

# **UNIVERSITY OF LUCKNOW**



**ORDINANCE  
GOVERNING THE AWARD  
OF THE DEGREE OF  
DOCTOR OF PHILOSOPHY (PhD)  
(2020)**

**University of Lucknow**  
**PhD Ordinance 2020**  
(As amended up to Dec 2021)

This Ordinance of the University of Lucknow shall be known as Doctor of Philosophy (PhD) Ordinance 2020, 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 all the provisions made by the University Grants Commission (Minimum Standards and Procedure for the Award of MPhil/PhD Degrees) Regulations, 2016 following its subsequent amendments as on dates August 27, 2018, and October 18, 2018. The Degree of Doctor of Philosophy (PhD) of the University of Lucknow, Lucknow shall be conferred upon the candidates who fulfil the requirements as specified in this ordinance.

1.			<b>Short Title, Application and Commencement</b>
	1.1		This Ordinance shall be known as 'Doctor of Philosophy (PhD) Degree Ordinance 2020', of the University of Lucknow, Lucknow.
	1.2		The University of Lucknow (hereinafter referred to as the University) would consider the admission to the PhD programme in the Faculties and Institutes established as per the Statutes of the University of Lucknow.
	1.3		This Ordinance shall come into force from the academic session 2020-21.
	1.4		Those candidates who have been registered for the PhD programme before the promulgation of this Ordinance would be governed by the earlier Ordinances issued from time to time under which they have been admitted.

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2.		<b>Eligibility Criteria for Admission to the PhD programme</b>
	2.1	Candidates for admission to the PhD programme must possess a Master's Degree or a Degree declared equivalent to the Master's Degree by the Equivalence Committee of the University, or completed MPhil with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent Degree from a Foreign Educational Institution accredited by an approved Assessment and Accreditation Agency, 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.
	2.2	A relaxation of 5% marks in Master's Degree (from 55% to 50%), or an equivalent relaxation of grade shall be given to those belonging to SC/ST/OBC(non-creamy layer)/Differently-abled and to those who have obtained their Master's Degree before September 19, 1991.
	2.3	Admission to the PhD programme would ordinarily be allowed only in those subjects in which regular post-graduate programmes are being offered by the University. The Degree would be awarded in the subject in which the candidate is admitted. The respective Departments may encourage research in allied disciplines by promoting research in interdisciplinary areas and taking co-supervisor from other relevant disciplines.

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3.			<b>Procedure for Admission</b>
	3.1		The process of admission to the PhD programme would be held once every year as per the notification of the University.
	3.2		The University shall advertise admission notification on its website and through advertisement in at least 2 (two) national newspapers, of which at least 1 (one) shall be in Hindi, and the other 1 (one) in English. The admission notification shall clearly mention the number of seats for admission with subject/discipline-wise distribution of the available seats, criteria for admission, the procedure for admission and all other relevant information for the benefit of the candidates.
	3.3		<p>The PhD Programme in a Department shall be classified under the following categories:</p> <p>(a) Full-time PhD programme</p> <p>(b) Part-time PhD programme</p> <p>(Part-time programme will be Super Numeric. Such students will be enrolled under the supervision of Professors/Associate Professors only). Enrolment of only one part-time research scholar will be allowed under a Faculty in an academic year.</p>
	3.4		No research scholar shall be permitted to take admission to any other regular degree programme during the entire period of research.

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4.			<b>Full-time PhD Programme</b>
	4.1		<p>Research scholars of the full-time PhD programme shall not accept any paid assignment other than research fellowship, research assistantship during the period of research. The full-time research scholars shall be regular students of the University irrespective of whether the Supervisor is from the University or from an associated college.</p> <p>However, regular teachers of the University of Lucknow or from the associated colleges (aided and self-financed) of the University of Lucknow will be allowed to receive salary payment from their parent institutions. They will be required to take leave for at least a period of six months and will have to remain present for the entire period of coursework. 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>
	4.2		<p><b>Duration of the Programme</b></p> <p>The PhD programme shall be for a minimum duration of three years (including coursework) and a maximum of six years. This minimum duration shall be counted from the date of first fee deposition for the PhD programme till the date of submission of the thesis. (Provided that, if the candidate is not successful in passing the coursework in the first attempt, then this six-year duration would be reckoned from the date of subsequent coursework's fee submission date till the date of submission of the thesis).</p>

