

UNIVERSITY OF LUCKNOW



Doctor of Philosophy (Ph.D.) Ordinance - 2026

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University of Lucknow

Ph.D. Ordinance 2026

This Ordinance of the University of Lucknow shall be known as Doctor of Philosophy (Ph.D.) Ordinance 2026, and shall come into effect from the date of its approval by the Hon'ble Chancellor of the University of Lucknow. This Ordinance shall cohere to, and cover the provisions made by the University Grants Commission (Minimum Standards and Procedure for the Award of Ph.D. Degrees) Regulations 2022, and in supersession of the UGC (Minimum Standards and Procedure for Awards of M.Phil. /Ph.D. Degree) Regulations, 2018 and its amendments. The Degree of Doctor of Philosophy (Ph.D.) of the University of Lucknow, Lucknow shall be conferred upon the candidates who fulfill the requirements as specified in this ordinance.

1.		Short Title, Application and Commencement
	1.1	This Ordinance shall be known as "Doctor of Philosophy (Ph.D.) Degree Ordinance 2026", of the University of Lucknow, Lucknow.
	1.2	The University of Lucknow (hereinafter referred to as university) would consider the admission for Ph.D. Programme of the University.
	1.3	Those candidates who have been registered for Ph.D. before the promulgation of this Ordinance would be governed by the earlier Ordinances issued from time to time under which they have been admitted. Unless and until it is otherwise specified in this ordinance.
	1.4	The process of admission for Ph.D. Programme would be held twice every year as per the notification of the University.
2.		Definitions
	2.1	"Cumulative Grade Point Average (CGPA)" means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places.
	2.2	"Credit" means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit.
	2.3	"Course Work" means courses of study prescribed by the Department/ Institute to be undertaken by a student registered for the Ph.D. Degree.
	2.4	"External Examiner" means an academician/researcher with published research work who is not part of the University of Lucknow (where the Ph.D. scholar has registered for the Ph.D. programme). External Examiner would be equivalent or above the rank / grade of Associate Professor.
	2.5	"Foreign Educational Institution" means— (i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country, and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode.

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	2.6		"Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale.
	2.7		"Research Supervisor" means a faculty member recognized by university to supervise the Ph.D. scholar for his/her research.
	2.8		"Interdisciplinary Research" means research conducted by a Ph.D. scholar in two or more academic disciplines.
	2.9		"Open and Distance Learning Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020.
	2.10		"Online Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020.
	2.11		"Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.
	2.12		"Research Proposal" or "Synopsis" means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme.
3.			Eligibility Criteria for Admission to the Ph.D. Programme
	3.1		A 4-year/ 8-semester bachelor's degree programme or 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/ 6-semester 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. Students seeking admission into Ph.D. after a 4-year UG programme will be required to have at least one publication in peer-reviewed or refereed journals.
			Or
	3.2		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.
	3.3		A relaxation of 5% marks or its equivalent grade would be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.
	3.4		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) and other categories of candidates as per the decision of the UGC from time to time.

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	3.5		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 would be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.
4.			Duration of the Programme
	4.1		Ph.D. Programme shall be for a minimum duration of three years, including course work, and a maximum duration of six years from the date of admission to the Ph.D. programme. Date of admission would be reckoned w.e.f. the date of first Fee Receipt. For the Fast Learner Research Scholars, date of submission may be reduced by six months with the permission of the Vice Chancellor, although, the final viva can be only done after completion of three years, provided the requisite submission requirements are fulfilled according to clause 10 of this Ordinance.
	4.2		After completion of six years, the Vice-Chancellor may grant a further extension of maximum of an additional one year for the submission of the thesis through a process of re-registration, in view of the application with reasons duly submitted for the same by the candidate concerned for which the candidate shall apply giving the reasons due to which he/she was not able to submit the thesis. The candidate's application in this regard should be moved well in advance to completion of six years and duly forwarded and recommended by the Research Advisory Committee (hereinafter referred to as RAC) & Departmental Research Committee (hereinafter referred to as DRC) and forwarded to the Vice Chancellor. However, the total period for completion of a Ph.D. programme should not exceed seven years from the date of admission in the Ph.D. programme. Further extension regarding any exceptional case, the Vice Chancellor shall be authorized to make a decision on the recommendation of DRC on case to case basis.
	4.3		Female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of one year; however, the total period for completion of a Ph.D. programme in such cases should not exceed eight years from the date of admission in the Ph.D. programme. The candidates' application in this regard should be moved well in advance to completion of seven years and duly forwarded and recommended by RAC & DRC to the Vice Chancellor.
5.			Procedure for admission
	5.1	5.1.1	The University shall advertise Ph.D. admission notification in advance on its website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in Hindi; the admission notification will mention the number of seats for admission, subject wise. Ph.D. admissions will be

