Notification

A copy of the Ph.D. Regulation, 2023 of the University is enclosed herewith for necessary action.

This is issued with the approval of Competent Authority.

Copy to:
1. All Deans/Heads/Coordinators of School/Department/Courses, BBAU, Lucknow.
2. Director, UIET, BBAU, Lucknow.
3. OSD, Satellite Centre, Amethi Campus, Amethi.
4. Controller of Examinations, BBAU, Lucknow
5. AR to Hon’ble VC, BBAU, Lucknow.
6. PS to Registrar, BBAU, Lucknow.
7. I/c University website, BBAU, Lucknow for its uploading.
8. Guard File.
1. Introduction

1.1 This regulation shall be called Doctor of Philosophy (Ph.D.) Regulations 2023 incorporating the provisions of the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022.

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

2. Eligibility Criteria for Admission to Ph.D. Programme:

Subject to the conditions stipulated in these regulations, the following persons are eligible to seek admission to the Ph.D. programme:

2.1 Candidates who have completed-

A 1-year/2-semester Master's degree programme after a 4-year/8-semester Bachelor’s degree programme or a 2-year/4-semester Master’s degree programme after a 3-year Bachelor’s degree programme or qualifications declared equivalent to the Master’s degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.

Provided that a candidate seeking admission after a 4-year/8-semester Bachelor’s degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled & Economically Weaker Section (EWS).

OR

An equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.
2.2 Candidates who have completed –

The M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled & Economically Weaker Section (EWS).

3. Duration of the Programme:

3.1 Ph.D. Programme shall be for a minimum duration of three years, including course work, and a maximum duration of six (6) years from the date on which candidate deposits his/her fee. Date of registration of the research scholar shall be same on which the candidate deposits his/her first semester fees.

3.2 Course work shall be completed in first two semesters from the date of registration in the Ph. D. Programme. The Ph.D. programmes being governed by other regulatory bodies shall follow the duration mentioned in their concerned regulation.

3.3 Residential requirements, including the duration of coursework, shall be three years. During residency period, the scholar is expected to be present full time on all working days in the department/location identified by the supervisor for conducting Ph.D. related work. After three years, the candidate may be allowed to submit his/her thesis for evaluation. However, the candidate may temporarily de-register himself/herself if he/she gets a regular job in any government-autonomous organization/PSU/ Other Organization with due recommendation of DRC and approval of Competent Authority. The minimum residency for de-registration is two years from the date of registration. In such cases, the candidate has to pay retention fee that should be the same fee prescribed for Ph.D. programme. If, candidate fails to pay the retention fee within stipulated period of time, he shall be governed by the applicable University norm (Clause No 5 of this regulation).

The seat of such Ph.D. scholar shall be retained under the concerned supervisor, the scholar will be considered on roll with the same supervisor. After re-registration, the candidate would be required to complete minimum residency of three years, if not completed earlier.
3.4 A candidate may re-register up to one year before the maximum stipulated time of his/her Ph.D. duration. Re-registration request should be routed through proper channel to DRC in prescribed format.

3.5 A maximum of an additional two years may be given through a process of re-registration in special cases only where DRC recommends on cogent grounds and approval is granted by Vice Chancellor. However, the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of registration to the Ph.D. programme. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years on justified grounds, recommended by DRC and approved by Vice Chancellor; however, in any case, the total period for completion of a Ph.D. programme should not exceed ten (10) years from the date of admission in the Ph.D. programme.

3.6 Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to a maximum of 240 days in the entire duration of the Ph.D. programme.

3.7 A registered research scholar cannot pursue two full time/regular (Online/ Offline) academic degree programmes during the duration of his/her Ph.D. programme.

4. **Procedure for Admission:**

4.1 The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms issued by the UGC and other statutory/regulatory bodies concerned and taking into account the reservation policy of the University from time to time.

4.2 **Admission to the Ph.D. programme shall be made using the following methods:**

The University may admit the students through the merit of National level examinations (U.G.C./I.C.A.R./I.C.M.R./G.A.T.E./G.P.A.T./D.B.T./D.A.E./I.C.H.R/N.T.A., etc. as notified by the University from time to time) and Interview, following the methods mentioned below.

4.2.1 University shall notify a prospectus well in advance on the University website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;

4.2.2 University reservation policy, as applicable will be followed.

4.2.3 The University shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/center), along with the
details of Ph. D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website of the University and update this list every academic year.

