



UNIVERSITY OF LUCKNOW LUCKNOW

Doctor Of Philosophy (Ph.D.) Ordinance 2011

In exercise of powers conferred by clause (1) of section-52 (3) of the U.P. State Universities Act, 1973, the University of Lucknow hereby makes the following Ordinance, to be known hereafter as the University of Lucknow Ph.D. Ordinance 2011.

1. Preamble:

In order to regulate the minimum standards and procedures for award of Ph.D. degree in conformity with the University Grants Commission Regulations-2009 dated 01 June, 2009, the following ordinance is promulgated to make provisions for Ph.D. admission in different faculties of the University.

This Ordinance shall be called the Ordinance for Doctor of Philosophy (Ph.D.) degree and shall come into effect from 2011 onwards, in supercession of all the previous Ph.D. Ordinances.

2. Enumeration of Ph.D. Seats :

- 2.1 At any point of time, total number of Ph.D. seats (including those for D.Sc., D.Litt & L.L.D.) shall be 8 for a Professor, 6 for an Associate Professor and 4 for an Assistant Professor in each department.
- 2.2 Based on these allocations, and number of Ph.D. students who have already registered for Ph.D. with all supervisors in the Department, the number of feasible vacancies available for new Ph.D. students shall be counted and communicated by the each Head of Department, in consultation with respective faculty members of the Department, to the Registrar through their respective Deans along with broad area/subdisciplines available for these vacant Ph.D. seats.
- 2.3 These vacant seats shall be divided as per reservation categories into unreserved, reserved for OBC, and reserved for SC/ST, and so classified for each Department.

3. Admission Procedure :

Ph.D. admission shall be conducted in two phases.

Phase I :

- 3.1 The feasible vacant seats available for fresh Ph.D. admission in broad subdisciplines of each department shall be advertised category wise by the Registrar, initially inviting application only from those



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candidates with CSIR/UGC JRF fellowship valid till September 15 of that year and fulfilling the eligibility criteria prescribed in section 4.

- 3.2 These feasible vacant seats in each department shall be first filled by eligible JRF applicants without any entrance test.
- 3.3 Where the number of JRF applicants exceeds the number of feasible vacant seats, the seats shall be filled through a merit list resulting from an entrance test administered to these JRF applicants.

Phase II :

- 3.4 After all the JRF applicants in each department have been considered, the remaining vacant seats shall be re-advertised category wise by the Registrar inviting applications from all candidates fulfilling the eligibility criteria prescribed in section 4.
- 3.5 For each department, a category wise list of eligible applicants shall be made available on the University website (www.lkouniv.ac.in). These applicants shall be asked to appear for a Ph.D. Entrance Test on the date and place(s) fixed by the Admission Committee and notified by the University.
- 3.6 Based on the marks obtained in this entrance test, separate category wise merit list shall be prepared and the remaining Ph.D. vacant seats shall be filled through these category wise merit lists.

Registration Procedure :

- 3.7 The students so selected for the Ph.D. programme from Phase I and Phase II shall be considered to have been provisionally registered after payment of requisite fee and shall have to undergo a one semester course work as prescribed by the concerned department.
- 3.8 On successful completion of course work, the student shall interact with Ph.D. supervisors with vacant seats available in his chosen broad subdiscipline and shall submit a synopsis for Ph. D. work along with a list of three proposed supervisors with vacant Ph. D. seat and expertise in the area covered in his synopsis.
- 3.9 The Departmental Research Committee (DRC) shall arrange for presentation of synopsis submitted by the Ph.D aspirants who have successfully completed their course work and allocate an appropriate Ph.D. supervisor for those candidates whose synopsis has been found suitable and recommend these for approval to the faculty board through the Dean of their concerned faculty.



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- 3.10 The dean of each faculty shall place all such recommendations before the Board of Faculty for approval of these research proposals.
- 3.11 All proposals approved by the Boards of various faculties shall be forwarded to the Registrar who shall place the same before the admission committee for final approval for registration as a Ph.D. student of the University.

4. Eligibility Criteria for Ph.D. Admission:

- 4.1 A candidate for the degree of Doctor of Philosophy (Ph.D.) in a subject must hold a Master's Degree in the subject concerned of this University or an equivalent degree of another University recognized by this University.

Explanation – In exceptional cases, a candidate holding a Master's Degree in an allied subject may also be considered for admission to Ph.D. by the Departmental Research Committee.

- 4.2 A candidate having at least 55% of marks at the Master's degree level shall be eligible for admission to the Ph. D. Programme. For S.C./S.T. and Physically Challenged/Disabled candidates qualifying marks shall be 50% at Master's degree level.

