

**Deen Dayal Upadhyaya Gorakhpur University Research Ordinance, 2018  
(Minimum Criteria and Procedure for Research Degree-Ph.D.)**

The University Grants Commission (Minimum Criteria and Procedure for award of Ph.D.) Regulations, 2016 was issued by the University Grants Commission, New Delhi on 05 May, 2016 and it came into effect on the same date of its publication in Government Ordinance number 278 (weekly). In this reference, the Doctor of Philosophy (Ph.D.) Ordinance 2016, approved by the Executive Council of Deen Dayal Upadhyaya Gorakhpur University in their meeting held on 28-06-2017, in the format sent by Uttar Pradesh Government through letter No. (7/2018/266/सत्तर-1-2018-16(2018), following the guidelines provided in section 66(A) of Uttar Pradesh State University Act-1973, and subsequent to the first and second amendments in the above mentioned regulations 2016 of the University Grants Commission, is as follows :

**1- Short title, application and enforcement-**

- 1.1- This ordinance shall be called Deen Dayal Upadhyaya Gorakhpur University Research Ordinance, 2018 (Minimum Criterion and Procedure for Research Degree-Ph.D.)
- 1.2- It shall be applicable in Deen Dayal Upadhyaya Gorakhpur University and affiliated postgraduate colleges eligible for research.
- 1.3- This ordinance shall come into force from 11 December, 2018.

**2. Eligibility for admission in Ph.D. Programme-**

The Candidates seeking admission for the degree of Doctor of Philosophy (Ph.D.) should possess postgraduate or equivalent degree in the concerned subject from Deen Dayal Upadhyaya Gorakhpur University/any other university approved by the University Grants Commission.

**3. Guidelines and Eligibility for Admission in Ph.D. Programme-**

For admission to the Ph.D. Programme, Research Eligibility Test (RET) shall be conducted against the vacant seats in different departments by the university every year. After successfully passing this exam, the candidate has to be present for further proceeding related to admission in this programme, following the direction given by the concerned department. After passing the Research Eligibility Test (RET), the candidate shall be eligible for registration in research for two years from the date mentioned on the certificate of passing the research entrance test, to be issued by the Registrar.

**3.1 Minimum expected eligibility for appearing in Research Entrance Test is as follows:**

- (a) The minimum percentage of marks in the qualifying post-graduate exam for the candidates of unreserved and other Backward Classes (Creamy layer) is 55%, and for

other Backward Classes (Non-Creamy Layer), Scheduled Caste, Scheduled Tribe, and Physically Challenged Category candidates the eligibility is 50%.

- (b) The Candidate should have passed his graduation with second division or have obtained required marks fulfilling the guidelines issued by the University Grant Commission from time to time.
  - (c) The Candidates appearing in the final year of their post graduation can also apply for Research Entrance Test but before taking admission in research programme, they must complete the expected eligibility by passing their post graduation exam.
- 3.2 Those Candidates who have been selected for JRF/NET, GATE, UP-SLET by UGC-CSIR and have passed M.Phil shall not be exempted from Research Eligibility Test. Those teachers who are receiving fellowships or are teaching in Deen Dayal Upadhyaya Gorakhpur University or any of its affiliated/associated/constituent college shall be exempted from research entrance test. Teachers teaching in other aided colleges or self-financed colleges shall not be exempted from Research Entrance Test. Foreign candidates/migrant Indians will also not be exempted from Research Entrance Test.
- 3.3 Those regularised teachers of any foreign university which has been approved by the University Grants Commission and who have been recommended by their embassy/high commission and defense personnel/Officers of Indian Armed forces will be exempted from the Research Entrance Test.
- 3.4 The structure of fee for the teachers of the university/migrant Indian candidates will be decided by the finance committee of Deen Dayal Upadhyaya Gorakhpur University.
- 3.5 The syllabus of Research Entrance Test in every subject will be of post graduate level and its standard will be decided by the university. Apart from this, the university can set different standards from time-to-time that will be in compliance with the guidelines of the University Grants Commission or the order of the Government.
- 3.6 Those candidates who have acquired a degree from a foreign Institute equivalent to M.Phil. degree of any Indian institute, that is accredited by any assessment and accreditation agency that is approved by any constitutional authority for assuring quality and standard of educational institutes, their assessment and accreditation that is established or commissioned under any law of that country, (such candidates) will be eligible for admission in Ph.D. programme. They will also take admission through Research Entrance Test.
4. **Duration of the Programme/Course-**  
The minimum duration of Ph.D. programme is three years which includes the Course Work related to Ph.D. programme.
- 4.1 On completion of three years the candidate shall have to apply for re- registration within one month. The total duration of the research shall not exceed six years in any case.