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		advertised twice a year (in May and December).
	5.1.2	<p>University shall admit Ph.D. students in three phases:</p> <p>(i) First who qualify the fellowship in UGC-JRF/ CSIR - JRF/ ICAR/ ICMR/ DBT -JRF/ AICTE (doctoral fellowship) and / or</p> <p>(ii) Second, on seats left after completion of Phase 1, who qualify the UGC-NET/ CSIR - NET either for Assistant Professor or for Ph.D. admissions and /or</p> <p>(iii) Third, on remaining seats left after completion of Phase 1 and 2, through Research Entrance Test (RET) to be conducted at the level of the University.</p>
5.2	5.2.1	<p>The selection of the candidates seeking admission in Ph.D. programme under category 5.1.2 (i) and 5.1.2 (ii) shall be based on an interview to be conducted by the DRC of the concerned department. The DRC shall award marks as per ANNEXURE A (for category 5.1.2 (i)) and ANNEXURE B (for category 5.1.2 (ii)).</p> <p>In the interview, candidates are required to discuss their research interest/area through a presentation before the DRC and the following points should be ensured:</p> <ul style="list-style-type: none"> • The candidate possesses the competence for the proposed research. • The research work can be suitably undertaken at the University. • The proposed area of research shall contribute to new /addition of knowledge.
	5.2.2	The selection of candidates seeking admission in Ph.D. programme on the remaining seats after completion of Phase 1 and Phase 2 under category 5.1.2 (iii) shall be based on 70% weightage in the entrance test (RET) and 30% to the performance in interview.
	5.2.3	The paper of the Research Entrance Test (RET) shall consist of 50% of research methodology and 50% of subject specific questions.
	5.2.4	<p>A candidate appearing for admission through RET, shall be required to have secured:</p> <ol style="list-style-type: none"> At least 50% marks in RET in case of general Candidates. At least 45% marks in Research Entrance Test (RET) in case of reserved categories (SC, ST, OBC, EWS, PWD). Reservation policies shall be applicable as per regulation of Government of India and Government of Uttar Pradesh and as per the Minimum Standards and Procedure for the Award of M.Phil./Ph.D. Degrees) Regulations, 2022.
	5.2.5	A candidate securing marks as given in section 5.2.4 shall be required to appear for an interview before the DRC for further assessment. The DRC shall award marks as per ANNEXURE B-2 (for category 5.1.2 (iii)).
	5.2.6	<p>The final merit of admission in Ph.D. programme of category 5.1.2 (iii) shall be as follows:</p> <ul style="list-style-type: none"> • Total Marks = Marks Secured in RET + Marks Secured in Interview/viva-voce Performance.
	5.2.7	In case of foreign nationals, whether self-financing or scholarship holder who is admitted through the Embassy/High Commission of his/her country or admitted under a MoU with foreign institutions are exempted from such RET and interview.
5.3		The University shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/institute), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D.

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		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 regularly.
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	<p>a) Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed.</p> <p>b) Since the appointment of the faculty members in the SF programmes running at the university campus is in the nature of contractual but as per GO Sankhya-75/ 2025/ 1066/ sattrar-4-2025-70-4099' 63/ 2025 their appointment shall be continued till the end of the programme. Also, the mode of their recruitment is almost similar to that followed in the appointment at permanent faculty positions in the university. Therefore, such faculty members shall be eligible for supervising the Ph.D. students if they fulfil other terms and conditions given in section 6.1(a).</p> <p>c) The permanent Faculty member working in an affiliated/associated Post-graduate Colleges / institutes (Govt. and Govt. aided) of University of Lucknow fulfilling the other conditions mentioned in 6.1(a) shall be allowed to supervise Ph.D. student.</p> <p>d) The affiliated / associated Post - graduate Colleges / institutes (Govt. and Govt. aided) of University of Lucknow fulfilling the norms mentioned in 14.1 and 14.2 may be recognised as research centre with the approval of the Vice Chancellor.</p> <p>Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors (eligibility as per University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022).</p> <p>Ph.D. awarded under the supervision of a faculty member who is not an employee of the university or its affiliated/associated Post- graduate Colleges/ Institutes would be in violation of University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022.</p> <p>Provided that in areas/disciplines where there is no. or only a limited number of peer-reviewed or refereed journals, the Vice Chancellor on recommendation of the DRC may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.</p>
	6.2	Co-supervisors from within the same department or other departments of the same university or other university or academic/research institutions of National International reputed may be permitted with the recommendation of the DRC and duly approved by Vice Chancellor, in case the scope, expertise, or circumstances of the research require additional guidance beyond what a single supervisor can provide, such as, interdisciplinary research, specialized methods or tools, access to resources, etc. Proposal for appointment of Co-supervisors shall be presented before the DRC with complete bio-data and research

