BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY, LUCKNOW

Ph.D. Regulation 1999 as amended in 2010

1. Introduction:

1.1 These Regulations shall be called the Doctor of Philosophy (Ph.D.) regulations- 1999, as amended in 2010 incorporating the provisions of the University Grants Commission (minimum standard and procedure for award of MPhil/Ph.D. Degree) Regulation 2009. These 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. Procedure for Admission & Course Work:

2.1 Admission to the Ph.D. program shall be conducted once in a year. The number of seats available for admission in each department shall be decided well in advance and mentioned in the Admission Notice/Prospectus of the university published in the month of March/ April every year. The applications of candidates seeking admission will be processed and eligible candidates shall be required to appear in a Ph.D. Entrance Test (written) to be conducted by the University along with the entrance test for PG admission in the second/ third week of June. On the basis of marks obtained in the (written) entrance test and academic merit of candidates, Merit list for interview will be prepared (in the ratio of 3 candidates against 1 available seat) to call the candidates for an interview organized by the respective DRCs of the Department/Centre. Based on the performance of the candidates in the written test, interview and academic merit, the Final Merit list shall be prepared for approval by the competent authority (Vice Chancellor) for admission.

The syllabus for the Entrance Test would be similar to what has been prescribed by the UGC/ICAR/CSIR/ICAMR/DBT/GPAT such Central body for the National Eligibility Test in the subject concerned. The date of deposit of fee for admission shall be treated as the date of Ph.D. registration of the candidate.

The Merit List of candidates shall be prepared on the basis of the following criteria:

(i) 60% weightage shall be given to the marks obtained in the University Ph.D. Entrance Test (written).

(ii) 5% weightage shall be given for NET/SLET/GATE/DBT/ICMR/GPAT/Teachers Fellowship/M.Phil.

(iii) 15% weightage shall be given on the basis of marks obtained in the PG Degree of concerned subject.

(iv) 10% weightage shall be given on the basis of marks obtained in the Graduate Degree

(v) 10% weightage shall be given to Interview.

- UGC/CSIR/ICAR Junior Research Fellowship (JRF) holders shall be exempted from the written Entrance Test and will be given 65% weightage for having qualified JRF [covering the preceding points (i) and (ii)]. JRF holders will be required to appear for the interview like all other candidates seeking admission in Ph.D.

The Final Merit/Waiting list so prepared after Interview shall be valid for admission for one academic session only against the vacant seats in the concerned department mentioned in the Admission Notice/Prospectus.

2.2 Prescribed Application Form for admission to the Ph.D. program would be made available by the university as per Admission notification on payment of the prescribed fee fixed by the university. The Application Form duly filled and signed by the candidate needs to be accompanied with attested copies of mark sheets of the qualifying examination and of all previous examinations from High School/Higher Secondary or equivalent examination onwards and also caste/other certificates (SC/ST/PH), if any. The Application Form complete in all respects has to be sent /submitted to the Admission Cell of the university by the fixed last date for further processing for conducting the Entrance Test (written).

2.3 After the entrance test and evaluation of scripts, the Admission Cell shall forward the list of candidates with their score in the test along with the Application forms (with all enclosures) to the concerned Head of Department for preparing the Merit list for Interview of candidates by DRC and then preparing the Final Merit list for necessary approval by the CA and admission.

2.4 **Course Work:** After having been admitted, each Ph.D. student shall be required to undertake Course Work for one semester. The students shall be required to pass the course work (two papers/courses in all) with minimum B- (minus) grade in each paper/course failing which their admission will be cancelled. A maximum of two chances shall be permissible for passing each paper within an overall duration of two semesters (one year). The course work shall be treated as pre-Ph.D. preparation and comprise the following:

Paper I - Department Level Course I (Compulsory): Every department shall offer a advanced course covering the research methodologies/philosophy (or any other relevant advanced course as decided by the deptt.) of the discipline concerned. This course shall be compulsory for all students of the department concerned.

Paper II - Department Level Course II (Optional): Every eligible Guide of a department shall offer one course related to his/her field of specialization. This course may have a component on reviewing of published research work in the relevant field. Students shall be free to choose one of these courses as per their research interest.

2.5 A Ph.D. student shall undertake research work (thesis) under the guidance of the supervisor allocated to him/her by the DRC/BPGS on the recommendation of DRC. Allotment of supervisor shall be based on the availability of seats and the specialization of the teacher as also the research interest of the student. Allotment of supervisor shall be done, preferably within two weeks after admission.

3. Eligibility for Admission:

The Ph.D. degree shall be open to :

3.1 (a) Candidates, who have obtained a Masters Degree of this University or any other University established by law in force or any other degree recognized as equivalent thereto in that subject with 55% marks or equivalent letter-grade in qualifying examination (50% marks or equivalent letter-grade for SC/ST/PH).

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

3.2 The reservation for admission in Ph.D. program shall be applicable as per University rules as provided in the Chapter VII, Clause 9 of Academic Ordinance (i.e. 50% of total seats for General and 50% for SC/ST candidates). Further, the distribution of seats in case of individual faculty (teacher-wise) shall be as per reservation rules i.e. 50% for General and 50% for SC/ ST (in 2:1 ratio) Ph.D. candidates. 3% seats shall be reserved for PH candidates (on horizontal basis).

