

ICY FOR THE
MOTION OF
REARCH



UNIVERSITY OF ALLAHABAD
(A CENTRAL UNIVERSITY)
PRAYAGRAJ, UTTAR PRADESH - 211 002

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PREAMBLE

The University of Allahabad is dedicated to nurturing a dynamic research culture within the thematic framework of a New Education Policy. As a leading research institution, the University seamlessly integrates research promotion across its ecosystem, creating an environment conducive to scholarly exploration and innovation.

Research and developmental activities create and disseminate new knowledge in all fields, promoting innovation and academic excellence. These endeavors motivate better learning and teaching among faculties and students. To promote cutting-edge research, create a conducive atmosphere for research, and encourage excellence, the following research policy of University of Allahabad is implemented.

This policy outlines robust support mechanisms, starting with generous start-up grants for incoming Assistant Professors. These grants facilitate the rapid establishment of research laboratories and the initiation of high-quality research endeavors. Additionally, faculty members receive allocations of doctoral and Master's students, ensuring smooth progress in research pursuits.

Recognizing the importance of academic exchange and exposure, UoA offers travel grants to faculty members attending conferences and for the basic research. This fosters the dissemination of research findings and encourages engagement with contemporary research trends. UoA further catalyzes research initiatives through the Society for Innovation and Development, promoting collaborative projects with industry partners and encouraging faculty entrepreneurship. High-performing faculty members receive awards. Distinguished Chair Professorships, supported by external funds, offer similar incentives for Professors.

Moreover, Full Professors actively engaged in research have access to the Higher Academic Grade pay scale. The rigorous evaluation process for promotion to Associate Professors and Full Professors places significant emphasis on research performance, ensuring sustained excellence in research output.

1. PURPOSE

The purpose of the Research Policy is to create a vibrant atmosphere of research among faculty and researchers in University of Allahabad. The policy will serve as an overall framework within which research activities may be carried out.

2. SCOPE AND EXTENT

This is a University-specific Research Policy. It is implementable in all the Departments within campus of University of Allahabad and the affiliated colleges.

3. OBJECTIVES

- To create an enabling environment within the University in order to foster a research culture as well as provide required support through research framework and guidelines.
- To ensure a high level of efficient and effective support system to facilitate faculty and researchers in their research activities.
- Ensure publications in quality journals, indexed in Scopus/Web of Science and/or with impact factor.

to nurture an environment of undertaking socially useful research with potential for commercialization.

Establish Research Center (SIC) within University with potential for Excellence.

To promote research, innovation, and intellectual capital.

To ensure integrity, quality and ethics in research.

To integrate teaching and research through translational and instructional research.

Adopt interdisciplinary collaborations and partnerships nationally and globally.

To foster a vibrant research culture that encourages curiosity, critical thinking, and interdisciplinary collaboration.

To uphold the highest standards of academic integrity, ethics, and professionalism in all research endeavors.

To promote inclusivity and diversity in research activities, ensuring equitable access to resources and opportunities.

To enhance the visibility, impact, and relevance of research outputs through effective dissemination and knowledge transfer.

To comply with relevant national and international regulations, including UGC Regulations 2018, PhD Ordinance 2019, Research Project Protocol, and related amendments at the University of Allahabad.

PROMOTION OF RESEARCH

University believes that researchers are free to choose their research subject, seek support in any funding source for their research work, and report their findings and conclusions. However, the research shall be available for the scrutiny by the University and constructive criticism from peers. Research techniques used by the researchers shall not violate established professional ethics, pertaining to the health, safety, privacy, and other personal rights of humans or the infliction of injury or pain on animals. The University shall create a conducive environment for research. The University shall also provide development opportunities to researchers for writing research proposals and reports, publications, patent filing, etc.

