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VEER BAHADUR SINGH PURVANCHAL UNIVERSITY,
JAUNPUR -222003



DOCTOR OF PHILOSOPHY (Ph.D.)
DEGREE ORDINANCE, 2022

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1. DOCTOR OF PHILOSOPHY DEGREE ORDINANCE, 2022

In exercise of the powers conferred by sub-section (3) or Section 52 of the Uttar Pradesh State Universities Act, enacted 1973 and amended by the Uttar Pradesh Universities (Re-enactment and Amendment) Act, 1974 (U.P. Act No. 29.06.1974) and in supersession of all the previous ordinances on the subject, the Executive Council, hereby makes the following ordinances in order to regulate the minimum standards and procedures for award of Ph.D. degree in consonance with the University Grants Commission 'Minimum Standards and Procedure For Award of M.Phil./Ph.D. Degree Regulations, 2016'. In supersession of the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2009.

- 1.01- These Ordinances may be called 'The V.B.S. Purvanchal University, Jaunpur, Doctor of Philosophy (Ph.D.) Degree Ordinance, 2022'.
- 1.02- They shall come into force from the session 2022-23.

2. ENUMERATION OF Ph.D. SEATS

- 2.01- A research supervisor/co-supervisor who is a professor, at any given point of time, can guide up to a maximum of eight (08) Ph.D. scholars. An associate professor as a research supervisor/co-supervisor can guide up to a maximum of six (06) Ph.D. scholars and an assistant professor as a research supervisor/co-supervisor can guide up to a maximum of four (04) Ph.D. scholars. A co-supervisor cannot guide more than 50% of maximum seat of supervisor.
- 2.02- Based on the above norm and number of Ph.D. scholars already registered for Ph.D. with all supervisors in the Department, a pre-determined and manageable number of feasible vacancies available for new Ph.D. candidates shall be counted on annual basis and communicated by the each Director of Institute/Head of Department/Principal if applicable, in

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consultation with respective faculty members of the Department, to the Registrar through their respective Deans/Directors/Principals along with broad area/sub-disciplines available for these vacant positions.

- 2.03- The subject wise number of seats for Ph.D. shall be decided well in advance and displayed on the University website and advertisement. The University shall widely advertise the number of available seats for Ph.D. studies and conduct admission on regular basis.
- 2.04- These vacant positions shall be divided as per Reservation Policy of the State-Vertical & Horizontal-categories into unreserved, reserved for OBC/SC/ST/EWS, and so classified for each department.
- 2.05- The procedure for admission, evaluation and award concerning pursuit of Ph.D. in multi-departmental inter-disciplinary institutes of the university duly established under section 44 shall be same as specified for regular departments.
- 2.06- There shall be no additional Ph.D. seats in multi-departmental interdisciplinary institutes unless regular whole-time teachers are appointed in the institutes themselves. For teachers otherwise associated with these institutes, the number of Ph.D. students shall have to be adjusted against the seats for the associated teachers of these institutes in their parent departments with no more than two for Professor and one each for Associate/Assistant Professor, respectively.

3. ELIGIBILITY AND CATEGORY OF Ph.D.

- 3.01- A candidate for pursuing research for a Ph.D. Degree of the University must hold a post-graduate degree with minimum percentage of marks in the subject concerned and must fulfil other conditions of eligibility (good academic record, and other stipulations, if any) prescribed in the statutes for the recruitment to the post of Assistant Professor or in equivalent positions.

Provided that in exceptional case in an allied subject may also be considered for admission to Ph.D. degree by the Research Degree Committee (RDC).

Provided further that the students appearing for final year or final semester of their post-graduate degree examination will also be eligible to appear for the admission process subject to the fulfilment of minimum eligibility criteria in the final result thereof.

- 3.02- Candidates for admission to the Ph.D. program shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 3.03- A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
- 3.04- **Full Time Ph.D.:** Category of full-time Ph.D. (with or without a fellowship or sponsored) shall be:

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- a) Candidates having valid NET/GATE score.
- b) Candidates (including a foreign national) who are financially supported by Government/Semi-Government agencies QIP/CSIR/UGC/ICAR/ICMR/DAE/DST (including Inspire fellowship), DBT/NBHM/JEST/ICCR/NDF-AICTE/DRDO, etc.
- c) Candidates who have been granted the study leave from government educational institutions for a minimum period of three years for Ph.D. program.
- d) Self-financed Candidates

Indian: This category refers to persons with good track record and experienced to join Ph.D. programme. They will be admitted through common admission process along with regular research candidates.

Foreign: Admission of foreign citizens in Ph.D. programs will be considered as per the policy and instructions of the indian government from time to time.

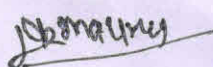
- e) Research candidate working full time (JRF/SRF/RA/PA) in a sponsored R&D project at Veer Bahadur Singh Purvanchal University, Jaunpur may be admitted to the Ph.D. program after 06 months of joining the project provided his/her Ph.D. related to the project and approved by Departmental Research Committee (DRC). Such a candidate will have to go through the same admission process which is applicable as usual.

3.05- Part Time Ph.D.: Eligibility for part-time Ph.D.

- a) Regular and full-time teachers of a university or a government/aided college affiliated to the University who have worked in an educational/research institute established by law, in Uttar Pradesh/Central Government or any of its departments for at least one continuous year (including probationary period) having completed the service, will be eligible for admission to the part-time Ph.D.