4.2 Women candidates and disabled persons (whose disability is more than 40%) will be given a maximum relaxation of 2 years for Ph.D.. In addition, women candidates may be granted maternity leave / childcare leave up to 240 days (one time) throughout the duration of Ph.D. on the recommendation of Research Degree Committee.

#### **5. Procedure for admission to the Research Programme-**

Admission will be given to candidates on pre-determined vacant seats on an annual basis in the university through the entrance examination conducted every year which will depend on the available research supervisors and other academic facilities. It will take into account the criteria laid down in the aforesaid Regulation 2016 of the University Grants Commission regarding laboratory, library and other such facilities.

5.1 Number of seats for admission, subject wise details of available seats, admission criteria and procedure, examination center and other relevant information will be published on the university website and in at least two national newspapers in advance for the convenience of the candidates, of which at least one newspaper will be in Hindi language. The number of published research vacancies will be provisional which may increase or decrease.

5.2 In the admission process National / State level reservation policy will be followed as per the rules.

5.3 Admissions will be made from time to time, keeping in mind the guidelines / criteria issued by the University Grants Commission and other related statutory bodies regarding research.

5.4 The research eligibility test will be conducted in two stages (written / online test and interview), which will be of 200 marks. Written test / online test will be of 140 marks and interview will be of 60 marks. Candidates who get 50% marks in written test / online test will be eligible for interview but SC / ST / OBC (Non Creamy Layer) / Disabled (40% or more disabled) Candidates will be given 5 percent relaxation.

**As per the provisions of UGC (Minimum Criteria and Procedure for grant of Ph.D degree) (First Amendment) Regulations 2018 dated 27 August 2018 "In the SC / ST / OBC (Non-creamy layer)/Disabled categories despite appropriate relaxation if the allotted seats remain vacant, then the concerned university will conduct a special admission campaign for that specific category within a month of the completion of the admission process and prepare its own process as well as qualification conditions to ensure that most of the seats in the categories can be filled ".**

5.5 The written test / online test will be of 1:30 hours duration with 70 multiple choice questions. In this, 35 questions will be related to research method and remaining 35 questions will be related to the subject. There will be no negative marking in the written test / online test.

- 5.6 The entrance Examination will be conducted in the already notified centers. Information about change in these centers and dates will be provided to the candidates before time.
- 5.7 An interview will be conducted by the departmental research committee of each department of the university, for which candidates will be required to have appeared in the written test / online test. Candidates not appearing in the interview will not be considered for admission. At the time of interview, the candidates are expected to have proper discussion with the committee members on their research interest / field.
- 5.8 The departmental research committee will send the details of the marks earned by them to the Coordinator, Research Eligibility Test after evaluating the candidates involved in the interview for 60 marks. The following points will be considered in the interview.
- i. Does the candidate have the potential for the proposed research?
  - ii. Can the proposed research work be smoothly carried out in the University/Colleges?
  - iii. Can new knowledge be achieved through the proposed research work?
- 5.9 A category-wise merit list of the selected applicants will be prepared and published after calculating the total marks of written test/online test and interview.
- 5.10. Weightage- Weightage marks will be assigned in the research eligibility test as prescribed below:
- A. 5 % weightage will be given to those applicants who have qualified JRF/NET, GATE exams conducted by UGC or U.P. SLET exam.
  - B. 5 % weightage will be given to those applicants who have completed their P.G. from D.D.U. Gorakhpur University, Gorakhpur.
  - C. 10 % weightage will be given to those applicants who are the wards of the teacher, officers or any other employee of the University.
  - D. 5 % weightage will be given to those applicants who are the wards of the teachers, officers or any other employee of the affiliated / constituent colleges of the University.
  - E. **In no case shall the maximum weightage exceed 10%.**
- 5.11 Selected candidates will apply for enrollment in research programme in the concerned department by furnishing the details of their eligibility and tentative research proposal. The Departmental Research Committee shall, at this stage, decide the candidates' research supervisor according to the latest rules and permit their enrollment in research programme. Thereafter, applicants shall submit their fee for the Pre Ph.D. course work together with their synopsis.
- 5.12 The Pre Ph.D. coursework shall be conducted in the University campus only. Usually, it shall function twice (January to June and July to December) in a year. Admitted students

can make all necessary changes to the topic and synopsis presented at the time of interview, during the coursework. This will not be possible after registration for research.