IDENTIFICATION OF THRUST AREAS

Though the researchers are free to conduct research on their chosen field/specialization, it is highly desirable to make research socially relevant. The University expects that Departments of study prepare a list of thrust areas of research, with a view to be focused on national significance. Under each discipline and department, there shall be an exhaustive list of such topics or areas, which can be called a bank of thrust areas.

RESEARCH AT GRADUATE AND POSTGRADUATE LEVEL

Teaching and research are equally important in a University. With the establishment of the university, it was thought that to promote creativity among the post-graduate students, some research components in the curriculum, especially in the master's programs, are necessary. Accordingly, in the pre-final final year of the bachelors programs the Minor Research Project is introduced where the students under the guidance of the faculty work on the decided topic of the dissertation and submit the findings periodically. The final project is submitted to the University and the viva is conducted. Similarly, in the postgraduate programs, research was emphasized emphatically, and students were trained for robust research skills. The University shall further enforce research training in postgraduate programs in the future.

7. MAJOR RESEARCH PROJECTS

The University encourages faculty to submit research projects for funding to different funding agencies. The University provides all kinds of infrastructure facilities that are available for conducting a Major Research Project. The University has a mechanism through which it shall monitor the progress of Major Research Projects funded by an external agency, maintain its accounts, and submit the utilizing certificate in time to the funding agency as per the requirement of the funding agency.

8. RESEARCH COLLABORATION AND PARTNERSHIPS

The University encourages collaboration with other academic institutions, research organizations, industry partners, and community stakeholders to foster interdisciplinary research and address complex societal challenges. **Memoranda of Understanding (MoUs)** and collaborative agreements shall be established to formalize research partnerships and promote knowledge exchange.

A. COLLABORATIVE RESEARCH PROJECTS

The University-Industry Interaction is the demand of the day. The University has to work closely with industries and different organizations in order to contribute to the society at large. Industries are facing various kind of problems and many of them would like to have the help from the University with an aim to find the solutions to their problems. For that, the University has planned to have the following activities:

- (i) **Industry Sponsored Research Project**
- (ii) **Interdisciplinary Research**

B. COLLABORATIVE INTERNATIONAL RESEARCH

We live in a global village. Knowledge is produced in the different parts of the world. Collaborative international research is essential to facilitate mutual learning and expertise sharing. The university plans to have MoUs with prominent research institutions/universities abroad, for conducting research jointly in the areas of common interest.

9. PUBLICATION OF PAPERS AND JOURNALS

Faculty is encouraged to publish continuously in quality journals. The University has made available different tools/software for checking all manuscripts of research papers for plagiarism.

PATENT AND IPR

The University would like to strengthen the research, leading to filing of patents as per the IPR guideline of the university. If any innovation is done, the University shall encourage the researchers and scholars to patent it. The University also bears all expenditures for filing applications for patents after its scrutiny. The University acknowledges the intellectual property rights of researchers and shall facilitate the protection, management, and commercialization of research outcomes. Researchers are encouraged to disclose inventions, patents, copyrights, and trademarks to the University's Technology Transfer Office for appropriate management and dissemination.

10. INCENTIVES FOR OUTSTANDING RESEARCH

The University would like to encourage quality research in different thrust areas. For this purpose, outstanding research contributions done by faculty, researchers, and research scholars shall be recognized. Therefore, the University shall prepare a scheme for providing incentives to researchers and scholars. The incentives given by the University are identified as follows:

- a) Incentive in terms of money
- b) Incentive in terms of awards/prizes
- c) Incentive in terms of more funding for the ongoing research
- d) Incentive in terms of a certificate or giving more weightage for the career advancement scheme, etc.

11. ESTABLISHMENT OF RESEARCH CHAIRS

The University shall create research chairs and a scheme for appointment of Professor Emeritus for a particular term, where very senior scientists or professors shall be appointed as chairs, and they shall conduct research on an important topic. The research chair professors shall take some teaching load in line with the principle of integrating the research and teaching.

