



OFFICE OF THE REGISTRAR, LUCKNOW UNIVERSITY

कुलसचिव कार्यालय

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शेवा में,

समस्त संकायाध्यक्ष/विभागाध्यक्ष/निदेशक/समन्वयक
लखनऊ विश्वविद्यालय
लखनऊ।

महोदय/महोदया,

मुझे आपको यह सूचित करने का निर्देश प्राप्त हुआ है, कि राज्यपाल राचिवालय के पत्र सं० ई०-6476/5-जी०एस०/2023-XIV, दिनांक 09.11.2023 द्वारा लखनऊ विश्वविद्यालय, लखनऊ के शोध अध्यादेश 2023 पर माननीया कुलाधिपति महोदया द्वारा सहर्ष स्वीकृति प्रदान कर दी गयी है।

M-26241-43

10/11/23

(डॉ० विनोद कुमार सिंह)
कुलसचिव

पृष्ठांकन संख्या व दिनांक उपरोक्त

प्रतिलिपि : निम्नलिखित को सूचनार्थ एवं आवश्यक कार्यवाही हेतु प्रेषित:-

1. निजी सचिव, कुलपति, मा० कुलपति महोदय के सादर सूचनार्थ।
2. अधिष्ठाता अकादमिक, लखनऊ विश्वविद्यालय, लखनऊ को सूचनार्थ।
3. इंचार्ज वेबसाइट/निदेशक, आई०पी०पी०आर को इस आशय से प्रेषित कि विश्वविद्यालय की आधिकारिक वेबसाइट/समाचार पत्रों में प्रदर्शित करने की कृपा करें।

कुलसचिव

UNIVERSITY OF LUCKNOW



Doctor of Philosophy (Ph.D.) Ordinance 2023

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**University of Lucknow
Ph.D. Ordinance 2023**

This Ordinance of the University of Lucknow shall be known as Doctor of Philosophy (Ph.D.) Ordinance 2023, 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, 2016 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 2023”, 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.
	1.4		The process of admission for Ph.D. Programme would be held once 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.
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 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

		<p>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.</p>
		<p>Or</p>
3.2		<p>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.</p>
3.3		<p>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.</p>
3.4		<p>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.</p>
3.5		<p>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,</p>

			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.
	4.2		After completion of six years, the Vice-Chancellor may grant a further extension of maximum of an additional two years 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 candidates' 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). However, the total period for completion of a Ph.D. programme should not exceed eight years from the date of admission in the Ph.D. programme.
	4.3		Female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten 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 eight years and duly forwarded and recommended by RAC & DRC.
5.			Procedure for admission
	5.1		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.

	5.2	5.2.1	The selection of candidates for Ph.D. Programme through RET shall be based on 70% weightage in the entrance test (RET) and 30% to the performance in interview.
		5.2.2	The paper of the Entrance Test (RET) shall consist of 50% of research methodology and 50% of subject specific questions.
		5.2.3	In case of a 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.
		5.2.4	A candidate seeking admission to the Ph.D. Programme, shall be required to have secured: (a) At least 50 % marks in Research Entrance Test (RET) in case of general Candidates. or (b) 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, seeking admission to the Ph.D. Programme through RET, shall be required to appear in an interview before the DRC for further assessment as part of the second step of admission. The DRC shall award marks as per ANNEXURE A . 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: •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.

	5.2.6	The final merit of admission in Ph.D. programme shall be as follows: Total Marks = Marks Secured in RET + Marks Secured in Interview/viva-voce Performance.
	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. 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	Permanent faculty members working as Professor/Associate Professor of the University 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 University with a Ph.D., and at least three research publications in a peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed or in its associated Colleges where relevant programme in that subject is being run. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. 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.

6.2		Co-Supervisors from within the same department or other departments of the same university or other institutions may be permitted with the approval of the DRC. 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. The Co- Supervisor should take permission or NOC from their departmental head for co-supervising the thesis.
6.3		Contractual Faculty members shall not act as Research Supervisors and can only act as co-supervisors. If approved by DRC.
6.4		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.
6.5		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.
6.6		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.

6.7		A Research Supervisor/co-Supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars other than super numeric seats.
6.8		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.
6.9		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 for a period not exceeding two semesters 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.
6.10		A faculty member who has at least three academic years of service before superannuation at the time of allocation of research scholar, can be allowed to enroll and supervise a research scholar and can continue to be the Supervisor of already registered candidates even after his/her superannuation provided the DRC is convinced of his/her availability for continued guidance to the candidate. A faculty member who has less than three academic years of superannuation cannot be assigned new Ph.D. candidates.
6.11		The teachers of the University/Colleges, who are enrolled as

			Ph.D. scholars in the University of Lucknow or in any other Institutes/ University cannot act as Ph.D. Supervisor/ Co-Supervisor.
	6.12		If the Supervisor of a candidate proceeds on leave/lien/deputation for a period of more than twelvemonths, 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 shall be appointed. Further, if the Supervisor of a candidate proceeds on lien/deputation to another institution for a period of more than twelve months, the DRC may allocate a new Supervisor to candidate to complete his/her research work in the University.
	6.13		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.
	6.14		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.
	6.15		No candidate shall be allowed to change Supervisor more than once.
7.			Course Work: Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.
	7.1	7.1.1	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 research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
		7.1.2	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

