Babu Banarasi Das University, Lucknow

BBDU Ph.D. Ordinance 2016

1. Title, Commencement and Application

   1.1 This Ordinance shall be called BBDU Ph. D. Ordinance 2016 which has been made in order to regulate the minimum standards and procedures for award of the degree of the Doctor of Philosophy of Babu Banarasi Das University in conformity with the University Grants Commission (Minimum Standards and Procedure for Award of M. Phil. /Ph. D. Degrees) Regulations published in The Gazette of India (Extraordinary, Part III-Section 4, dated 5 July, 2016).

   1.2 This Ordinance shall come into force from its date of approval.

   1.3 This Ordinance shall apply to all the candidates taking admission in Ph. D. program of the University in and after the academic session 2016-17. However, the students registered in the Ph. D. program of the University prior to the commencement of this Ordinance shall be governed by the provisions of the BBDU Ph. D. Ordinance 2011.

2. Research Degree Committee

   2.1 There shall be a Research Degree Committee (RDC) for each School / Department/Subject appointed by Vice Chancellor.

   2.2 The constitution of RDC shall be a under.

Dean/Head of the School/Department	Chairman/Convener
Three Senior Teachers	Members
Research Supervisor (s)	Ex Officio Member

   Beside above members the Vice Chancellor may appoint External Subject Experts on the request of Convener/Chairman of RDC. The term of such members shall be two years from the date of appointment.

   2.3 The RDC shall be research advisory body for each research scholar. The duties of the RDC shall be as under.

      2.3.1 To review the research proposal and approve the topic of research.

      2.3.2 To monitor the progress of work of research candidates.

      2.3.3 To approve the names of Supervisor and Co-Supervisor.

      2.3.4 To approve applications for change of research topic/Synopsis and research Supervisor.

      2.3.5 To evaluate the six monthly progress reports of research scholars, provide further guidance, suggest corrective measures and record and communicate the reasons for the same.

2.3.6 To recommend the names of the scholars for cancellation of admission with specific reasons.

2.4 To consider other matters related to Ph. D. programme of the University and make recommendations to Vice Chancellor.

2.5 In the absence of RDC, Convener of RDC may recommend the matter (s) for approval to Vice Chancellor.

3. Eligibility Criteria for Admission to Ph. D. Program

3.1 Candidates for admission to the Ph. D. programme in all subjects except Engineering subjects, Management, Computer Applications, Pharmaceutical Science, and Architecture shall have a Master's degree with at least 55% marks in aggregate. For admission to Ph.D. programme in engineering subjects, Management, Computer Applications, Pharmaceutical Science, Architecture the candidates 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 60% marks in aggregate or an equivalent grade.

3.2 Candidates with an equivalent degree from a foreign educational Institution may be considered provided it has an accreditation 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.

3.3 Relaxation in eligibility conditions shall be as per Government/UGC rules.

4. Categories of Ph. D. Students

4.1 Regular. A candidate in this category shall pursue a full time study research in the University.

4.2 Sponsored. A candidate in this category shall be sponsored by a recognized R&D organization, academic institution, government organization or industry for doing research in the University on a full-time basis. He/She must be an employee of the sponsoring organization with at least two year of teaching/research/professional experience in the respective field. The University does not provide any assistantship/fellowship to such a candidate. He/ She must produce a sponsorship letter and no-objection certificate from the organization at the time of admission.

4.3 Part-Time. A candidate in this category shall follow all the norms for Sponsored candidate as in 4.1 but shall not be sponsored by any institution/organization.

5. Procedure for Admission

5.1 The admission to Ph. D. Program shall be notified on the University website and/or through newspapers. The eligible candidates shall apply on the prescribed form.

Subsequently, the shortlisted candidates fulfilling the minimum eligibility conditions will be called for written test and interview.

5.2 The written Test shall be qualifying with qualifying marks as 50%. The syllabus of the written Test shall consist of 50% of research methodology including computer skills and research aptitude and 50% shall be subject specific. The Test shall be conducted at the Centre(s) notified in advance by the University.