12. GOVERNANCE AND OVERSIGHT

The implementation and updating of Research Policy shall be carried out by Dean, Research and Development, University of Allahabad as Custodian of the Policy. The Research Policy shall have a research advisory body to function under the chairmanship of the Vice Chancellor.

13. POLICY AND GUIDELINES

A. Undertaking Research

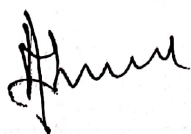
Faculty members of the University of Allahabad and research departments are expected to undertake research, leading to quality publications, presentations in National/International conferences of repute, generation of Intellectual property with potential for commercialization, socially useful outcomes and other similar research activities. Research output will be considered one of the criteria for faculty recruitment and promotion, along with other academic responsibilities.

A. Recruitment and Promotion

The University of Allahabad shall recruit such faculty members and researchers who have demonstrable/demonstrated capability in research. Faculty promotion may significantly depend on research undertaken. The quality of research output, especially research publications, may be assessed using established yardsticks such as Impact Factor (IF) which will be revised from time to time as appropriate.

C. Research Management

Overall management of research activities may be coordinated by Dean, Research and Development, University of Allahabad under the direct supervision of the Vice-Chancellor. Research advisory body and administrative committee shall be responsible for an overall functioning of research activities within the University. Each department's research activities will be coordinated by Head of the department/Principal Investigator or the nominations from each department.



D. Academic Dishonesty and Disciplinary Committee

It is expected that each member involved in research – faculty, researchers, and postgraduate researchers - will adhere to the highest ethical standards of conduct. Highest ethical standards of conduct include data integrity and adherence to ethical guidelines, given from time to time, for carrying out research. Each faculty member and researcher shall follow academic honesty in his/her research work. Faculty and researchers shall be careful not to fall prey to academic dishonesty. A disciplinary committee, on the instruction of the Vice-Chancellor, shall be formed in order to carry out an inquiry when academic dishonesty is reported against an individual/group. Suitable disciplinary action may be initiated, if found guilty, against such individual/group.

E. Resources for Research Support

The University will extend facility by supporting publication charges, where manuscripts are communicated to quality journals. Such requests will be scrutinized through a committee appointed by Vice-Chancellor. The Dean, Research and Development will facilitate awareness regarding potential funding. The University may also provide additional manpower in departments with higher research intensity and research output, depending on specific justifiable requirements while adhering to regulations of statutory agencies.

14. QUALITY OF PUBLICATIONS

The research carried out in University system should be of good quality, adhering to the highest standards of ethics. In order to recognize the research contribution, currently University of Allahabad considers Impact factor provided by JCR of Thomson Reuters, etc. University encourages publications in journals indexed in Scopus/Web of Science. University may revise such policy as deemed necessary in future.

15. ETHICS IN RESEARCH (DATA INTEGRITY AND MANAGEMENT)

The research conducted must be strictly as per the Ethics Committee of the University, including the following aspects:

Respect for Human Dignity: Research involving human participants must prioritize their welfare, autonomy, and dignity. Researchers must obtain informed consent from participants and ensure confidentiality and privacy throughout the research process.

Scientific Integrity: Researchers must uphold honesty, accuracy, and transparency in all aspects of research, including data collection, analysis, and reporting. Fabrication, falsification, and plagiarism are strictly prohibited.

Animal Welfare: Research involving animals must adhere to the highest standards of animal welfare. Researchers must minimize harm and suffering, obtain appropriate approvals from institutional animal care and use committees, and follow relevant regulations and guidelines.

Social Responsibility: Research should contribute positively to society and avoid harming individuals, communities, or the environment. Researchers should consider the potential impact of their work on society and strive to promote social justice and equity.

Conflict of Interest: Researchers must disclose any potential conflicts of interest that may bias their research or undermine its integrity. Conflicts of interest may include financial

interests, personal relationships, or institutional affiliations that could influence the research process or outcomes.

University shall provide training and resources to raise awareness of ethical issues and promote responsible conduct of research.