4.2.4 The number of Ph.D. scholars to be admitted shall be declared by DRC of respective departments in accordance with clause number 6.5 of this regulation and the availability of fellowship grants from UGC.

4.2.5 Students shall be called for an interview in a ratio of 1:5 with respect to the notified vacant seats; however, the minimum eligibility will be 50% marks in Entrance Test.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled & Economically Weaker Section (EWS). Candidate of SC/ST category may be considered under Open Category subject to fulfillment of the eligibility criteria prescribed for Open Category.

4.2.6 Maximum two permanent employees of the University may be admitted under supernumerary admission in the Ph. D. programme in each department in each academic session, subject to a maximum of 10% employees of each cadre at any point of time. However, the minimum eligibility will be 50% marks in National level examinations (as per notification of the University).

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled & Economically Weaker Section (EWS).

4.2.7 Each supervisor can guide up to two international scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 5.3.

4.2.8 For the selection of candidates based on the National Level Test as defined in clause 4.2, a weightage of 70 % of the such test and 30 % of the performance in the interview/viva-voce shall be given.

4.2.9 The criteria for 30% marks for the performance in the interview shall be as follows-

The basis of final shortlisting of candidates for admission will be on the merit of marks obtained in national level test (70% weightage), and Interview (30% weightage) put together.

The Interview component (30 marks) will comprise of-

A. Weightage for Academics- 05 Marks

- Bachelor’s degree (% of Marks obtained in UG X 2/100),
- Master’s degree (% of Marks obtained in PG X 3/100),
• 04 Year Bachelor’s degree Hons with Research (% of Marks obtained in 4 Year UG X 5/100)

B. Weightage for Fellowship etc. -10 Marks
• JRF/Any other National level Fellowship -10 marks or
• M.Phil. +NET-7 marks or
• M.Phil./NET-5 marks

C. Weightage for Research Proposal -5 Marks
D. Weightage for Personal Interaction -10 Marks

5. Registration and Tuition Fee:

5.1 Students admitted shall register and pay the fees for the semester in which he/she is admitted. The fee structure for Ph.D. admission will be as per the University norms and revision may be carried out by the University in the fee structure time to time as it is required.

5.2 Fellowship for Ph.D. shall be given as per applicable UGC norms. The research scholars who failed to complete their research work within stipulated period of time as per regulation 2023 and availed the scholarship from UGC/ICSSR/CSIR/ICAR/DST/MoE/University or any other funding agency of the central government/state government/UT, will have to follow the norms of the concerned funding agency for the scholarship.

5.3 Late fee of Rs.500/ shall be charged for the first 10 days after the due date of registration/fee submission notified by the University. Beyond 10 days to 30 days-Rs. 1,000/ (30 USD for foreign candidates) will be charged as late fee and fee can be submitted on the recommendation of supervisor (if allotted) and HoD. After expiry of one month, the registration of the candidate will be cancelled automatically.

5.4 Fee, once paid to the University, shall not be refunded except the caution money.

5.5 Fee payable for Ph.D. programme shall be decided by the University time to time.

6. Allocation of Research Supervisor

• Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

6.1 Permanent faculty members working as Professor/Associate Professor of the University with a Ph.D., and at least five (05) research publications in UGC-CARE/Scopus/Web of Science/SCI/SSCI listed/indexed journals and permanent faculty members working as Assistant Professors in the University with a Ph.D., and at least three (03) research publications in UGC-CARE/Scopus/Web of Science/SCI/SSCI listed/indexed journals may be recognized as a Research
Supervisor in Babasaheb Bhimrao Ambedkar University. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only be co-supervisors. In addition to this, any provision given by UGC for supervision of research scholar shall also be applicable.

The Vice Chancellor of the University may also supervise Ph.D. scholar as per this regulation.

6.2 Adjunct Faculty shall not act as a research supervisor and can only act as a co-supervisor.

6.3 In case of interdisciplinary/multidisciplinary research work, if required, a co-supervisor from outside the Department/School/Centre/University may be appointed.

6.4 Co-Supervisor /Joint Supervisor/Administrative Supervisor

6.4.1 Co-supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority. Co-Supervisor may be appointed within one year of the registration in the Ph.D. programme on the recommendation of the supervisor, if the DRC considers it necessary. The seat of supervisor as 1 seat and co-supervisor will be treated as ½ seat while counting of the seats under his/her supervision. There shall also be a provision to appoint Co-Supervisor from those foreign Universities and institutions which have signed MoUs with Babasaheb Bhimrao Ambedkar University, Lucknow and have research collaboration with the University before the approval of the topic in the DRC.

