

# Babu Banarasi Das University, Lucknow

## BBDU Ph.D. Regulations 2023

### 1. Title, Commencement and Application

- 1.1 These regulations shall be called BBDU Ph.D. Regulations 2023 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 UGC (Minimum Standards and Procedure for Award of Ph. D. Degree) Regulations, 2022 published in The Gazette of India (Extraordinary, Part III-Section 4, dated 7 November, 2022).
- 1.2 This Ordinance shall apply to all the candidates taking admission in Ph.D. program of the University in and after 2023. However, the students registered in the Ph.D. program of the University prior to the commencement of this Regulation shall be governed by the provisions of the BBDU Ph. D. Ordinance 2016.

### 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 as under.

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

The External Experts (subject expert) shall be appointed by the Vice Chancellor on the recommendation of the Convener of RDC. The term of such members shall be three years from the date of appointment.
- 2.3 The RDC shall be research advisory body for each research Ph.D. 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 approve the names of Supervisor and Co-Supervisor.
  - 2.3.3 To monitor the progress of work of research candidates and to evaluate the six monthly progress reports, provide further guidance, suggest corrective measures and record and communicate the reasons for the same.

- 2.3.4 To approve applications for change of research topic/synopsis and research Supervisor.
- 2.3.5 To recommend the names of the scholars for cancellation of admission with specific reasons.
- 2.3.6 To consider other matters related to Ph.D. program of the University and make recommendations to Vice Chancellor.
- 2.4 In the absence of RDC, Convener of RDC may recommend the matter(s) for approval to the Vice Chancellor.

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

The following are eligible to seek admission to the Ph.D. program in the University

#### **3.1 Candidates who have completed**

A 1-year/2-semester master's degree program after a 4-year/8-semester bachelor's degree program or a 2-year/4-semester master's degree program after a 3-year bachelor's degree program or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.

Or, a 4-year/8-semester Bachelor's degree honors program with research with a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

Or, an equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

- #### **3.2 Candidates who have completed the M.Phil. program with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and**

standards of educational institutions, shall be eligible for admission to the Ph.D. program.

- 3.3 A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS).

#### **4. Procedure for Admission**

- 4.1 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.
- 4.2 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 center(s) notified in advance by the University.
- 4.3 The candidates who have secured 50% marks in the written test will be eligible to be called for the interview in which the candidates are expected to discuss their research interest/area. The following aspects shall also be considered during the interview, viz. whether
- 4.3.1 the candidate possesses the competence for the proposed research;
- 4.3.2 the research work can be suitably undertaken at the University;
- 4.3.3 the proposed area of research can contribute to new/additional knowledge.
- 4.4 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%.
- 4.5 The admission procedure shall be same for candidates who have qualified UGC-NET/UGC-CSIR NET/GATE/CEED and similar National level tests except that they shall be exempted from appearing in written test.
- 4.6 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.

- 4.7 The admission of International students will be through Interview (online/offline) only and they will be exempted from the written test and the guidelines/norms of statutory/regulatory bodies concerned from time to time will be applicable.
- 4.8 Only the predetermined number of students will be admitted to Ph. D. Program.
- 4.9 A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS).
- 4.10 Reservation policy shall be as per norms.

#### **5. Ph.D. Through Full-Time/Part-Time Mode**

- 5.1 Notwithstanding anything contained in these Regulations or any other Rule or Regulation, for the time being in force, the University shall not conduct PhD program through distance education mode.
- 5.2 All Full-Time Ph.D. scholars will be governed the attendance requirement and the Leave Rules for Full-Time Ph.D. Scholars of the University.
- 5.3 The University will allow the Ph.D. program through Part-Time mode, provided all the conditions stipulated in these Regulations are fulfilled. All Part-Time Ph.D. scholars will be required to provide a No-Objection Certificate the appropriate authority in the organization where they are employed, clearly stating that the candidate is permitted to pursue studies on a part-time basis, his/her official duties permit him/her to devote sufficient time for research, and if required, he/she will be relieved from the duty to complete the course work.
- 5.4 It is mandatory to attend and complete one-semester Pre-Ph.D. Coursework within the first year of Ph.D. program for both full-time and part-time students.
- 5.5 Full-Time Ph.D. scholars may be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

#### **6. Allocation of Research Supervisor**

- 6.1 A permanent faculty member working as Professor/Associate Professor in the University with a Ph. D. Degree and at least five research publications in peer-reviewed or refereed journals and a permanent faculty member working as Assistant Professor in the university with a Ph.D., and at least

three research publications in peer-reviewed or refereed journals will be eligible to be recognized as a Research Supervisor in the university. However, in Dental Sciences, a Professor having a minimum of three years Post Graduate teaching experience and at least five high quality research publications in peer-reviewed or refereed journals can be a Research 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 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/ Faculty/University may be approved. The eligibility of a Co-Supervisor shall be same as that for a Supervisor.
- 6.3 For Ph.D. scholars working in Central government/ State government research institutions whose degrees, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements as mentioned in 6.1 above. However, in such case the University will provide a Co-Supervisor.
- 6.4 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.
- 6.5 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.