PERIODIC REVIEW OF RESEARCH OUTPUT

Periodic review of research output shall be carried out by each department and provide such information to Dean, Research and Development, University of Allahabad, periodically (preferably quarterly) for assessment and required corrective actions, if any.

RESEARCH FUNDING AND SUPPORT

University shall allocate financial resources to support research through competitive grants, fellowships, and institutional funding schemes. Faculty members, scholars, and students are encouraged to seek external funding from government agencies, industry partners, and non-profit organizations.

University shall provide infrastructure, laboratory facilities, and technical support to facilitate research across disciplines.

DISSEMINATION AND IMPACT

Researchers are expected to disseminate their findings through publications in peer-reviewed journals, presentations at conferences, and other scholarly forums. The University shall establish repositories, archives, and digital platforms to showcase research outputs and enhance their visibility, accessibility, and impact. Researchers are encouraged to engage with policymakers, practitioners, and the wider community to translate research findings into tangible benefits and societal impact.

MONITORING AND EVALUATION

University shall conduct periodic evaluations and assessments of research activities, outputs, and impact to inform strategic planning, resource allocation, and performance enhancement. Feedback mechanisms shall be established to solicit input from stakeholders and ensure continuous improvement of research policies and processes.

RIGHTS AND RESPONSIBILITIES IN THE CONDUCT OF RESEARCH

Responsibilities of University

University shall conduct an induction process for newly appointed teaching faculty. The research guide for students engaged in research will ensure compliance with research policy and protect students for any additional training or support that may be required.

Conducive Environment for Research: The University shall create a conducive environment for research. Along with infrastructure and support, it shall also provide development opportunities to researchers for maintaining quality of research, support for writing research proposals and reports, publications, patent filing, etc. It shall assess, assure and, promote research quality by adopting efficient research management systems.



Infrastructure and support: The University shall allocate space, facilities, funds, and other resources for research programs, in view of the prevailing rules and regulation, based on the scholarly and educational merits of the proposed research.

Training and professional development: Training is an important part for ensuring that the researchers are able to understand and adopt best practices. Respective teachers and research guides are responsible for training his or her research students in appropriate health and safety procedures for that particular research area, and for management of those procedures in laboratory or another workplace. They are also responsible to assure the periodic inspection of lab facilities and to cooperate in any inspections undertaken by university authorities or committees. The university shall plan periodic course to adopt best practices in research. Some of the indicative courses are:

- Research design
- Regulatory and ethics approvals and consents
- Equipment uses
- Record keeping
- Data protection
- Management of intellectual property, including confidential information, use of materials requiring statutory registration such as radioisotopes, pathogenic and GM organisms
- Data management
- Using animals for experiments
- Regulations involving human subjects

Promote Award/ reward/scholarship systems: The University shall recognize, encourage and reward research and innovation. The excellence in research shall be acknowledged by incentives and award schemes. The university shall also promote scholarship schemes for research students.

Support national, regional and industry-specific research and development policies and strategies:

The university shall identify and develop research strengths that complement national research strategies and priorities. It shall enhance the social responsiveness of research conducted at university. It shall identify and develop opportunities for relevant and applied research and knowledge production.

III Responsibilities of Research Guide and Teachers

The University is committed to demonstrate support and appreciation for its students, teachers and staff members for achieving research goals through mutual cooperation. Teachers and research guides must facilitate compliance with this policy in all academic and research activities.

The Dean/ Director/Head/ Coordinator of the Department/ Research Centre, Research Guide and senior teachers shall ensure that a research climate of mutual cooperation is created so that members of a research team are encouraged to develop their skills and exchange of ideas.

Teachers and research guides also need to ensure that approved research protocols are followed.

Faculty members must be aware of their duties and responsibilities towards students and staff working as a part of the research team. It is particularly important that at least annually, each research guide shall review intellectual and tangible property rights and responsibilities (for

management of data in all media, for proper authorship attribution, etc.) with all members of the research group under his or her direction.

