

Babu Banarasi Das University Ph. D. Ordinance 2011

BABU BANARASI DAS UNIVERSITY

BBD City, Faizabad Road, Lucknow 226 028. www.bbdu.ac.in

1. Title Purpose and Commencement¹. This Ordinance shall be called Babu Banarasi Das University Ph. D. Ordinance 2011 which has been made in order to regulate the minimum standards and procedures for award of the degree of the Doctor of Philosophy in conformity with the University Grant Commission Regulations 2009 dated 1st June 2009 published in The Gazette of India, 11th July, 2009. It will come into effect from the date of the assent of the Chancellor.

2. Research Degree Committee (RDC).

(A) There shall be a Research Degree Committee (RDC) for each School/Department/Subject appointed by Vice Chancellor. The constitution of RDC shall be as under².

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

(B) The duties of the RDC shall be as under.

- (i)** To approve research proposals.
- (ii)** To recommend names of the external examiners to the Vice Chancellor for approval as suggested by the research Guide.
- (iii)** To monitor the progress of work of research candidates.
- (iv)** To recommend names of Guides and Co-Guides to the Vice Chancellor for approval.
- (v)** To consider applications for change of research topic and research Guide and make recommendations to Vice Chancellor for approval.
- (vi)** To consider other matters related to Ph. D. programme of the University and make recommendations to Vice Chancellor.

(C) In the absence of RDC, Dean of School may recommend the matter (s) for approval to Vice Chancellor³.

3. Categories of Ph. D. Candidates.

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

¹ amendment dated 24.05.2014

² amendment dated 24.05.2014

³ Clause added with amendment dated 25.08.2011

(B) 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 institute 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.

(C) Part-Time. A candidate in this category shall follow all the norms for Sponsored candidate as in 3 (A) but shall not be sponsored by any institution/organization.

4. Eligibility⁴. A candidate seeking admission to the Ph. D. program in Babu Banarasi Das University must possess the following qualifications.

(A) For Engineering, Management, Pharmacy & other Professional Courses. Master's Degree with at least 60% marks in the appropriate field of Engineering/ Technology/ Pharmacy/ Management/ Architecture of a University or its equivalent.

For admission to Ph. D. program In Engineering subjects candidates possessing a Bachelor's Degree with a minimum of 60% marks in appropriate field of Engineering/ Technology/ Architecture of a University or its equivalent and at least ten years' of experience in Public Sector Undertaking/ Research and Development Organizations/ Private Industries/ Service Sectors/ Educational Institutions/ any other State and Central Government Organizations are also eligible.

(B) For Dental and Medical Sciences. Master's degree or its equivalent, with at least 55% marks in the relevant field.

(C) For Mathematics, Physics, Chemistry, Environmental Science, Biochemistry, Food & Nutrition, Law, English, Sociology, Psychology, Education, Physical Education. Master's degree or its equivalent with at least 55% marks in the relevant field of Science/ Social Science/Humanities/Law/Education/Physical Education.

(D) Relaxation in eligibility conditions shall be as per Government/UGC rules.

5. Admission Procedure.

⁴ amendment dated 24.05.2014

- (A) 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. This will be followed by an interview in which the candidates are expected to discuss their research interest/area.
- (B) The admission procedure as in 5 (A) shall be same for candidates who have qualified UGC/CSIR (JRF) examination/NET/SLET except that they shall be exempted from appearing in written test⁵.
- (C) 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.
- (D) Only the predetermined number of students will be admitted to Ph. D. Program.
- (E) Reservation policy shall be as per UGC/Government's rules⁶.

6. Research Guide

(A) Eligibility of the Research Guide. A faculty member of the Babu Banarasi Das University shall be the Guide 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 faculty member without a Ph. D. Degree but having a minimum of three years Post-Graduate teaching experience and high quality research publication can be a Guide⁷.