- b) Continuing experience of more than 10 years of service as an Army, Navy and Air Force officer of at least the rank of Colonel or equivalent, to pursue research as part-time Ph.D. shall be eligible.
- c) An officer/scientist in public sector, private industries/companies (BSE/NSE listed) having continuous experience of more than 10 years of service will be eligible for part time Ph.D. admission.
- d) Research students/candidates working regularly full time in Research & Development (R&D) project in a recognized institute established by law and if their Ph.D. project work is not relevant with the project work and is recommended by the DRC can join as part time Ph.D. candidate after 06 months of joining the project. To be accepted as a Ph.D. student, such student will have to go through the same admission process that normally applies.
- e) The eligibility criteria for part time Ph.D. candidates will be the same as for full time Ph.D. students. Such candidates will have to produce a No Objection Certificate (NOC) from the Principal /Head of the Department/Director of Institute/Leaving authority for pursuing part-time Ph.D., which shall mention: -
- I) He/She is appointed as regular employee in the institute/department.
- II) He/She is allowed to study on a part-time basis.
- III) During his/her part-time Ph.D., he/she will be allowed sufficient time. The certificate should be on the letter head of that institution and should contain an undertaking stating that the period of study of the candidate will be treated as on duty with normal pay and allowances and he/she will be relieved for the period of study. The candidate will also have to produce a certificate stating that research facilities are available in his/her institute/organization.
- f) He/She will have to stay in the institute for a period of at least one semester *i.e.*, 6 months in the first year of Ph.D. program and he/she must submit a photocopy of attendance register attested by the research

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supervisor/head of the institution or principal, on completion of minimum stay in the university. This condition of minimum stay period will automatically lapse for the candidate whose research supervisor is available at his/her research center and both (research supervisor and research center) are approved by Veer Bahadur Singh Purvanchal University.

- g) Duly selected teacher (contract) of the university campus will be exempted from the written test of PUCRET entrance examination after completing 5 years of
- h) continuous service in the campus itself, but it will be mandatory for them to apply for admission in research.
- i) All types of candidates will have to present a No Objection Certificate (NOC) issued by the Competent Officer/Employer of their institution before the Departmental Research Committee.
- j) **Admission Rules:**

The candidate will be required to apply for admission to part-time Ph.D. but he/she will be exempted from the written examination of research entrance. Such a candidate will have to prepare a write-up related to his/her proposed research work and present it to the DRC, whose surcharge will be 70% and the remaining 30% will include his/her work experience, academic index, oral/interview on the research topic given in the Annexure-A.

- k) If a research scholar, during full-time Ph.D. course get selected and joined as a regular service in an educational/research institute established by law in Uttar Pradesh/Central Government or a government institution in the department, apply for change from full-time to part-time Ph.D. course then his/her minimum stay period (Residential Period) will be one year provided that he/she has successfully completed his/her Ph.D. course work. However,

conversion shall not be allowed before 3 years in case the scholar has received fellowship by the University or any other institution. If the scholar does not fulfill the condition of completing 3 years, the full amount of fellowship will have to be returned by the scholar to the University. Such a research scholar shall have to submit a No Objection Certificate from the Head of the Institution/Employer of his/her Institute/Department/Principal for pursuing a part-time Ph.D. stating that he/she is working regularly in the Institute/Department as a regular employee and is allowed to study on a part-time basis. This change will be acceptable after the recommendation of the DRC and RDC. In this regard, a letter shall be issued by the University to the concerned.

- I) After completion of minimum stay period, part-time Ph.D. candidates will have to spend at least 06 days in each semester (including public holidays) on research work as per the advice of the research supervisor. A record of attendance should be maintained with the Research Supervisor and office. Research progress reports must be submitted at the end of each semester.

4.(A) PROCEDURE FOR ENTRANCE TEST/INTERVIEW

- 4.01- Neither University nor its affiliated/associated college/institutes shall conduct Ph.D. programme through distance education mode. However, part time Ph.D. will be allowed provided all the conditions mentioned in the extant Ph.D. regulations are met.
- 4.02- University shall admit Ph.D. students through Combined Research Entrance Test named as "PU-CRET".
- 4.03- University shall conduct Combined Research Entrance Test named as "PU-CRET".
- 4.04- University shall publish a PU-CRET public notification through its website and in at least three issues of the daily newspapers already earmarked.

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- 4.05- The said advertisement will contain the salient features necessary for the purpose, i.e. eligibility criteria, subject, fee and mode of its payment, reservation, syllabus, scheme, Centre, submission of application, other relevant instructions and anticipated date of the declaration of results thereof.
- 4.06- A candidate for admission to the Ph.D. degree shall apply to the University conducting the PU-CRET on a prescribed form.
- 4.07- The syllabus, examination paper pattern and qualifying criteria of the PU-CRET will be VBS Purvanchal University post graduate syllabus or the same as prescribed for NET examinations conducted by the University Grants Commission/Council of Scientific and Industrial Research/Indian Council of Agricultural Research, etc.
- 4.08- The entrance test will be on 70% written basis and 30% on interview/oral basis. There shall be two question papers in the written entrance test. The percentage of aggregate of marks obtained in both the papers of written entrance examination is mandatory to obtain minimum 50% for Unreserved & Economically Weaker Section (EWS) candidates and minimum 45% for OBC/SC/ST/differently abled category candidates.
- 4.09 - The syllabus will contain 50% from research methodology and 50% from specific subject (referred subject) in the entrance exam.
- 4.10- For the candidates exempted from written entrance examination and those who qualify the written entrance examination for full time Ph.D. course, the distribution of 30% marks shall include Academic index, Presentation, and oral/interview. The details of the scores are mentioned in Annexure-B.
- 4.11- The final selection of the candidates who have passed the written entrance examination and the candidates exempted from the entrance examination will be done in descending order relative to the available seats on the basis of the sum of the scores of the academic index, presentation and oral/interview.