5.13 **Only the candidates who qualify the Pre Ph.D. Coursework will be registered for research work.** On the recommendation of the Departmental Research Committee, the research proposal made by the candidate for registration needs to be approved by the Research Degree Committee.

5.14 The maintenance of the list of candidates registered for Ph.D. shall be done on the university website on an yearly basis. The list shall include the name of the candidate, the title of the research, the name of the supervisor/co-supervisor, date of enrollment/ registration and such.

5.15 Qualifying the research eligibility test does not imply that the candidate shall be guaranteed admission to the research program. The university reserves the right to suspend the admission to the research program due to the unavailability of a supervisor or other reasons.

## 6. Fees

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

### Ph.D. Fees (For Six Months)

Practical Subject		Non-Practical Subjects	
Development Fee	100	Development Fee	100
Union Fee	50	Union Fee	50
Magazine Fee	50	Magazine Fee	50
Delegacy Fee	50	Delegacy Fee	50
Identity Card Fee	50	Identity Card Fee	50
Sports Fee	50	Sports Fees	50
Library Fee	150	Library Fee	150
Poor Students Help Fee	50	Poor Students Help Fee	50
Caution money	200	Caution money	150
Cycle Stand Fee	50	Cycle Stand Fee	50
Class Fee	900	Class Fee	900
Fan Fee	50	Fan Fee	50
Election Fee	35	Election Fee	35
Inflation Fee	138	Inflation Fee	138
Medical Aid Fee	22	Medical Aid Fee	22
Experiment Fee	500	.....	.....
<b>Total</b>	<b>2445</b>		<b>1895</b>

## 7. Eligibility and Allocation of Supervisors:

The following rules shall be applicable regarding the eligibility of the supervisor/co-supervisor and the number of permissible research scholars per supervisor:

7.1 A teacher with a Ph.D. degree from a university/a post-graduate aided college who has completed the probation period and who has a minimum of 2 publications in the case of

Assistant/Associate professors and a minimum of 5 publications in the case of Professors in journals related to the concerned subject, shall be eligible for research guidance after the approval of the Departmental Research Committee.

- 7.2 Only full-time regularized teachers of the post-graduate departments of the university and the affiliated aided colleges shall be eligible as research supervisors. External supervisors are not permitted but teachers in the other departments of the university and aided affiliated colleges can be appointed as co-supervisors in interdisciplinary fields by the Research Degree Committee on the approval of the Departmental Research Committee. Teachers working in the graduate departments of degree colleges and teachers mentioned in 7.1 above who are eligible to do so, shall be able to act as co-supervisors on the recommendation of the Departmental Research Committee.
- 7.3 For a research topic of an interdisciplinary nature, where the Departmental Research Committee feels the requirement of expertise other than that available in the department, the Department shall appoint a supervisor from within the department and a co-supervisor from another department, the permission for which shall be granted by the concerned institution/college on the basis of mutual agreement.
- 7.4 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot supervise more than Eight (8) Ph.D. research 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.
- 7.5 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 research scholar shall however give due credit to the parent institution for the part of research already done there.

## **8 – Course Related Work:**

- 8.1 After being admitted, every research scholar shall be required to pursue the Pre Ph.D. Coursework for a minimum of one semester in the concerned department/subject in the university campus. This coursework shall be considered preparatory for the Ph.D. and shall consist of a course in research methodology that shall include qualitative and quantitative methods and computer application. This shall also include literature review of research publications in the chosen area of research above. The coursework shall be of a minimum of six months in every subject, the details of which shall be as follows:
- i. The course work shall consist of two papers. The first paper shall be of Research Methodology of 100 marks/ 5 credits, in which the qualitative and quantitative

methods of the concerned subject, approaches, field study, collection as well as interpretation of information, literature review and report writing shall be included.

- ii. The second paper shall be of Computer Application of 100 marks/5 credits, for which the university shall provide computer training and necessary facilities for acquiring basic computer skills.