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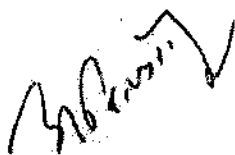
		experience. The eligibility of Co-supervisor would be same as that of regular supervisor. A Co-supervisor should not be below the rank of Assistant Professor. A maximum of two Co-supervisors are allowed. Co-supervisor would not be changed ordinarily. International co-supervisors may also be added, if so required.
	6.3	An interaction meet would be organized between the selected candidates and proposed supervisors by the department for mutual understanding. A consent letter from the proposed Research Supervisor and Co-supervisor(s) is to be put up before the DRC before submission of the first fee. The allocation of Research Supervisor will be done by DRC before commencement of Ph.D. Course Work.
	6.4	The allocation of Research Supervisor for a selected research scholar would be allowed by the DRC depending on the number of scholars working under and available vacancy per Research Supervisor, the available specialization among the Supervisors and common research interests of the scholars only as indicated by them before the interview/viva-voce.
	6.5	A Supervisor shall not be allowed to supervise a candidate who is his/ her relative whether by blood, adoption 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.
	6.6	A Research Supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) regular Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum six (6) regular Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) regular Ph.D. scholars other than super numeric seats. In case of academic excellence, the maximum number of permitted regular Ph.D. scholars may be increased with the permission of the Vice Chancellor.
	6.7	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 Department/University. The scholar will however give due credit to the parent guide and University for the part of research already done.
	6.8	On the recommendation of the Supervisor, DRC may permit a candidate to do a part of his/her research work at a place outside the University to collect data / process samples and any other requirements of the thesis which are not available at the place of research. In this case, candidate is essentially required to be present before RAC every six months with progress report duly signed by the Supervisor. For rest of the period, the full-time research scholar shall stay at the University department itself.
	6.9	A faculty member shall be allowed to enroll a research scholar till the age of 62 years. However, they shall continue as co-supervisors for students enrolled under them after retirement.
	6.10	If the Supervisor of a candidate proceeds on leave for a period of more than twelve months, or he/she proceeds on leave for a period of less than twelve months, but later extends his/her leave beyond twelve months, then a co-Supervisor may be appointed by the DRC. Further, if the Supervisor of a candidate proceeds on lien / deputation / transfer to another institution for a period of more than twelve months, the DRC shall allocate a new Supervisor to

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		candidate to complete his/her research work in the University and the original supervisor shall be allowed to continue as co-supervisor.
	6.11	If a candidate, for cogent reasons, intends to change his/her Supervisor, it shall be permitted by the DRC. In such cases, the mutual consent of the present Supervisor, the proposed Supervisor and the candidate is essential. For interdisciplinary subjects, inter departmental transfer may be allowed.
	6.12	If a candidate has been assigned a new Ph.D. Supervisor, he/she shall continue his/her research with a new Supervisor and work for a minimum of one year prior to submission of his/her thesis.
	6.13	No candidate shall be allowed to change Supervisor more than once.
7.		Categories of the Ph.D. Programme and Admission Process
	7.1	A candidate admitted to the Ph.D. Programme in a Department shall be classified under any one of the following categories: (a) Full-time Research Scholar (numeric) (b) Full-time Research Scholar (super numeric) (c) Part-Time Research Scholar (super numeric under Professors, Associate Professors and Assistant Professor of university campus only). The limit of enrolment of Part-Time research scholar under a faculty member shall be as per clause 6.6. of this ordinance. (d) International Research Scholar (super numeric)
	7.2	No research scholar shall be permitted to take admission to any other degree/courses during entire period of research.
	7.3	Full-time Research Scholar (numeric)
	7.3.1	The full-time research scholars shall be regular students of the University irrespective of whether the Research Supervisor is from the University or from an affiliated/associated college. Full-time research scholar shall not accept, any paid assignment other than research fellowship, research assistantship, etc. during the period of research. They will be required to complete at least three years residence.
	7.4	Full-time Research Scholar (super numeric)
	7.4.1	Permanent Faculty members, who are in service, of the University of Lucknow and its associated/affiliated Colleges (Govt. & Govt. aided) of the University of Lucknow shall be allowed admission on Super numeric seats in the Full Time Ph.D. Programme subject to a maximum of 10% of the total number of seats in the department with a minimum of one seat in any department. Son/Daughter/Spouse of LU teachers/employees shall be allowed admission on Super numeric seats in the Full Time Ph.D. Programme subject to a maximum of 10% of the total number of seats in the department with a minimum of one seat in any department, although they will have to go through RET. Permanent Faculty members of the University of Lucknow or from associated/affiliated Colleges (Govt. & Govt. aided) of the University of Lucknow pursuing Ph.D. will be allowed to receive salary payment from their parent institutions. They will have to remain present for the entire period of coursework or they may opt to attend classes through online mode (provided the concerned department has allowed for online classes) or they may opt to complete research related courses (approved by DRC) of 12 credits through MOOCs. For the remaining period of the programme, their attendance either at their respective parent institution or at respective Department of the university will be accepted.