In Faculty of Ayurveda, however, a candidate having M.D. (Ayurveda) degree in the subject concerned or equivalent degree of another University recognized by this University shall be eligible for admission to the Ph.D programme in Ayurveda.

5. Course Work:

- 5.1 All admitted candidates shall undergo a course work for one semester in the concerned department/Institute.
- 5.2 The Course work shall be treated as pre Ph.D. preparation and include a course on Research Methodology which may include quantitative methods and computer applications/reviewing of literature in the relevant field.
- 5.3 The HOD/Director of the respective Department/Institute shall prepare the time table for the course work, teaching, continuous evaluation and internal tests and shall conduct the same under the overall supervision of the concerned Deans of faculty.
- 5.4 The Semester end examination of the course work shall be conducted by the respective HODs. The pass marks in the Course Work shall be 50% for all students in each paper and in aggregate. Only one



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additional attempt shall be given to unsuccessful candidates along with the next batch.

6. Eligibility for Ph.D. Supervisorship :

- 6.1 A regular whole time member of the teaching staff of the University Department in the Subject concerned with either a minimum of 3 years teaching experience with a doctorate degree or of 5 years Post-graduate teaching experience without a doctorate degree in the subject with evidence of doing independent research shall be approved as supervisor to guide a Ph. D. thesis.

In exceptional cases, a teacher of Post-graduate department in a Government or Government aided Associated/Constituent college of University of Lucknow may be allowed to act as a supervisor for Ph.D. in a subject where regular faculty is not appointed against any permanent post in the University.

Retired teachers of University of Lucknow fulfilling the above requirements, may also be permitted to remain as supervisor of their Ph. D. student(s) during the remaining tenure of Ph.D. studentship of the students already registered with them. However, they shall not enrol any new Ph.D. candidate after their superannuation. After retirement of the teacher, if the candidate is unable to submit the thesis within the regular studentship period, the change of supervisor shall be done as per provisions mentioned in section 7.15.

6.2 Provision for Co-Supervisor:

On recommendation from the DRC through the Dean of the Faculty concerned, the Vice-Chancellor may allow a candidate to have a co-supervisor for his/her thesis from an allied Department or Institution recognized by the University for this purpose, if the research is of an inter-disciplinary nature. The Supervisor shall be from the Department where the candidate is registered.

7. Duration, Submission, Evaluation and Assessment Methods for Ph.D. Dissertation

- 7.1 The period of a candidate's studentship shall be counted from the date on which he/she has deposited the first instalment of his/her fees before the commencement of the Course Work.
- 7.2 Ordinarily a candidate shall be required to submit his/her thesis within a four year period including the period taken for the successful completion of the Course Work but not earlier than two years in any case. If the candidate is unable to submit his/her thesis within four



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years, he/she shall cease to be a regular student of the University and shall not be entitled to the rights and facilities extended to a regular student. Such a candidate, may, however, under special circumstances, be permitted by the Vice-Chancellor, on collective recommendation of the supervisor, the Head of the Department and the Dean of the Faculty concerned, to submit their thesis within a maximum period of seven years including the four year period of their studentship. A candidate submitting his/her thesis after the expiry of four years time shall have to pay late submission fee as decided by the University. The registration of the candidate who does not submit his/her thesis within seven years from the date of his/her admission shall be deemed to be cancelled.

However, on the collective recommendation of the Supervisor, Head of the Department, and the Dean of the concerned faculty, The Vice Chancellor may allow for re-registration for a period not exceeding two years after payment of requisite fee as prescribed by the University.

- 7.3(a)** A candidate may be permitted to make minor modifications in the title of his thesis by the Dean of the Faculty concerned on recommendation from the Supervisor and the Head of the Department, but not later than six months before the submission of his/her thesis.
- (b) In case of major modification /Topic change the candidate shall be treated as a fresh case and shall not be allowed to submit the thesis before two years.
- 7.4** Prior to submission of the thesis, the student shall make a pre-Ph.D. presentation in the Department that shall be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the guidance of the supervisor.
- 7.5** The Ph.D. candidates shall publish at least one research paper in any one of the Journals, approved by the respective Departments before the submission of the thesis for evaluation and produce the evidence for the same in the form of acceptance letter or reprint.
- 7.6** The candidate shall submit the thesis in three hard copies and two CDs in PDF format along with the summary of the work.
- 7.7** A thesis already presented for the Master of Philosophy (M. Phil). Degree shall not again be accepted for the degree of Doctor of Philosophy. However, some portion of it may be utilized in the Ph.D. thesis. The thesis should make substantive contribution to the discipline concerned, as evidenced by discovery of new facts, or a



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fresh interpretation of facts or theories and should be so certified by the candidate and the supervisor.

