

# **UNIVERSITY OF LUCKNOW**



## **Doctor of Philosophy (Ph.D.) Ordinance 2016**

**(Amended as per UGC regulation/notification dated May 5,  
2016 and published in Gazette of India no. 278 dated July 5,  
2016)**



# UNIVERSITY OF LUCKNOW LUCKNOW

## Doctor of Philosophy (Ph.D.) Ordinance 2016

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### 1 PREAMBLE

- 1.1 In exercise of powers conferred by clause (1) of section-52 (3) of the U.P. State Universities Act, 1973 (President's Act No. 10 of 1973), as re-enacted and amended by the Uttar Pradesh Universities (Re-enactment and Amendment) Act, 1974 (U.P. Act No. 29 of 1974), the University of Lucknow hereby amends the following Ordinance. This Ordinance may be called "The University of Lucknow, Doctor of Philosophy (Ph.D.) Degree Ordinance, 2016."
- 1.2 In order to regulate the minimum standards and procedures for award of Ph.D. degree in conformity with the University Grants Commission (Minimum Standards and Procedure for award of Ph.D. Degree ) Regulations-2016, dated 05 May, 2016, the following ordinance is promulgated (amended after ordinance of 2015) to make provisions for Ph.D. admission in different faculties of the University. This ordinance shall come into effect from 2016 onwards, in supersession of all the previous Ph.D. Ordinances. They shall come into force from the session 2016-17.
- 1.3 Those candidates who have been registered for Ph.D. before the promulgation of this Ordinance would be governed by the earlier Ordinance issued from time to time under which he/ she had been admitted.
- 1.4 The University of Lucknow would consider the admission for Ph.D. programmes in the faculties of Science, Arts, Commerce, Education, Law, Fine Arts, Ayurveda and Unani, and Institutes which have been established as per the First Statutes of the University of Lucknow.
- 1.5 The process of admission for Ph.D. programme would be held once every year as per the notification of the University.

### 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. and LL.D.) shall not exceed 08 for a Professor, 06 for an Associate Professor and 04 for an Assistant Professor, respectively.
- 2.2 Based on the above allocation and number of Ph.D. students who have already been registered for Ph.D. with all supervisors in the Department/ Institute with valid studentship, the Head of each Department shall obtain the number of feasible Ph.D. positions available with each prospective supervisor and communicate the total number of such feasible vacancies to the Registrar through their respective deans. The number of Ph.D. seats communicated by a faculty member to the Head of the Department/ Director of the Institute will not be ordinarily changed and it shall be mandatory for the prospective supervisor to guide the number of Ph.D. students that he/she has communicated to the Registrar.
- 2.3 These vacant seats shall be divided as per reservation category-wise and would be classified for each Department/ Institute. The subject-wise available feasible number of seats for Ph.D. shall be displayed on the University website for which

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newspaper advertisement would be made.

- 2.4** Permanent teachers of the Institutes would be eligible to supervise students for Ph.D. degree if all other eligibility criteria are fulfilled. For teachers otherwise associated with these Institutes from different departments of the University, the number of Ph.D. students shall have to be adjusted against the seats for the associated teachers of these institutes in their parent departments such that no more than two for Professor and one each for Associate/ Assistant Professor respectively. In case only one vacancy is given by a teacher, the same would be admissible in his parent department only.
- 2.5** Admission to Ph.D. programme would ordinarily be held only in those subjects in which regular Post Graduate courses are being offered by the University. In case of allied disciplines/ interdisciplinary subjects, the Departmental Research Committee of the respective department/s would be taking an appropriate decision which would be binding on the candidate. However, the Ph.D. degree would be awarded in that subject only in which the candidate has taken admission.
- 2.6** Provided that in Environmental Science, the Ph.D. programme can be pursued in any department of the Science Faculty and the Ph.D. degree would be awarded in the Environmental Science itself. However, the available number of seats in Environmental Science should be indicated by respective departments at the beginning of the admission process as mentioned in section 2.2 and 2.4.

### **3 ELIGIBILITY CRITERIA FOR CANDIDATES SEEKING ADMISSION TO Ph.D. PROGRAMME**

- 3.1** Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 3.2** A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible, based only on the qualifying marks without including the grace mark procedures.

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*Provided* further that the students appearing for final year or final semester of their post-graduate degree examination will also be eligible to appear for the admission process subject to the fulfillment of minimum eligibility criteria in the final result thereof.

- 3.3** A candidate shall ordinarily be permitted to pursue research for the Ph.D. degree in the subject in which he/she holds Master's degree. For post graduate degree in allied/ interdisciplinary subjects, eligibility would be ascertained as per para 2.5.