7.5		<p>Part-Time Research Scholar (Super numeric)</p> <p>7.5.1 Part-Time Ph.D. will be allowed, provided all the conditions mentioned in the existing Ph.D. regulations are met. A candidate shall be considered as Part-Time Research Scholar</p> <p>(i) if he/she is employed and has submitted No Objection Certificate from the Head of the Institutions/Organizations where he/she is employed.</p> <p>(ii) if he/she is an outstanding working professional (Non -Government Organization) in his/her field of work.</p> <p>The Part-Time research scholar shall interact for a minimum of 120 days during the entire period of research work and shall give an undertaking to this effect at the time of registration. Certificate of interaction may be issued by the Supervisor. No fellowship/scholarship shall be paid to the Part-Time Ph.D. students through any source.</p>
	7.5.2	<p>A candidate seeking admission as Part-Time Ph.D. scholar under category 7.5.1 (i)</p> <p>(a) must have at least five years of continuous service experience at a senior level in a recognized educational institution, Government; State Government (s); Armed Forces; PSUs or Corporations listed in BSE or NSE. Candidate must submit a certificate in this regard to the DRC. Recommendation by DRC shall be approved by the Vice Chancellor.</p> <p>(b) the University shall obtain a "No Objection Certificate" through the candidate for a Part-Time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:</p> <ul style="list-style-type: none"> • The candidate is permitted to pursue studies as a Part-Time Ph.D. scholar. • His/her official duties permit him/ her to devote sufficient time for research. • If required, he/she will be relieved from the duty to complete the course work.
	7.5.3	<p>The selection of candidates for Part-Time Ph.D. programme (of both the category 7.5.1 (i) and 7.5.1 (ii)) shall be based on a separate test. 70% weight shall be given to a write up of 1000 words submitted by the applicant and 30% weight to the Work Experience, Academic Index and performance in the interview.</p> <p>The DRC shall be required to propose the names of such scholar (a maximum 03 times the declared number of seats) and seek final approval from the Vice Chancellor.</p> <p>Any matter related to Part-Time Ph.D., where the ordinances are silent shall be decided by the Vice Chancellor.</p>
	7.5.4	<p>The Part-Time research scholars are also required to present their progress report duly signed by Research Supervisor before the Research Advisory Committee (RAC) every six months.</p>
	7.5.5	<p>Full time research scholars who are either selected on a permanent post or for any other genuine reason is unable to pursue full-time research, may be permitted to continue as Part-Time Research Scholar after paying the additional fees as applicable to Part-Time category. Application may be routed through DRC for approval of Vice Chancellor. Such candidate must have completed his/ her course work in the university. This clause shall be also applicable on students currently enrolled in the university for Ph.D. Such conversion of full-time research scholar to Part-Time scholar shall not change the nature of seat.</p>




			under the supervisor.
	7.6		International Research Scholar (Super numeric)
		7.6.1	Each supervisor can guide up to two international research scholars in one session on a supernumerary basis over and above the permitted number of Ph.D. scholars.
		7.6.2	The University will decide its own 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.
8.			CourseWork: Credit Requirements, Number, Duration, Syllabus, Minimum Standards for completion, etc.
	8.1	8.1.1	The Credit requirement for the Ph.D. coursework is a minimum of 12 credits. The DRC can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
		8.1.2	The 12 Credit Ph.D. Coursework will consist of following three papers including an elective paper (Paper III) Paper I – Research and Publication Ethics (2 credits) For awareness about publication ethics and research misconduct (shall be completed only through MOOCs) Paper II – Research Methodology (5 Credits) This paper could cover areas such as quantitative and qualitative methods, computer applications, research ethics and review of published research in relevant field, training, field work. Paper III – Innovative Research Approaches in [Subject Area/ Discipline] (5 credits) This paper will focus on exploring new and cutting-edge approaches within the specific subject area. The paper will delve into innovative research methods, techniques, or perspectives that have the potential to advance knowledge and understanding in the field
	8.2		All candidates admitted to the Ph.D. Programme shall be required to complete the course work prescribed by the Department during the initial one semester. Their attendance requirement will be similar to that of other programmes being run by the university, failing which the student shall not be allowed to appear for the course work examination. However, in exceptional cases, the department may grant a relaxation in the minimum attendance requirement by not more than 15% on the basis of genuine reason. If admitted candidate fails in the course work semester exam once, he/she can be given another chance to reappear only in the next course work semester exam, after submission of prescribed fee. If candidate fails in the second attempt, his/her registration shall be cancelled.
	8.3		Grades in the course work shall be finalized by the Head, and final grades and results shall be declared by the Head with a copy communicated to the Dean and COE and to Registrar for record keeping.
	8.4		A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 10-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 Ph.D. Programme and submit the dissertation/thesis. The Head of Department would issue a certificate with grade that the candidate has successfully completed the Course Work (ANNEXURE-C).