- (i) A faculty member of the Institution run by Babu Banarasi Das Educational Society in Lucknow or a faculty member/Scientist from an Institute/Organization which has entered into an agreement/Memorandum of Association with the University for the purpose can be a Guide, in some special circumstances with approval from Vice Chancellor. In case of a Guide from an Institution run by Babu Banarasi Das Educational Society in Lucknow, he/she must possess a Ph. D. Degree with a minimum three years of teaching experience, and in later case the

⁵ amendment dated 24.05.2014

⁶ amendment dated 24.05.2014

⁷ amendment dated 25.08.2011

Scientist must be of grade of at least Scientist C with high quality research publications⁸.

(B) Allocation of Research Guide. The allocation of the research Guide for the provisionally admitted student shall be recommended to the Vice Chancellor by the Dean of the School concerned for approval 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 Guide shall not be left to the individual student or faculty member. Further, in the case of more than two supervisors, the teacher belonging to the School/Department where the candidate is registered will be the Guide & other supervisor will be Co-Guide.

(C) Provision of Co-Guide. On recommendation from the RDC, the Vice-Chancellor may allow a candidate to have a Co-Guide for his/her thesis from another Department/School of the University or another Institution recognized by the University for this purpose. The eligibility for the Co-Guide shall be same as in 6 (A).

(D) If the candidate is permitted a Co-Guide, the Guide shall be from the Department/School where the candidate is registered. However, in case of non-availability of an eligible Guide in the department where the candidate is registered, the Vice Chancellor may approve a Guide from other Department/School where an eligible Guide is available and whose research area is close to the interest of the research area of the candidate.

(E) Number of Candidates. A Guide shall not guide 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 Guide can be allowed three more candidates as a Co-Guide. In case of candidates having already submitted thesis, the seat shall be deemed to be available with the Guide.

⁸ amendment dated 25.08.2011

(F) Recognition of Guide and Co-Guide. Application for the recognition of eligible Guide and Co-Guide shall be approved by the Vice Chancellor on the recommendation of RDC.

(G) If a Guide leaves the University or retires from the University, then he/she automatically ceases to be a Guide. However, in special circumstances he/she may be allowed by the Vice Chancellor to act as Guide 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-Guide as may be approved by the RDC/Vice Chancellor. In case of non availability of the Co-Guide for such candidates Dean of the respective School shall be the Co-Guide for administrative purposes⁹.

7. Course Work and Evaluation

(A) Pre-Ph. D. Theory Course Work. 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 instrumentation, communication skills, seminar presentation and review of published research	04
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.

⁹ amendment dated 25.08.2011

- (B) A candidate with M. Phil. Degree with course work, awarded in accordance with the UGC Regulation 2009, shall be exempted from the Course I in 7 (A).
- (C) **Examination.** 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 (A) at the end of the semester conducted by the University. However, it shall be the responsibility of the Research Guide to perform complete evaluation of Guide's course through a written examination. There shall not be any separate University Examination for Guide's course.
- (D) **Standard of Passing.** There is a separate head for passing of Internal Assessment and for University theory examination for Pre-Ph. D. Course Work. Candidates securing a minimum of 40% of the marks each in theory examination of each course and internal Assessment, and an aggregate of 50% of marks in each course shall be declared passed. There shall be no awarding of ranks or classes¹⁰.
- (E) **Grading.** The marks of each Course mentioned in 7 (A) would be converted into grades as follows:

Marks Obtained	Grade	Qualification
90 - 100	O	Excellent
75 – 89	A	Very Good
60 – 74	B	Good
50 – 59	C	Average
Less than 50	F	Fail

- (F) Candidate securing F grade in the course shall only be given one attempt and will have to clear the concerned course within six months after appearing in the first examination.

8. Application for Registration and Submission of Synopsis

- (A) After successful completion of the Course Work, the provisionally admitted candidates will apply for the registration for the Ph. D. Program on the

¹⁰ amendment dated 25.08.2011

prescribed form along with five copies of his/her synopsis through his/her research Guide¹¹.