6.4.2 In case of joint Ph.D. registration where Ph.D. degree shall be provided jointly from two institutions under MoU, the first supervisor shall be from the institution where the candidate has taken the admission. Supervisor from other institution will be termed as Joint supervisor.

6.4.3 In case the candidate has successfully defended pre-Ph.D. seminar of his/her thesis as per the regulation of the University and thereafter the supervisor proceeds on long leave or is absent from the University, the DRC of the department may appoint the Head of the Department as “Administrative Supervisor” for completing the rest of the formalities. However, the existing supervisor shall continue to be considered as supervisor. The name of the Administrative Supervisor will not be displayed in the thesis and the number will not be counted in the supervision.
6.5 An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time. However, each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars.

6.6 If a scholar has submitted his/her Ph.D. thesis, it will be presumed that a vacancy has been created and the concerned faculty member may be allowed to take another Ph.D. scholar for supervision in lieu of such vacancy.

6.7 In Ph.D. Programme, there should not be more than two co-supervisors. When there is more than one co-supervisor, it should be counted ½ seat for each of the co-supervisors.

6.8 In case the vacant seats in the department are being summed up and resulting in a fractional number while declaration of vacant seats, in all such cases lower round-off number shall be considered.

6.9 In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

6.10 Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

6.11 The University shall maintain the list of all the Ph.D. registered students on its website. The list shall include the name of the registered candidate, the topic/ area of his/her research, the name of his/her supervisor/co-supervisor(s), the date of enrollment/registration.

7.0 Admission of International candidates in Ph.D. programme-

7.1 The admission for foreign/NRI/PIO candidates shall be taken up as per University regulations prescribed for the Foreign/NRI/PIO candidates.

7.2 Each supervisor can supervise up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 6.5 above.

7.3 The University may decide its selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by
statutory/regulatory bodies concerned from time to time.

7.4 At any point of time, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 6.5 and clause 7.2 taken together of this regulation.

8.0 Change of Supervisor shall normally not be allowed. Only under special circumstances change of supervisor may be considered by the D.R.C. and this may be approved by the Vice-Chancellor and reported to Academic Council.

8.1 If the supervisor of a candidate proceeds on long leave for a period of more than 12 months, or he/she proceeds on leave for a period of less than 12 months but later extends it beyond 12 months, then prior to proceeding on leave beyond six months the supervisor must recommend/propose the name of authorized signatory/ Co-supervisor to the DRC with the consent of research scholar.

8.2 If the supervisor of a candidate expires or is terminated from the University service or otherwise, he/she shall cease to be the supervisor.

8.3 In all the cases where the existing supervisor of a candidate ceases to be the supervisor, the DRC shall appoint a co-supervisor from the same discipline. If there is no co-supervisor for the concerned candidate or the co-supervisor is from a different discipline, then the DRC shall appoint a new supervisor from amongst the faculty members with the consent of scholar. This seat may be allotted beyond the maximum no. of seats permissible.

9.0 Course Work-

- Credit requirements, number, duration, syllabus, minimum standards for completion, etc.

9.1 The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a course on Research Methodology, except for the candidates with 4-year/8-semester Bachelor’s degree programme having Honors with Research. The candidates with a 4-year/8-semester Bachelor’s degree program having Honors with Research are being admitted to Ph.D. Program, they should complete additional courses of 12 credits as per the recommendation of RAC and approval of DRC. In such cases, duration of completion of coursework shall remain the same.

9.2 The Research Advisory Committee can also recommend UGC-recognized online courses as part of the credit requirements for the Ph.D. programme and it may be approved by the DRC.
9.3 The minimum credit assigned to the Ph.D. coursework shall be 12 credits, as mentioned in the given table.

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Course code</th>
<th>Paper Title</th>
<th>Credit</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>DPH 101</td>
<td>Research Methodology</td>
<td>04</td>
</tr>
<tr>
<td>2</td>
<td>DPH 102</td>
<td>Elective-1</td>
<td>03</td>
</tr>
<tr>
<td>3</td>
<td>DPH 103</td>
<td>Elective-2</td>
<td>03</td>
</tr>
<tr>
<td>4</td>
<td>DPH 104</td>
<td>Research Publication and Ethics</td>
<td>02</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Total credits</strong></td>
<td><strong>12</strong></td>
</tr>
</tbody>
</table>

The candidates admitted with a 4-year/8-semester Bachelor’s degree program having Honors with Research-12 additional credits. Total =24 Credits. This should be completed in the initial two semesters.