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Letter Grade	Grade Point
O (Outstanding)	10
A+ (Excellent)	9
A (Very Good)	8
B+ (Good)	7
B (Above Average)	6
C (Average)	5
P (Pass)	4
F (Fail)	0
AB (Absent)	0

8.5		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 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
9.		Departmental Research Committee(DRC)& Research Advisory Committee (RAC) and their Functions
9.1	9.1.1	Composition of DRC DRC shall consist of all the internal members of the Board of Studies (BoS), and the concerned supervisor, and may include external members.
	9.1.2	Functions of DRC <ul style="list-style-type: none"> To review the research proposal and finalize the broad topic of research; To review the report of the RAC; To take up any other matter that relates to Ph.D. Programme including broad topic change, Ph.D. admission, continuous assessment, research facility development or issues of research scholars and Supervisors.
9.2	9.2.1	Composition of Research Advisory Committee There shall be a RAC for all Ph.D. scholars, which shall be approved by the DRC after registration. The RAC shall consist of the following: <ul style="list-style-type: none"> Supervisor of the concerned Ph.D. scholar – Convenor & Chairperson Co-Supervisor (if any) of the concerned Ph.D. scholar – Member One subject expert nominated by the DRC – Member One subject expert nominated by the Supervisor – Member RAC members other than supervisor cannot be examiners of the research scholar.
	9.2.2	Functions of RAC <ul style="list-style-type: none"> To review the research proposal and finalize the broad topic of research, natural succession of study and final thesis title. 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. To periodically review and assist in the progress of the research work of

		the Ph.D. scholar.
	9.3	Every six months, the Ph.D. scholar (full time as well as Part-Time) shall appear before the RAC to discuss their progress and problems and submit a brief report on the progress of his/her work for evaluation and further guidance. The RAC 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.
	9.4	A full-time research scholar must have a minimum of 70% attendance for at least six months to be eligible to make a presentation of his/ her research progress. This compulsion of attendance is not essential for Part-Time research scholars. RAC meetings shall be held in the months of January and July every year.
	9.5	In case the progress of the Ph.D. scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the RAC may recommend, with specific reasons for the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme to the DRC. The DRC may recommend cancellation of the registration of the research scholar to the Vice-Chancellor.
10.		Submission, Evaluation and Assessment Methods, Minimum Standard/ Credits for the Award of the Degree, etc.
	10.1	Upon satisfactory completion of course work and obtaining the marks/ grade prescribed in 9.3 above, the Ph.D. scholar shall be required to get registered where he/she would be required to make a tentative Research Project/ Synopsis which he/she would present before the DRC for approval. All necessary changes in the Synopsis are to be incorporated as per the suggestion of the DRC. After approval of broad Topic & tentative synopsis the candidate would fill the Registration Form. The research scholar would start the research work and produce a draft thesis. The Ph.D. scholar will move documents for final thesis title approval; this letter will be moved at least six months prior to thesis submission.
	10.2	Ph.D. scholars submitting their thesis shall publish 02 research papers in peer-reviewed or refereed journals. A Patent, filed and published through University of Lucknow, shall be considered equivalent to one publication. This clause shall apply to all existing/enrolled Ph.D. scholars of the University of Lucknow.
	10.3	Before submitting the thesis, the Ph.D. scholar shall make a presentation before the RAC and the department, which shall also be open to all faculty members and other research scholars/students.
	10.4	The University shall have a mechanism using well-developed software applications to detect Plagiarism and use of Artificial Intelligence (AI) in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.
	10.5	A Ph.D. scholar shall submit the thesis for evaluation in soft copy (in pdf format) with all documents (Annexure-I), along with (a) an undertaking from the Ph.D. scholar that there is less than 10% plagiarism and 10% artificial intelligence aid and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution (ANNEXURE-D) and (b) a certificate from the Research Supervisor attesting to the originality of the thesis (ANNEXURE-E). The Ph.D. scholar will also submit the soft copy of the