- 7.8** Three months before his/her thesis is ready for submission, a candidate shall apply through proper channel for the appointment of examiners for his thesis. The Head of the Department concerned shall place the application before the board of Studies, which shall recommend a panel of six external examiners along with email address, fax, and contact number of each examiner in addition to the supervisor who shall also be an examiner. The Supervisor shall be co-opted as a member of the Board of Studies for this purpose. Out of this panel, three examiners, inclusive of the Supervisor, shall be appointed by the Vice-Chancellor in accordance with the due procedure to evaluate the thesis.

In case the thesis is not submitted within the stipulated time of three months, the panel shall stand lapsed and a fresh panel shall have to be recommended by the Board of Studies.

Effort should be made to ensure that the panel of examiners is representative in terms of the universities and states and that not more than one examiner is chosen from one University/Institute.

- 7.9** If the examiners consider the thesis to be of sufficient merit they may recommend that the thesis be accepted for the award of the degree of Doctor of Philosophy. The reports of the examiners shall be laid before the Examination Committee or Sub-Committee thereof appointed for the purpose. If the Committee is satisfied that the reports of the Examiners are unanimous and definite, the candidate shall be required to undergo a Viva-Voce examination to be conducted by two examiners of whom one shall ordinarily be the supervisor and the other one from among the two external examiners, who have evaluated the thesis. If the external examiners evaluating the thesis are from outside the country, another external examiner may be specially appointed for the purpose. The Head of the Department shall preside and conduct the proceedings of the Viva-Voce examination, but he/she shall not be party to the decision. In case the supervisor is not available, the Head of the Department himself or any senior teacher of Department as recommended by the Board of Studies may act as internal examiner. The Viva-Voce will be open to all interested in the subject, where the candidate shall be required to present the main findings of his/her thesis and defend the same. After satisfactory Viva-Voce, the Examination Committee may recommend that the result of the candidate be declared.

- 7.10** If reports of the examiners show a divergence of opinion between the examiners, the Examination Committee or Sub-Committee thereof appointed for the purpose may direct that the reports be exchanged



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between them, the examiners being requested to submit a joint report, if possible. If there is divergence of opinion even after the exchange of reports, a fourth examiner shall be appointed from the panel of examiners already approved whose decision shall be final.

Provided that if two examiners recommend the revision of the thesis either originally or after the exchange of reports, the thesis shall be revised and resubmitted. The revised thesis shall be sent to the same set of examiners for evaluation after obtaining their consent afresh. In case two examiners reject a thesis originally or after the exchange of reports, the thesis shall be finally rejected.

- 7.11** A printed and an electronic version on a CD of each accepted thesis shall be lodged with the University Library where it will be open to public inspection.
- 7.12** A candidate registered for the Ph. D. degree shall be required to reside in the University or in Lucknow for two years including the period of Course Work. However, the Vice-Chancellor, on the recommendation of the Supervisor, the Head/Director of the Department, and the Dean, grant permission to candidate to reside outside Lucknow for purpose of collecting research material for his/her thesis or doing experimental research work for a total period of not more than one year provided that such exemption shall not be granted in the first six months.

Provided further that the Vice-Chancellor on the recommendation of the Supervisor, the Head/Director of the Department, and the Dean, may allow a candidate to Work at such centres of research in Lucknow other than the University teaching Department or such research centres of repute outside Lucknow with which a Memorandum of Understanding (MOU) that has been signed by the University of Lucknow for this purpose and as may be approved by the Academic Council in this behalf in which case the candidates can have a co-supervisor who shall be not below that rank of Professor or Senior Scientist of equivalent rank from the research centre concerned.

- 7.13** Continuation of the registration of candidate in the Ph.D. programme shall depend on his/her satisfactory progress and conduct. The University reserves the right to cancel the registration of any candidate in the event of his conduct and progress being found otherwise.
- 7.14** No change of supervisor shall ordinarily be allowed, but in special cases, where that Head of the Department is satisfied that the research work of a candidate will suffer on account of migration of the supervisor to another institution or on account of the retirement of the latter or when the supervisor is unwilling to continue to guide the



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candidate or in any other circumstance necessitating such a change, the DRC may recommend a change of supervisor through the Dean of the Faculty, to the Vice-Chancellor who may allow change of the supervisor.

The DRC at its discretion may also decide whether change of supervisor will require fresh registration of the candidate.

- 7.15** Teachers of University of Lucknow and its Associated/Constituent colleges (fully funded by the Government) may be permitted to present a thesis for the degree of Doctor of Philosophy after five years of continuous service as a full time teacher in the University/College without a supervisor provided that his/her topic has been duly approved by Board of Faculty at least two full academic sessions before the date of submission of the thesis. The procedure of evaluation of such a thesis shall be the same as that of those submitted by regular Ph.D. candidates.