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4.3		<p>After completion of six years, the Vice Chancellor may grant further extension of one year for submission of the thesis, on the basis of an application duly submitted by the candidate concerned giving reasons due to which s/he was not able to submit the thesis. The candidate's application in this regard should be duly forwarded and recommended by the Supervisor, the Departmental Research Committee (hereinafter referred to as the DRC) and the Dean of the Faculty. No further extension shall be given under any circumstances.</p>
4.4		<p>Women candidates may be provided maternity leave/child care leave once in the entire duration of PhD programme for up to 240 days. One year relaxation will be given to such candidates in thesis submission.</p>
4.5		<p>Appearing in the Research Entrance Test (RET) as well as in the interview/viva voce shall be mandatory for all candidates.</p> <p>Candidates who have qualified JRF and NET/SLET/GATE/ are also required to appear in RET and secure stipulated minimum qualifying marks. However, JRF qualified candidates shall be eligible to avail their fellowship(s) from the date of payment of admission/ first fees.</p>
4.6		<p>In case of a foreign national, whether self-financing or scholarship holder who is admitted through the Embassy/High Commission of his/her country or admitted under an MoU with the foreign institution(s) shall be exempted from RET and interview/viva voce.</p>

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4.7		<p><b>Procedure for Admission</b></p> <p>The final selection of candidates for PhD programme shall be based on 70 per cent weightage to RET and 30 per cent weightage to performance in the interview/viva voce (including weightage to JRF/NET/UP-SLET). This is as detailed in 'Annexure - A'</p>
4.8		<p>The paper of RET shall consist of 50% of research methodology and 50% of subject specific questions.</p>
4.9		<p>A candidate seeking admission to the PhD programme shall be required to have secured at least 50% marks in RET. There will be 5% relaxation in marks for OBC/SC/ST candidates i.e. 45% will be minimum qualifying marks for OBC/SC/ST candidates.</p>
4.10		<p>A candidate, seeking admission to the PhD programme shall be required to appear in an interview/viva voce before the DRC for further assessment as part of the second step of admission.</p>
4.11		<p>In the interview/viva voce candidates will be 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"> <li>•The candidate possesses the competence for the proposed research.</li> <li>•The research work can be suitably undertaken at the University. The Faculty of the associated colleges will be co-opted to supervise PhD scholars along with the University Faculty (wherever applicable).</li> </ul>

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		<p>•The proposed area of research can contribute to new/additional knowledge.</p> <p>The DRC shall award marks as per <b>Annexure-A</b>.</p>
	4.12	<p>The final merit for admission to the PhD programme shall be as follows:  <b>Total Marks = Marks secured in RET + Marks secured in Academic Index and Interview/viva voce performance (including weight for JRF/NET status)</b></p>
	5.	<b>Part-time PhD Programme</b>
	5.1	<p>Part-time PhD will be allowed provided all the other conditions mentioned in this PhD Ordinance are met. A candidate shall be considered as a part-time research scholar if s/he is employed and has submitted a NOC from the Head of the Institution/Organization where s/he is employed. The part-time research scholar shall stay at the place of research work for a minimum of 6 days per semester (residence period) during the entire period of research work and shall give an undertaking to this effect at the time of registration. Part-time PhD scholar will not be eligible for any fellowship/scholarship from any source.</p>
	5.2	<p><b>Duration</b>  The part-time PhD programme shall be for a minimum duration of four years and maximum of eight years.</p>

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5.3		<p>A candidate who is being registered as a part-time PhD 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, Union 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>
5.4		<p><b>Procedure for Admission</b></p> <p>The final selection of candidates for part-time PhD programme shall be based on a separate test. 70 percent weight shall be given to a write-up of 1000 words submitted by the applicant and 30 per cent weight on the Work Experience; Academic Index; and performance in the Interview/viva voce.</p> <p>The Departmental Research Committee (DRC) shall be required to propose the names of such scholars (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 PhD, where the ordinances are silent shall be decided by the Vice Chancellor.</p>

