

Deen Dayal Upadhyaya Gorakhpur University Gorakhpur



Deen Dayal Upadhyaya Gorakhpur University Research Amended Ordinance, 2021

(Minimum Criteria and Procedure for the award of Ph.D. Degree)

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1. Short title, Application and Commencement:

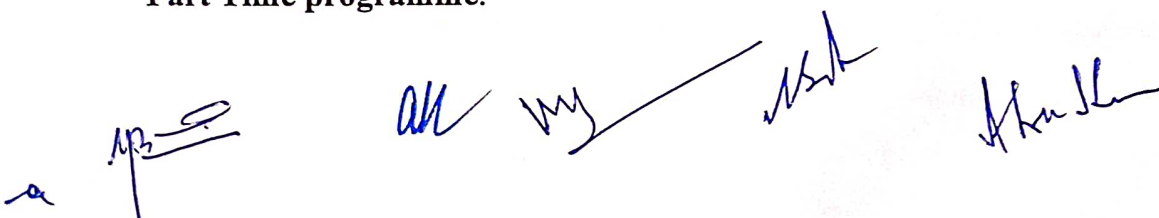
- 1.1 This Ordinance shall be called Deen Dayal Upadhyaya Gorakhpur University Research Ordinance, 2021 (Minimum Standards and Procedure for Award of Ph.D. Degree).
- 1.2 They shall apply to Deen Dayal Upadhyaya Gorakhpur University and its affiliated colleges eligible for conducting research.
- 1.3 They shall come into force from the session 2021-22.

2. Eligibility criteria for admission to Ph.D. programme:

- 2.1 Candidates for admission to the Ph.D. programme 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.
- 2.2 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.
- 2.3 The candidate should have passed his graduation with second division.

2.4. Types of Ph.D. programme

The Ph.D. programme in a Department can either be a **Full Time Programme** or a **Part Time programme**.



3. Duration of the Programme (Full Time):

- 3.1 The Ph.D. programme (Full time) shall be for a minimum duration of three years, including course work and a maximum of six years.
- 3.2 On completion of three years the candidate will have to apply for re-registration within one month. The total duration of the research shall not exceed six years in any case.
- 3.3 Women candidates and Persons with Disability (40% and above disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.
- 3.4 The Research Scholar can submit thesis in sixth semester, which will also be counted in residential period of three years.

4. Procedure for admission:

The University

- 4.1 shall admit Ph.D. students through a **Research Entrance Test (RET)** conducted at the level of the University every year. **Those candidates who have qualified for Junior Research Fellowship (JRF) in the examinations conducted by UGC, ICAR, GATE, SAT and CSIR and the applicant having equivalent fellowship shall be exempted from appearing for the Entrance Test, and 30 percent seats will be reserved for such candidates. In case non-availability of JRF candidates during particular academic calander, the seats will be filled with candidates who have qualified the university regular entrance test.**
- 4.2 shall exempt full time regular teachers employed in the University, grant-in-aid colleges and Government Degree Colleges affiliated to DDU Gorakhpur University from appearing in the Research Entrance Test. They will be admitted through interview.
- 4.3 shall grant exemption from Research Entrance Test to those regular teachers and students of any foreign University which has been approved by the University Grants Commission and who have been recommended by their embassy/higher commission.
- 4.4 shall decide on an annual basis through their academic bodies a predetermined and

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manageable number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio, laboratory, library and such other facilities, as prescribed in UGC norms.

4.5 shall notify well in advance in the institutional website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates;

4.6 The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms issued in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the State Government from time to time.

4.7 The University shall admit candidates by a two stage process through:

4.7.1 an Entrance Test that shall be qualifying with qualifying marks as 50% **provided that a relaxation of 5 % of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC(Non-Creamy layers)/Differently-abled category in the entrance examination conducted by the University; provided further that, if in spite of the above relaxation, the seats allotted for SC/ST/OBC (Non Creamy layer)/Differently-Abled categories remain unfilled, the University shall launch a Special Admission Drive, for that particular category within one month from the date of closure of admissions of General Category. The University will devise its own admission procedure, along with eligibility conditions to ensure that most of the seats under these categories are filled. *(University Grants Commission (Minimum Standards and Procedure for Award of M.Phil/Ph.D. Degrees) (1st amendment) Regulations, 2018.* (27 Aug 2018). The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be discipline specific. The Entrance Test shall be conducted at the Centre (s) notified in advance.**