		<p>synopsis at the time of pre Ph.D. submission presentation. The topic/title of this synopsis shall be verified by the supervisor and this topic/title shall be treated as the topic for final submission of the thesis.</p> <p>(c) the date of submission of the Ph.D. thesis shall be the date of submission in the concerned department. This will also be applicable on all existing/enrolled Ph.D. scholars of the University of Lucknow.</p>
11.		Thesis Evaluation
	11.1	The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and two external examiners who are experts in the field and not in employment of the University. Such examiner(s) should be academician not below the rank of Associate Professor with a good record of scholarly publications in the field.
	11.2	Ph.D. supervisor will propose a panel of seven examiners from different Universities / Institutes (not more than one examiner from the same University/Institute) of national repute of India/Abroad with their postal address, email address and mobile number. This Research Supervisor shall be an Internal Examiner. The validity of the panel shall be one year from the date of approval of panel by the concerned Board of Studies.
	11.3	The panel of examiners shall be considered and approved by the concerned Board of Studies. All the examiners as listed in the panel shall be from the specific area of research work.
	11.4	This panel would be sent to the Vice Chancellor by the Registrar for approval of two external examiners. After the consent is received, the thesis would be sent to external and internal examiners for evaluation. If appointed examiner does not send the consent within seven days of first email, a reminder email should be send and after the reminder if consent is not received within 15 days then the examiner may be changed with the approval of the Vice - Chancellor.
	11.5	The Registrar shall forward only the soft copy of the thesis to the examiners within three days of the receipt of their consent (via email) and take necessary action to get the report of the examiner expeditiously.
	11.6	The examiners shall be requested to submit their individual reports, preferably via email within two months.
	11.7	In case, an examiner does not send his/her report within the above period, a reminder shall be sent to him/her over e- mail. This shall be followed by a subsequent reminder after a fortnight.
	11.8	In the event of the report not being received from the examiner within three months, his/her examinership may be cancelled and a new examiner shall be appointed from the approved list.
12.		Examiner's Report
	12.1	<p>The examiners shall submit the report on a prescribed form as given in ANNEXURE-F and shall make one of the following recommendations:</p> <ol style="list-style-type: none"> The thesis can be accepted for the award of the Ph.D. degree. The thesis can be accepted for the award of the Ph. D. degree subject to the candidate giving satisfactory answers, at the time of Viva-Voce, to the specific queries raised in the report. The thesis, in the present form, cannot be accepted for the award of the Ph. D. degree, and the candidate be advised to revise the thesis on certain issues raised in the report and resubmit the thesis. In the case of resubmission, the examiner shall specifically mention whether the thesis must be referred back to him/her for re- evaluation or not.

Signature

Signature

(d) The thesis be rejected

If both the examiners recommend acceptance of the thesis for the award of the Ph.D. degree, the thesis shall be accepted

If both the examiners recommend rejection of the thesis for the award of the Ph.D. degree, the thesis shall be rejected

If the examiners raise some queries/seek clarifications, the candidate shall be required to give satisfactory answers to the queries at the time of viva voce

If one or both the examiners recommend revision of the thesis, the candidate shall resubmit the thesis after revision within six months

If one examiner recommends rejection of the thesis and the other recommends acceptance, then the Registrar shall send the thesis to the third examiner from the approved list

In case the third examiner recommends the rejection of the thesis, his/her recommendation shall be final and the thesis shall be rejected

After the positive reports from all the external and internal examiners are received, the Registrar shall inform the Supervisor for appropriate action within three days after receiving reports

Viva Voce Examination

The viva voce board shall consist of the Research Supervisor and at least one of the two external examiners and shall be conducted online only. The viva-voce shall be open to the members of the DRC faculty members, research scholars, and students

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 after incorporating corrections, if any, suggested by them

The University shall 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

Issuing a Provisional Certificate

Prior to the actual award of the Ph.D. degree, the University shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations after successful defense of the Ph.D. viva (ANNEXURE-4)

Award of Ph.D. Degree

Ph.D. degree shall be considered awarded on the day of successful completion of Ph.D. viva-voce exam verified by the Head of department. Official notification shall take place at the end of the month. UGC may issue a certificate for the same.

Academic, Research, Administrative and Infrastructure Requirements to be fulfilled by Colleges for getting recognition for offering Ph.D. Programmes

Affiliated/Associated Post Graduate Colleges (Govt. & Govt. Aided) offering 4-year Undergraduate Programmes and/or Post graduate Programmes, may offer Ph.D. programmes, provided they

(a) Satisfy the availability of eligible Research Supervisors

(b) Possesses required infrastructure, supporting administrative and research facilities as required in the relevant subject duly verified and recommended through a committee constituted by the Vice-Chancellor. The Committee shall comprise as follows