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6.		<p><b>Allocation of the Research Supervisor: Eligibility criteria to be a Research Supervisor/ Co-Supervisor, Number of PhD scholars permissible per supervisor etc. (For full-time and part-time PhD programmes)</b></p>
	6.1	<p>Any regular Professor of the University/College who has at least five research publications in refereed journals or UGC approved journals and regular Associate/ Assistant Professor of the University/College with a PhD degree having at least two research publications in refereed journals/UGC approved journals shall be recognised as a Research Supervisor.</p> <p>Provided that in areas/disciplines where there is none, or only a limited number of refereed/UGC approved journals, the Vice Chancellor may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.</p> <p>Any regular teacher of the University/ College who is to be recognised as Research Supervisor for the first time, shall submit an application along with relevant documents (through the Principal in case of teachers of Colleges) to the respective Head of the Department, who shall place it before the DRC. The Head of the Department shall forward the recommendation of the DRC through the Dean of Faculty, to the Vice Chancellor, who shall approve the respective teacher to be a Research Supervisor. However, teachers already supervising PhD will be deemed to be possessing necessary eligibility.</p>

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6.2		Newly appointed Assistant Professors may be allowed to register PhD scholars under their supervision after the successful completion of the probationary period.
6.3		<p>Only a full-time regular teacher of the University of Lucknow/Associated Colleges can act as a Supervisor. For interdisciplinary research areas, Co-Supervisor may be allowed from other Departments /Universities /Institutions /Organizations (national or international) by the DRC.</p> <p>The Vice Chancellor of the University of Lucknow with requisite academic (Teaching and Research) experience shall also be eligible to be a PhD supervisor.</p>
6.4		The allocation of Research Supervisor for a selected research scholar shall be decided by the DRC depending on the number of scholars working under a Research Supervisor, available vacancy per Research Supervisor, available specialization among the Supervisors and common research interest of the scholar and the Supervisor as indicated by them and with mutual consent.
6.5		<p>A Supervisor shall not be allowed to supervise a candidate who is his/her relative whether by blood, adoption or by marriage.</p> <p>Explanation: In this ordinance "relative" means the relations provided in the explanation to Section 20 of the U.P. State Universities Act 1973.</p>

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6.6		<p>A Research Supervisor/Co-Supervisor who is a Professor, at any given point of time, cannot guide more than 8 (eight) PhD scholars. An Associate Professor as Research Supervisor can guide up to a maximum of 6 (six) PhD scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of 4 (four) PhD scholars.</p> <p>New supervisors shall declare their seats in a phased manner e.g. 50% seats in first year and rest of the seats in next consecutive years. Admitted part-time students will be in the nature of supernumerary category and will not be counted for the purposes of the above maximum number of seats for different levels of Faculty.</p> <p>The decision of the committee chaired by the Vice Chancellor shall be final regarding the enrolment of part-time PhD scholar.</p>
6.7		<p>A Co-Supervisor cannot be below the rank and grade of an Assistant Professor.</p>
6.8		<p>DST-INSPIRE Faculty/UGC Recharge Faculty/Ramalingaswami PDF/Ramanujan PDF (as per the Government of India guidelines) working in the University of Lucknow or other Universities/Institutions/Organizations shall also be eligible to be co-supervisors.</p>

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6.9		<p>In case of relocation of a PhD 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 the University for the part of research already done.</p>
6.10		<p>On the recommendation of the Supervisor, the DRC may permit a full-time research scholar 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.</p> <p>In this case, the research scholar is essentially required to be present before the RAC every six months with a progress report, duly signed by the Supervisor. The full-time research scholar shall work at the University Department for rest of the period.</p>
6.11		<p>A Faculty member who has less than one year of service before superannuation, cannot be allowed to enroll any new/fresh research scholars. However, s/he 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.</p>

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6.12		The teachers of the University/Colleges, who are themselves enrolled as PhD scholars in the University of Lucknow or in any other Institute/University cannot act as PhD Supervisor/Co-Supervisor.
6.13		If the Supervisor of a candidate proceeds on leave/lien/deputation for more than twelve months, or s/he proceeds on leave for 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 the candidate to complete his/her research work in the University with the consent of the original supervisor, if necessary.
6.14		If a candidate, for cogent reasons, intends to change his/her Supervisor, it may be permitted by the Vice Chancellor after the approval of the DRC and the Dean of the Faculty concerned. In such cases, the mutual consent of the present Supervisor, the proposed Supervisor and the candidate is essential.
6.15		If a candidate has been assigned a new PhD Supervisor, s/he shall continue his/her research with the new supervisor and work for a minimum of one year before the submission of his/her thesis.
6.16		No candidate shall be allowed to change Supervisor more than once.