5.3 [1]All the candidates appearing in the written test shall also be required to appear for an interview in which the candidates are expected to discuss their research interest/area. For the selection of the candidate a weightage of 30% to the performance in Interview shall be given whereas that of written test shall be 70%. The following aspects shall also be considered during the interview, viz. whether

5.3.1 the candidate possesses the competence for the proposed research;

5.3.2 the research work can be suitably undertaken at the University;

5.3.3 the proposed area of research can contribute to new/additional knowledge.

5.4 The admission procedure shall be same for candidates who have qualified UGC/CSIR (JRF)/NET except that they shall be exempted from appearing in written test.

5.5 The successful candidates will be granted provisional admission after fulfilling the admission formalities such as depositing the prescribed fee and verification of documents etc. The admission of the candidates shall be considered provisional till the candidate successfully completes the Pre-Ph. D Theory Course Work.

5.6 Only the predetermined number of students will be admitted to Ph. D. Program.

5.7 Reservation policy shall be as per UGC/Government's rules.

6. Research Supervisor

6.1 A faculty member of the Babu Banarasi Das University shall be the Supervisor who possesses a Ph. D. Degree in the relevant field or allied area of research with a minimum of three year teaching experience. However, in School of Dental Sciences, a Professor having a minimum of three years Post Graduate teaching experience and at least three high quality research publications in refereed journal can be a Supervisor.

6.2 The external Supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other Departments/ School of the University or from other related institutions with the approval of the RDC. In case of topics which are of inter-disciplinary nature where the Department/School concerned feels that the expertise in the Department/School has to be supplemented from outside, a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/

[1] Amendment dated 30.10.2018

Faculty/University may be approved. The eligibility of a Co-Supervisor shall be same as that for a Supervisor.

6.3 The allocation of the research Supervisor for the provisionally admitted student shall be recommended by the Department/ School RDC on the basis of the research interest of the student as indicated in the application form and also during interview and the available specialization among the faculty in the concerned School/Department. The allotment of the Supervisor shall not be left to the individual student or a faculty member.

6.4 A Supervisor shall not Supervisor more than the predetermined number of doctoral candidates at any point of time which is as follows:

Professor	Eight Candidates
Associate Professor	Six Candidates
Assistant Professor	Four Candidates

However, a Supervisor can be allowed three more candidates as a Co-Supervisor. In case of candidates having already submitted thesis, the seat shall be deemed to be available with the Supervisor.

6.5 Application for the recognition of eligible Supervisor and Co- Supervisor shall be approved by RDC.

6.6 If a Supervisor leaves the University or retires from the University, then he/she automatically ceases to be a Supervisor. However, in special circumstances he/she may be allowed by the Vice Chancellor to act as Supervisor for the candidate(s) already enrolled with him/her till the submission/award of their thesis. However, in such a situation the candidate shall have to obtain a Co-Supervisor as may be approved by the RDC/Vice Chancellor. In case of non availability of the Co-Supervisor for such candidates Head/ Dean of the respective Department/ School shall be the Co-Supervisor for administrative purposes.

7. Course Work

7.1 The Pre-Ph.D. Theory Course Work is compulsory to all provisionally admitted candidates. After having been granted provisional admission, every Ph. D student shall be required by the University to undertake the Pre-Ph. D. Theory Course Work for a minimum period of one Semester (six months duration). The course work shall be treated as pre-Ph. D preparation and will include the following courses. The Pre-Ph. D. Theory Course Work will carry 12 credits, the bifurcation of these credits shall be as under.

Course No.	Course & Content	Credits
I	Research Methodology which includes research methodology, quantitative methods, computer application, tools and techniques including	04

	instrumentation, communication skills, seminar presentation and review of published research	
II	Subject specific course	04
III	Guide's Course based on research topic	04

The syllabi for courses I and II above of Pre-Ph. D. Theory Course Work shall be decided by Board of Studies and respective School and same shall be notified. The course III shall be designed by the Supervisor for each of his scholars to develop the competency for research in the proposed area of research. The Courses recommended for a research scholar should have an approval from RDC.