## **4 PROCEDURE FOR ADMISSION**

- 4.1** The procedure for admission to Ph.D. programme in different departments/ institutes would be overall governed by the UGC regulation 2016. There would be two streams of applicants, namely (i) Those coming through a Qualifying Entrance Test (**QET**) and (ii) those Exempted from QET. All such candidates would be pooled together and would undergo interview process. The final selection of both the categories of candidates in the Ph.D. programme would be based on the performance of candidates in the interview board only, as per provisions of clause 4.3.2, and the decision of the interview board would be final.

- 4.2** Ph.D. programme through distance education mode is not allowed either by the University or its Associated college/ Institutes.

### **4.3 Stream I: Procedure For Entry Through QET**

- 4.3.1** This category of applicant has to appear in a QET organized by the concerned department/ Institute/Coordinator appointed by the Vice Chancellor, under the overall supervision of the University.

- 4.3.2** The applicants who have qualified the QET would be required to appear for a process conducted by the Department/ Institute concerned before an interview board, approved by the Vice Chancellor with Head of the Department being the Chairperson. The Interview board would consist of (i) Head of the Department, (ii) Two Professors (by seniority and rotation every year) (iii) two external subject experts nominated by the Vice Chancellor (iv) one representative of SC/ST and OBC category each (in case, the panel does not already have an expert of the category). Such SC/ST and OBC representative shall act as observers only (and shall not award any marks to the applicants in the interview board) and shall submit their reports to the Vice Chancellor.

- 4.3.2.1** The interview process shall consist of assessing the candidates on the basis of the following three criteria (stages):

(i) A research proposal (in 400-600 words) in the area of research interest of the applicants to be submitted by the applicant to the interview board.

(ii) A power point presentation of the said research proposal by the applicant in the interview board

(iii) A personal interview

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Maximum marks allocated to these three criteria (stages) of interview process shall contribute to 20 marks each for stages (i) (ii) and (iii) amounting to an accumulative contribution of maximum of 60 marks for this part of the process.

**4.3.3** The syllabus of the QET will be the same as prescribed for the PG Programmes of the University of Lucknow. The fee for the Application Form for Ph.D. admissions, prescribed for different categories, would be determined by the University.

**4.3.4** The QET would be of 90 minutes duration. There would be a single question paper of 100 marks having 100 multiple choice questions for assessing the subject proficiency and research aptitude of the candidate. The QET shall have the minimum qualifying marks as 50%.

**4.3.5** The question paper may ordinarily be prepared by the Department/ Institute concerned through its Head of the Department/Director or their nominee.

**4.3.6** The applicants appearing for the QET would be required to pass the examination to be eligible for consideration for admission across all the categories. Twice the number applicants, in order of merit secured in the Entrance test, would be called for interview as per the available number of Ph.D. Vacancies subject-wise subject to fulfilling the criteria of minimum 50 % marks obtained in QET (Clause 4.3.4). This eligibility pertains to the level of being called for the interview only and may not guarantee admission.

#### **4.4 Stream II: Procedure For Entry with exemption from the Qualifying Entrance Test (QET)**

**4.4.1** This stream of applicants will come through having exemption from the Qualifying Entrance Test as per provisions made under clause 5 of this ordinance and would directly appear to the interview board having composition and procedure as detailed under clause 4.3.2 of this ordinance.

#### **4.5 Final Selection and List Preparation**

**4.5.1** The marks obtained in the interview board (maximum 60 marks) as detailed under clause 4.3.2 of this ordinance shall be added to the academic index (maximum 40 marks) of the applicants. The total result will be computed out of 100 marks.

#### **4.6 Academic Index**

Academic index of the applicants shall be calculated on the basis of percentage of marks obtained at undergraduate and Postgraduate levels and those who have secured grants for research such as fellowship/ scholarship/associateship etc. from UGC (NET-JRF)/ CSIR(NET-JRF)/GATE/MHRD Scholarship/Teacher Fellowship/ DBT / ICMR / ICAR / DST-INSPIRE etc. (as per clause 5.4) and shall be computed out of an accumulative index of 40% as per breakup given below:

**4.6.1** This shall be computed for marks obtained by the applicants at each of undergraduate and post graduate levels (maximum 10 marks at each level amounting to an accumulative index of 20)

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- |                                               |          |
|-----------------------------------------------|----------|
| (a) Percentage of Marks 75 % and above:       | 10 marks |
| (b) Percentage of Marks 60% to less than 75%: | 8 marks  |
| (c) Percentage of Marks less than 60%:        | 5 marks  |

**4.6.2** Applicants having fellowship/ scholarship/associateship etc. from UGC (NET-JRF)/ CSIR (NET-JRF)/ Teacher Fellowship/ DBT / ICMR / ICAR / DST-INSPIRE etc. (as per clause 5.4) shall be awarded 20 marks.

**4.7** The Interview Board would prepare category wise merit list (based on the performance in the interview [steps i, ii and iii as detailed under clause 4.3.2 of this ordinance] plus contribution towards academic index (as detailed in clause 4.6 of this ordinance) of pooled applicants of both the streams). The final selection list would be displayed on the University's website as well as on the departmental/ Institute's Notice Board within Two days of the last day of Interview.