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6.17		<p>There are many national research institutes such as CDRI, NBRI, IITR, CIMAP, BSIP, . in the city where students are carrying out research work for PhD and the degree is being awarded by the University of Lucknow. In all these cases, the Supervisor will be from the University of Lucknow and Co-supervisor from the research institution. The Co-supervisor shall be a permanent researcher not below the level of Scientist-C in that research institute where the student is carrying out the PhD work.</p>
7.		<p><b>Coursework: Credit Requirements, Number, Duration, Syllabus, Minimum Standards for Completion, .</b></p>
7.1		<p>The coursework of 8 credits shall be treated as a prerequisite for PhD.</p>
7.2		<p>The 08 credits shall be assigned to two or more courses on Research Methodology, which could cover areas such as quantitative and qualitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work.</p>

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	7.3		All candidates admitted to the PhD programme whether full-time or part-time, shall be required to complete the coursework prescribed by the Department during the first semester. Part-time PhD scholar's attendance for coursework will not be mandatory. However, they will be required to clear the coursework exam. If an admitted candidate fails in the coursework, s/he will get another chance to reappear only in the next coursework semester exam, after submission of fees. If a candidate fails in the second attempt, his/her registration shall be cancelled.
	7.4		The grades in the coursework shall be finalized in accordance with the already approved CBCS system at the PG level programmes. The grades will be awarded on the basis of internal assessment and end semester examination. The final grades shall be communicated to the research scholars by the Head of the Department and also to Controller of Examination for record.
	7.5		A PhD scholar has to obtain a minimum of 50% of marks or its equivalent CGPA in the coursework in order to be eligible to continue in the PhD programme and submit the thesis/dissertation.
8.			<b>Departmental Research Committee(DRC), its Composition and Functions</b>
	8.1	(a)	<b>Composition of DRC</b> Departmental Research Committee (DRC) shall consist of all the members of the Board of Studies (the BoS) with the Head of the

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			<p>Department as the Chairperson; all the proposed supervisor(s) will be members of the DRC.</p> <p>Others who shall be members of the DRC will be as follows:</p> <p>i) One faculty as SC/ST nominee (if an SC/ST is not a member of the BoS)</p> <p>ii) One faculty as an OBC nominee (if OBC is not a member of the BoS)</p> <p>If the SC/ST and OBC nominees are not available in the Department, the Head of Department can invite the above representative members from any other Department of the University.</p> <p><b>(b) Functions of the DRC</b></p> <ul style="list-style-type: none"> <li>• To permit and review presentation of research proposal of scholars after successful completion of their coursework.</li> <li>• To review the research proposal and finalize the topic of research.</li> <li>• To review the report of the Research Advisory Committee (RAC).</li> <li>• To take up any other matter that relates to the PhD programme including PhD admission, continuous assessment, research facility development or any other issue related to PhD.</li> </ul>
	8.2	(a)	<p><b>Research Advisory Committee (RAC)</b></p> <p>There shall be a RAC for each PhD scholar.</p> <p>The RAC shall consist of the following:</p>

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		<p>i) Supervisor of the concerned PhD scholar- Chairperson</p> <p>ii) Co-supervisor (if any) of the concerned PhD scholar- Member</p> <p>iii) One subject expert nominated by the DRC - Member</p> <p>iv) One Subject expert nominated by the Supervisor - Member</p> <p><b>(b) Functions of the RAC</b></p> <p>This committee shall have the following responsibilities:</p> <ul style="list-style-type: none"> <li>• To periodically review and assist in the progress of the research work of the research scholar.</li> <li>• The research scholar shall appear before the RAC once every six months (Every twelve months for part-time scholar) to make a presentation of the progress of his/her work for evaluation and further guidance.</li> <li>• The six-monthly (twelve-monthly for part-time scholar) progress reports shall be forwarded by the RAC to the DRC with a copy to the research scholar.</li> </ul>
	8.3	<p>A full-time research scholar must have a minimum of 70 percent attendance in the last six months to be eligible to make a presentation of his/her research progress.</p>

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8.4		The six-monthly progress report(s) (twelve-monthly for part-time scholars) shall be maintained in the respective Departments/Institutes with a copy of the report of the DRC to be made available to the research scholar.
8.5		In case the progress of the research scholar is unsatisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DRC may recommend cancellation of the registration of the research scholar to the Vice Chancellor.
9.		<b>Evaluation and Assessment Methods</b>
9.1		<b>Pre-PhD Submission Seminar</b>
		After completion of research work by the PhD scholar, s/he will present his/her work before the RAC. The RAC will send the final report to the DRC which shall then organize an open Pre-PhD seminar, to appraise the DRC and other teachers and research scholars of the Department, about the candidate's work and receive suggestions for improvement of the research work. The DRC shall assess the work of the candidate through this seminar. If the DRC recommends major modifications in the thesis, the candidate shall do further work as advised and deliver a fresh seminar in the stipulated period specified by the DRC.
	9.1.1	If the DRC is satisfied with the Pre-PhD seminar of the candidate, the Head of the Department shall forward the application of