4.7.2 An interview to be organized by the University when the candidates are required

to discuss their research interest/area through a presentation before a duly constituted Admission Committee that shall also include members of the Departmental Research Committee (DRC) provided that for selection of candidates, a weightage of 70% to the entrance test and 30% to the performance in the interview shall be given. (University Grants Commission (Minimum Standards and Procedure for Award of M.Phil/Ph.D Degrees) (2nd amendment) Regulations, 2018.* (16 Oct 2018)

- 4.7.3 The interview shall also consider the following aspects, viz. whether:
- the candidate possesses the competence for the proposed research;
 - the research work can be suitably undertaken at the Institution/ College;
 - the proposed area of research can contribute to new/ additional knowledge.

4.7.4 The University shall maintain the list of all the Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

4.8 Weightage- Weightage marks will be assigned in the Research Eligibility Test as prescribed below:

- 5 % weightage shall be given to those applicants who have qualified UGC/ICAR/CSIR/NET/GATE or equivalent exams conducted by UGC or U.P. SLET examination.
- 2% weightage will be given to those applicants who have completed their Postgraduation from D.D.U. Gorakhpur University, Gorakhpur.
- Eight seats (4 Unreserved, 2 OBC and 2 SC/ST) shall be reserved for applicants who are the wards of regular teachers, officers or any other employee the University and colleges affiliated to the University

5. Admission to Part Time Ph.D. Programme

5.1 A candidate shall be considered as a part-time research scholar if he/she is employed and has submitted a NOC from the Head of the Institution/Organization where he/she is employed.

5.2. A part time research scholar shall have to avail of leave for the Pre-Ph.D. course work for a minimum of one semester or the completion of the course work and has to record his/her attendance in the Department during the summer vacations. In addition the



candidate has to avail of 15 days of Earned Leave per academic year from his/her institution/organization to fulfill the residentiality requirements.

5.3. A part-time research scholar shall not be eligible for any fellowship from any source.

5.4. The maximum duration for submitting the Ph.D. thesis for a part-time research scholar shall be eight years and a minimum duration of four years.

5.5. A Full-time research scholar in the case of getting employed before completing his/her residentiality period of three years may be allowed to shift to the part-time mode of pursuing his Ph.D. after due approval by the RDC. He/she must have completed course requirement and has passed comprehensive written/oral examination.

6. Allocation of Research Supervisor: Eligibility criteria to be Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.

6.1. Any employee of the University or its affiliated colleges who is a regular Professor, Associate Professor or Assistant Professor and has research publications and research contribution as per UGC regulations (five publications in CARE listed/NAAS Rating/Q₁, Q₂ Journals or equivalent journals for Professors/Associate Professor and 2 publications in CARE listed/NAAS Rating/Q₁, Q₂ Journals or equivalent journals for Assistant Professors) may be recognized as a Research Supervisor/Research Co-supervisor.

6.2. There can be two Co-supervisors in addition to one Supervisor. One can be internal from same department or interdisciplinary department and other can be from outside university campus including aided/Govt. Colleges or outside University department/ College depending upon University MoU with the concerned institution. The Supervisor and Co-supervisor will have equal status as far as academic contribution is concerned.

6.3. The allocation of Research Supervisor for a selected research scholar shall be decided by the DRC of the concerned Department within one month of the candidate getting admitted depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars. The Department shall float the areas/topics for Research guidance as per expertise and research experience and candidates may select them as per seniority of teacher, merit list of students and based on their choice the DRC may allot the supervisor keeping in view the mutual consent, number of seats available under a particular faculty member, facilities available with the supervisor for undertaking the proposed research topic. The



teachers/DRC should float topic/specialization with respect to each teacher, at the time of interview of selection of the Ph.D. scholar through departmental notice in public domain including university website.