4.(B) EXEMPTION FROM THE ENTRANCE TEST

4.12- The following categories of candidates shall be exempted from the PU-CRET for admission to Ph.D. programme: -

- a) Regular working teacher of the University or a College affiliated/associated to the University. There shall be special provision of supernumerary Ph.D. seats not exceeding 10% of the total seats available in the department, if there is no vacant seat available with the eligible supervisors in that department, to the in-service teachers for encouraging the faculty members of colleges and universities for getting a Ph.D. degree¹.
- b) International students (including NRIs) which shall be subject to the general rules framed by the Government of India from time to time and as applicable to the University with regard to the admission, fees, etc.
- c) All candidates selected by the UGC/CSIR/ICAR/ICMR/DAE/DST/DBT/NBHM/JEST/ICCR/NDF-AICTE/DRDO including DST Inspire fellowship/or other central regulatory bodies for their fellowships, NET-lectureship, subject to the validity norms of the respective fellowship.
- d) Candidates who have valid GATE Score.
- e) Serving Army, Navy and Air-force Officers of at least Colonel or equivalent rank with not less than 10 years of service applying for Ph.D.
- f) Serving in public sector, private industries/companies (BSE/NSE listed) as an officer/scientist with not less than of 10 years of continuous service. Such type of admission will be maximum 5% of total seats in a session.
- g) Those candidates who have already obtained Ph.D. degree and would like to do Ph.D. again shall be exempted from written entrance test but the candidate must have to apply for the same.
- h) The candidates who are appearing for Part time Ph.D. course.

¹ GO: Number 70/seventy-1-2022 Dated: 06 January 2022

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5. PROCEDURE FOR ADMISSION

- 5.01- Candidates having merit score certificate, with duly attested photo copies of certificates and degrees shall apply to the university on a prescribed application form with a fee as decided by the admission committee at the time of admission for admission to the Ph.D. degree duly forwarded by the proposed supervisor if possible.
- 5.02- A candidate shall ordinarily be permitted to work for the Ph.D. degree in the subject in which he/she holds Master's degree:

Provided that such research work leading to Ph.D. degree in allied subject in the same or other faculty may also be allowed, if the Research Degree Committee concerned, on recommendation of the concerned Dean of the faculty or the Director of Institute or the Head of Department/ Principal on being satisfied that the candidate possesses the requisite qualifications/capabilities to take up the proposed work in multi-disciplinary areas.

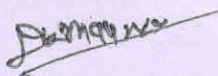
6. COURSE WORK

- 6.01- The full time Ph.D. student shall pay a sum of Rs. 30,000/- (Rs. Thirty thousand only) including course work fee whereas the fees of part time Ph.D. program would be decided by the finance committee/executive council.
- 6.02- All admitted candidates shall undergo a course work for a minimum period of one semester/six months as prescribed by the University.
- 6.03- The course work shall be treated as pre-Ph.D. preparation and include a course on research methodology, quantitative methods and computer applications or reviewing of published research in the relevant field.
- 6.04- The Head of Department/Director of the Institute/Principal shall prepare the time-table for the course work, teaching and continuous evaluation and shall conduct the same under the overall supervision of the concerned

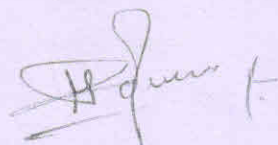
Dean of Faculty/Director of the Institute/Head of Department/Principal, respectively.

- 6.05- Minimum attendance required to become eligible to appear in the qualifying examination for each paper shall be 75% of all class lectures. In case a student is short of attendance due to illness, participation in sports, extra-curricular activities etc., the following rules may be applied: -
- a) Shortage up to 20% may be condoned by the Dean/Head/Director/Principal.
 - b) 50% relaxation in attendance can be given by the Vice-Chancellor.
- 6.06- The University shall conduct a semester-end qualifying examination, at par with other university exams, based on the course work in general supervision of the HOD/Director/Principal. The minimum passing marks in the course work shall be 55% for all students in each paper and in aggregate as well.
- 6.07- If a candidate fails to qualify the course work examination in first attempt, he/she will be given only one additional chance to clear the course work examination along with the next regular batch to qualify this examination.
- 6.08- The course work may be carried out by doctoral candidates in sister Departments/Institutes either within or outside the University.
- 6.09- The credit assigned to the Ph.D. course work shall be a maximum of 16 credits.
- 6.10- The main two paper of course work will be 6-6 credit and one paper will be 4 credit which is concerned with the main paper viz Research Methodology (including research ethics, plagiarism and computer application).
- 6.11- Besides theory papers there shall be a research project in the pre-Ph.D. course work whose structure will be decided by the Board of Studies (BOS) and Academic council.
- 6.12- The obtained marks of research project of pre-Ph.D. course work shall be entered on the grade sheet but does not count for the CGPA.