Selection of elective courses of 12 additional credits shall be specified by the concerned DRC. During coursework, the elective courses may be opted through MOOCS recognized by UGC. Literature review will not be counted as an elective course.

In course work for Ph.D.,

(i) required attendance is 75% and

(ii) the pass percentage is 55% marks or its equivalent grade.

In the Ph.D. coursework, the Results and Grade sheets will only carry Pass/Fail results with CGPA and Percentage.

(iii) Grading for Ph.D. programme will be the same as University follows for other programmes.

9.4 All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4 to 6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations as assigned by the department.

9.5 A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue the programme and submit his or her thesis.

10. Mode of Evaluation of Course Work

10.1 Every course will be evaluated on the basis of 30% sessional and 70% end-semester examination. However, for UGC-recognized online/MOOCs, their evaluation scheme shall be followed.
10.2 The composition of sessional test (such as term paper, book review, presentation, written examination) may be decided in detail by the department. However, there shall be written test in the End Semester Examination based on the syllabus floated by the DRC in each course.

10.3 The course work shall be treated as prerequisite to proceed for carried out research for the award of the Ph.D. Degree.

11. Research committees including Research Advisory Committee and its Functions. -

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 following committees-

I. The Research Degree Committee of the University (RDCU)

II. The Department Research Committee (DRC)

III. Research Advisory Committee (RAC)

II. The RDCU shall consists of the following:

I. Vice Chancellor (Chairperson) or authority nominated by Vice-Chancellor for this purpose

II. Dean of the School concerned

III. Head of Department concerned

IV. All members of the concerned Department Research Committee

V. Supervisor and Co-supervisor (if any) of the Ph.D. scholar concerned

The Controller of Examination shall be the Member Secretary and Convener to all the RDCU’s

The Function of RDCU:

There shall be a RDCU-

11.1.1 To consider the approval of recommendations of examiners and report of Viva-Voce Board.

11.1.2 To declare the research scholar eligible for the award of the degree as per Statutes/Ordinances/ Regulations of the University.

11.1.3 The degree of Ph.D. will be conferred in the Convocation of the University after approval/ award of the RDCU.

II. DRC Committee

The DRC shall consist of the following

I. The Head of Department (Chairperson)

II. All Professors in the Department
III. One Associate Professor and one Assistant Professor of the department concerned, by rotation according to the seniority for a period of two years provided such teachers have Ph.D. degree.

IV. Supervisor and Co-supervisor, if any, shall attend as special invitee(s) for disposal of cases of his/her Ph.D. scholar.

V. One SC/ST nominee with Ph.D. degree and not below the rank of Associate Professor shall be nominated by the Vice Chancellor from amongst the teachers of the University for a period of two years if there is no SC/ST member in the committee.

VI. Generally, DRC shall meet at least twice a year, but special meetings may be held in case of necessity.

**DRC Functions**

11.2.1 There shall be a DRC, or an equivalent body for a similar purpose as defined in the Statutes/Ordinances of the University, for each Ph.D. scholar. The Supervisor of the Scholar shall be the member of this Committee. This Committee shall have the following responsibilities:

11.2.2 To review the research proposal and finalize the topic of research;

11.2.3 To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.

11.2.4 To periodically review and advise on the progress of the research work of the research scholar.

11.2.5 A research scholar shall appear before DRC once in six months (preferably towards the end of the semester) to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports shall be submitted to the Department through proper channels.

11.2.6 In case the progress of the research scholar is observed as unsatisfactory by the DRC, the DRC shall record the ground for the same and suggest the corrective measures.

11.2.7 If the research scholar fails to implement those corrective measures, the DRC may recommend cancellation of the registration of the research scholar to the University with specific reasons.

11.2.8 A record of the progress of work of Ph.D. scholars shall be kept by his/her supervisor. The six monthly (Semester) progress report of the candidate shall be forwarded by the supervisor/co-supervisor (if any), as the case
may be, to the Head of the Department on the prescribed proforma, in triplicate. The concerned DRC shall consider and comment on the progress of reports and forward the same with specific recommendations to the Dean. The subsequent six-monthly reports shall be sent in a similar manner. The first or second six monthly report shall indicate the specific topic of research, although not necessarily the precise title of the thesis, which can be notified in subsequent DRC.