		<p>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.</p> <p>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.</p>
	7.2	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. 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.
	7.3	Grades in the course work shall be finalized by the Head, and final grades shall be communicated to the Registrar for the declaration of results.
	7.4	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 HoD would issue a certificate that the candidate has successfully completed the Course Work (ANNEXURE-B).
	7.5	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.
8.		Departmental Research Committee (DRC) & Research Advisory Committee (RAC) and their Functions

8.1	8.1.1	<p>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.</p>
	8.1.2	<p>Functions of DRC</p> <ul style="list-style-type: none"> • To review the research proposal and finalize the topic of research; • To review the report of the RAC; • To take up any other matter that relates to Ph.D. Programme including Ph.D. admission, continuous assessment, research facility development or issues of research scholars and Supervisors.
8.2	8.2.1	<p>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:</p> <ul style="list-style-type: none"> • Supervisor of the concerned Ph.D. scholar – Convenor • Head of the Department - 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 cannot be examiners of the research scholar.
	8.2.2	<p>Functions of RAC</p> <ul style="list-style-type: none"> • To review the research proposal and finalize the topic of research. • 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.

8.3		Each semester, a Ph.D. scholar shall appear before the RAC to make a presentation 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.
8.4		A full time research scholar must have a minimum of 70% attendance in the last six months to be eligible to make a presentation of his/ her research progress.
8.5		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.
9.		Categories of the Ph.D. Programme and Admission Process
9.1		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 (b) Part-time Research Scholar (supernumeric under Professors and Associate Professor only). Enrolment of only one part-time research scholar will be allowed under a Faculty in an academic year. (c) International Research Scholar
9.2		No research scholar shall be permitted to take admission to any other degree/courses during entire period of research.

	9.3		Full-time Research Scholar
		9.3.1	<p>Full-time research scholar shall not accept, any paid assignment other than research fellowship, research assistantship, etc. during the period of research. 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 associated college.</p> <p>However, regular teachers of the University of Lucknow or from associated colleges (aided or self-financed) of the University of Lucknow will be allowed to receive salary payment from their parent institutions. They will be required to be present for the entire period of Course Work. For the remaining period of the programme, their attendance either at their respective parent institution or at their respective Department of the University will be accepted.</p>
	9.4		Part-time Research Scholar:
		9.4.1	<p>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 if he/she is employed and has submitted No Objection Certificate from the Head of the Institutions/Organizations where he/she is employed. The part-time research scholar shall stay at the place of research work for a minimum of 90 days (residence period) during the entire period of research work and shall give an undertaking to this effect at the time of registration. No fellowship/scholarship shall be paid to the part-time Ph.D. students through any source.</p>
		9.4.2	<p>A candidate who is being registered as part-time Ph.D. scholar must have at least five years of continuous service experience at a senior level (interpretation of the Vice Chancellor in this regard shall be final) 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.</p>

	9.4.3	<p>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 on a part-time basis. • 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. •
	9.4.4	<p>The selection of candidates for part-time Ph.D. programmes 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 03times 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>
	9.4.5	<p>A candidate who is being registered as part time Ph.D. research scholar must have at least five years of continuous service experience in prestigious organizations. Candidate must submit the certificate in this regard to the DRC at the time of Interview.</p>
	9.4.6	<p>The Departmental Research Committee (DRC) shall be required to seek final decision and approval of the Vice-Chancellor in case of admission of Part-time research scholars.</p>

	9.4.7	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.
	9.4.8	Full time research scholars who are selected on a permanent post may be permitted to continue as Part-Time Research Scholar after paying the additional fees provided all other rules would be applicable to him / her as applicable to Part- Time category subject to approval by DRC and Vice Chancellor. Such candidate must have completed at least two years in the university.
	9.5	International Research Scholar
	9.5.1	Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 5.4(c).
	9.5.2	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.
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 clause (3) of Regulation 9 above, the Ph.D. scholar shall be required to get registered where he/she would be required to make a 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 Topic & Synopsis the candidate would fill the Registration Form. The research scholar would start the research work and produce a draft thesis.
	10.2	Ph.D. scholars submitting their thesis within 4 years shall be expected to publish 01 research paper. Those submitting thesis within 4-5 years will be expected to publish 02 research papers. Those submitting thesis between 5-6 years will be expected to publish 03 research papers. Further extension of Ph.D. duration and the requirements to be fulfilled, will be with the approval