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- 6.13- After earning the 16 credit of pre-Ph.D. course work, the passed candidate shall be awarded Post Graduate Diploma in Research in the main subject.
- 6.14- The student shall be registered in Ph.D. research work after passing the pre-Ph.D. course work.
- 6.15- For the completion of pre-Ph.D. course work of the teacher already in service, besides physical appearance, the online classes regulation shall be made by Board of Studies and academic council.
- 6.16- Supervision regarding course work conducted at each study center will be ensured by the teacher nominated by the Vice-Chancellor, whose honorarium and travelling allowance will be paid by the university.

7. CONSTITUTION OF DEPARTMENT RESEARCH COMMITTEE (DRC)/RESEARCH DEGREE COMMITTEE (RDC) & ALLOCATION OF SUPERVISORS AND SUBMISSION OF SYNOPSIS

- 7.01- The student shall interact with Ph.D. supervisors with vacant seats available in his/her chosen broad sub discipline before counselling for admission/Registration. The student shall submit prescribed Ph.D. registration form along with synopsis forwarded by the proposed supervisor to the concerned Department/Institute/Centre/College. The registration of the student will be recommended by the DRC.
- 7.02- The DRC will be constituted in the following manner:
- Head of Department/Director of Institute/Principal
 - One external subject expert nominated by Vice-Chancellor (Chairperson)
 - At least One Internal subject expert by rotation for one year (Member)
 - All the proposed supervisor(s) (Member)

Finally, the RDC will approve the candidate for registration in Ph.D. programme. Research Degree Committee (RDC) will be constituted in the following manner

- Vice-Chancellor (Chairperson)
- Dean
- Head of Department/Director of Institute/Principal

After approval of RDC the student will be registered for Ph.D. Programme. The allocation of the supervisor for an eligible student shall be recommended by the Department Research Committee (DRC). The allocation shall take care the no of students per faculty member, the available specialization among the faculty supervisors, and the research interest of the students as indicated during the interview by the candidate.

7.03- In case, the DRC finds that the synopsis is not up to the mark, it shall make specific suggestions for improving the synopsis in future.

8.(A) ELIGIBILITY CRITERIA TO BE A RESEARCH SUPERVISOR, CO-SUPERVISOR, NUMBER OF Ph.D. SCHOLARS PERMISSIBLE PER SUPERVISOR, RESEARCH ADVISORY COMMITTEE (RAC), ETC.

8.01- Any regular Professor of the university/institution/Deemed to be university/college with at least 5 research publications in refereed journals and any regular Associate Professor/Assistant Professor of the University/College with a Ph.D. degree and at least 2 research publications in referred journals may be recognized as research supervisor.

8.02- Only a full-time regular teacher of the University/College can act as supervisor. The external supervisors are not allowed. However, Co-supervisor can be allowed in interdisciplinary areas from other departments of the same institute or from other institution with approval of the Research Advisory Committee (RAC):

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Provided also that a retired teacher of the University or its affiliated/associated/constituent College, may be permitted to remain as supervisor of his/her Ph.D. student during the remaining tenure of Ph.D. studentship of the student(s) already registered with him/her. If the research scholar is unable to submit the thesis within the regular studentship period, the change of supervisor may be considered as per provisions:

Provided further that in very special circumstances, the retired teachers of the Universities and affiliated/associated colleges up to the age of 65 years may also be approved as supervisors by the Research Degree Committee.

- i) The Vice-Chancellor in consultation with the Deans of the Faculties or the Director of Institute shall approve a list of qualified supervisors in accordance with the aforesaid ordinances and may add or delete names accordingly.
- ii) A supervisor shall not be allowed to supervise a candidate who is his/her relative whether by blood or by marriage.

Explanation- In this ordinance "relative" Explanation to section 20 of the U.P. State University Act, 1973.

- 8.03- On recommendation from the RDC through the Dean of the Faculty or the Director of Institute or Principal concerned, the Vice-Chancellor may allow a candidate to have co-supervisor for his/her thesis from an allied Department or Institution recognized by the University for this purpose, if the research is of an interdisciplinary nature. The Supervisor shall be from the department where the candidate is registered:

Provided that if Supervisor is not available in the Department in interdisciplinary area, RDC may appoint Supervisor from the other concerned departments of the University.

8.04- Change of Research Supervisor: No change of supervisor shall ordinarily be allowed, but in special cases, where the Head of the Department/Principal is satisfied that the research work of a scholar will suffer:

- i) If the research supervisor is on leave for a period of one year or more under special circumstances (deputation in some other institution, transfer from service on retirement, resignation or illness etc.) or for academic upgradation. If he/she expresses his/her inability to direct the research, in such a situation, on the application of the research scholar, a new research supervisor can be appointed after the recommendation of the research supervisor and the departmental research committee.
- ii) The supervisor may not be available to guide the scholar.
- iii) As the supervisor is not willing to, or not in a position to supervise a scholar.
- iv) Due to existence of extra-ordinarily situations necessitating such a change.
- v) If research supervisor dies untimely, then in such a situation the changed research supervisor can be appointed to the researcher on the recommendation of the DRC;

Provided that the first preference for the research supervisor available at the same research center will be given to the teacher in the order of seniority and specialization in that subject on the recommendation of the DRC as well as with the consent of the research scholar and concerned teacher;

Provided also that if all the seats available with the research supervisor at that research centre are already filled, then the above referred seat will be considered as additional seat. This additional seat will automatically expire on successful award of the research degree by the research scholar;

Provided also that if the research supervisor of that subject for the researcher at that research center is not available then appointment of

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research supervisor will be done from other research centers (first preference is given to other research centers available in the same district) on mutual consent of the researcher and the research supervisor based on the availability of Assistant Professor, Associate Professor and Professor;

Provided also that in all the above circumstances the eligibility for Research Supervisor shall be as per the rules of UGC Regulations and Ordinance of the University.