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			the candidate for submission of the thesis along with a certificate about the satisfactory completion of the Pre-PhD seminar and the exact title of the thesis to the Registrar, through the Dean of the respective Faculty.
		9.1.2	The seat of the candidate shall be considered as vacant on the date s/he submits the thesis.
	9.2		<b>Submission of the Thesis</b>
		9.2.1	The candidate is required to submit the thesis within six months from the date of his/her Pre-PhD seminar approval, failing which s/he shall be required to deliver a fresh Pre-PhD submission seminar for approval.
		9.2.2	The copies of the abstract and the thesis shall be printed on both sides of the paper with softbound covers.
		9.2.3	The candidate shall submit the thesis to the Head of the Department, with due endorsement by the Supervisor. While submitting the thesis, the candidate shall submit the following: (a) Three hard copies and one soft copy of the abstract of the thesis in about 500-600 words describing the salient features of his/her work. (b) Three hard copies and one soft copy of the thesis in Hindi or English or any other language approved by the respective DRC. (c) No-dues Certificate (d) A declaration by the candidate as well as the Supervisor as per the format given in <b>Annexures-B and C.</b>

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			<p>(e) A Pre-PhD coursework completion certificate from the Head of the Department/Director as per the format given in <b>Annexure-D</b>.</p> <p>(f) The candidate shall be required to attach at least two published research papers in refereed and peer-reviewed journals/UGC approved journals at the end of the thesis.</p> <p>(g) The candidate shall also submit one copy each of the thesis and the abstract to the Supervisor and Co-Supervisor if any.</p> <p>(h) Plagiarism check should be done by a competent authority and a proper certificate should be attached along with other documents at the time of thesis submission.</p> <p>(i) A thesis once submitted cannot be re-submitted except when the examiner recommends for the revision of the thesis.</p> <p>(j) The Head of the Department shall forward the thesis to the Dean of the Faculty concerned.</p> <p>(k) The Dean of the Faculty concerned shall forward the thesis to the Registrar.</p>
	9.3		<b>The Panel of Examiners for Evaluating the PhD Thesis</b>
		9.3.1	The Supervisor shall propose a panel of six experts as External Examiners to the Chairperson of the Board of Studies, for approval as examiners after successful Pre-PhD seminar by the candidate. In this panel, each examiner shall be from different states of India (not from Lucknow) or from outside India and shall be specialized in the area of the respective thesis.

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	9.3.2	Only Professors/Associate Professors/their equivalents are eligible to be Examiners (external).
	9.3.3	In case of a research scholar who has done any part of his/her work in another institution, the panel of examiners shall not include any person working in that institution. The panel (for external examiners) shall not include the name of any person with whom the candidate has published a joint research paper.
	9.3.4	The complete and current address of all the examiners proposed in the panel, along with their specialisation, e-mail address, and telephone/mobile numbers, shall be provided by the Supervisor.
	9.3.5	The panel of examiners shall be considered and approved by the respective Board of Studies. All the examiners as listed in the panel shall be from the specific area of research work and if required, the Board of Studies may modify the panel.
9.4		<b>Thesis Evaluation</b>
	9.4.1	The panel of Examiners (external) duly approved by the Board of Studies shall be sent by the Head of the Department/Director of the Institute to the Registrar within two days after the submission of the thesis in the Department.
	9.4.2	The Registrar shall send this panel of examiners to the Vice Chancellor or his nominee to get the approval of two external examiners.