- (B) The applicant shall be required to make a brief 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, it shall be recommended for approval to the Faculty Board through Head/Dean of the concerned Department/School. The research proposals (synopsis) approved by Faculty Board will be sent to the Admission Committee for the final approval of registration as a Ph. D. Student of the University.

9. Monitoring of Progress of the Candidate.

- (A) All the registered candidates shall be required to submit an elaborate progress report of the work done to the RDC through respective Guide after every six month. The RDC shall scrutinize the progress report and shall inform the candidate regarding satisfactory/unsatisfactory progress, and further action required¹².
- (B) All the registered candidates shall give a presentation of his/her research work done before the RDC once in a year, and comply with suggestions given by the RDC.
- (C) If a candidate fails to submit two reports consecutively, his/her registration shall be liable to be cancelled.

10. Change in the Title of the 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 Guide.

11. Change of Research Guide. 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 guide the candidate or in any other circumstance necessitating such change, the RDC will recommend a change

¹¹ amendment dated 24.05.2015

¹² amendment dated 24.05.2015

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.

- (A) If he/she fails to submit two progress reports consecutively.
- (B) If he/she does not submit his/her thesis by the end of the prescribed/extended period.
- (C) If his/her research work is found to be copied from others, as confirmed by RDC.
- (D) 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

(A) **Duration.** Ordinarily a candidate shall be required to submit his/her thesis within a maximum period of five years from the date of registration but not earlier than two years in any case. If the candidate is unable to submit his/her thesis within five 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 Guide, the Head/Dean of the Department/School concerned, to submit his/her thesis within a maximum period of seven years including the five year period of their studentship. A candidate submitting his/her thesis after the expiry of five years time shall have to pay late submission fee as decided by the University. The registration of the candidate who does not submit his/her thesis within seven years from the date of his/her registration shall be deemed to be cancelled.

(B) **Submission**¹³

- (i) The candidate shall apply through Head/Dean of the concerned Department/School 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

¹³ amendment dated 24.05.2014

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 Guide.

- (ii) The candidate shall publish at least one research papers related to his work in a reputed refereed research Journal before the submission of the thesis and shall produce evidence for the same in the form of an acceptance letter or the reprint of the paper. A review paper published in any journal shall not count towards the above requirement.
- (iii) The candidate shall submit the thesis in five hard copies and four CDs in PDF format along with the summary of the work along with the fee for submission of thesis as prescribed by the University.
- (iv) After the submission of the thesis, the research Guide 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.

(C) Evaluation.

- (i) 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.
- (ii) If reports of the examiners show a divergence of opinion between the examiners, the Registrar may direct that the reports be exchanged

between them, the examiners being requested to submit a joint report, if possible. If there is divergence of opinion even after the exchange of reports, a fourth examiner shall be appointed by the Vice Chancellor from the panel of examiners already approved whose decision shall be final.

- (iii) If two examiners recommend the revision of the thesis either originally or after the exchange of reports, the thesis shall be revised and resubmitted within six months from the date of the issue of the letter to the candidate by the Registrar. The revised thesis shall be sent to the same set of examiners for evaluation. In case they disagree to reexamine the thesis, only then would fresh consent be taken from other examiners.
- (iv) 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 Guide and the other one from among the external examiners, who have evaluated the thesis. If the external examiners evaluating the thesis are 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 himself 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.

- (A) 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.

(B) University will issue the Provisional Certificate, certifying that the Ph. D Degree awarded is in accordance with the UGC Regulations 2009 (minimum standards and procedures for award of the degree of the Doctor of Philosophy published in The Gazette of India, 11th July, 2009. (asadha 20,1931).

16. Depository with UGC. Following the successful completion of the evaluation process and announcements of the award of Ph.D., the University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET accessible to all Institutions/Universities.

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.