- 8.2 The course content for the papers of Research Methodology and Computer Applications for different subjects shall be designed by the Board of Studies of the concerned departments. The courses must be approved by the authorized academic bodies of the university.
- 8.3 Candidates with an M.Phil degree who have been admitted to the Ph.D. programme of the university or who have already completed the course related work in MPhil, may be exempted from the Pre Ph.D. Coursework by the concerned department. Similarly in the case of applicants for Ph.D. Coursework, the following legal opinion shall be applicable: **"If the candidate has completed his/her Pre Ph.D. Course Work recognised by any Institution/University and thereafter transferred to any other such university shall not be required to complete his/her Pre Ph.D. Course Work again provided both Institution/University, where the candidate was already enrolled and where the candidate is transferred are recognised by the University Grants Commission (UGC)."**
- 8.4 Every research scholar must complete the coursework within the given duration in which his/her attendance shall not be less than 75%.
- 8.5 After the completion of the coursework, the university shall conduct a written examination under the convenorship of the Dean of the concerned faculty at the level of the departments. The candidate has to secure a minimum of 55% marks to qualify the examination.
- 8.6 In the final phase of the coursework, the candidate shall prepare a research proposal on the subject/title specified by the Research Advisory Committee in consultation with the supervisor. After having passed the Pre Ph.D. course work examination the research proposal shall be sent to the Research Degree Committee (R.D.C) for approval and registration on the recommendation of the Departmental Research Committee.
- 8.7 If any candidate is unsuccessful in the Pre Ph.D. Coursework examination, he/she shall be provided one more chance to appear in the next examination after submitting the requisite fees. In case the candidate fails to clear in this attempt, no further chance to reappear shall be given to him/her.
- 8.8 The provision for printing, moderation and evaluation related to the examination shall be provided by the university.
- 8.9 A certificate shall be issued to those candidates who enroll themselves in the Pre Ph.D. Coursework having the following format—"Mr. /Miss /Mrs. ....is allowed to pursue his/her Pre-Ph.D. coursework on a provisional admission on the recommendation of Departmental Research Committee." This certificate shall be issued by the Dean of the

concerned Faculty after being duly forwarded by the Head of the Department on the recommendation of the research supervisor.

**9. Departmental Research Committee, Research Advisory Committee, Research Degree Committee and their functions:**

**9.1 Departmental Research Committee (DRC) :** 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):** There shall be a Research Advisory Committee (RAC) for each research scholar. The research supervisor of the research scholar shall be its convener. The Head of the Department shall nominate two more faculty members as its members on the recommendation of the research supervisor of the research scholar. The concerned Dean shall nominate additional members for those departments where the number of supervisors are less than the requisite number. The following will be the responsibilities of this committee:-

- i. To review the research proposals and finalize research topics.
- ii. To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- iii. To carry out periodic review of research scholar's work and assist him/her in the progress of his/her work.

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 Institution/College with a copy to the research scholar. If the progress of the research scholar is not satisfactory, the committee shall furnish the reasons and offer necessary suggestions for improvement. If the research scholar fails to incorporate those suggestions, the committee can recommend, citing valid reasons, the cancellation of the registration of the research scholar to RDC.

**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 of Research Degree and its criteria:-**



- 10.1 The research scholar shall make a presentation of his/her research thesis before its final submission before the Head of the department of that subject and members of the Research Advisory Committee. The presence of all the teachers and research scholars of the concerned department is expected during the presentation. The suggestions made and the modifications (that includes the thesis as well as the title) shall have to be incorporated into the thesis on the direction of the supervisor in order to make the research thesis and its title more justified and rational.**
- 10.2 The research scholar shall have to get at least one research paper published in any Refereed Journal and present a minimum of two research papers in the seminars/conferences in the concerned subject before the final submission of the thesis for evaluation. Photostat copies of the certificates of the research papers presented in seminars/conferences along with one copy of the published paper in any Refereed Journal must be enclosed at the end of the thesis.
- 10.3 The research scholar shall furnish a declaration certifying that the research work is free from any kind of plagiarism and this research work has not been submitted in the same university or in any of its departments or in any other university or institution, prior to its present submission, for the award of any other degree or diploma course.
- 10.4 Generally, on the basis of the application by the research scholar stating that he/she shall submit the thesis within six months in all probability, the research supervisor shall submit to the Head of the Department a panel of six examiners for evaluating the thesis which shall be placed in the Board of Studies. The panel shall comprise of five external examiners apart from the supervisor. The external examiners shall either be university professors or renowned experts in the concerned field. Out of the five external examiners two shall necessarily be from other states out of which one can be from outside the country. Names of only those external examiners shall be proposed who have worked in the relevant area or supervised research in it.
- 10.5 The panel of examiners submitted by the supervisor shall be presented before the Vice-chancellor after due consultation in the Board of Studies, Research Degree Committee/ Examination Committee. The Vice-Chancellor shall appoint three examiners out of which one of the examiners shall be the research supervisor of the concerned research scholar. If any of the examiners is unable to evaluate/examine the research thesis or is unable to conduct the final viva-voce examination due to unavoidable circumstances, another examiner from the same panel shall be appointed for this purpose.
- 10.6 After the completion of the research work, the research scholar must submit in the research section of the University four printed and hard bound copies of his/her thesis duly forwarded by the Head of the Department with the supervisor certifying that the concerned research has been completed under his/her supervision, and is an original work of the research scholar and has been completed within the stipulated time. The submitted thesis must be printed on both sides of the page and two soft copies in the form C.Ds. (Compact Disks) shall also have to be submitted along with the hard copies of the research thesis.
- 10.7 The colours of the cover of the thesis of various Faculties shall be as follows:

Faculty of Arts	:	Maroon
Faculty of Science	:	Blue
Faculty of Commerce	:	Yellow
Faculty of Education	:	Pink
Faculty of Law	:	Black
Faculty of Ayurveda	:	White
Faculty of Agriculture	:	Green

- 10.8 The examiners must send separate thesis evaluation reports to the Registrar (Research) of the University. The examiners can consult each other before sending their final reports. While writing the report the examiner should ensure that
- i. The work is an original contribution to knowledge characterised by discovery of facts and their significance or by a new interpretation of facts or theories. The thesis also evinces the candidate's capacity for critical examination and sound judgement.
  - ii. The literary presentation of the thesis is in a form suitable for publication.  
The examiners may offer suitable suggestions to enhance the quality of the research thesis. Suggestions offered by the examiner at the time of viva-voce examination can be incorporated into the thesis before it is published.
- 10.9 After evaluating the thesis, the examiners shall submit their reports on the prescribed format stating whether the thesis should be accepted for the award of the Ph.D. degree or rejected or be sent back for revision. If all the examiners send satisfactory reports of the thesis separately, then the viva-voce of the candidate shall be conducted on the recommendation of the Research Degree Committee (R.D.C.).
- 10.10 In case the evaluation report of any external examiner considers the thesis unsatisfactory and the final viva-voce is not recommended in it, the Vice -chancellor shall appoint another external examiner from the panel of examiners to evaluate the thesis. If the report of the new examiner is also unsatisfactory, then the thesis shall be rejected and the research scholar shall be declared ineligible for obtaining the Ph.D. degree.
- 10.11. The examiners of the viva-voce examination shall clearly specify in their report-**
- i. that the thesis is genuinely the work of the research scholar.
  - ii. that the research scholar is acquainted with the literature related to the subject.
  - iii. That the research scholar evinces the ability for critical examination and judgment.
- 10.12. Reports related to the thesis and viva-voce examination shall be presented to the Research Degree Committee for necessary action.

- 10.13. Notification to this effect shall be issued by the University within a maximum of one week of the recommendation of the Research Degree Committee. The date of the notification shall be deemed to be the date of obtaining the Ph.D. degree.
- 10.14. On the publication of the thesis, the candidate must mention on its front page that it has been approved for the award of the Ph.D. degree in the concerned subject in Deen Dayal Upadhyay Gorakhpur University, Gorakhpur.
- 10.15. The university shall develop a method of evaluating the thesis in a manner whereby the process the evaluation is completed within a period of 6 months from the date of submission of the thesis.

**11. Necessary educational infrastructure facilities required in colleges for Ph.D. programme:**

- 11.1. Only those aided post-graduate colleges shall be considered eligible to offer Ph.D. programmes only if they satisfy the UGC regulations regarding the availability of eligible research supervisors, required infrastructure and supporting administrative and research promotion facilities.
- 11.2. Post-graduate Departments of 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. programmes. In case of science and technology disciplines, they should have exclusive research laboratories with sophisticated equipments with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply.
- 11.3. These colleges should have the latest library resources with latest books, Indian and international journals, e-journal, extended working hours for all disciplines. There should be adequate space for researchers to study and write in the library / department and space for storage of research material.

**12. The university shall not offer the Ph.D. programme through distance learning mode and shall not conduct the Ph.D. programme on a part time basis.**

**13. Depository with INFLIBNET**

- 13.1 After 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.
- 13.2 Prior to the actual award of the Ph.D. degree, the University shall issue a provisional Certificate stating that the Degree has been awarded in accordance with the provisions of UGC Regulations, 2016.