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	9.4.3	The Registrar shall get in touch with each examiner over e-mail with a soft copy of the abstract to secure acceptance of the examiner apart from communicating through post. The said exercise shall be undertaken by the Registrar within three days of the receipt of approval from the Vice Chancellor. The Registrar shall forward the thesis to the examiners within a maximum of three days from whom consent has been received. The thesis with abstract would be sent to the two external examiners.
	9.4.4	The Registrar shall forward the copy of the thesis to the examiners within three days of the receipt of their consent (via e-mail or postal services) and take necessary action to get the report of the examiner expeditiously.
	9.4.5	The examiners shall be requested to submit their individual reports within two months of the receipt of the thesis.
	9.4.6	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/post. This shall be followed by a subsequent reminder after a fortnight.
	9.4.7	In the event of the report not being received from the examiner within two months, the name of the examiner shall be cancelled and a new examiner shall be appointed from the approved list.
9.5		<b>Examiner's Report</b>
	9.5.1	The examiners shall submit the report on a prescribed format as given in <b>Annexure-E</b> and shall make one of the following recommendations:

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			<p>i) The thesis is accepted for the award of PhD degree.</p> <p>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.</p> <p>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.</p> <p>iv) The thesis is rejected.</p>
		9.5.2	If both the external examiners recommend acceptance of the thesis for the award of the degree, the thesis shall be accepted.
		9.5.3	If both the external examiners recommend rejection of the thesis for the award of the degree, the thesis shall be rejected.
		9.5.4	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.
		9.5.5	If one or both the external examiners recommend revision of the thesis, the candidate shall resubmit the thesis after revision within six months.
		9.5.6	If one examiner recommends rejection of the thesis and the other recommends acceptance, then the Registrar shall send the thesis to a third examiner from the approved list.

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		9.5.7	In case the third examiner recommends the rejection of the thesis, his/her recommendation shall be final and the thesis shall be rejected.
		9.5.8	In case the third examiner's recommendation matches with any of the earlier examiner's recommendation, the majority decision shall prevail.
	9.6		<b>viva voce</b>
		9.6.1	The Registrar will take the approval of the Vice Chancellor or his nominee on one external examiner to conduct the viva voce examination, and subsequently inform the Head of the Department and the Supervisor to organize the viva voce examination as soon as possible. Once the date is finalized, the Head of the Department shall inform the Registrar to send the communication to external examiners. TA/DA as per University rules or as approved by the Vice Chancellor would be paid to the external examiner.
		9.6.2	If the thesis has been accepted for the award of the degree, the candidate shall be required to defend his/her thesis in an Open Defense i.e. viva voce examination, before a duly constituted committee chaired by the Head of the Department/Director of the Institute. The date, time and venue of the viva voce with other necessary details shall be adequately notified at least one week before the viva voce exam so as to enable other Faculty members and research scholars to attend it.

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		9.6.3	The Supervisor and the Co-Supervisor (if any), shall arrange for the viva voce of the candidate within a month from the date of communication to them from the Registrar for conducting the viva voce.
		9.6.4	In some special circumstances if the examiner is unable to come to conduct the viva voce, the open viva voce can be conducted through video conferencing. The recording of complete viva voce through video conferencing shall be preserved by the Head of the Department/Supervisor and also make it available if sought by an appropriate authority, as soft copy. The examiner shall submit the report in a hard copy through the Head of the Department to the Registrar.
		9.6.5	In the case of inability of the Supervisor or Co-Supervisor to conduct the viva voce due to any reason, the Head of the Department shall arrange to conduct the viva voce. In such cases, the work shall be deemed to have been carried out under the guidance of the original Supervisor/Co-Supervisor only.
		9.6.6	If a candidate, after the submission of the thesis, has gone abroad and is not likely to return in near future and the reports of Examiners on the thesis are unanimous without any major critical comments or corrections, the viva voce examination shall be conducted via video conferencing, if necessary.

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10.		Academic, administrative and infrastructural requirements to be fulfilled by Colleges for getting recognition/permission for its Faculty Members for being co-opted as Supervisors.
	10.1	The Supervisors from the colleges must fulfil the eligibility criteria as laid down in Para 6.1 and 6.2. The colleges must provide the required infrastructure and supporting facilities for the promotion of research (as necessary for the concerned subject).
	10.2	In case of Science and Technology disciplines, exclusive research laboratories with equipments as specified by the University are essential.
	10.3	Students can be allocated to full-time regular teachers of any PG Department of an associated college of the University only after they are approved by the BoS of the respective Departments at the University.
	10.4	Associate Professors in colleges will be eligible to supervise maximum six students while Assistant Professors in colleges will be allowed to supervise maximum four students at a time.
	10.5	The teachers from colleges fulfilling the eligibility criteria as laid down in Para 6.1 and 6.2. shall be required to send an application to the respective Head of the Department in the University mentioning their area of research. The application should be duly recommended by the Principal of the college.