11.2.9 Normally, there should be minimum 75% attendance of the research scholar (Ph.D. students), based on the departmental monthly records. In case of field or library-based studies the requirement of attendance can be relaxed by the Head of Department on recommendation of the concerned supervisor and RAC.

11.2.10 In case the research scholar is working in other Institution/University/Centre, with his/her co-supervisor, the co-supervisor may maintain his/her attendance in that institution and inform the supervisor about it. However, such research scholars will be required to be present in the degree-awarding University i.e. Babasaheb Bhimrao Ambedkar University during the period of their course work.

11.2.11 Registration of Ph.D. scholar shall be liable to be cancelled by the DRC at any time if: (a) the course work is not completed in stipulated time. (b) Two consecutive six-monthly (semester) progress reports are not submitted or 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 (f) If any disciplinary action is taken by competent authority.

11.2.12 The DRC shall report to the Academic Council through School Board, all its proceedings pertaining to the Ph.D. programme in the Department.

11.3 Research Advisory Committee (RAC)

11.3.1 There shall be a Research Advisory Committee for each Ph.D. scholar. The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee, and there will be two members working in a similar/allied/connected field, one from the DRC of the Department and another from the School/University. Any other faculty member/expert may also be added to RAC as per requirement and subject to the approval of DRC.

RAC shall have the following responsibilities:

i. To review the research proposal and finalize the topic of research.
ii. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
iii. To periodically review and assist in the progress of the research work of the Ph.D. Scholar.

11.3.2 Each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph. D. scholar’s progress report to the DRC. A copy of such recommendations shall also be provided to the Ph. D. scholar.

11.3.3 In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the grounds for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific grounds, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

12. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.-

12.1 Upon satisfactory completion of course work and obtaining the marks/grade prescribed in Clause 3 and Clause 8 of Regulation above, the Ph.D. scholar shall be required to undertake research work and produce a draft thesis.

12.2 Before submitting the thesis, the Ph.D. scholar shall make a presentation before the concerned Research Advisory Committee (RAC), which may also be open to all faculty members and other research scholars/students.

12.3 The research scholar should have to go for similarity checks in research work. The research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree. In case of any violation, it should be dealt under the provisions of UGC Regulation on Academic Integrity and Prevention of Plagiarism (PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018) issued time to time.

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

12.5 No Ph.D. scholar shall submit any work that 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 that in the Preface of his/her thesis, the extent to which such a work, previously done, had been incorporated.
12.6 Ph.D. scholar must publish at least two (02) research papers in UGC-CARE/Scopus/Web of Science/SCI/ SSCI listed journals and make two (02) paper presentations in the National/International conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints. A Patent granted shall be considered equivalent to a publication.

12.7 On completion of research work for the Ph.D. by the candidate, the Head of the Department, on the candidate’s request duly forwarded by supervisor and on the recommendation of RAC, 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 (s) for improvement of the research work, if any.

12.8 After the seminar, the supervisor shall forward the application of the candidate for submission of the thesis with separate abstract in FOUR Copies along with a certificate about completion of the pre-Ph.D seminar and a copy of two research papers in UGC-CARE/Scopus/Web of Science/SCI/ SSCI and presentation of two papers in conferences/seminars (excluding review papers and book chapters).

12.9 A Ph.D. scholar shall submit the thesis, along with the Abstract of the research work in not more than 3000 words; for evaluation after getting No-dues from Library/Labs and departments concerned, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and (c) that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.

12.10 The concerned research supervisor shall submit a panel of eight (08) external experts from the area concerned with the research for evaluation of the thesis as mentioned in para 12.11 to the DRC. Subsequently, the list approved by DRC shall be forwarded to the Controller of Examinations (COE) in the prescribed format with all other relevant documents as mentioned above. The Controller of Examinations shall submit the panel of Examiners to the Vice Chancellor for appointment of two external examiner(s). Out of the two external examiners nominated by Vice-Chancellor for evaluation of Ph. D. thesis, one will be invited to conduct Viva-Voce Examination of the scholar. Vice Chancellor may also nominate name of examiners from India as well as abroad, other than the list of examiners forwarded by DRC.