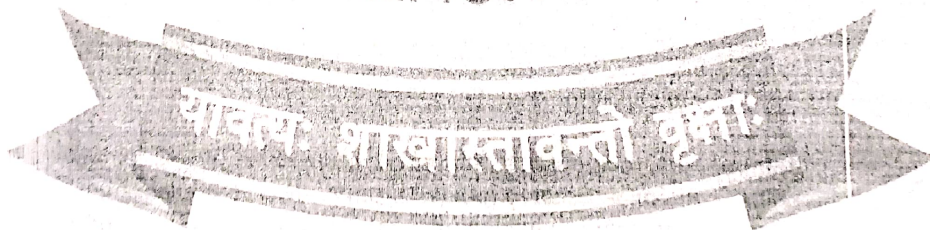
III] Responsibilities of Research Students

All students engaged in research within and/or for the University, must familiarize themselves with the research policy and ensure that its provisions are observed. Researchers are expected to understand and apply the following principles:

- Researchers shall be honest with respect to their own actions in research. This applies to the whole range of research work including designing of experiments, generating and analyzing data, applying for funding, publishing results, and peer reviewing the work.
- Researchers are accountable to society, their profession, the university where the research is taking place including the stakeholders involved and in particular, the sponsoring /funding agencies.
- The university expects all researchers including research students, project fellows, etc., to observe the standards of research practice set out in guidelines published by scientific, learned societies, and other relevant professional bodies.
- Plagiarism, deception, fabrication of results, and misrepresentation will be considered as serious offences, which can lead to disciplinary action as laid down by the University authority.
- Researchers are to report such cases of misconduct in an appropriate manner.
- Researchers should sensibly consider the potential negative consequences of their ongoing research activities, outcomes, or outputs that impact humans and surrounding environment. Such research projects should be avoided to reduce the risk.

21. CONCLUSION

This research policy reflects the University of Allahabad's commitment to excellence, innovation, and societal relevance in research. By fostering a conducive environment for inquiry, discovery, and collaboration, the University aims to contribute significantly to the advancement of knowledge and the betterment of society.



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आमल्य शाखास्तु वृक्षाः

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UNIVERSITY OF ALLAHABAD
Prayagraj - 211 002, U.P. (INDIA)
इलाहाबाद विश्वविद्यालय
प्रयागराज - 211 002, उ०प्र० (भारत)

No. TE/2022/ 1646
Date: 26.08.2022

NOTIFICATION

In pursuance to the letter dated 09.04.2022 of University Grants Commission and in accordance to the proposal of Prof. S. I. Rizvi, Dean, Research and Development, University of Allahabad, the Hon'ble Vice-Chancellor vide order dated 08.08.2022 is pleased to constitute an Establishment of Research and Development Cell of the following to incorporate under Dean Research and Development:

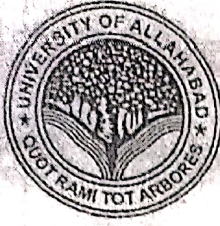
- | | | |
|-------------------------------------|---|------------------------------|
| 1. Prof. S. I. Rizvi (Biochemistry) | : | Dean, Research & Development |
| 2. Dr. Shiv Kumar Sharma, | : | CBCS |
| 3. Dr. Gaurav Majumdar | : | Zoology |
| 4. Dr. Simant Kumar Srivastava | : | Chemistry |

NK
26/8/2022
Registrar

Copy to:-

1. All the respected faculty members to incorporated in the Research and Development Cell which will work under Dean Research and Development, UoA.
2. All the Deans of the respective Faculty, Directors of Institutes, Head of the Departments and Coordinators of the respective Centre, UoA.
3. All Joint Registrar, UoA.
4. Deputy Registrar (A/c), UoA.
5. All Assistant Registrar, UoA.
6. In-charge ICT Cell to upload in University Website.