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10.6		The PhD programme will be conducted at the University with Supervisors from both the University and colleges. Colleges will not conduct any separate programme.
10.7		University shall advertise total number of seats for the purpose of admission to the PhD programme.
10.8		All candidates shall deposit coursework fee, as prescribed, to the University itself.
10.9		All students will be enrolled by the University. Students with Supervisors from colleges will attend coursework at the respective Departments of the University regularly and take the coursework examination together with other students as per this Ordinance. After successful completion of the coursework, the respective Departments may allow supervision to be conducted at the college by the college teachers. The attendance of such students will be submitted by the supervisor from the college to the respective Head of the Department.
10.10		The finalization of the topics for the students under the supervision of college teachers will be done before the DRC of the respective Departments at the University.
10.11		Students with the supervisors from the colleges will present their six monthly progress report before the duly constituted RAC in the respective Departments of the University.

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	10.12		The Pre-PhD seminar and submission of thesis will be as laid down as in Para 9.1 and 9.2.
	10.13		The Supervisors from the colleges will be invitee members in the DRC when matters related to their research scholars under their supervision are to be discussed.
	10.14		Research Supervisors may also access the required facilities from those neighbouring State and Private Universities/ Institutions/ Colleges/ R&D Laboratories/ Organisations which have the required facilities.
<b>11.</b>			<b>Fee Structure</b>
	11.1		Fee payable by a candidate admitted to the PhD programme shall be as prescribed by the University from time to time.
	11.2		Full fee, as applicable, shall be payable by the scholar for the entire period for which extension is granted.
	11.3		Fee once paid to the University shall not be refunded except the caution money, which shall be refunded to the scholar within one year from the date of award of the degree or cancellation of admission on any ground, subject to the adjustment of any dues payable by him/her.
<b>12.</b>			<b>Admission Cancellation</b>
	12.1		The registration and admission of a candidate may be cancelled by the DRC in any one of the following eventualities:

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			<p>(i) If the candidate is absent for a continuous period of four weeks without prior information/sanction of leave.</p> <p>(ii) If the candidate fails to renew his/her registration and does not pay the fee.</p> <p>(iii) If two consecutive six monthly progress reports of the candidate are unsatisfactory.</p> <p>(iv) If the candidate fails to submit the thesis within the maximum stipulated time as provided in this Ordinance.</p> <p>(v) For any errant behavior, such as indiscipline, anti-university or anti-national activity, moral turpitude or any behavior which is unlike that of a student.</p> <p>(vi) If the candidate resigns from the PhD programme and the resignation is duly recommended by the Supervisor.</p> <p>Provided further that action of cancellation of registration of a candidate [in the eventualities listed above] may not be taken by the DRC without serving a show cause notice on the erring scholar and without giving him/her an opportunity to reply.</p>
13.			<b>Depository with UGC</b>
	13.1		Following the successful completion of the evaluation process and conferment of the award of PhD Degree, the University shall submit a soft copy of the thesis to the University Grants Commission within a period of thirty days for hosting the same on INFLIBNET, so that it is accessible to all Institutions/Universities.
	13.2		The University would host another soft copy of the thesis on its own database/website for general viewing.

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13.3		The University shall issue a certificate to the effect that the Degree has been awarded in accordance with the provisions of the University Grants Commission (Minimum Standards and Procedure for Award of MPhil/PhD Degrees) Regulations, 2016 with amendments of August 27, 2018 and 18 October, 2018 ( <b>ANNEXURE- F</b> ).
<b>14.</b>		<b>Miscellaneous</b>
14.1		<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 Chairperson of the Academic Council, shall be final.</p> <p>The Vice Chancellor is authorized to:</p> <p>(a) Modify, amend and/or delete any of the clauses given in the Ordinance 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 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 this Ordinance for handling circumstances not covered by this Ordinance.</p>
14.2		<b>Leave Rules:</b> A research scholar shall be eligible to avail leave as per the University rules applicable to students of the University. S/he shall not be entitled for any inter-semester breaks. However, s/he would be entitled for an additional leave of up to 10 days

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		on medical grounds in an academic year. The aforesaid leave provisions are cumulative. Further, female candidates shall be eligible for maternity/child care leave 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 the thesis and in such a situation, requirement of full 36 months needs to be completed (including coursework).
	14.3	The leave shall be granted by the Head of the Department/Director of the Institute on the recommendation of the Supervisor.
	14.4	Attendance Register for all the students for both coursework and for the subsequent completion of the PhD programme is to be maintained in the office of the Departments/Institutes.
	14.5	All the admitted students shall be required to assist in the teaching/ practical/ demonstration/ field work/ project work/ examination work of the Department/University.
<b>15.</b>		<b>Date of the Award of the PhD Degree</b>
	15.1	The date of the award of the PhD degree will be the date of viva voce conducted in the Department by the panel of examiners after due approval by the Head of the Department. Its intimation shall be duly and immediately forwarded by the Head of the Department, through the Dean, to the Registrar.