- vi) Interdisciplinary research subject in which the research supervisor and co-supervisor are appointed and if untimely death of the research supervisor occurs, even in this case the research scholar may be allotted to a new supervisor on the recommendation of DRC.
- vii) Such teachers whose retirement date is less than one year shall not be eligible for changed research supervisor.
- viii) If the research supervisor of a research scholar changes within two years other than the above and the research supervisor belongs to any other reference subject, the title of the research topic and the research work may be changed with the mutual consent of the research scholar and the new research supervisor. But the condition is that it may be done only after getting No Objection Certificate (NOC) from the former research supervisor and on the recommendation of DRC. In such a situation the research scholar has to go through new registration and re-pass the course work examination. The research scholar will not have to deposit the registration fee but will have to pay the course work fee.

In such case, the DRC may recommend a change of supervisor to the Vice-Chancellor through the Dean of Faculty or the Director of Institute or Principal who may allow change of the supervisor.

8.05- To encourage/promote research work, research guidance will be done by the teachers of all postgraduate and graduate departments on the basis of the standards set by the UGC².

8.(B) RESEARCH ADVISORY COMMITTEE (RAC) AND ITS FUNCTIONS:

8.06- There shall be a Research Advisory Committee for each Ph.D. scholar. The research supervisor of the scholar shall be the convener of this committee. A co-supervisor (if any) of Ph.D. scholar, one subject expert nominated by DRC and one subject expert nominated by supervisor shall be member of committee. This committee shall have the following responsibilities:

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

8.07- A research scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports shall be submitted by the RAC to the Institution/College with a copy to the research scholar.

8.08- In case, the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend to the Institution/College with specific reasons for cancellation of the registration of the research scholar.

² GO No. 41/Seventy-5-2022-11/2021 Dated: January 6, 2022

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9. SUBMISSION OF THESIS

- 9.01- The period of thesis submission of candidates/students shall be which he/she had deposited his/her fees before the commencement of the course work, as mentioned in ordinance 6.01.
- 9.02- Continuation of the registration of a candidate in the Ph.D. programme shall depend on his/her satisfactory progress and good conduct. The University reserves the right to cancel the registration of any candidate in the event of his/her conduct and progress being found otherwise.
- 9.03- The candidate shall be required to submit a progress report every six months to the University through supervisor.
- 9.04- A candidate registered for the Ph.D. Degree shall be required to pursue his/her research at the head-quarter of the University/Institution under the supervisor and on the subject approved for not less than Thirty-Six months for full time Ph.D. and Forty-Eight months for part-time Ph.D. including the period of Course work commencing from the date of approval by RDC.
- 9.05- Provided that the Vice-Chancellor, on the recommendation of the Supervisor, the Head of the Department/Director of Institute/Principal, and the Dean of Faculty, grants permission to candidate to reside outside for purpose of the research work for a total period of not more than one and half year.
- In special circumstances, a candidate may, not later than one year from the date on which approval was granted to him/her or next meeting of the RDC, modify the scheme of the topic with the approval of the Vice-Chancellor on the recommendation of the Supervisor, the Head of the Department/Director of Institute/Principal, and the Dean of Faculty.
- 9.06- In case, a candidate fails to submit his/her thesis within Six years for full time Ph.D. and seven years for part time Ph.D. programme, he/she shall

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- In special circumstances, a candidate may, not later than one year from the date on which approval was granted to him/her or next meeting of the RDC, modify the scheme of the topic with the approval of the Vice-Chancellor on the recommendation of the Supervisor, the Head of the Department/Director of Institute/Principal, and the Dean of Faculty.
- 9.06- In case, a candidate fails to submit his/her thesis within Six years for full time Ph.D. and seven years for part time Ph.D. programme, he/she shall

cease to be a bonafide student of the University and shall not be entitled to the rights and facilities extended to a regular student.

- 9.07- The registration of the candidate who does not submit his/her thesis within six years for full time Ph.D. and seven years for part time Ph.D. programme from the date of his/her registration shall be deemed to be cancelled automatically. However, the extension for the period may be given by the Vice-Chancellor.
- 9.08- Prior to submission of the thesis, the student shall make a pre-Ph.D. presentation in the concerned Department that will be open to all faculty members and research students. The supervisor shall provide a certificate to this effect.
- 9.09- i) The research scholar shall publish at least two research papers of the Ph.D. work in separate research journals out of which at least one must be in a UGC care list journal/refereed journal before the submission of the thesis for evaluation.
- ii) The research scholar shall present at least two research papers of the Ph.D. work in separate seminars/conferences organized by higher academic institutes before the submission of the thesis for evaluation.
- 9.10- A scholar may be permitted to make minor modifications in the title of his/her thesis by the Dean of the Faculty concerned on recommendation from the supervisor and the Head of the Department/Principal, but not later than six months before the submission of his/her thesis.
- 9.11- Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee of the Institution concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Research Advisory Committee.
- 9.12- i) When the thesis is ready for submission, the scholar shall apply through

his/her supervisor stating therein that the thesis is on the point of completion. Such a report be received at least three months before the completion of the thesis.

ii) The Head of Department/Director of the Institute/Principal concerned and the supervisor jointly shall recommend a panel of six experts (two from other states) along with their e-mail address and postal address, including the supervisor as one of them and his/her alternate (3 Examiners and their 3 alternates).

iii) The RDC will finally approve the panel of examiners and Chairperson of the RDC can modify the list of examiners in special circumstances.

iv) In the case, the thesis is not submitted within the stipulated time of twelve months, the panel shall stand lapsed and a fresh panel shall have to be recommended.