## 5 EXEMPTIONS FROM THE QUALIFYING ENTRANCE TEST

**5.1** The second stream of students belonging to following categories of candidates shall be exempted from the Qualifying Entrance Test for admission to Ph.D. programme but would be interviewed by the interview board as mentioned in para 6.1

**5.2** Permanent Assistant Professors, Associate Professors and Professors having appointment on substantive posts in the Teaching departments of the University of Lucknow or a government aided college associated to the University who have completed their probation successfully with an experience of at least Two years of uninterrupted service would be considered under this category. Teachers appointed in self finance courses and teachers belonging to those colleges which run on Self finance basis will not be exempted from the test.

**5.3** Foreign students sponsored by the concerned embassy and having appropriate fellowship will be exempted from test, subject to the general rules framed by the Government of India from time to time and as applicable to the University with regard to the admission etc.

**5.4** Candidates who have secured grants for research such as fellowship/ scholarship/ associateship etc. from UGC (NET-JRF)/ CSIR(NET-JRF)/ GATE-MHRD Scholarship/ Teacher Fellowship/ DBT / ICMR / ICAR / DST-INSPIRE / SLET etc. or those who have been selected in government agency sponsored projects through open selection procedure after due advertisement and have research experience for a minimum period of Two years duration and have at least one publication in refereed impacted journal.

**5.5** Candidates who have successfully completed their M.Phil. from the University of Lucknow only and were earlier admitted through National level test for their M.Phil. programme.

**5.6** A permanent employee of any government department/ public sector undertaking/

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R & D organization/Other University/ private industry who is sponsored as a full-time candidate by the said organization for research work with at least 5 years of service and who is relieved on study leave for a period of not less than three years for pursuing Ph.D. programme in a Department/ Institute of the University. Number of such sponsored candidates admitted per year would ordinarily be not more than one per programme.

### 6 FINAL SELECTION

6.1 The final selection of candidates in the Ph.D. programme would be based on the performance of all the candidates (coming through QET or QET exempted category of candidates) in the interview board and academic index and the decision of the Interview board would be final. This result would be based on the marks obtained in the interview and academic index as detailed in clause 4.3.2 and 4.6.

### 7 COURSE WORK

7.1 The finally selected candidates would be required to submit the stipulated fees for admission to Course-work only. This fee would include the fee for doing Course Work and the amount of fee would be decided by the University. All such candidates would be deemed to be provisionally admitted in the Ph.D. Programme.

7.2 All admitted candidates shall undertake a course work for a minimum period of one semester as prescribed by the University.

7.3 The supervisor would be allotted to the candidates by the DRC of the Department/ Institute before the start of the course work. Once admitted, while pursuing the course work, the candidate shall actively interact with the allotted supervisor in their chosen field of research. The candidate would submit a synopsis with Title of research for Ph.D. work and submit his/ her synopsis immediately after successful completion of course work to the Head of the Department/ Director of the Institute concerned.

7.4 The course work shall be treated as pre-Ph.D. preparation. It would include two papers. The first being a compulsory course on research methodology and may include quantitative methods and computer applications; reviewing of published research in the relevant field and other techniques/ methods, specific for the broad subject area. The second paper would include research methods specific to the candidate's/supervisor's chosen research area. This system will have to be decided by the departmental/ Institute's board of studies at the time of submitting vacancies to the Registrar, in accordance with the research areas open in that session.

7.5 The Ph.D. course work shall be of 08 credits.

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- 7.6** The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree.
- 7.7** All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- 7.8** All candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work successfully prescribed by the Department during the initial 1 or 2 years.
- 7.9** Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent in the course work in order to be eligible to continue in the programme leading to the completion of Ph.D. thesis. A Marksheet/ Grade-Card would be provided by the University.
- 7.10** The Head of Department would be responsible for preparing the time-table and course content for the course work, teaching and assessment schedule (examination), continuous evaluation, internal assessment and shall conduct the same under the overall supervision of the concerned Dean of Faculty.
- 7.11** The pass marks in the Course Work (including internal assessment) shall be 55 percent for each paper or component for all categories of students.
- 7.12** If a candidate fails to qualify the course work examination in first attempt, he/ she will be given only one additional attempt (last) to clear the course work examination along with the next regular batch to qualify this examination after paying due fees. However, in all such cases where the candidate has failed to pass the Course-work examination in first attempt, he/ she would not be given the benefit of the duration of the course work for the minimum residency period/ studentship period in continuity. In all such cases, the residency period of only one semester (6 months) shall be reckoned for successful completion of the course-work.
- 7.13** Successfully completion of Course Work would be binding on all the Ph.D. candidates including teacher Candidates.