7.2 A candidate with M. Phil. Degree with course work, awarded in accordance with the UGC Regulation 2009/2016, shall be exempted from the Course I in 7.1.

7.3 The evaluation of Pre-Ph.D. Theory course work shall be divided into two parts viz. Internal Assessment and University Examination with a weightage in the ratio of 50:50. There shall be University examination for the Course I and II mentioned in 7.1 at the end of the semester conducted by the University. There shall not be any separate University Examination for Guide's course. It shall be the responsibility of the Research Supervisor to perform complete evaluation of Guide's course through regular presentations.

7.4 The marks of each Course mentioned in 7.1 would be converted into grades as follows.

Marks Obtained	Grade	Qualification
≥ 90	O	Excellent
≥ 75 and < 90	A	Very Good
≥ 65 and < 75	B	Good
≥ 55 and < 65	C	Average
< 55	F	Fail

7.5 A scholar has to obtain a minimum of 55% of marks or at least grad C in each Course in order to be eligible to continue in the programme and submit the thesis.

7.6 Candidate securing F grade in a Course shall only be given one attempt and will have to secure minimum required grade in that course within six months after appearing in the first examination.

8. Application for Registration and Submission of Synopsis

8.1 After successful completion of the Course Work, the provisionally admitted candidates will apply for the registration for the Ph. D. Program on the prescribed form along with five copies of his/her synopsis through his/her research Supervisor.

8.2 The applicant shall be required to make a presentation of his proposed research plan before the Concerned RDC. The Committee shall examine the research topic and the submitted research proposal (synopsis). In case it is found suitable, RDC shall recommend the same and the scholar shall be registered for the Ph. D. program.

9. Monitoring of Progress of Candidate

9.1 All the registered candidates shall be required to submit an elaborate progress report of the work done to the RDC through respective Supervisor after every six month. The scholars are also required to give a presentation of the every six monthly progress before RDC. The RDC shall scrutinize the progress report and shall inform the candidate regarding satisfactory/unsatisfactory progress, and further action required.

9.2 If a candidate fails to submit two six monthly reports consecutively, his/her registration shall be liable to be cancelled.

10. Change of Title/Synopsis

A candidate may be allowed to change the title of his/her research work subject to approval of RDC provided he/she applied for the change at least six months before the anticipated date of submission of his/her thesis or earlier. The candidate shall submit his/her application duly recommended by the Research Supervisor.

11. Change of Research Supervisor

Ordinarily, no change of supervisor shall be allowed. But in special cases where the RDC feels that the research work of the candidate may suffer on account of migration of the supervisor to another Institution or on account of the retirement of the latter when he/she is unwilling to continue to Supervisor the candidate or in any other circumstance necessitating such change, the RDC will recommend a change of supervisor to the Vice - Chancellor who may allow such a recommendation, depending on the merit of the case.

12. Cancellation of Registration

The registration of the candidate is liable to be cancelled in the following cases.

12.1 If he/she fails to submit two progress reports consecutively.

12.2 If he/she does not submit his/her thesis by the end of the prescribed/extended period.

12.3 If his/her research work is found to be copied from others, as confirmed by RDC.

12.4 If he/she is expelled from the University due to his/her act of indiscipline or for other reasons.

13. Duration, Submission and Evaluation of Thesis

13.1 A candidate shall be required to submit his/her thesis within a maximum period of six years but not earlier than three years from the date of admission. If the candidate is unable to submit his/her thesis within six years from the date of registration, he/she shall cease to be a student of the University and shall not be entitled to the rights and facilities extended to a student. Such a candidate, may, however, under special circumstances, be permitted by the Vice-Chancellor, on collective recommendation of the Supervisor, the Head/Dean of the Department/School concerned, to submit his/her thesis within a maximum period of seven years including the six year period of their studentship. The registration of the candidate who does not submit his/her thesis within seven years from the date of his/her admission shall be deemed to be cancelled.