Signature

Signature

		<p>(i) Chairman (Vice Chancellor or his/her nominee)</p> <p>(ii) Convener (Concerned Head of Department)</p> <p>(iii) Two experts from the panel recommended by the Departmental Committee and approved by the Vice Chancellor.</p> <p>(c) For the establishment of the research centre in the college, the college shall submit a request letter to the Head of the concerned Department.</p> <p>(d) Research Centre: Affiliated/Associated Post-graduate Colleges (Govt. & Govt. Aided) fulfilling the above requirements given in 14.1 (a) and 14.1 (b), may be upgraded as Research Centre after the recommendation of the committee mentioned in 14.1 (b). The recommendation shall be approved by the Vice Chancellor.</p> <p>(e) Review of the established research centre shall be done in every two years.</p> <p>(f) The college which applies for research centre will have to submit requisite fees decided by the University.</p>
	14.2	<p>Affiliated/ Associated Post-Graduate Colleges (Govt. & Govt. Aided) may offer Ph.D. programmes provided they have:</p> <p>a) At least two permanent faculty members in the relevant subject</p> <p>b) Adequate infrastructure, administrative support, research facilities and library resources as specified and verified by the University as per clause 14.1 (b).</p>
15.		Miscellaneous provisions of Ph.D. Programme
	15.1	<p>Any doubt or disputes about the interpretation of these Ordinances and in cases where the ordinance is silent shall be referred to the Vice-Chancellor, whose decision, in his capacity as the Chairman, Academic Council, shall be final. The Vice-Chancellor has been authorized to:</p> <p>a) Modify, amend and/or delete any of the clauses given in the Ordinances or add any clause(s) to this Ordinance, which shall be reported to the Academic Council at its next meeting for approval.</p> <p>b) Order a special procedure for the evaluation of a Ph.D. thesis to protect the work of classified nature involving national security and sovereignty and/or to protect the intellectual property rights of the candidate, the Supervisor and the University.</p> <p>c) Relax any of the provisions laid in these Ordinances for handling circumstances not covered by these Ordinances.</p>
	15.2	<p>Leave Rules: A Ph.D. scholar shall be eligible to avail leave as per the University rules 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. Further, female candidates shall be eligible for maternity leaves as per University rules once during their entire tenure as research scholars. However, 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 (including Course Work).</p>
	15.3	The leave shall be granted by the Head of the Department/Director of the Institute on the recommendation of the Supervisor.
	15.4	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. 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 the 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.
15.5		After successful completion and award of the Ph.D., the 3-point certificate will be issued by the Registrar (ANNEXURE-H).
15.6		Fee Structure
	15.6.1	Fees payable by a candidate admitted to the Ph.D. Programme shall be that as prescribed by the University from time to time.
	15.6.2	Full fee, as applicable, shall be payable by the Ph.D. scholars for the entire period for which extension is granted.
	15.6.3	Fees once paid to the University shall not be refunded except the caution money, which shall be refunded to the Ph. D. scholar within one year from the date of award of the Ph. D. degree or cancellation of admission on any ground, subject to the adjustment of any dues payable by him/her. However, if the candidate leaves the Ph.D. Programme or is terminated from the Programme within one year of his/her admission, the caution money shall not be refunded.
15.7		Depository with UGC
	15.7.1	Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University concerned shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and Research Institutions.

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ANNEXURE - A
(For section 5.1.2 (f))

Interview Award List	
Maximum Marks (30)	
Explanation	Marks awarded to Candidate
Academic Index *(Maximum 15 marks)	
Presentation and Interview (Maximum 15 marks)	
Total	

Signature of DRC Member

*Academic Index:

The academic index shall be calculated as per the following table:

S. No.	Academic Record	80% and above	70% to less than 80%	60% to less than 70%	Less than 60%
1.	High School	3	2	1	0
2.	Intermediate (10+2)	3	2	1	0
3.	Graduation	4	3	2	1
4.	Post Graduation	5	4	3	2

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ANNEXURE-B

(For Section 5.1.2 (H))
Interview Award List

Maximum Marks 30 Marks

Explanation	Marks awarded to Candidate
Academic Index *(Maximum 15 marks)	
Weightage marks** (if any) (Maximum 5 marks)	
Presentation and Interview (Maximum 10 marks)	
Total	

*Weightage of 5 marks to be given to a candidate who has qualified UGC/CSIR NET for Assistant Professor

**Weightage of 2 marks to be given to a candidate who has qualified UGC/CSIR NET for Ph.D. any other scholarship/ fellowship given by state of centre not mentioned in 5.1.2 (i)

Signature of DRC Member

***Academic Index:**

The academic index shall be calculated as per the following table:

S. No.	Academic Record	80% and above	70% to less than 80%	60% to less than 70%	Less than 60%
1.	High School	3	2	1	0
2.	Intermediate (10+2)	3	2	1	0
3.	Graduation	4	3	2	1
4.	Post Graduation	5	4	3	2

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ANNEXURE - B-2
(For Section 5.1.2 (iii))

Interview Award List

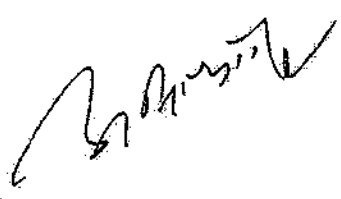

Maximum Marks 30 Marks	
Explanation	Marks awarded to Candidate
Academic Index *(Maximum 15 marks)	
Presentation and Interview (Maximum 15 marks)	
Total	

Signature of DRC Member

***Academic Index:**

The academic index shall be calculated as per the following table:

S. No.	Academic Record	80% and above	70% to less than 80%	60% to less than 70%	Less than 60%
1.	High School	3	2	1	0
2.	Intermediate (10+2)	3	2	1	0
3.	Graduation	4	3	2	1
4.	Post Graduation	5	4	3	2

ANNEXURE-C

CERTIFICATE FROM THE HEAD OF THE DEPARTMENT/
DIRECTOR OF THE INSTITUTE FOR SUCCESSFUL
COMPLETION OF Ph.D. COURSEWORK

TO WHOM IT MAY CONCERN

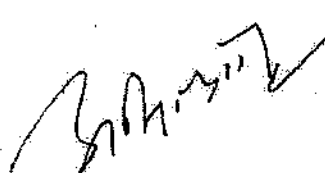
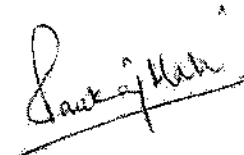
This is to certify that Mr/Ms..... has successfully completed the
Ph.D. coursework in (Department)..... (date of declaration of result) as
required under the Ordinance with a CGPA of.....