## **8 APPROVAL OF SYNOPSIS AND REGISTRATION TO Ph.D. PROGRAMME**

- 8.1** The candidates who have successfully completed their course work shall be required to submit a synopsis of the proposed research work and would make a presentation before the DRC of the Department/ Institute for its approval.
- 8.2** In case, the DRC finds that the synopsis is not up to the mark, it shall make

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specific suggestions for improving the synopsis. The candidate, after making the necessary improvements shall re-submit his/ her synopsis for approval. The revised synopsis is to be submitted within a week from the date of the DRC meeting. If the next meeting of DRC is satisfied on this point, it shall recommend and forward the application to the Faculty for permission being granted to the candidate for registration in the Ph.D. programme.

- 8.3** The Dean of Faculty shall place all such recommendations before the Faculty Board for approval.
- 8.4** 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. The candidate would be required to submit the fee for Ph.D. work (Semester-wise or Annual, as decided by the University) after the approval of the admission committee.

## **9 ELIGIBILITY CRITERIA OF SUPERVISOR AND RELATED REGULATIONS**

- 9.1** The number of research scholars per supervisor shall not ordinarily exceed the number mentioned in section 2.1.
- 9.2** Any regular Professor of the University with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university/ College with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 9.3** Permanent teachers with a proven track record of research, as evidenced by publications in peer-reviewed journals, working in a Post-graduate department of a Government or Government aided Associated college of the University of Lucknow and fulfilling all the requirements of clause 9.2 of this ordinance will be allowed to act as a Ph.D. supervisor. In case of the Science subjects, the supervisor will have to provide evidence for having sufficient laboratory facilities for carrying out the proposed research work. At any given time, to start with, no such teacher will be allowed to take more than two candidates for supervision. The admission of students will be done as per the University admission process. All other provisions of the Ph.D. Ordinance 2016 shall remain same.
- 9.4** 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 the provisions. Necessary infrastructure facility for research

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would be admissible to the research student only.

- 9.5** Provided further that the Vice-Chancellor on the recommendation of the Supervisor, the Head of the Department/ Director of the Institute, and the Dean, may allow a candidate to work for Ph.D. at a research centre of repute with which a Memorandum of Understanding (MOU) has been signed by the University for this purpose and the candidate can have a Co-supervisor from such institution who shall not be below the rank of Professor or Scientist of equivalent rank from the research centre/ Institution concerned. The research organizations with which MoU have been signed should also recognize University faculty as Supervisor.
- 9.6** A teacher of the University who is himself enrolled for Ph.D. degree in the University of Lucknow or elsewhere would not be allotted any Research student till he/ she is awarded the degree.
- 9.7** Only a full time regular teacher of the University/ College can act as a supervisor. The external supervisors are not allowed. However, Co- Supervisor can be allowed in inter-disciplinary areas from other departments of the University/ College or from other related institutions with the approval of the DRC.
- 9.8** The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.
- 9.9** In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.
- 9.10** In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.
- 9.11** Additional conditions in all such transfer cases would be: (a) There should be fully justified valid reasons for the transfer, which should be from a Institution other than those falling within the jurisdiction of Lucknow (b) Other compelling reasons would be considered subject to approval by the Vice Chancellor (c) No Objection Certificate from both the institutions are the pre-requisite (d) In all such transfer cases, there should be compatibility in the research proposal being carried out in the Original Institution and the University of Lucknow (e) There is availability of vacancy with the approval of the proposed Supervisor as per UGC norms.

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- 9.12** A supervisor shall not be allowed to supervise a candidate who is his/ her relative whether by blood or by marriage. Explanation: In this ordinance “relative” means the relations provided in the explanation to section 20 of the U.P. State Universities Act 1973.
- 9.13** No change of supervisor shall ordinarily be allowed, but in special cases, where the Head of the Department/ Director of the Institute is satisfied that the research work of a Ph.D. student will suffer. The matter would be placed before the DRC which may recommend a change of supervisor to the Vice-Chancellor through the Dean of Faculty who may allow the change of supervisor. The reasons might be any of the following:
- 9.13.1** On account of migration, retirement, long leave or for any other reason, the supervisor may not be available to guide the scholar
- 9.13.2** As the supervisor is not willing to, or not in a position to supervise the candidate
- 9.13.3** Due to some extra-ordinary situation necessitating such a change.
- 9.14** The DRC, at its discretion may also decide whether change of supervisor will require fresh registration of the Ph.D. student.
- 9.15** Regular permanent teachers of the University and its associated colleges 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 Faculty Board and has been registered for Ph.D. programme at least Thirty Six months (Six Semesters) before the date of submission of the thesis. The procedure of evaluation of such a thesis shall be the same as for those submitted by regular Ph.D. candidate with one additional examiner (*Three* external examiners). Thirty Six months would be calculated from the date of submission of the fee as mentioned in the first fee receipt would be considered. However, there would not be any exemption from course work for the teacher candidate.

