller of Examinations to the Vice-Chancellors for appointment of three examiners (One-Indian and One-foreign) including the Guide. 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 Controller of Examinations shall get in touch with each appointed examiner and send the offer of Examinership along with a copy of the abstract of the thesis for acceptance of the Examinership.

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 one-month time from the date of issue of the letter of appointment, 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.

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 preferably by e-mail.

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

7.5. 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 characterized 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 judgment.
c. It should be satisfactory in its literary presentation.

7.6. 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.
(c) that the thesis be rejected

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 through the guide 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 clarification shall be sent to the concerned examiner for perusal and if he/she is satisfied, he/she 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 (7.7.1. to 4 and 7.8.1 to 2).

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

7.7.2. 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 clause7.6 (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.

7.7.3. In case two examiners ask for further revision after the first under 7.6 (b), the thesis shall be rejected.

7.7.4. In case one examiner asks for further revision after the first under 7.6. (c), another rejects, and then also the thesis shall be rejected.

7.8. If the examiner's reports are unanimous under Clause 7.6.(a), the *Viva-Voce* examination of the candidate shall be conducted by a Board consisting of the Head of the department(Chairman),guide Co-guide(if any) and one external examiner who shall be one from the examiners who has examined the thesis. 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. There shall be open *Viva-Voce* examination.

7.8.1. If the examiner's reports are unanimous under clause 7.8.(c), the candidate shall be informed accordingly with his guide and co-guide, if any.

7.9..Viva-Examiners shall submit a comprehensive report on the Viva-Voce examination of the candidate regarding his performance including that the questions cover 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.

7.10.. 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.

7.11. In all other cases or wherever reports are ambiguous or not adequately covered by clauses 7.6. (b) & (c), 7.8. and 7.10. the examiners reports shall directly be placed before the concerned RDCU for its specific decision.

7.12 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 requirements of revision is notified.

7.13. 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.

7.14. After the approval of the Academic Council, the examiners reports may be supplied to the candidate concerned, on request after depositing fee of Rs. 50/-.

8. Difficulty

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

9. Repeal

9. 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.