[Signature]
26/8/22
Joint Registrar (F)
[Signature]



UNIVERSITY OF ALLAHABAD

Prayagraj - 211 002, U. P. (INDIA)

इलाहाबाद विश्वविद्यालय

प्रयागराज - 211 002, उ०प्र० (भारत)

No. 05/R/539/2019

Date: 20th June, 2019

To,

1. Dean, Faculty of (Arts/Science/Law/Commerce).
 2. All Heads of Departments.
 3. All Directors/Coordinators of Institutes/Centers.
- University of Allahabad
Prayagraj.

Sir/Madam,

This is to bring to your kind attention that the Ph. D Ordinances have been duly amended vide the Academic Council Resolution No. 15/34 dated 06.03.2019 and the Executive Council Resolution No. 4/54 dated 08.03.2019 (copy enclosed).

Therefore, you are requested to compile with the amended Ph. D Ordinances including the reconstitution of the Doctoral Program Committee. In the DPC there shall be one member from the Constituent Colleges in the respective discipline where Ph. D is being conducted.

This is for your kind information and necessary action.

Sincerely yours

NCL
20/6/19
Registrar

Copy to: -

1. SVC for kind information to Hon'ble Vice-Chancellor.
2. In-charge, Research Section.

NCL
20/6/19
Registrar

ORDINANCE LV: THE ORGANISATION AND CONDUCT OF RESEARCH

(Under clause (d) of sub-section (1) of Section 29)

ORDINANCE
As Amended by The Academic Council Resolution No. 15/34 dated 06/03/2019 and The
Executive Council Resolution No. 4/54 dated 08/03/2019

The organisation and conduct of research	<p>1. (a) Subject to the provisions of sub-clause (b), Research Degree Programmes may be offered by the Departments under the Faculties and by such institutions maintained by the University and admitted to its privileges, and such Schools, as are eligible under the provisions of the Ordinances and Regulations governing them to conduct research degree programmes.</p> <p>(b) Such academic units, i. e. such Departments under the Faculties of the University, such Institutions maintained by or admitted to the privileges of the University, and such Schools, eligible to offer research degree programmes under the provisions of sub-clause (a), as were conducting research degree programmes on the date immediately before the commencement of this amended Ordinance, shall continue to conduct the same, subject to the power of the Academic Council to regulate, and also in appropriate cases to discontinue, the conduct of such programmes and or to start new programme by any such academic unit and by Constituent Colleges.</p> <p>(c) An academic unit, as specified in sub-clause (b), that was / is eligible to offer research degree programmes but not conducting the same on the date earlier shall not conduct such programmes, except with the approval of the Academic Council.</p> <p>(d) The approval of the Academic Council referred to in sub-clause (c) shall be granted in accordance with the provisions laid down by it by Resolution.</p> <p>2. Research degree programmes shall be instituted and governed by Ordinances, and the detailed provisions, including inter alia the qualifications for the admission of students to the same, the qualifications of the teachers entitled to guide the research work, as supervisors or co-supervisors, of such students, the standards of research work to be conducted by such students for the research degree programmes to which they have been admitted, and other relevant matters and aspects in respect thereof, may be specified by the Academic Council by Regulations. The UGC Regulations issued from time to time will be binding and even if they are in contradiction with The University Ordinances, the Ordinances shall be treated to be amended to that extent. Any change through UGC Regulations or by amendment of Ordinances in consequence thereof shall have prospective application unless specifically declared retrospective by the UGC.</p>
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REGISTRAR
University of Allahabad
Allahabad

ORDINANCE LVI: THE DOCTOR OF PHILOSOPHY PROGRAMME

(Under clause (d) of sub-section (1) of Section 29)

ORDINANCE

1. (a) An applicant for admission to the academic programme leading to the Doctor of Philosophy (Ph.D.) degree of the University (hereinafter in this Ordinance referred to as "the applicant") shall be considered for such admission, if he / she—