## 10 SUBMISSION OF THESIS

- 10.1** Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in the clauses above, as the case may be, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time as stipulated.
- 10.2** Prior to the submission of the dissertation/thesis, the scholar shall make a presentation before the Department Research Committee which shall be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Departmental Research Committee.
- 10.3** The Academic Council of the University would evolve a mechanism using well

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developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution. A certificate from the Research Supervisor attesting to the originality of the work etc. should also be attached to the thesis

- 10.4** The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the University, of whom one examiner may ordinarily be from outside the country. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the HOD with one of the two external examiners. This thesis Viva-Voce examination would be open to all faculty members of the Department, other research scholars and other interested experts/ researchers.
- 10.5** The open *viva-voce* of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the *viva-voce* examination. If the evaluation report of one of the external examiners is unsatisfactory and does not recommend for *viva-voce*, the University will send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
- 10.6** The University would ensure that the entire process of evaluation of Ph.D. thesis is completed within a period of six months from the date of submission of the dissertation/thesis.
- 10.7** The period of a candidate's studentship shall be counted from the date of the First fee receipt of the Ph.D. Course work provided he/she has successfully completed the Course work in the first attempt. Otherwise, only one semester (6 months) period would be counted for the purpose of calculation of Residency period if the candidate passes it in the subsequent attempt.
- 10.8** Continuance of registration of candidate in the Ph.D. programme shall depend on his/her satisfactory progress and good conduct. The University reserves the right to cancel the registration of any candidate in the event of his/ her conduct and progress being found unsatisfactory or hiding of facts etc. on the recommendation of the supervisor and/ or Head/ Dean.
- 10.9** A research scholar shall appear before the Departmental Research Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Departmental Research Committee to the Faculty Board with a

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copy to the research scholar.

- 10.10** In case the progress of the research scholar is unsatisfactory, the Departmental Research Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DRC may recommend to the Faculty Board with specific reasons for cancellation of the registration of the research scholar.
- 10.11** A candidate registered for the Ph.D. Degree shall be required to pursue his/ her research at the approved Department/ Institute of the University/ Institution under the supervisor and on the topic approved continuously for not less than **Three Years** and a maximum of **Six Years** including Course Work duration of One Semester (Six Months). This would be called as the Residency period of the Research Scholar. No candidate would be exempted from the continuous Residency period.
- 10.12** The **women** candidates and **Persons with Disability** (more than 40% disability) may be allowed a **relaxation of two years for Ph.D. in the maximum duration**. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days within the residency period.
- 10.12.1** Provided that the Vice-Chancellor, on the recommendation of the Supervisor, the Head of the Department/Director of the Institute, and the Dean, grant permission to candidate to reside outside for purpose of collection of 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 after approval of the Ph.D. Synopsis.
- 10.13 Title Change after registration**
- 10.13.1** A candidate may be permitted to minor changes in the title of his/ her thesis by the Dean of the Faculty concerned on recommendations from the Supervisor and the Head of the Department/ Director of the Institute, but not later than six months before the submission of his/ her thesis.
- 10.13.2** In case of major modifications/ topic change, the candidate shall be treated as a fresh case and shall not be allowed to submit the thesis before Thirty Six months.
- 10.14** In case, a candidate fails to submit his/ her thesis within Six calendar years from the date of Registration (Studentship period including course work), he/she shall cease to be *regular* student of the University and shall not be entitled to the rights and facilities extended to a regular student.
- 10.14.1** Provided that such a candidate may, under special circumstances be permitted by the Vice-Chancellor, on collective recommendations of the supervisor, the Head of Department and the Dean of the Faculty concerned, to submit his/ her thesis within a maximum period of Eight years including the Six years period of his/her studentship.

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- 10.15** A candidate submitting his/her thesis after the expiry of Six years period shall have to pay additional fee as decided by the University.
- 10.16** The registration of the candidate who does not submit his/ her thesis within Eight years from the date of his/ her studentship shall be deemed to be cancelled automatically. However, in case the student wishes to continue the research, he/ she will have to apply to the Vice Chancellor for re-registration through the Supervisor/ Head/ Dean. In all such cases, the candidate has to apply for Re-Registration within the preceding Six months of the Eight Year period. The thesis must be submitted within one year of Re-registration. The candidate would not be further given any extension for submission of the thesis under whatsoever condition.
- 10.17** The research student shall publish at least One research paper in refereed journal or in any of the journals approved by the respective Department/ Institute and present at least 2 research papers in seminars/ conferences before the submission of the thesis for evaluation and produce evidence for the same in the form of acceptance letter/ reprint and paper presentation certificate as the case may be.
- 10.18** A thesis already presented for the Master of Philosophy (M. Phil.) Degree shall not again be accepted for the degree of the 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 evinced by discovery of new facts, or fresh interpretation of facts or theories and should be so certified by the scholar and the supervisor separately.
- 10.19.1** When the thesis is ready for submission, the student shall inform the Head of the Department/ Director of the Institute through Supervisor, regarding completion of the research work embodied in the synopsis one month before expected date of submission.
- 10.19.2** The Head of the Department/ Director of the Institute concerned shall place the application before the Board of Studies of the Department/ Institute, which shall recommend a panel of not less than six external examiners of at least Associate Professor level along with their e-mail address, postal address, fax and contact number of each expert 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 experts, inclusive of the supervisor, shall be appointed by the Vice-Chancellor in accordance with the due procedure to evaluate the thesis. It is to be ensured that at least three examiners (out of six examiners) of the proposed panel belong to three different states other than Uttar Pradesh as recommended by the Board of Studies.
- 10.19.3** In case, the thesis is not submitted within the time of three months, the panel of examiners shall stand lapsed and a fresh panel shall have to be recommended by the Board of Studies.
- 10.19.4** Every effort should be made to ensure that the panel of examiners is representative in terms of the University and that not more than one examiner is