9.13- The research scholar shall submit the thesis in four printed or type written, but not published earlier, copies of his/her thesis, and two CDs in PDF format along with three copies of summary.

9.14- The thesis shall comply with the following conditions:

- i) The Academic council (or its equivalent body) of the university shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty, while submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the supervisor attesting to the originality of the work vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same institution where the work was carried out or to any other institution.
- ii) The candidate shall also remit, with thesis, Rs. 10,000/- (Rupees Ten Thousand Only) as the evaluation and viva-voce examination fee for Ph.D. degree.

- iii) All the relevant certificates given by the candidates/supervisor/Head of Department/Director of Institute/Dean of Faculty/Principal must be attached to the thesis.

10. EVALUATION AND ASSESSMENT METHODS

10.01- Upon satisfactory completion of the course work and obtaining the marks a minimum of 55% or its equivalent grade/CGPA in the UGC seven – point scale, Ph.D. scholars shall continue to the research work.

10.02- On receipt of the thesis along with the certificates and the fee receipt, the thesis will be sent within two weeks to the examiners selected for the purpose after their consent.

10.03- i) If the examiners consider the thesis to be of sufficient merit, they may recommend that the thesis be accepted for the award of the degree of Doctor of Philosophy.

ii) If the RDC is satisfied that the reports of the examiners are unanimously recommending to award the Ph.D. Degree, the candidate shall require to undergo a viva-voce examination to be conducted by two examiners (One supervisor and one external examiner).

iii) The viva voce examination shall be conducted at the university headquarters and will be open to all interested in the subjects.

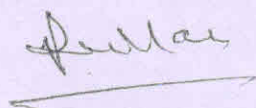
iv) After satisfactory viva-voce examination, the RDC will grant the permission for the award of the Ph.D. degree to the candidate.

v) If the majority of the examiners recommend that the candidate be asked to modify his/her thesis, the RDC Chairperson (Vice-Chancellor) will permit the candidate to resubmit the thesis not earlier than three months and not later than the date fixed by the RDC Chairperson (Vice Chancellor).

vi) If One Examiner asked to revise the thesis then the report of the examiner will be sent to the other two examiners for their comments. If

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both of them are not agreed to revise, then the thesis will be sent to the alternate of the previous examiner for fresh evaluation.

vii) After receiving the report of the alternate examiner, the RDC will take suitable decisions to grant the permission for viva-voce examination.

viii) The University will complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.

11. DEPOSITORY WITH INFLIBNET/UGC

11.01- Following the successful completion of the evaluation process and conferment of the award of Ph.D., the University shall submit a soft copy of the Ph.D. thesis to the University Grants Commission within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/Universities.

11.02- The University shall host another soft copy of the Ph.D. thesis on its website for general viewing.

11.03- The University, along with the Degree, shall issue a Provisional Certificate certifying to the effect that the Degree has been awarded in accordance with provisions to the University Grants Commission "Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree Regulations, 2016" and as on further amended time to time.

12. AWARD OF Ph.D. DEGREE PRIOR TO NOTIFICATION OF THESE REGULATIONS OR AWARDED BY THE FOREIGN UNIVERSITIES

12.01- Award of degrees to the candidates registered for Ph.D. programme on or after July 11, 2009 till date of notification of these regulations shall be governed by the provisions of the UGC (Minimum standards and procedures for the award of Ph.D.) regulations 2009.

12.02- If the Ph.D. degree is awarded by a foreign University, the University

considering such a degree shall refer the issue to a standing committee constituted by the university for the purpose of determining the equivalence of the degree awarded by the foreign university.

13. DURATION OF THE PROGRAMME

13.01- Full time Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.

13.02- Part time Ph.D. programme shall be for a minimum duration of four years, including course work and a maximum of seven years.

13.03- In special circumstances, after the expiry of the maximum period for submission of thesis from the date of registration, an extension of one year may be granted by the Vice-Chancellor if the research scholar has submitted the dissertation within 3 months before the expiry of the maximum period applied for extension.

13.04- **Leave rules for full time research scholar:** The leave may be granted to a full-time research scholar on application in advance and after the recommendation of the Research Supervisor/Head of the Department/ Principal. In addition to public holidays, leave up to a maximum of 30 days will be admissible in an academic session. These holidays will include medical and casual leave. Casual leave can be granted up to a maximum of 6 days in a given time. Semester gap, winter and summer vacation will not be admissible to the research scholar. In the case of fellowship for research, if he/she is absent after the completion of the permissible leave limit, he/she will be deducted from the fellowship for the days he/she is absent. Leave of more than 30 days can be granted only after the recommendation of the Research supervisor/Head of the Department/ Principal in the following circumstances:

- i) To present research papers (in the country or abroad) or to participate in academic activities outside the Institute such as seminars, conferences, symposiums, etc.