13.2 A scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

13.3 Upon satisfactory completion of Course work and obtaining the frades as in clause 7.5 and fulfilling the requirements in 13.1 and 13.2, the candidate shall apply seeking the permission and expressing his/her intention for submission of the thesis on the prescribed form three months before his/her thesis is ready for submission. After the receipt of such application, the a Committee shall be appointed by the Vice Chancellor and the candidate shall be required to give pre-Ph. D. thesis submission presentation in the Department/School. The presentation shall be open to all faculty members and research students. The candidate shall be granted permission for submission of the thesis on the recommendation of the above Committee. All feedback and comments, suggestions during the presentation may be suitably incorporated into the draft thesis under the guidance of the Supervisor.

13.4 The candidate shall submit the thesis in five hard copies and two CDs in PDF format along with the fee for submission of thesis as prescribed by the University. The thesis should be typed and formatted strictly as per the details provided in Thesis Preparation Manual of the university.

13.5 The Schools/Departments shall evolve a mechanism using well defined software and gadgets to detect the pilgrims and other form of academic dishonesty. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

13.6 After the submission of the thesis, the research Supervisor of the candidate shall be requested to propose a panel of examiners for the purpose of the evaluation of thesis. Out of this panel, three examiners, inclusive of the Supervisor, shall be appointed by the Vice-Chancellor in accordance with the due procedure to evaluate the thesis. Effort should be made to ensure that the panel of examiners is representative in terms of the universities and states and that not more than one examiner is chosen from one University/Institute and at least one examiner shall be from outside the State.

13.7 The thesis shall be referred to the examiners appointed by the Vice Chancellor. 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 after an open viva voce examination.

13.8 If reports of the examiners show a divergence of opinion between the examiners, a fourth examiner shall be appointed by the Vice Chancellor from the panel of examiners already approved whose decision shall be final.

13.9 If two examiners recommend the revision of the thesis, the thesis shall be revised and resubmitted within six months from the date of the issue of the letter to the candidate. The revised thesis shall be sent to the same set of examiners for evaluation, if required. In case they disagree to reexamine the thesis, only then would fresh consent be taken from other examiners.

13.10 In case two examiners reject a thesis originally or after the exchange of reports, the thesis shall be finally rejected.

14. Viva Voce and Defense of Thesis

If the reports of the examiners are unanimous and definite, the candidate shall be required to undergo a Viva-Voce examination to be conducted by two examiners of whom one shall be the Supervisor and the other one from among the external examiners, who have evaluated the thesis. If the external examiner evaluating the thesis is from outside the country, another external examiner may be specially appointed by the Vice Chancellor for the purpose. The Head/Dean of the Department/School shall preside and conduct the proceedings of the Viva-Voce examination, but he/she shall not be party to the decision. In case the supervisor is not available, the Head/Dean of the Department/School or any senior teacher of Department/School may be appointed with approval from Vice Chancellor to act as internal examiner. The Viva-Voce will be open to all interested in the subject, where the candidate shall be required to present the main findings of his/her thesis and defend the same. After satisfactory Viva-Voce, the examiners (internal and external) may recommend that the thesis for the award of the degree of Doctor of Philosophy

15. Award and Provisional Degree

15.1 After the approval of the recommendation of examiners by the Vice Chancellor, the University shall declare the result of the award or rejection of the degree of Doctor of Philosophy.

15.2 University will issue the Provisional Certificate, certifying that the Ph. D Degree awarded is in accordance with the UGC Regulations 20016 (minimum standards and procedures for award of the degree of the Doctor of Philosophy) published in The Gazette of India (Extraordinary, Part III-Section 4, dated 5 July, 2016).

16. Depository with INFILIB

Following the successful completion of the evaluation process and the announcement of the award of the Ph.D. degree, the University shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.

17. Act of Plagiarism

In case of the students who have copied the research work of other, as confirmed by the RDC, the synopsis/registration/Ph. D. degree of the student shall be rejected/ cancelled and he/she will be debarred from registering for any other programme in the University.

18. Removal of Difficulties

If any difficulty arises while giving effect to the provisions of these regulations, the Vice-Chancellor may in extra-ordinary circumstances pass such order as he/she may deem fit.