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chosen from the same University/ Institution. The Vice Chancellor would select Two examiners from this panel who should belong to two different states other than Uttar Pradesh. Examiners can also be chosen from reputed institutions from outside India as well.

- 10.20** The thesis should embody original work, not published or submitted earlier except in the form of research publications. The research scholar shall submit the thesis in three printed or type-written copies along with the three copies of summary and approved synopsis to accompany each copy of the thesis. Published matter may also be incorporated mentioning the sources as part of the thesis.
- 10.20.1** The medium of expression in every thesis shall be either English or Hindi (written in Devanagri Script) except in the case of subject connected with any of the oriental languages where the thesis can be presented in that language.
- 10.21** The thesis must comply with the following conditions :-
- 10.21.1** It must be a piece of research work characterized either by the discovery of facts or theory. In either case it should reflect the candidate's capacity for critical examination and sound judgment. The candidate shall communicate, how far the thesis embodies the result of candidate's own observations and in what respects his investigations may advance knowledge in the subject.
- 10.21.2** It shall be satisfactory so far as its literary presentation is concerned and must be in a form suitable for publication.
- 10.21.3** The thesis shall be accompanied by three separate certificates as given below and should be duly signed:
- 10.21.4** Self declaration certificate from the candidate (**Annexure – A**).
- 10.21.5** Certificate from the Supervisor/Joint-Supervisors (**Annexure – B**).
- 10.21.6** Certificate for the successful completion of course work by the Head of the Department/ Director of the Institute (**Annexure – C**).
- 10.22** Three copies of the thesis shall be submitted in compact bound form along with a soft copy (CD/ DVD). Along with the thesis, 3 copies of the Summary should also be submitted. The final thesis shall be presented in accordance with the following specifications:
- 10.22.1** The paper used for printing shall be of A-4 size.
- 10.22.2** Printing shall be in a standardized form on both the sides of the paper and in 1.5 spacing.
- 10.22.3** A margin of about 2.5 cm shall be on all sides excluding the margin required for binding.
- 10.22.4** The cover and back cover should be of cardboard of reasonable thickness.
- 10.22.5** The Title of the thesis, name of the candidate, degree, Name of the Supervisor, place of research with seal and the month and year of submission shall be printed

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on the Title page and the front cover.

- 10.22.6** The spine of the thesis should mention Ph. D. Thesis on the top, Name of the Candidate, Title and Month & Year.

#### **11 EVALUATION AND ASSESSMENT METHODS**

- 11.1** On receipt of the thesis including the certificates as mentioned in para 11.14 (bound within) along with the stipulated fee, the thesis shall be sent ordinarily within two weeks to examiners selected for the purpose after receiving their consent through email/ post. In no case, the examination time for all this process shall exceed three months. In case the acceptance is not received from the proposed examiners, new examiners would be selected by the Vice Chancellor.

#### **11.2 Evaluation Report**

- 11.2.1** If the examiners consider the thesis to be of a sufficient merit, they may recommend that the thesis be accepted for the award of the degree of Doctor of Philosophy.

- 11.2.2** On receipt on satisfactory evaluation reports, these shall be laid before the examination committee or Sub-Committee thereof appointed for the purpose.

- 11.2.3** If reports of the examiners show a divergence of opinion between the examiners, the Vice Chancellor may direct that the reports be exchanged between them, the examiners being requested to submit a joint report, if possible.

- 11.2.4** If there is divergence of opinion even after the exchange of the 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 re-submitted. The revised thesis shall ordinarily be examined by the same set of examiners for evaluation after obtaining their consent afresh.

*Provided* further that in case, two examiners reject a thesis originally or after the exchange of report, the thesis shall be finally rejected and the candidate may seek re-registration.

- 11.2.5** 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 amongst 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.