Date:

(Signature of the Head of the

Department/Director of the Institute)

Place: Lucknow

ANNEXURE D

CANDIDATE'S DECLARATION

I certify that the work embodied in this Ph.D. thesis entitled

..... is my own bonafide work which was carried out by me under the supervision of and co-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 work have been cited in the text and the body of the thesis.

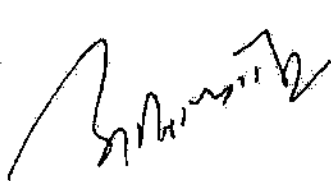

I further certify that I have not willfully used any other person's work, para, text, data, results, reported in the journals, books, magazines, reports, dissertations, theses, or available on the website/Internet and included them in this Ph.D. thesis and cited that as my own work. The Plagiarism report is attached with the thesis and is within the permissible limit.

Date:

(Signature of the Candidate)

Place: Lucknow

(Name of the Candidate)

ANNEXURE-E

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. The contents of the thesis are that of the approved synopsis
and is original.

Date:

(Signature of the Supervisor/Co-Supervisor)

Place: Lucknow

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ANNEXURE-F

CONFIDENTIAL

EXAMINER'S RECOMMENDATION AND REPORT

With respect to the thesis entitled.....
Submitted by.....in.....(Subject)

University of Lucknow, The following comments are made:

- i) The thesis is accepted for the award of PhD degree.
- ii) The thesis is accepted for the award of PhD degree subject to the candidate giving satisfactory answers, at the time of viva voce, to the specific queries raised in the report.
- iii) The thesis, in the present form, cannot be accepted for the award of the Degree, and the candidate is advised to revise the thesis on certain issues raised in the report and resubmit the thesis. In the case of a resubmission, the examiner shall specifically mention whether the thesis must be referred back to him/her for re-evaluation or not.
- iv) The thesis is rejected.


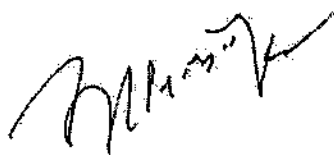
Place.

Signature of Examiner

Date.

Note: Please strike out which is not applicable. If necessary, please use separate sheet. For clear understanding, a typed report must be sent.

DETAILED REPORT



(Signature)

ANNEXURE-G

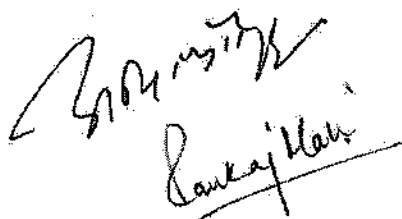
PROVISIONAL CERTIFICATE

for award of Ph.D. Degree

TO WHOM IT MAY CONCERN

This is to certify that Mr/Ms..... Son/daughter
of..... Enrolment No was awarded Ph.D. degree in
the subject of..... by this University in the
year..... as per the University rules/ records, his/ her Ph.D. degree fulfills criteria
recommended by UGC Regulations 2022.

REGISTRAR


Rajesh Kumar

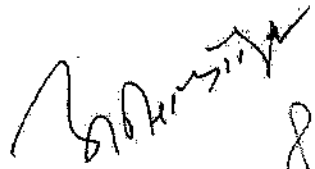
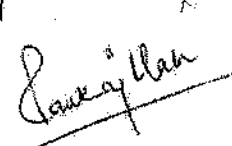
ANNEXURE-II

Certificate for Compliance of Ph.D. Degree with UGC Regulations 2022

It is verified that Dr..... who was a Ph.D. student in the Department of....., Faculty of..... University of Lucknow has been awarded Ph.D. degree and has complied with UGC regulations 2022 as per the following criteria:

1. Candidate has completed Course work paper including Research Methodology paper
2. Ph.D. Degree of the candidate was awarded in Regular / Part-Time mode
3. Evaluation of Ph.D. thesis by atleast two external examiners
4. Candidate has published one research paper from his/her Ph.D. work in a refereed journal.
5. Candidate has made at least five presentations in conferences/seminars, based on this / her Ph.D. Work.
6. Open Ph.D. viva voce of the candidate has been conducted.

Registrar

ANNEXURE-I

Documents required at the time of submission

1. Thesis submission Fees Receipt Original
2. Copy of all Fee receipt (Certified)
3. CD with thesis & soft copy of all documents duly signed) in a Cover + Summary
4. High School to M.Sc. Marksheet Copy (signed)
5. Synopsis (DRC approved), Approval letter (Copy)
6. Certificate of successful completion of Course work
7. No objection from Proctor
8. No objection from Tagore Library
9. No objection from CLL Library
10. No objection from Department Library
11. Submission Form with Photo (duly attested)
12. Signed Plagiarism Report with Seal from Tagore Library

