

# UNIVERSITY OF LUCKNOW LUCKNOW



## Doctor of Philosophy (Ph.D.) Ordinance 2018

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Vice-Chancellor  
Lucknow University

A handwritten signature in black ink, appearing to be 'A. K. Singh', written over a faint circular stamp.

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Lucknow University  
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**University of Lucknow  
Lucknow**

In supersession of all previous Ph.D. ordinance(s) of the University of Lucknow, the Executive council makes new Ph.D. ordinances 2018 in conformity with the University Grants Commission (Minimum Standards and Procedure for award of M.Phil./Ph.D. Degree) Regulations-2016, dated 05 May, 2016 in exercise of powers conferred in it vide section 52 subsection 3 of U.P State Universities Act 1973 (as amended from time to time) in its meeting held on October 22, 2018.

**1 Short Title, Application and Commencement**

- 1.1 This Ordinance shall be called "The University of Lucknow, Doctor of Philosophy (Ph.D.) Degree Ordinance."
- 1.2 The University of Lucknow (herein after referred to as University) would consider the admission for Ph.D. Programs 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 and its Associated/Affiliated/Autonomous Colleges.
- 1.3 Those candidates who have been registered for Ph.D. before the promulgation of these Ordinances would be governed by the earlier Ordinances issued from time to time under which they had been admitted.
- 1.4 The process of admission for Ph.D. Program would be held once every year as per the notification of the University.

**2 Eligibility criteria for admission to Ph.D. programme:**

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

- 2.1 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.
- 2.2 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.
- 2.3 A person whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme in the University of Lucknow
- 2.4 Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, 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, shall be eligible for admission to Ph.D. programme.

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**3 Duration of the Program**

- 3.1 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years from the date of admission.
- 3.2 Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the University of Lucknow.
- 3.3 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.

**4 Procedure for admission:**

- 4.1 The University shall admit Ph.D. students through an Entrance Test conducted for this purpose. The University may decide separate terms and conditions for Ph.D. Entrance Test for those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder or have passed M.Phil programme.
- 4.2 The University shall:
- 4.2.1 Decide on an annual basis through their academic bodies a predetermined and manageable number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio (as indicated in Para 5.5), laboratory, library and such other facilities;
- 4.2.2 Notify well in advance on its website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates;
- 4.2.3 Adhere to the National/State-level reservation policy, as applicable.
- 4.3 The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.
- 4.4 The University shall admit candidates by a two stage process through:
- 4.4.1 An Entrance Test will be conducted with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The Entrance Test shall be conducted at the Centre(s) notified in advance (changes of Centres, if any, also to be notified well in advance) by the University of Lucknow, and
- 4.4.2 An interview/viva-voce when the candidates are required to discuss their research interest/area through a presentation before a duly constituted Departmental Research Committee.
- 4.5 The interview/viva voce shall also consider the following aspects, viz. whether:
- 4.5.1 The candidate possesses the competence for the proposed research;
- 4.5.2 The research work can be suitably undertaken at the University of Lucknow/College;
- 4.5.3 The proposed area of research can contribute to new/additional knowledge.
- 4.6 The University shall maintain the list of all the Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

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- 6.6 Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.
- 6.7 Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Departmental Research Committee and the Department and the final grades shall be communicated to the Institution/College.
- 6.8 A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.
- 7 Departmental Research Committee and its functions:**
- 7.1 There shall be a Departmental Research Committee as defined in the Statutes/Ordinances of the University of Lucknow, for Ph.D. scholars. The Head of the Department shall be the Convener of this Committee. This Committee shall have the following responsibilities:
- 7.1.1 To review the research proposal and finalize the topic of research;
- 7.1.2 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.
- 7.1.3 To periodically review and assist in the progress of the research work of the research scholar.
- 7.2 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 University/College with a copy to the research scholar.
- 7.3 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 Departmental Research Committee may recommend to the University/College with specific reasons for cancellation of the registration of the research scholar.
- 8 Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:**
- 8.1 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in sub-clauses 6.8 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 by the University based on these Ordinances.
- 8.2 Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the Departmental Research Committee of the University which shall also 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.
- 8.3 Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.



**5 Allocation of Research Supervisor: Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.**

5.1 Any regular Professor of the University with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the University with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

5.1.1 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.

5.2 Only a full time regular teacher of the University 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 or from other related institutions with the approval of the Departmental Research Committee.

5.3 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.

5.4 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 on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.

5.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

5.6 In case of relocation of an 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 Ordinances 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.

**6 Course Work: Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.**

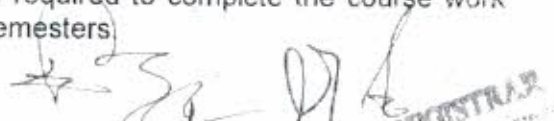
6.1 The credit assigned to the Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.

6.2 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.

6.3 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.




6.4 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Departmental Research Committee, as stipulated under sub-Clause 7.1 below, of the research scholar.

6.5 All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters.





- 8.4 The Academic Council of the University shall evolve a mechanism using well 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 and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the University where the work was carried out, or to any other Institution.
- 8.5 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 Lucknow, of whom one examiner may 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 Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Departmental Research Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.
- 8.6 The public 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 one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend viva-voce, the University shall 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.
- 8.7 The University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the dissertation/thesis
- 9 **Academic, administrative and infrastructure requirement to be fulfilled by Colleges for getting recognition for offering Ph.D. programmes:**
- 9.1 Colleges may be considered eligible to offer Ph .D programmes only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per these Ordinances.
- 9.2 Post-graduate Departments of Colleges, Research laboratories of Government of India/State Government with at least two Ph.D. qualified teachers/scientists/other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Ordinances, stipulated under sub-clause 9.3, shall be considered eligible to offer Ph.D. programmes. Colleges should additionally have the necessary recognition by the Institution under which they operate to offer Ph.D. programme
- 9.3 Colleges with adequate facilities for research as mentioned below alone shall offer Ph. D. programmes:
- 9.3.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;
- 9.3.2 Earmarked library resources including latest books, Indian and International journals, e- journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials;
- 9.3.3 Colleges may also access the required facilities of the neighbouring Institutions/Colleges, or of those Institutions/Colleges/R&D laboratories/Organizations which have the required facilities.

  
  
  
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- 10 **Treatment of Ph.D through Distance Mode/Part-time:**
- 10.1 Notwithstanding anything contained in these Ordinances or any other Rule or Regulation, for the time being in force the University shall not conduct Ph.D. Programmes through distance education mode.
- 11 **Award of Ph.D. degrees prior to Notification of these Ordinances, or degrees awarded by foreign Universities:**
- 11.1 Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009 till the date of Notification of these Ordinances shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of Ph.D Degree) Regulation, 2009.
- 11.2 If the Ph.D. degree is awarded by a Foreign University, the Indian Institution considering such a degree shall refer the issue to a Standing Committee constituted by the University for the purpose of determining the equivalence of the degree awarded by the foreign University.
- 12 **Depository with INFLIBNET:**
- 12.1 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the M.Phil. dissertation /Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.
- 12.2 Prior to the actual award of the degree, the University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

  
Vice-Chancellor  
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