- 11.2.6** The Head of Department shall preside and conduct the proceeding of the Viva-Voce examination, but he/ she shall not be party to the decision.

- 11.2.7** In case the supervisor is not available, the Head of Department himself or any

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senior teacher of the Department/ Institute as recommended by the Board of Studies may act as internal examiner.

- 11.2.8** The Viva-Voce Examination shall be held ordinarily at the University in the concerned Department/ Institute and 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 Examination, Committee or Sub-Committee, as the case may be, may recommend that the result of the candidate be declared and the result shall be declared accordingly.
- 11.3** It would be the responsibility of the University that the Ph.D. thesis evaluation work is completed and Viva Voce examination is conducted within One year from the date of submission of thesis if all the examiner's reports are satisfactory.
- 11.4** A hard copy and an electronic version on a CD/ DVD of each accepted thesis shall be lodged with the University Library or research centre at which the candidate pursued research where it will be open to public inspection.
- 11.5** The report of examiners of the thesis may be given to the candidate on his/ her written request, only in cases where the thesis has been finally accepted for award of the degree after due payment as decided by the University.

## 12 DEPOSITORY WITH UGC

- 12.1** 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 University Grants Commission within a period of thirty days for hosting the same on INFLIBNET, accessible to all Institutions/ Universities.
- 12.2** The University would host another soft copy of the Ph.D. thesis on its own website for general viewing.
- 12.3** The University, along with the degree, shall issue a Provisional Certificate certifying to the effect that the degree has been awarded in accordance with the provisions to the University Grants Commission (Minimum Standards Procedure For Award of M.Phil./ Ph.D. Degree) Regulations, 2016 (ANNEXURE- D and the list of criteria given herewith).

## 13 GENERAL

- 13.1** Any issue regarding the interpretation of this Ordinance shall be referred to the Vice-Chancellor, whose decision, in his capacity as the Chairman, Academic Council, shall be final and binding on all parties. The Vice-Chancellor may constitute necessary committees pertaining to any specific issue arising out of the present ordinance to resolve the issue.
- 13.2 Leave Rules**
- 13.2.1** A Ph. D. scholar shall be eligible to avail leave as per the University rules

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applicable to all other students of the University. He/she shall not be entitled for any inter-semester breaks, winter and summer vacations. However, he/she would be entitled for an additional leave of up to 10 days on medical grounds in an academic year. The aforesaid leave provisions are cumulative. All such leave would not be reckoned for calculation of minimum requirement of 36 months for submission of Ph.D. thesis and in such a situation, requirement of full 36 months needs to be completed.

- 13.2.2** The leave shall be granted by the Head of the Department/ Director of the Institute on the recommendation of the supervisor.
- 13.3** Attendance Requirements: A candidate, who is pursuing course work as a part of his/her Ph. D. programme, is expected to have full (100%) attendance in each course. However, a maximum of 25% attendance may be condoned by the Vice Chancellor on the recommendation of Head of the Department/ Director of the Institute and Dean of the Faculty for cogent reasons as per university rules.
- 13.4** Attendance Register for all the Ph.D. students for both Course work and Ph.D. duration is to be maintained in the office of the department/ Institute under the Head/ Director of the Institute.
- 13.5** Residency period means residing in Lucknow Municipal limits in a continuous manner for the entire duration of the Ph.D. thesis work. Absence due to taking up of a job outside Lucknow or for any other reason would amount to incomplete tenure of the Residency period. In all such cases specific study leave with permission to complete the Ph.D. work from the employer as well as from the DRC of the Department/ Institute would be pre-requisite before continuing with the completion of the Residency period requirements. In all such cases, only once for single duration, such permission can be granted.
- 13.6** There would be a separate Register which would be maintained by the University in which the information about the Ph.D. awarded in different departments/ Institutes where the name of the candidate, topic of research, name of supervisor/s, date of registration, date of submission and date of declaration of result would be recorded. This information would also be put on the University's website.
- 13.7** The candidate seeking admission in an allied discipline should ensure his/ her eligibility in that subject for which he/ she is seeking admission.
- 13.8** Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009 till the date of implementation of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of M.Phil/Ph.D Degree) Regulation, 2009.
- 14 LIST OF SUBJECTS FOR Ph.D. PROGRAMME**
- The dissertation submitted for the degree of Ph.D. shall be in some branch of one of the following subjects:

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**14.1 FACULTY OF ARTS**

Ancient Indian History and Archaeology  
Anthropology  
Arab Culture and Civilization  
Arabic  
Business Economics  
Composite History  
Criminology and Criminal Justice Administration  
Development Studies  
Economics  
English  
French  
Geography  
Hindi  
History (Medieval and Modern Indian History)  
Home Science  
Hospital Management  
Journalism (Mass Communication)  
Jyotir Vigyan  
Library Science  
Linguistics  
Mathematics  
Military Science (Defence Studies)  
Modern Arabic  
Oriental Studies in Sanskrit  
Persian  
Philosophy  
Physical Education  
Political Science  
Population Education and Rural Development  
Psychology