12.11 Following are the criteria for recommending the external examiner(s) for the submission of the panel of examiners to evaluate the thesis.
(a) The examiner should not be below the rank of Professor or equivalent. The senior scientists from research organizations having pay scale of Professor may be permitted for examinership. The examiner should be preferably from Central/State Universities/ IITs/ NITs/ IISC/ CSIR/ ICAR/ Institution of National Importance/ Institute of Eminence.

(b) Examiner who has been appointed for thesis evaluation will not be repeated for one year.

(c) More than one examiner should not be from the same University/ Institution/ Organization etc.

(d) The panel of recommended external examiners should contain the correct designation, name of affiliating institution with complete postal and email address with telephone/mobile numbers for the speedy evaluation of the thesis.

(e) The CoE shall get in touch with each examiner and send the offer letter of examinership along with a copy of the abstract of the thesis for acceptance.

12.12 The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by at least two external examiners nominated by the Vice-Chancellor, who are experts in the field and not in employment of the University concerned. Such examiner(s) should be academicians having a good record of scholarly publications in the field. Wherever possible, one of the external examiners may be chosen from an organization located outside India, not below the rank of Associate Professor or equivalent.

12.13 The viva-voce board shall consist of Head of the Department, Research Supervisor, Co-supervisor/ Joint supervisor (if any) and one of the two external examiners as nominated by Vice-Chancellor. The Viva-Voce may also be conducted online. The Viva-Voce shall be open to the members of the Research Advisory Committee/DRC/ faculty members/research scholars, and students.

12.14 The Viva-Voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis for award of the degree, after incorporating any suggestions/corrections, if any, suggested by them. If one of the external examiners recommends rejection, the University shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the report of the alternate examiner is unsatisfactory i.e. he/she does not recommend acceptance of the thesis for award of the degree, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.

12.15 The University shall preferably complete the entire process of evaluating a Ph.D. thesis, including the declaration of the viva-voce result, within a period of six (6)
months from the date of submission of the thesis.

12.16 Abstract of the thesis should be sent to the external examiners along with appointment/offer letter. The examiner shall ordinarily be required to accept the appointment offered by the University within a month from the issue of the letter. A reminder may be sent through email by the CoE after one month from the issue of the offer letter of examinership. In case no response is received up to the next 15 days from the issue of the reminder letter i.e. in case of non-receipt of any information from an examiner within one and half month time from the date of issue of the letter of appointment, his/ her appointment shall stand cancelled and another examiner shall be appointed.

12.17 The examiner(s) may recommend one of the following- that-

(a) the thesis be accepted for the award of the Ph.D.
(b) the thesis be accepted for the award of the Ph.D. after incorporation of changes suggested.
(c) the thesis re-submitted in a revised form.
(d) the thesis shall be rejected.

12.18 If the examiner is accepting for the award of the Ph.D. after incorporation of changes suggested by him/her but does not ask for sending it back for re-examination, in this case, the changes incorporated as per suggestion of the examiner should be verified by the DRC and the same should be communicated to the CoE.

12.19 In case one or more examiners seek clarification or recommend revision, the report(s) of the examiner(s) concerned without mentioning the name(s) shall be sent to the Ph.D. scholar through the supervisor concerned to enable the former to submit clarification through the supervisor 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(s) for perusal and if examiner(s) is satisfied, he/she will make specific recommendation for the award of the degree; forward the copy of the thesis and the Controller of Examination will take suitable action(s) to get the report of the examiner(s) expeditiously. 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 requirement of revision is notified.

12.20 If a report is not received from an examiner within the stipulated period of three months, the Controller of Examination shall send reminder, and if required, two more reminders, with a time gap of 15 days. If an examiner does not send a report, despite two reminders, the Controller of Examinations, after seeking the approval of Vice Chancellor shall send the thesis to another examiner.
12.21 In case of unsatisfactory report of two external examiners, the thesis shall be rejected. However, candidates may be permitted by DRC to re-register with the same or similar topic again and in such cases, the minimum time for submission of the Thesis shall be three (03) semesters. The maximum duration shall be the same as mentioned in clause 3 and counted from the date of the registration in the Ph.D. programme.

12.22 If the examiners reports are unanimous, the Open Viva-Voce examination of the candidate shall be conducted by a Board consisting of the Head of the Department (Chairman), Supervisor (also Co-supervisor/Joint supervisor, if any) as internal examiner(s) and one External Examiner who have examined the thesis. The date and time of the viva-voce examination shall be fixed by the Supervisor in consultation with the external examiner, chairman and other members, if any.