- 6.6 Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 6.5 above.
- 6.7 Application for the recognition of eligible Supervisor and Co- Supervisor shall be approved by RDC.
- 6.8 Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision.
- 6.9 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.
- 6.10 In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

## **7. Pre-Ph.D. Course Work**

- 7.1 The Pre-Ph.D. 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. Course Work of one Semester duration in the first year of Ph.D. program.. The Pre-Ph.D. Course Work will carry 12 credits, the bifurcation of these credits shall be as under.

Course	Course Name/Type	Credits
I	Research Methodology, Publication and Ethics	04
II	Subject specific course	04
III	Guide's Course based on the proposed area of research	04

The syllabi for courses I and II above of Pre-Ph.D. Course Work shall be decided by Board of Studies/Faculty Boards. 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 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. Further, the bifurcation of marks is described in the following tables.

Course	Assessment Type	Marks	
Course I and II	End Semester (Theory) Examination	50	
	Continuous Internal Assessment	Mid-Semester Presentation	30
		Attendance	10
		Teachers Assessment	10
Course III	Continuous Internal Assessment	Mid-Semester Presentation	40
		Four Presentations during semester	40
		Supervisor's Assessment	20

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

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

- 7.4 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 program and submit the thesis.
- 7.5 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 consecutive 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 (thesis) 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 supervise the candidate' thesis or in any other circumstance necessitating such change, the RDC may allow the change of supervisor with approval from Vice Chancellor.

**12. Cancellation of Registration**

- 12.1 The registration of the candidate is liable to be cancelled in the following cases.
- 12.2 If he/she fails to submit two progress reports consecutively.
- 12.3 If the progress of Ph.D. scholar is not satisfactory and he/she fails to implement the corrective measures suggested by RDC, the RDC may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. program.
- 12.4 If he/she does not submit his/her thesis by the end of the prescribed/extended period.
- 12.5 If his/her research work is found to be copied from others, as confirmed by RDC.
- 12.6 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 admission, under special circumstances, he may be given a further extension of two years by the RDC, on recommendation of the Supervisor. The registration of the candidate

who does not submit his/her thesis within eight years from the date of his/her admission shall be deemed to be cancelled.

- 13.2 Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. program.
- 13.3 The female Ph.D. scholar and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two years by RDC; however, the total period for completion of a Ph.D. program in such cases should not exceed ten years from the date of admission in the Ph.D. program.
- 13.4 Scholars must publish at least two research papers in UGC-CARE listed 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.
- 13.5 Upon satisfactory completion of Course work and obtaining the grades as in clause 7.4 and fulfilling the requirements in 13.4, the candidate shall apply seeking the permission and expressing his/her intention for the submission of the thesis on the prescribed form three months before his/her thesis is ready for submission. After the receipt of such application, 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 Committee will consist of Dean/Head of the School as Convener, one/two senior faculty members and research supervisor as the members of the Committee. 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 by the said Committee shall be suitably incorporated into the draft thesis under the guidance of the Supervisor.
- 13.6 The candidate shall submit the thesis in five hard copies alongwith an electronic copy in PDF format, fee for submission of thesis as prescribed by the University and the plagiarism check report as per the norms of the university. The thesis should be typed and formatted strictly as per the details provided in Thesis Preparation Manual of the university. 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 University or to any other institution.

- 13.7 After the submission of the thesis, the research Supervisor of the candidate shall be requested to propose a panel of external examiners who are expert in the field 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 or country.
- 13.8 The thesis shall be referred to the examiners appointed by the Vice Chancellor. After receiving the consent from the examiners, thesis will be mailed to the examiners who will be expected to send the thesis evaluation report on the prescribed format along with a narrative report within 4-5 weeks. The examiners will have to make one of the following recommendations in the thesis evaluation report – thesis is accepted; thesis is rejected, or thesis is accepted after revision. In case the examiner recommends that the “thesis is accepted after revision”, the examiner must indicate whether he/she would like to re-examine the thesis after revision.
- 13.9 If the examiners consider the thesis to be of sufficient merit they may recommend the acceptance of the thesis, an open viva voce examination will be conducted after incorporating any correction/revision suggested by the examiner(s), and getting the final recommendation from the examiner, if required as in clause 13.8 above.
- 13.10 If one of the external examiners recommends rejection, the thesis shall be referred to an alternate external examiner appointed by the Vice Chancellor from the panel of examiners proposed as in 13.7 above, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected,

and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.

#### **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, the viva voce examination may be conducted online, or 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 (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022 published in The Gazette of India (Extraordinary, Part III-Section 4, dated 7 November, 2022).

#### **16. Depository with INFILIB**

Following the successful completion of the evaluation process and before 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 program 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.

Approved on 4 Jan 2023