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Public Administration  
Public Health  
Public Policy  
Sanskrit and Prakrit Language  
Social Work  
Sociology  
Statistics  
Tourism and Travel Management  
Urdu  
Western History  
Women Studies

**14.2 FACULTY OF SCIENCE**

Anthropology  
Biochemistry  
Biotechnology  
Bioinformatics  
Botany  
Chemistry  
Computer Science  
Environmental Science  
Geology  
Mathematics  
Physics  
Statistics  
Zoology

**14.3 FACULTY OF COMMERCE**

Applied Economics  
Business Administration  
Commerce

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**14.4 FACULTY OF EDUCATION**

Education

**14.5 FACULTY OF LAW**

Law

**14.6 INSTITUTE OF MANAGEMENT SCIENCES**

Business Administration

**14.7 FACULTY OF FINE ARTS**

Applied Arts

Painting

Sculpture

**14.8 FACULTY OF AYURVEDA**

Agad Tantra

Dravyagun

Kaumar Bhritya

Kaya Chikitsa

Kriya Sharir

Panch Karma

Prasuti Tantra evam Stri Rog

Rachana Sharir

Ras Shastra

Rog Nidan

Samhita, Sanskrit Evam Sidhant

Shalakya Tantra

Shalya Tantra

Swastha Vrit evam Yog

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**14.9 FACULTY OF UNANI**

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**ANNEXURE – A**

**CANDIDATE'S DECLARATION**

I,....., certify that the work embodied in this Ph. D. thesis entitled .....is my own bona-fide work which was carried out by me under the supervision of ..... and the joint-supervision of ..... for a period of ..... (months/days) from ..... to..... at the University of Lucknow. The content embodied in this Ph. D. thesis has not been submitted for the award of any other degree/diploma.

I declare that I have faithfully acknowledged, given credit to and referred to the research workers wherever their works have been cited in the text and the body of the thesis. I further certify that I have not wilfully used any other person's work, para, text, data, results, etc. reported in the journals, books, magazines, reports, dissertations, theses, etc., or available at web-sites/ Internet and included them in this Ph. D. thesis and cited that as my own work.

Date: .....

(Signature of the candidate)

Place : Lucknow

(Name of the candidate)

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**ANNEXURE – B**

**CERTIFICATE FROM THE SUPERVISOR/ CO-SUPERVISOR**

This is to certify that the research work embodied in the thesis entitled .....by Mr./ Ms. .... was carried out under my/ our supervision and that the candidate has worked under me/ us for the period required under the Ordinance.

Date: .....

(Signature of the Supervisor)

Place : Lucknow

(Signature of the Co-Supervisor)

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**ANNEXURE – C**

**CERTIFICATE FROM THE HEAD OF THE DEPARTMENT/ DIRECTOR OF THE  
INSTITUTE FOR SUCCESSFUL COMPLETION OF Ph.D. COURSE WORK**

This is to certify that Mr./ Ms. .... has successfully completed the Ph.D. course work on ..... (date of declaration of result) as required under the Ordinance.

Date: .....

(Signature of the Head of the Department/  
Director of the Institute)

Place : Lucknow

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**ANNEXURE – D**

**CERTIFICATE AS PER THE UNIVERSITY GRANTS COMMISSION NOTIFICATION  
3<sup>RD</sup> AMENDMENT (MINIMUM STANDARDS PROCEDURE FOR AWARD OF Ph.D.  
DEGREE), 2016 dated 4/05/2016.**

**To WHOM SO EVER IT MAY CONCERN**

This is to certify that Mr. / Ms. ....Son/ daughter of .....was awarded Ph.D. degree in the subject of .....Enrolment No. ....by this University in the year .....As per University rules/ records, his/ her Ph.D. degree fulfils.....(given Number) criteria suggested by U.G. C. Regulations 2016.

1. Ph.D. Degree of the Candidate awarded in Regular Mode only.
2. Evaluation of the Ph.D. Thesis by at least Two External Examiners.
3. Candidate has 2 Research publications from his/ her Ph.D. work out of which at least one is in a refereed journal.
4. The Candidate has made at least 2 presentations in conference/ seminars based on his/ her Ph.D. work (Certificate of presentation attached).
5. Open Ph.D. Viva-Voce of the candidate had been conducted.

**REGISTRAR**

**UNIVERSITY OF LUCKNOW, LUCKNOW -226007**

*Please see the University website ([www.lkouniv.ac.in](http://www.lkouniv.ac.in)) for updates*

**Disclaimer**

All precautions have been taken to include the updated eligibility criterion, number of seats and fees structure of the University of Lucknow. In case of any discrepancy, the eligibility criterion, number of seats and amount of fees for each course entered in the official records of the University will be final.