12.23 The external Examiner shall submit a comprehensive report on the Viva-voce examination of the candidate regarding his/her performance, including the response of scholar on questions raised. The Board, conducting the open 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.

12.24 The candidate shall, in case of publication of the thesis in any form, in full or in part, state on the title page that it was a thesis approved for the award of the Ph.D. degree by Babasaheb Bhimrao Ambedkar University, Lucknow.

13. PhD through Part-time Mode

13.1 Ph.D. programme through part-time mode will be permitted, provided all the conditions applicable in these Regulations are fulfilled.

13.2 Minimum duration of the Ph.D. programme for part-time mode shall be 04 Years from the date of admission in the Ph.D. programme, provided other conditions as specified for regular mode of Ph.D. shall be applicable.

13.3 Ph.D. through Part-time Mode will be allowed only to those candidates who are already in the employment of Government/Semi-government/Autonomous organizations/ Government-aided colleges/ Research and Development Projects/ Reputed Industries/ Business organizations (registered under the Companies Act & listed in the Stock Exchange) and Entrepreneur (running a firm with annual turnover not less than Rs. Fifty crores), approved by the DRC, with relevant work experience as mentioned in 13.6.

13.4 The following eligibility conditions apply for the Part-time programme.

Only employees of Government/Semi-government/Autonomous organizations/ Government-aided colleges/ Research and Development Projects/ Reputed Industries/ Business organizations (registered under the Companies Act & listed in the Stock
Exchange) and Entrepreneur (running a firm with annual turnover not less than Rs. Fifty crores), approved by the DRC, with relevant work experience as mentioned in 13.6 are eligible for admission to these programmes.

13.5 Procedure of Admission in Part Time Mode

For the selection of candidates based on the National Level Test as defined in clause 4.2, a weightage of 70% of the test and 30% of the performance in the interview/interaction shall be given.

The criteria for 30% marks for the performance in the interview/Interaction shall be as follows-

The basis of final shortlisting of candidates for admission will be on the merit of marks obtained in national level test (70% weightage), and Interview/Interaction (30% weightage) put together.

The Interview component (30 marks) will comprise of-

A. Weightage for Academics- 05 Marks

- Bachelor’s degree (% of Marks obtained in UG X 2/100),
- Master’s degree (% of Marks obtained in PG X 3/100),
- 04 Year Bachelor’s degree Hons with Research (% of Marks obtained in 4 Year UG X 5/100)

B. Weightage for Fellowship etc -10 Marks

- JRF/Any other National level Fellowship -10 marks or
- M.Phil. +NET-7 marks or
- M.Phil./NET-5 marks

C. Interview/Interaction -10Marks

D. Marks of relevant work experience in relevant Industries/Patents/Consultancy/ Sponsored Research Projects as P.I/ Co-P.I/C.I (Max.-05 Marks)

- Marks of relevant experience in relevant Industries
  Experience > 6 and Experience < 7 Years- 01Marks
  Experience > 7 and Experience < 8 Years- 02 Marks
  Experience > 8 Years- 03 Marks

- Marks for Patents (Granted Only)
  Marks for patent credentials when applicant is listed in first three Patentee.
  01 Patent - 01 Marks
  02 Patents -02 Marks
  03 Patents and more -03 Marks

- Marks for Consultancy/ Sponsored Research Projects as P.I/ Co-P.I/C.I
  Consultancy/ Project up to Rs. 10,00,00/-01 Marks

Page 18 of 21
• Candidate shall be called for an interview in a ratio of 1:5 with respect to the notified vacant seats; however, the minimum eligibility will be 55% marks in the eligibility qualification.

• A relaxation of 5% marks or its equivalent grade in eligibility criteria may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently abled & Economically Weaker Section (EWS).

13.6 The minimum full-time experience required after obtaining the qualifying degree and as on the date of registration is given below in Table:

<table>
<thead>
<tr>
<th>Qualifications</th>
<th>Work Experience # (Post Qualification)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Master’s Degree</td>
<td>05 Years</td>
</tr>
<tr>
<td>Undergraduate Degree</td>
<td>06 Years</td>
</tr>
</tbody>
</table>

# Supporting document of work experience along with ITR/ Form-16 of respective years shall be submitted by the candidate along with the application.