- 6.4. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.
- 6.5. In case of relocation of an Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.
- 6.6. If a candidate/ supervisor for some valid and cogent reason wishes to change his/her supervisor/candidate, it may be permitted by the Vice-chancellor after the approval of the DRC and the Dean of the concerned Faculty. In such cases the mutual consent of the present supervisor, the proposed supervisor and the candidate shall be essential.
- 7. Course Work: Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.**
- 7.1. **The Ph.D. course work shall be of 21 credits, but students can offer extra credits as per recommendation of advisory committee suitable to his/her research proposal.**
- 7.2 All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- 7.3 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee.
- 7.4 All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the residency period.
- 7.4.1 Regular teachers of D.D.U Gorakhpur University and affiliated Colleges will be given leave for six months / one semester from their respective institution/College to complete the course work during the initial semester.**
- 7.5 The students may be allotted research topic and supervisor as soon as he/she admitted to Ph.D. programme in the first semester but he/she can present and get the approval of

synopsis in DRC and preparation of Synopsis seminar in the department, in the next semester.

- 7.6 At the completion of course work, a written comprehensive exam will be conducted by supervisor involving all the courses.
- 7.7 A comprehensive oral exam will also be conducted by Advisory Committee, also inviting an expert from outside the university campus through online mode only.
- 7.8 **Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil or Pre-Ph.D. from any recognized University/ Institute , having earned the requisite credits at par with the University's curriculum may be exempted by the Department from the Ph.D. course work but they have to qualify through regular Ph.D. entrance test.**
- 7.9 The candidate who has qualified entrance test and completed course work as per UGC guidelines will be admitted and his/her registration will start from the date of admission after deposition of fee and entire period will be included in residential requirement.
- 7.10 The candidates coming through RET after completing course requirements as per UGC norms will be required to complete 21 credits minimum requirements of university and also should look for advice of advisory committee regarding choice of extra courses.
- 7.11 A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis.
- 7.12 Modifications (if any) in the title of the proposed thesis may be made at the time of Pre-submission viva-voce on the suggestion of the members of the presubmission committee. This change should be duly approved by the RDC and subsequently communicated to the the office of the concerned Dean within one week of the completion of the Pre-submission viva-voce.
- 7.13 A candidate pursuing a full-time Ph.D. programme shall not be permitted to join any other degree programme. However he/she may be permitted to join a short-term certificate or Value added course by the DRC provided it does not hamper his/her research work and progress.

8. Fee

The fee for Ph.D. Coursework and the Research Program shall be payable in accordance with the rules decided by the university from time to time.

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9. Departmental Research Committee (DRC), Research Advisory Committee, Research Degree Committee and their function:

9.1 Departmental Research Committee and its function:

The constitution of the Departmental Research Committee shall be in accordance with the Departmental Committee as has been defined in article 8.13 of university statutes (appendix-I). The Committee shall have the following functions:

- i. To approve the proposals regarding the eligibility criteria of the research supervisors.
- ii. To examine and evaluate the applicants' eligibility in the interview after the written test/online test of Research Eligibility Test.
- iii. To finalize supervisors and co-supervisors for those applicants who have been selected in Research Eligibility Test.

9.2 Research Advisory Committee (RAC) and its functions:

There shall be a Research Advisory Committee, or an equivalent body for each Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:

- 9.2.1. To review the research proposal and finalize the topic of research;
- 9.2.2. 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.
- 9.2.3. To periodically review and assist in the progress of the research work of the 9.2.1 A research scholar shall appear before the Research Advisory Committee 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 Research Advisory Committee to the University with a copy to the research scholar.
- 9.2.4. In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Institution/College with specific reasons for cancellation of the registration of the research scholar.

9.3 Research Degree Committee (RDC):- Under the chairmanship of Vice-chancellor, there shall be a RDC comprising of the Head of the Department of each subject and

the Dean of the concerned faculty. This committee shall make provisions for the registration, progress and evaluation of the research work.


10. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:

- 10.1 A Ph.D. scholar shall be required to undertake research work and produce a draft thesis within three years from the date of getting admitted to the Pre-Ph.D. course work in the case of full time candidates and four years in case of Part-time candidates.
- 10.2 Prior to the submission of the thesis, the scholar shall make a thesis seminar presentation in the Department before all the teachers and students of the department and related department in case of multi-disciplinary research topic of the course 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.
- 10.3 Ph.D. scholars must publish at least two (2) research paper in refereed / peer-reviewed journal listed in UGC CARE or equivalent journals and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
- 10.4 **A student is supposed to submit self-run plagiarism-test approved by University, available at university website, library and Dean Student Welfare (DSW) Office. The student can submit the self-test plagiarism report duly forwarded by supervisor, HOD & Dean for issue of plagiarism certificate by Dean, Student Welfare. The DSW office shall recheck the self-tested plagiarism report submitted by the student for issuing a certificate. Only 9% plagiarised document is allowed for submission. In case, DSW office finds the plagiarism result more than 9%, the office will sent the thesis back to the students through proper channel (Dean & HOD).**
- 10.5 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the University/College, of whom one examiner may be from an institution from outside the State/Country. The *viva-voce* examination, based

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among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.