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- ii) To do research work.
- iii) To do Field/Library/Computational/Sample Testing (by himself/herself) /Experimental work.
- iv) The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days. One year relaxation will be given to such candidates in thesis submission.

14. ADMISSION, REGISTRATION AND CANCELLATION

- 14.01- After verification of certificates, counseling and submission of admission fee and other fees, Ph.D. program admission form will be submitted for enrollment in pre-Ph.D. course. This date of submission of admission fee and other fees will be considered as the date of admission for Ph.D. program. After successful completion of course work, registration will be done in Ph.D. course and that will be the date of admission for registration in research work.
- 14.02- The selected research scholar shall obtain the consent letter of the concerned research supervisor and submit before the DRC constituted by the university. On the basis of the consent letter, the committee will allow the candidate for pre-Ph.D. course work.
- 14.03- The selected candidates shall have to submit the research summary (synopsis) and pre-Ph.D. fee to the university giving details of their qualifications and the proposed research topic for admission.
- 14.04- Students admitted to Pre-Ph.D. course may revised research summary (synopsis) only during Pre-Ph.D. course. After registration any changes/corrections will not be permissible.
- 14.05- The date of submission of Ph.D. thesis dissertation for full and part time Ph.D. mode shall be fixed from the date of admission to Ph.D. Program.

14.06- If a researcher fails in the course work and qualifies in the second attempt, then the date of admission for Ph.D. program will be calculated from the date of admission in the course work for the second attempt.

14.07- Passing the research eligibility test does not mean that the candidate will necessarily get admission in the research course. The University reserves the right to postpone/keep admission to any research program due to non-availability of research supervisor.

14.08 **Cancellation:** The registration of the research scholar may be cancelled if the scholar:

- i) If he/she remains absent for 8 consecutive weeks without prior notice/leave permission, his/her registration may be cancelled.
- ii) Resigns from the Ph.D. course after receiving the recommendation of the research supervisor.
- iii) His/Her academic and research progress is not satisfactory for three consecutive semesters.
- iv) Be found guilty of any kind of misbehavior or indiscipline.
- v) Successful course work within the stipulated time limit 24 months from initial admission does not complete.

14.09- **Re-Registration:** The RDC may consider the request for re-registration of scholars whose registration has been cancelled. If the application for re-registration is made within a period not exceeding one year from the cancellation of the registration of the research scholar, then the recommendation of the corresponding Research supervisor/HoD/ Principal can be considered by the Vice-Chancellor. The decision of the Vice-Chancellor will be final.

15. TREATMENT OF Ph.D. THROUGH DISTANCE MODE/ PART-TIME /FULL TIME

15.01- The University shall not conduct Ph.D. Programme through distance education mode.

15.02- Ph.D. degrees which are pursued either full time or part time will be treated as degrees awarded through Regular Mode.

16. MAINTENANCE OF REGISTERED Ph.D. STUDENTS ON UNIVERSITY WEBSITE

16.01- The University shall maintain on its website a list of all the students registered for Ph.D. on an annual basis. The list shall contain the name of the registered candidate, the subject of his/her research, his/her Research supervisor/Co-supervisor, date of enrollment/registration, etc.

17. PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM

17.01-**Prevention of Plagiarism:** The University/Institution shall detect plagiarism and educational fraud by developing well developed software and tools. Before submitting the thesis for evaluation, again an undertaking will be obtained from the researcher and a certificate will have to be submitted by the Research Supervisor as attestation of the originality of the work, in which it will be assured that there will be no plagiarism of any kind and the work has not been submitted for award of any other degree/diploma course in the same institution or in any other institution where this research work was done.

18. **Committee for research entrance test:** There will be a research entrance examination committee for conducting the Purvanchal University Joint Research Entrance Examination conducted by the University, whose members will be teachers. The members will be determined as follows:

- i) Coordinator
- ii) Deputy Coordinator
- iii) Minimum one or maximum 2 members.