(i) holds, in the concerned subject or in a cognate or an allied subject, the Master's degree or a degree recognised by the University as equivalent thereto, awarded by the University or by any other University or Institution of higher learning recognised by the University in that regard, and fulfils other conditions of eligibility laid down by the UGC regulation from time to time and by this Ordinance or, in furtherance of the same, by the Academic Council by Regulations;

Provided that any question, as to whether the subject professed by the applicant is a cognate or an allied subject, shall be referred to the Academic Council for decision;

(ii) has submitted an application, on the Form, in the manner and according to the schedule laid down by the Vice-Chancellor by standing orders to the Director, Admissions or such functionaries as laid down by the Academic Council.

(iii) has qualified in an eligibility entrance test organized by the University strictly in accordance with the provisions laid down by the UGC Regulations from time to time and adopted by the Academic Council.

Provided that regularly appointed teachers of the University, including an institution maintained by it, or of an institution admitted to its privileges, may be exempted from such eligibility test but shall be required to apply alongwith other applicants as per serial number (ii).

Provided further that international students may be exempted from such eligibility test and that the admission of the international students so exempted shall be in accordance with the rules in that regard framed by the International Students Advisory Board and reported to the Academic Council;

(iv) fulfils the requirements in respect of his academic record laid down by the Academic Council by Regulations or, pending the same, by the Vice-Chancellor;

(v) possesses, in the opinion of the Doctoral Programme Committee, referred to in sub-clause (a) of clause 2, and of the RDC, referred to in sub-clause (b) of clause 3, the requisite qualifications, aptitude and capability for pursuing the Ph.D. programme in the concerned subject.

(b) All applicants admitted to the Ph.D. Programme shall fulfil the requirement of residence within the area assigned to the territorial jurisdiction of the University (i.e. 16 Km from the Centre of the University). The period of Residence will be 2 years from the date of actual enrolment.

(c) An applicant who is in employment at the time of application or who gets employed during the period of residence shall be considered for admission and / or allowed to continue to the Ph.D. programme, upon submitting a 'No Objection' Certificate of his employer, affirming —

(i) In case such employment is within the area referred to in sub-clause (b), that the applicant shall, upon such admission, be provided facility by the employer to report to the unit where he is enrolled, and to attend the course-work and other academic activities, within or outside such area, in connection with research work for the Ph.D. programme, as prescribed by, or under, this Ordinance and the Regulations, and that the applicant shall, if appointed or transferred out of the said area before completing the requirement of residence, be granted leave by the employer of an appropriate duration in order to fulfil the said requirement; or

(ii) In case such employment is outside the said area, that the applicant shall be granted leave of absence by the employer for the requisite period in order to fulfil such requirement of residence:

Provided that a teacher referred to in the proviso to serial number (iii) of sub-clause (a), shall not

be required to submit such 'No Objection Certificate', but his application shall require the endorsement of —

- (i) the Head of Department, in the case of a Department not under a University College;
- (ii) the Principal of University College, in the case of a Department under a University College;
- (iii) the Director of University Institute or Constituent Institute, or the Head of Independent Centre, as the case may be; or
- (iv) the Principal of Constituent College, in the case of a Department under a Constituent College;

Provided that any candidate after enrolment in Ph.D. course if joins any assignment or job not as a teacher in Higher Educational Institution(s), shall have to complete residential period before submitting the thesis. However, after joining the job, his/her seat may be treated as deemed Vacant.

2. (a) The applications of the applicants who have qualified in the eligibility test, and of the applicants exempted therefrom, shall be placed before the relevant Doctoral Programme Committee (DPC) of the concerned Department, University Institute, independent Centre, School, or Constituent Institute (hereafter in this Ordinance referred to as "the academic entity").