- 10.6 The public *viva-voce* of the research scholar to defend the thesis shall be conducted only if the evaluation reports of the external examiners on the thesis are satisfactory and include a specific recommendation for conducting the *viva-voce* examination. If the evaluation report of one of the external examiners is unsatisfactory and does not recommend *viva-voce*, the University shall send the thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
- 10.7 The Institutions shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the dissertation/thesis. The candidate shall submit his/her thesis in soft copy to the Registrar (Research) after making necessary modifications suggested in the Presubmission seminar. The evaluation and assessment of the thesis shall be in the online mode and the final *viva-voce* of the candidate shall also be conducted again in the online mode only.
- 10.8 All the Ph.D. *viva-voce* will be conducted only in Digital Conference Room of Samwad Bhawan, all the *viva-voce* will be recorded and stored in university Data Centre and consequently ITC Cell will issue a certificate and link will be provided to the department/faculty/library. The HoD/Supervisor has to book this conference room in advance.
- 10.9 The date of award of the Ph.D. degree shall be the same as the date of submission of the thesis, provided the thesis is not rejected or not sent for revision. The date of resubmission of the thesis after revision (if any) shall be the year of award in such cases. Rejected theses shall not be allowed for resubmission.



11. Academic, administrative and infrastructure requirement to be fulfilled by Colleges for getting recognition for offering Ph.D. programme:

11.1 Colleges may be considered eligible to offer the Ph.D. programme only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities.

11.2 Post-graduate and Under-graduate Departments of grant-in aid/ Govt Colleges, with at least two Ph.D. qualified teachers/scientists/other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities shall be considered eligible to offer Ph.D. programme. Colleges should additionally have the necessary recognition by the University under which they operate to offer the Ph.D. programme.

11.3 Colleges with adequate facilities for research as mentioned below alone shall conduct the Ph.D. programme:

11.3.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipments as specified by the University with provision for adequate space for research scholars along with computer facilities and essential software, and uninterrupted power and water supply;

11.3.2 Earmarked library resources including latest books, Indian and International journals, e- journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials;

11.3.3 Colleges may also access the required facilities of the neighbouring Institutions/Colleges, or of those Institutions/ Colleges/ R & D laboratories/Organizations which have the required facilities.

12. Treatment of Ph.D. / M.Phil. through Distance Mode/Part-time:

12.1 The University shall not offer the PhD programme in the distance learning mode.

13. Award of Ph.D. degree prior to Notification of these Regulations, or degrees awarded by foreign Universities:

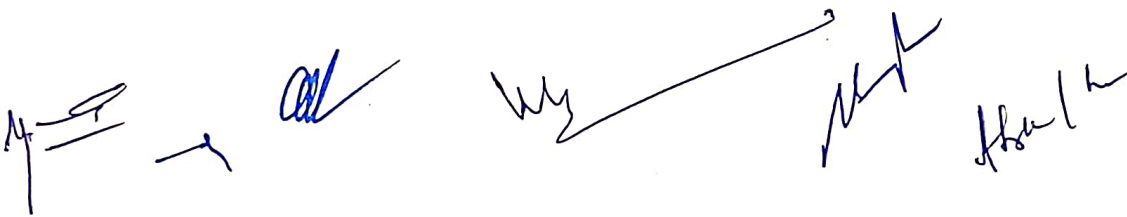
a. Award of degrees to candidates registered for the Ph.D. programme on or after

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July 11, 2009 till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of M.Phil/Ph.D. Degree) Regulation, 2018.

14. Depository with INFLIBNET:

- a. Following the successful completion of the evaluation process and within two weeks of the announcement of the Ph.D. degree, the University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same as to make it accessible to all Institutions/Colleges. The university will submit request to INFLIBNET to share the thesis documents only after permission of students/HoD/University.
- b. The university will also claim and submit for copyright as per law of all thesis.
- c. Prior to the actual award of the degree, the University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

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