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.

4. Research Committees

4.1 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 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 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 / Assoc. Professor and one Asstt. Professor 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 for a period of two years.

Generally DRC shall meet twice in a year, but special meeting may be held with permission 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 perform the following functions -

a. DRC shall scrutinize all the applications received for admission to the Ph.D. program

and prepare a merit list for the interviews on the basis of academic merit/qualification & written test marks, conduct the interviews and prepare the final merit list for admission.

b. The DRC shall recommend the Research supervisior/guide.

c. After completing the course work, the candidates shall submit the plan of work in consultation with the guide in the form of a synopsis and, if found suitable, the same shall be approved by the DRC for carrying out the research work. The progress of the research work shall be evaluated by the DRC based on the six monthly reports submitted by the candidate for this purpose.

4.3.4 Eligibility for Guide

a. All Professor, Reader/ Assoc. Professor in PG departments of the University with Ph.D. degree shall be deemed to be research guide in the respective subjects.

b. Assistant Professors working in PG departments of the University with doctoral degree in the concerned subject and two years teaching experience at post-graduate level (after completion of Ph.D.) shall be eligible for recognition as research guides. Those Asstt. Professors working in PG departments of this University without Ph.D. degree will require 2 years teaching experience in PG department after completion of his/her Ph.D. degree. Such Asstt. Professors shall apply to the Chairman, DRC for getting recognition as research guide.

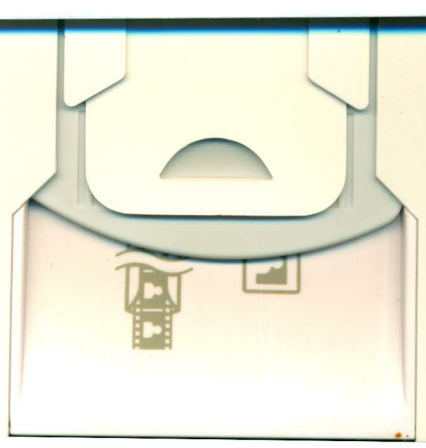
c. Those who are working in research institutions will require 5 years research experience after Ph.D. degree. They shall apply alongwith their CV and NOC issued by the head of their institution to the Chairman, DRC for consideration and recognition as Co-guide with approval by the CA.

d. The maximum number of Ph.D. scholars that a guide may supervise shall not exceed 8 for Professor, 6 for Reader/ Assoc. Professor and 4 for Asstt. Professor at any time. A seat for Ph.D. registration/guidance under a faculty member will be treated 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 alongwith the consent of the guide and proposed co-guide. The guide and co-guide may be from the same department/school/University or from other Universities/Institutes/Centres. But either guide or co-guide shall be from this University or both can be from this university. External Guide/Co-guide shall submit their CV to Chairman, DRC through his/her employer (with NOC) for recognition in this University as Guide/ Co-guide. The DRC will consider his/her suitability as per University rules and prepare a panel of such Guides/Co-guides, which is to be submitted through BPGS to the Academic Council for recognition as guide/co-guide and then a letter can be issued to them to this effect.

4.3.6 In case a University teacher is guide to a particular Ph.D. scholar who also has a co-guide, that will be counted as one full seat for the concerned teacher. In case a University teacher is co-guide to a Ph.D. scholar, that will be counted as a 0.5 seat for the concerned teacher. A University teacher can be co-guide for not more than 25% of his/her total prescribed seats.

4.4 In case of registration of foreign students (including NRIs) as Ph.D. scholars the equivalence of the degree possessed by them shall be settled by the equivalence committee comprising concerned Dean of the School and Head of the Department and then they shall be registered



for Ph.D. There will be no entrance test for them. They will be required to complete course work prescribed for the Ph.D. program. The number of foreign students permitted to be enrolled at a time over and above the prescribed quota shall be 1,2,3, under Asstt. Professor, Associate Professor and Professor respectively.

4.5 **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, including beyond quota prescribed for a teacher.

4.6. The DRC shall report to the BPGS all its proceedings pertaining to the Ph.D. programme in the department.

5. Registration and Tuition Fee:

5.1 The Fee Structure shall be as follows:

5.1.1 Registration Fee -

Admission Fee (chargeable only once)	Rs. 500/-
Enrolment 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 (only once)	Rs. 500/-
Library Caution Money (chargeable only once)	Rs. 500/-
General Caution Money (chargeable only once)	Rs. 300/-

Note: Consolidated admission fee for **Foreign student** shall be US$ 250.

5.1.2 Tuition fee -

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

Laboratory based studies for science department	Rs. 1500/- per semester
	(Rs. 750/- per semester for SC/ST/PH)
	[US$ 100 per semester for Foreign students]
Non-Laboratory based studies	Rs 500/- per semester
	(Rs. 250/- per semester for SC/ST/PH)
	[US$ 50 per semester for Foreign students]

5.1.3 **Late fee** of Rs. 200/- shall be charged for the first ten days after the due date of registration notified by the University. But for students who have gone outside the state for fieldwork with due permission of the Guide and Head of Deptt., no late fee shall be charged for first ten days after return from the fieldwork. (Late fee for foreign students shall be US$ 15).