13.6.1 Minimum qualification for these candidates shall be the same as that for full-time candidates.

13.6.2 Part-time candidates seeking admission to a Part -time Ph.D. programme are required to submit a “No Objection Certificate” (NOC) and “Relieving Certificate” from the appropriate authority in the organization clearly stating the following:

i. That he/she will be relieved and granted leave for a minimum period of 1 year or till completion of course work, whichever is earlier.

ii. That his/her official duties permit him/her to attend required classes/ interaction.

iii. That his/her official duties permit him/her to devote sufficient time to research. Lack of confirmation and clarity on one or more of the above points in the NOC may prevent the applicant’s application form being processed, even if he/she qualifies for the interview/screening.

13.6.3 The ratio of part-time seats may not be more than the 20% of the vacant seats subject to the maximum of 10% of sanctioned seats at any point of time for each Department.

13.6.4 Fee of Part-Time Ph.D. shall be as decided by the University from time to time.
14. Joint Degree Ph.D. Programme (JDP)

14.1 “Joint Degree Ph.D. Programme” (JDP) shall be offered jointly by the collaborating Institutions and upon completion of the programme the Degree shall be awarded jointly with a single Certificate by the institution where the scholar has taken admission first (home institution).

14.2 A research scholar will have one of the institutes assigned as home institute for the administrative purpose.

14.3 Candidates admitted in Ph.D. programme shall also be given an option to join JDP. The list of available institutions for JDP programme shall be advertised in the admission prospectus.

14.4 The supervisors of both the institutions joining JDP shall mutually finalize the area of research work and it should be notified along with vacancy under this programme.

14.5 A research scholar will be able to work in any pair of departments between collaborating institutions and such scholar must spend at least 12 months at each of collaborating institution at any time while pursuing JDP. If a scholar completes a course at collaborating institutions, its credit must be transferred to scholar’s credit bank at home institution.

14.6 Travel expenses shall be governed by the rules and policies set by collaborating institutions.

14.7 Scholar enrolled in JDP shall receive fellowship/assistantship as per norms of home institution framed for JDP.

14.8 A scholar enrolled in JDP shall be governed by leave rules of home institution.

14.9 A candidate to be awarded the Joint Ph.D. Degree has to submit a thesis at home institution, embodying the findings of his/her research carried out under this programme. The thesis should make an original contribution of high quality to the advancement of knowledge as judged by the experts in the relevant area.

14.10 A candidate becomes eligible for the award of the Joint Ph.D. Degree after fulfilling the academic requirements prescribed in this regulation.

14.11 The award shall be made upon the recommendation of the governing bodies of home institute.


14.13 All other provisions related to offering of JDP shall be decided mutually by the collaborating institutions conforming to the respective guidelines, rules, regulations and laws of their respective institution and country.
15. **Sponsored Full-Time Research Scholar**

15.1 Sponsored Full-Time Research Scholars are those who receive financial support from employer belonging to Government/Semi-government/Autonomous organizations/ Government-aided colleges/ Research and Development Projects/ Reputed Industries/ Business organizations (registered under Companies Act & listed in Stock Exchange) and Entrepreneur (running a firm with annual turnover not less than Rs. Fifty crores), approved by the DRC, with relevant work experience as mentioned in 13.6.

15.2 Such sponsored full-time research scholars must be sponsored by his/her employer and must have been in employment with the sponsoring organization for at least five years at the time of admission. Candidates in service are to be released on leave from the organization for full-time research work at the Institute and must furnish a sponsorship along with No-Objection Certificate from the employer.

15.3 Such candidates will have to fulfill the minimum residency requirement of 03 years. Other rules shall be same as stipulated for regular mode of Ph.D. Programme of this regulation.

16. **Issuing a Provisional certificate**

Prior to the actual award of the degree, just after the notification of the result of Ph.D., the Controller of Examinations may issue a provisional certificate to the effect that the degree has been awarded in accordance with provisions laid down in applicable UGC Regulations for Award of the Ph. D. Degree.

17. **Award of Ph.D. degrees under these Regulations**

Award of degrees to candidates registered for the Ph.D. program on or after these Regulations shall be governed by these Regulations. Candidates registered prior to this shall be governed by their appropriate regulations. Nothing in these Regulations shall impact the M.Phil./PhD degree programs commencing prior to the notification of these Regulations.

18. **Depository with INFLIBNET**

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the research scholar concerned shall submit an electronic copy of the Ph.D. thesis to the library for uploading on INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.