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	15.2		There shall be a separate register maintained by the University in which the information about the PhD awarded in different Departments/Institutes. The record must include the following: Name of the candidate, Topic of research, Name of the Supervisor/s, Date of registration, Date of submission and Date of award of PhD. This information should also be uploaded on the University website.
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## ANNEXURE – A

Interview Award List		
Maximum Marks = 30 Marks		
	Explanation	Marks given to candidate
<b>Part A</b> JRF /NET /UP-SLET qualified candidates (Maximum 10 Marks)	JRF qualified candidates 05 marks	
	NET /UP-SLET qualified Candidates 05 marks	
<b>Part B</b> Presentation / viva-voce (Maximum 20 Marks)	Evaluation of the candidate based on his/her understanding of the research process and issues in the proposed area of research based on presentation by the candidate and performance in the viva-voce	
Total Marks (Maximum 30 Marks)	Marks in Parts A+B	

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## ANNEXURE B

### CANDIDATE'S DECLARATION

I,....., certify that the work embodied in this PhD thesis entitled .....is my own bona fide 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 PhD thesis has not been submitted for the award of any other degree/diploma.

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

Date: .....

(Signature of the Candidate)

Place: Lucknow

(Name of the Candidate)

M. Banerjee



Meenakshi Paul

ANNEXURE-C

CERTIFICATE FROM THE SUPERVISOR/ CO-SUPERVISOR

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


Date: .....

(Signature of the Supervisor/Co-Supervisor)

Place: Lucknow



Meenakshi Paul





ANNEXURE-D

CERTIFICATE FROM THE HEAD OF THE DEPARTMENT/ DIRECTOR  
OF THE INSTITUTE FOR SUCCESSFUL COMPLETION OF PhD  
COURSEWORK

TO WHOM IT MAY CONCERN

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

Date:

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

Place: Lucknow

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ANNEXURE – E

CONFIDENTIAL

UNIVERSITY OF LUCKNOW

EXAMINER'S RECOMMENDATION AND REPORT

In respect of the thesis entitled.....  
.....

LUCKNOW, UP (INDIA)

RECOMMENDATION OF THE EXAMINER

- 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.....

Date.....

Signature of Examiner

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

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DETAILED REPORT

*M Banerjee*

*[Signature]*

*Meenakshi Pawar*



ANNEXURE – F

CERTIFICATE AS PER THE UNIVERSITY GRANTS COMMISSION  
REGULATION  
(MINIMUM STANDARDS AND PROCEDURE FOR AWARD OF PhD  
DEGREE) REGULATIONS, 2016 WITH AMENDMENTS OF AUGUST 27,  
2018 and OCTOBER 16, 2018

TO WHOM IT MAY CONCERN

This is to certify that Mr/Ms .....Son/ daughter of  
.....Enrolment No. ....was awarded PhD degree  
in the subject of .....by this University in the  
year .....as per the University rules/ records, his/ her PhD degree fulfils criteria  
suggested by UGC Regulations 2016 with amendments of 27 August, 2018 and October  
18, 2018.

REGISTRAR

*M. Banerjee*

*[Signature]*

*Neeraj K. Paul*

## ANNEXURE – G

### Documents to be submitted with the Thesis and Submission Form

1. Three hard copies of thesis with soft cover and printed on both sides of the paper, which will include:
  - Candidate's Declaration
  - Certificate from Supervisor/ Co-supervisor
  - Certificate of successful completion of course work
  - Certificate of plagiarism check
  - Synopsis
  - Two published papers in refereed journals
  - Two conference/ seminar paper presentation certificates
2. Soft copy of abstract and thesis along with the listed documents in CD or Pen-Drive.
3. Thesis submission fee receipt
4. Copies of fee receipts of all years
5. Permission of thesis submission after 4 years (if applicable)
6. Photocopies of marksheets of high school (class X) to Master's Degree
7. No Objection Certificate (NOC) in original from Proctor, Tagore Library, CLL and Department
8. Attested photograph on Thesis submission form is compulsory

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*Sub*

*Neeraj Paul*