5.2 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. 2500/-
(for SC/ST/PH - Rs 1250/-)

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

5.3 The DRC may permit a Ph.D. scholar to pursue his research work at such a place or places outside the University, if required, on the recommendation of the guide and co-guide, if any.

5.4 A Ph.D. scholar registered in a Department of the University and permitted by the Head of department on the recommendation of the guide to work in an institution outside Lucknow, is required to have a recognised co-guide at the institution where he/she proposes to work. The co-guide and the guide will consult each other in all matters pertaining to the progress of work of the candidate.

5.5.1 The minimum period of registration is two years and maximum is four years for full-time Ph.D. students with University Fellowship/Scholarship. The DRC/BPGS may grant extension of registration for an additional period up to one year (i.e. 2 semesters). In special circumstances the Vice-Chancellor may grant further extension of one semester (i.e. six months) on the recommendation of Guide, Head of the Department and Dean of the School. The candidate is not eligible for the University Fellowship/Scholarship during extension period.

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 work of Ph.D. scholars shall be kept by his/her 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) Normally there should be minimum 75% attendance of the Research Scholar, based on the Departmental records monthly. 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.

(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 will be required to be present in the University for at least 180 days in total (excluding the period of course work).

5.6.4. Registration of a 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.

5.7.1. In case the appointed guide 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 supervise the Ph.D. scholar, the allotment of the next guide shall be made by the 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 the guide for less than a year, provided the candidate has worked under him/her 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 scholar. In such cases the student shall not be counted in the prescribed quota of the teacher.

5.7.2. Whenever change of the guide 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 guide and the Head of the Department. No fellowship/scholarship shall be paid for the extended period.

5.8 No full time Ph.D. scholar shall accept any paid assignment, apart from research fellowship, such as 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 department on the recommendation of the guide to take part-time Diploma or Certificate course(s) useful to his/her research 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 done by the candidate and to receive suggestions for 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 and 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 salient points of his/her work.

(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/her investigation conducted during the period he/she 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 the 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 on 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.

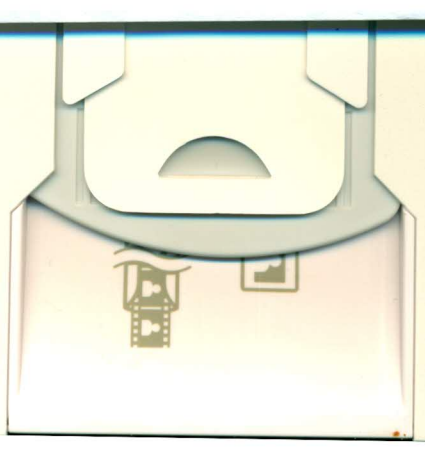
6.6. No Ph.D. scholar shall submit any work which has been accepted or rejected for any other degree in this or any other University as his/her thesis. Provided that in such a case, he/she shall indicate in his/her application and in the Preface of his/her thesis, the extent to which such a work, previously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

7. Evaluation:

7.1. Upon completion of the proposed research work, the scholar shall produce a draft thesis that shall be submitted for evaluation as per the provisions of these regulations. The concerned DRC shall recommend a panel of eight examiners including the guide along with four copies of an abstract of the thesis work. If DRC feels that examiner(s) from foreign country will be needed to evaluate the thesis, the names of examiners of foreign country may also be included in the panel. The examiners other than the guide, should not be below the rank of Associate Professor/Scientist E-1 and above or equivalent. The panel of examiners shall be submitted by the Controller of Examinations to the Vice-Chancellor for appointment of three examiners (at least one shall be from outside the state) 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 examiner and send the offer of Examinership alongwith 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 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 form 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/her 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 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.

In case 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 former to submit clarification through the guide 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 for perusal and if he/she is satisfied, he/she will make specific recommendation for the award of the degree, forward the copy of the thesis and the Controller will take all action to get the report of the examiners expeditiously.

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 under Clause 7.6 (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/her recommendation shall be final.

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

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

7.8 If the examiners' 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 (also Co-guide, if any and available) as member(s) and one external examiner from those examiners who have examined the thesis. The date and time of the viva-voce examination shall be fixed by the Guide in consultation with the external examiner, chairman and other members, if any. All members of the DRC also shall be invited for the viva-voce examination. There shall be open Viva-voce examination.

7.8.1 If the examiners' reports are unanimous under clause 7.8 (c), the concerned candidate shall be informed accordingly along 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/her performance, including the questions over the various points

raised. The Board 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.

7.10 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.

7.11 In all other cases or wherever reports are ambiguous or not adequately covered by clauses 7.6 (b) & (c), 7.8.1 and 7.10, the examiners reports shall be directly 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 made available to the candidate concerned, on request after depositing fee of Rs. 50/-

7.15. Following the successful completion of the evaluation process and announcements of the award of the Ph.D., the University shall submit a soft copy of the thesis to the UGC within a period of thirty days for hosting the same in INFLIBNET.

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.