ANNEXURE-A

| S.No. | Component | Overload (Weightage) | Score Determination | | | | | | | | | | | | |
|--|---|----------------------|--|-----------------|-------|------------|---|-----------------|---|--|---|---------------------------|----------------------------------|-----------------------|---|
| 1. | Research paper (Write up) | 70% | The candidate will be given 90 minutes to write the article based on the introduction of the topic, proposed research methods (e.g., purpose, reason, outline, data collection plan, data analysis method) and research/discovery. | | | | | | | | | | | | |
| 2. | Work experience | 10% | 1% surcharge will be given for work experience every year, which will be up to a maximum of 10%. | | | | | | | | | | | | |
| 3. | Academic index | 10% | <div>The Academic Index will be calculated as follows-</div> <table><tr><th>Academic record</th><th>Score</th></tr><tr><td>Graduation</td><td>75% Marks or more = 2% 60% to less than 75% = 1% Less than 60% = 0.5%</td></tr><tr><td>Post-Graduation</td><td>75% Marks or more = 2% 60% to less than 75% = 1% Less than 60% = 0.5%</td></tr><tr><td>Additional Professional Qualifications</td><td>75% Marks or more = 2% 60% to less than 75% = 1% Less than 60% = 0.5%</td></tr><tr><td>JRF-NET/NET / UP-SLET/SET</td><td>JRF-NET=2% or NET/UP-SLET/SET=1%</td></tr><tr><td>Research publications</td><td>UGC care listed/Peer Reviewed/Refereed Journal (at least two publications) = 1% Mark or SCI/SCOPUS/Web of Science (at least two publications) = Maximum 2%</td></tr></table> | Academic record | Score | Graduation | 75% Marks or more = 2% 60% to less than 75% = 1% Less than 60% = 0.5% | Post-Graduation | 75% Marks or more = 2% 60% to less than 75% = 1% Less than 60% = 0.5% | Additional Professional Qualifications | 75% Marks or more = 2% 60% to less than 75% = 1% Less than 60% = 0.5% | JRF-NET/NET / UP-SLET/SET | JRF-NET=2% or NET/UP-SLET/SET=1% | Research publications | UGC care listed/Peer Reviewed/Refereed Journal (at least two publications) = 1% Mark or SCI/SCOPUS/Web of Science (at least two publications) = Maximum 2% |
| Academic record | Score | | | | | | | | | | | | | | |
| Graduation | 75% Marks or more = 2% 60% to less than 75% = 1% Less than 60% = 0.5% | | | | | | | | | | | | | | |
| Post-Graduation | 75% Marks or more = 2% 60% to less than 75% = 1% Less than 60% = 0.5% | | | | | | | | | | | | | | |
| Additional Professional Qualifications | 75% Marks or more = 2% 60% to less than 75% = 1% Less than 60% = 0.5% | | | | | | | | | | | | | | |
| JRF-NET/NET / UP-SLET/SET | JRF-NET=2% or NET/UP-SLET/SET=1% | | | | | | | | | | | | | | |
| Research publications | UGC care listed/Peer Reviewed/Refereed Journal (at least two publications) = 1% Mark or SCI/SCOPUS/Web of Science (at least two publications) = Maximum 2% | | | | | | | | | | | | | | |
| 4. | Oral/Interview | 10% | <div>The following points will be considered in the oral/interview:</div> <div>1) Whether the candidate has potential for the proposed research?</div> <div>2) Can the proposed research work be implemented at a pre-university or research center?</div> <div>3) Can the proposed research area contribute to new/additional knowledge?</div> | | | | | | | | | | | | |
| | Total | 100% | | | | | | | | | | | | | |

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ANNEXURE-B

| S.No. | Component | Overload (Weightage) | Score Determination | | | | | | | | | | | | | | | | | | | | |
|-------------------------|----------------------------------|-------------------------|---|------------------------|---------------------------|----------------------|--|------------|------------------------|---------------------------|----------------------|-----------------|------------------------|---------------------------|----------------------|--|------------------------|---------------------------|----------------------|-------------------------|----------------------------------|--|--|
| 1. | Written entrance test | 70% | Those candidates who have either qualified the “PUCRET” or exempted from the “PUCRET”. | | | | | | | | | | | | | | | | | | | | |
| 2. | Academic index | 10% | The Academic Index will be calculated as follows: | | | | | | | | | | | | | | | | | | | | |
| | | | <table><tr><th>Academic record</th><th colspan="3">Score</th></tr><tr><td>Graduation</td><td>75% Marks or more = 2%</td><td>60% to less than 75% = 1%</td><td>Less than 60% = 0.5%</td></tr><tr><td>Post-Graduation</td><td>75% Marks or more = 2%</td><td>60% to less than 75% = 1%</td><td>Less than 60% = 0.5%</td></tr><tr><td>Additional Professional Qualifications</td><td>75% Marks or more = 2%</td><td>60% to less than 75% = 1%</td><td>Less than 60% = 0.5%</td></tr><tr><td>JRF-NET/NET/UP-SLET/SET</td><td colspan="3">JRF-NET=4% or NET/UP-SLET/SET=2%</td></tr></table> | Academic record | Score | | | Graduation | 75% Marks or more = 2% | 60% to less than 75% = 1% | Less than 60% = 0.5% | Post-Graduation | 75% Marks or more = 2% | 60% to less than 75% = 1% | Less than 60% = 0.5% | Additional Professional Qualifications | 75% Marks or more = 2% | 60% to less than 75% = 1% | Less than 60% = 0.5% | JRF-NET/NET/UP-SLET/SET | JRF-NET=4% or NET/UP-SLET/SET=2% | | |
| | | | Academic record | Score | | | | | | | | | | | | | | | | | | | |
| | | | Graduation | 75% Marks or more = 2% | 60% to less than 75% = 1% | Less than 60% = 0.5% | | | | | | | | | | | | | | | | | |
| | | | Post-Graduation | 75% Marks or more = 2% | 60% to less than 75% = 1% | Less than 60% = 0.5% | | | | | | | | | | | | | | | | | |
| | | | Additional Professional Qualifications | 75% Marks or more = 2% | 60% to less than 75% = 1% | Less than 60% = 0.5% | | | | | | | | | | | | | | | | | |
| JRF-NET/NET/UP-SLET/SET | JRF-NET=4% or NET/UP-SLET/SET=2% | | | | | | | | | | | | | | | | | | | | | | |
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| 3. | Presentation | 10% | 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 candidates. | | | | | | | | | | | | | | | | | | | | |
| 4. | Oral/Interview | 10% | <p>The following points will be considered in the oral/interview:</p> <p>i) Whether the candidate has potential for the proposed research?</p> <p>ii) Can the proposed research work be implemented at a pre-university or research center?</p> <p>iii) Can the proposed research area contribute to new/additional knowledge?</p> | | | | | | | | | | | | | | | | | | | | |
| Total | | 100% | | | | | | | | | | | | | | | | | | | | | |