		<p>of the Vice Chancellor.</p> <p>Publications should be in peer-reviewed or refereed journals. The list of journals will be proposed by the DRC and approved by the Vice Chancellor and should be placed on the departmental website for ready reference of all concerned.</p>
	10.3	<p>Before submitting the thesis, the Ph.D. scholar shall make a presentation before the RAC, which shall also be open to all faculty members and other research scholars/students.</p>
	10.4	<p>The University shall have a mechanism using well-developed software applications to detect Plagiarism 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.</p>
	10.5	<p>A Ph.D. scholar shall submit soft copy (in pdf format) the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is less than 10% plagiarism and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution (ANNEXURE-C) and (b) a certificate from the Research Supervisor attesting to the originality of the thesis (ANNEXURE-D). The Ph.D. scholar will also submit soft copy (in pdf format) synopsis of the thesis. Process of submission of soft copies will be described on the research portal that will be prepared for submission and evaluation process of the Ph.D. thesis.</p>
11.		<p>Thesis Evaluation</p>
	11.1	<p>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. Wherever possible, one of the external examiners should be chosen from outside India.</p>

11.2		Ph.D. supervisor will propose a panel of seven examiners. Complete and current addresses of all the examiners proposed in the panel with their e- mail addresses, telephone and FAX numbers shall be provided by the Research Supervisor. This list would also include the Research Supervisor as an internal Examiner.
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 preferably from different states.
11.4		This panel would be sent to the Vice Chancellor for approval of two external examiners. After the consent received, the thesis would be sent to external and internal examiners for evaluation.
11.5		The Registrar shall forward 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. Hard copy of the thesis shall be provided to the examiner only on request. The candidate has to provide the hard copy/ copies if required, to the HoD.
11.6		The examiners shall be requested to submit their individual reports within two months of the receipt of the thesis.
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 two months, his/her examinership shall be cancelled and a new examiner shall be appointed from the approved list.
12.		Examiner's Report
12.1		The examiners shall submit the report on a prescribed form as given in ANNEXURE-E and shall make one of the following

		<p>recommendations:</p> <p>i) The thesis can be accepted for the award of the Ph.D. degree.</p> <p>ii) 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.</p> <p>iii) 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.</p> <p>The thesis be rejected.</p>
	12.2	If both the examiners recommend acceptance of the thesis for the award of the Ph. D. degree, the thesis shall be accepted.
	12.3	If both the examiners recommend rejection of the thesis for the award of the Ph. D. degree, the thesis shall be rejected.
	12.4	If the examiner(s) raise some queries/seek clarifications, the candidate shall be required to give satisfactory answers to the queries at the time of viva-voce.
	12.5	If one or both the examiners recommends revision of the thesis, the candidate shall resubmit the thesis after revision within six months.
	12.6	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.
	12.7	In case the third examiner recommends the rejection of the thesis, his/her recommendation shall be final and the thesis shall be rejected.
	12.8	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.

13.			Viva Voce Examination
	13.1		The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the DRC/faculty members/research scholars, and students.
	13.2		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 any corrections 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 alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
	13.3		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.
	13.4		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-F).
14.			Academic, research, administrative, and infrastructure requirements to be fulfilled by Colleges for getting recognition for offering Ph.D. programmes
	14.1		Associated Colleges offering 4-year Undergraduate Programmes and/or Post-graduate Programmes, may offer Ph.D. programmes in those subjects in which programmes are being run, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per the relevant subject.

14.2		<p>Associated State government/ aided colleges may offer Ph.D. programmes provided they have:</p> <ul style="list-style-type: none"> • At least two permanent faculty members in the relevant subject • Adequate infrastructure, administrative support, research facilities and library resources as specified by the University.
15.		Miscellaneous provisions of Ph.D. Programme
15.1		<p>Any doubt or dispute about the interpretation of these Ordinances shall be referred to the Vice-Chancellor, whose decision, in his capacity as the Chairman, Academic Council, shall be final.</p> <p>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 5 point certificate will be issued by the Registrar (ANNEXURE-G) .
15.7		Fee Structure
	15.7.1	Fees payable by a candidate admitted to the Ph.D. Programme shall be that as prescribed by the University from time to time.
	15.7.2	Full fee, as applicable, shall be payable by the Ph.D. scholars for the entire period for which extension is granted.
	15.7.3	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.
15.8		Depository with UGC
	15.8.1	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.

ANNEXURE – A

Interview Award List		
Maximum Marks = 30 Marks		
	Explanation	Marks awarded to Candidate
Part A JRF/NET/UP-SLET qualified candidates (Maximum 10 Marks)	JRF qualified candidates (Maximum 07 marks)	
	NET/UP-SLET qualified Candidates (Maximum 03 marks)	
Part B Interview Presentation Performance (Maximum 20 Marks)	Research Plan (Maximum 04 marks)	
	Literature Review (Maximum 04 marks)	
	Presentation (Maximum 04 marks)	
	Communication (Maximum 04 marks)	
	Question/Answering (Maximum 04 marks)	
Total marks	Marks in Part A=.....	
	Marks in Part B=.....	

Signature of DRC Member

ANNEXURE-B

**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.

Date:

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

Place: Lucknow

ANNEXURE C

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-D

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

EXAMINER'S RECOMMENDATION AND REPORT

With respect to the thesis entitled. Su
bmitted 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-F

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

ANNEXURE-G

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 two 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-H

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