8. Depository with UGC

- 8.1** Following the successful completion of the evaluation process and conferment of the award of Ph.D. the University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions Universities.
- 8.2** The University shall host another soft copy of the Ph.D. thesis on its website for general viewing.
- 8.3** Only after completion of above for (8.1, 8.2) the University along with the Degree shall issues a provisional certificate certifying to the effect that the Degree has been awarded in accordance with the provision of UGC (Minimum standard and procedure for award of M.Phil/Ph.D. Degree) Regulation 2009.

9. Ph.D. in Multi departmental Interdisciplinary Institutes of the University:

In addition to the pursuit of Ph.D in departments, facility for research leading to Ph.D. degree shall be available in the following Institutes of the University in subjects approved for them:

A. Institute of Development Studies. :

Subjects : Development Studies, Business Economics,

Participating Departments: Economics, Applied Economics, Business Administration, Sociology, Statistics, Social Work, Commerce, History, Psychology and Public Administration.



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B. Institute of Tourism Studies :

Subject :Tourism Studies

Participating Departments : Ancient Indian History, Commerce, Public Administration, Business Administration

C. Institute of Women Studies :

Subject : Women Studies

Participating Departments : Education, English, Hindi, Political Science. Philosophy, Psychology, Law, Sociology, Social Work, Ancient Indian History, Economics.

There shall be no additional Ph.D seats in these multi-departmental interdisciplinary institutes unless regular whole time faculty members are appointed in the institutes themselves. For faculty otherwise associated with these Institutes, the number of Ph.D students shall have to be adjusted against the seats for the associated faculties of these institutes in their parent departments with no more than 2 for Professor and 1 each for Associate/Assistant Professor, respectively.

The procedure for admission, evaluation and award concerning pursuit of Ph.D in these multi departmental interdisciplinary Institutes of the University shall be same as that prescribed for regular departments with following mode of membership for Board of Studies and DRC for these institutes.

Board of Studies of multi-departmental Institutes :

Shall consist of the Director of the Institute as the Chairman and all HODs of the participating departments as its members.

The directorship of these multi departmental Institutes shall be rotated amongst the heads of the participating departments with the tenure of the additional charge of Directorship being coterminous with tenure of the headship. Furthermore, no head of the department shall serve as Director of more than one Institute at the same time.

DRC of multi-departmental Institutes :

Shall consist of all members of the BOS and the proposed supervisors for the Ph.D. candidates.

9. Subjects Available for Ph.D. :



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The dissertation submitted for the degree of Ph.D. shall be in some branch of one of the following subjects :

(A) FACULTY OF ARTS

1. Ancient Indian History and Archaeology
2. Anthropology
3. Arab Culture and Civilization
4. Arabic
5. Modern Arabic
6. Arab Culture
7. Economics
8. English
9. Hindi
10. History (Medieval and Modern Indian History)
11. Home Science
12. Hospital Management
13. Journalism (Mass Communication)
14. Library Science
15. Linguistics
16. Statistics
17. Mathematics
18. Oriental Studies in Sanskrit
19. Persian
20. Philosophy
21. Physical Education
22. Political Science
23. Psychology
24. Public Administration
25. Public Health
26. Sanskrit and Prakrit Language
27. Social Work
28. Sociology
29. Urdu
30. Western History
31. Business Economics
32. Development Studies
33. Jyotir Vigyan
34. Military Science (Defence Studies)
35. Women Studies
36. Geography
37. Composite History
38. Population Education and Rural Development
39. Criminology and Criminal Justice Administration



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(B) FACULTY OF SCIENCE

1. Biochemistry
2. Biotechnology
3. Bioinformatics
4. Botany
5. Chemistry
6. Computer Science
7. Environmental Science
8. Geology
9. Statistics
10. Mathematics
11. Physics
12. Zoology
13. Anthropology

(C) FACULTY OF COMMERCE

1. Applied Economics
2. Business Administration
3. Commerce

(D) FACULTY OF EDUCATION

1. Education

(E) FACULTY OF LAW

1. Law

(F) FACULTY OF AYURVEDA

- (1) Samhita, Sanskrit Evam Sidhant
- (2) Rachana Sharir
- (3) Kriya Sharir
- (4) Dravyagun
- (5) Ras Shastra
- (6) Rog Nidan
- (7) Swastha Vrit evam Yog
- (8) Agad Tantra
- (9) Kaumar Bhritya
- (10) Prasuti Tantra evam Stri Rog
- (11) Kaya Chikitsa



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- (12) Shalya Tantra
- (13) Shalakya Tantra
- (14) Panch Karma

(G) FACULTY OF FINE ARTS

- 1. Painting
- 2. Applied Arts
- 3. Sculpture