(b) The DPC shall be constituted, in the case of —

- (i) a Department, by the Departmental Committee with the concurrence of the Board of the concerned Faculty; or
- (ii) any other academic entity, by the Director, the Head or the Coordinator, as the case may be, with the concurrence of the competent executive or academic body thereof:

Provided further that where a Department, a Centre of a University Institute, an independent Centre or a School, imparts instruction in more than one subject for the Master's degree, a separate DPC may be constituted for each such subject in which the Ph.D. programme is offered.

(c) The DPC shall comprise of at least Three and up to Five members from amongst the senior-most teachers of the concerned academic entity, the University Department, Centre or Institute. The DPC should have representatives of Scheduled Caste or/and Scheduled Tribes or/and Other Backward Classes. The DPC may also include one external member, professing a subject with a bearing on the said subjects or areas, from amongst the serving or locally resident former teachers of any such academic entity or the locally resident serving or former teachers of an institution of higher learning:

Provided that in case of a matter related to the department of a Constituent College comes for the consideration of DPC, the Convenor of that subject in the Constituent College shall also be a member of the DPC.

Provided further that the Head of the Department or Coordinator of the Centre or Director of the University Institute shall be *ex officio* Convenor of the DPC.

(d) The members of the DPC, other than a member *ex officio*, shall have a term of two years, which may be extended in specific cases for similar periods, and the constitution thereof for each such term shall be reported to the Board of the concerned Faculty in the case of a Department, or the respective competent executive or academic bodies in the case of the other academic entities.

(e) The DPC as constituted under Clause (c) above, may also be assisted by up to Two Nominees of the Vice-Chancellor to:

- (i) review the applications, referred to in sub-clause (a), and interview such of the concerned applicants as are found to be eligible for admission under the provisions of sub-clause (a) of clause 1 and other provisions of the Ordinance and the provisions of the Regulations;
- (ii) draw up, on the basis of the criteria laid down by the Academic Council or, pending the same, by the Departmental Committee, under intimation to the Board of the concerned Faculty, in the case of a Department, or by the respective competent executive or academic bodies in the case of the other academic entities, the priority order of the applicants so interviewed for each subject or area of research; and
- (iii) prepare the list of applicants recommended for admission, in accordance with the vacancies available under the persons eligible to supervise research for the Ph.D. programme (hereafter in this Ordinance referred to as "the supervisors") in the concerned academic entity, and indicate in such list, in respect of each applicant, the proposed supervisor who has consented

to supervise the applicant, and the proposed topic of research assigned in consultation with such supervisor.

Provided that the number of candidates to be supervised by a supervisor shall be fixed as per the UGC Regulations as amended from time to time and Academic Council Resolutions. On the day of passing of this amended Ordinance, the limit on the number of candidates, which may be enrolled under an eligible supervisor, is as follows: Professor-10; Associate Professor-08; Assistant Professor-05. Every supervisor can be allotted two candidates per academic session.

Provided further that the teachers and International Students admitted in the Ph.D. programme in accordance with the second and third proviso, respectively, to serial number (iii) of sub-clause (a) of clause 1 shall be considered as Supernumerary and will not be counted for the overall limit of candidates enrolled under a supervisor.

(f) The eligibility criteria and qualifications of the supervisors, referred to in serial number (iii) of sub-clause (e), and other relevant conditions in respect thereof, shall be determined as per UGC Regulations as amended from time to time.

(g) The Academic Council may by Regulations provide for the appointment of a co-supervisor for the candidate in specified cases, and where the Academic Council so provides, the appointment of the co-supervisor shall be in accordance with the Rules in that regard, as set out in **SCHEDULE I** to this Ordinance, subject to the modifications made in the same by such Regulations.

(h) There shall be a Research Advisory Committee (RAC) of Three members out of which one shall be the Supervisor of the candidate; one subject expert; and one shall be the DPC nominee. The supervisor of the candidate shall be the Convener of the RAC.

Provided that for Constituent Colleges, there shall be a College Research Advisory Committee (CRAC) of Three members out of which one shall be the Supervisor of the candidate; one subject expert to be nominated by the DPC; and one shall be the convener of the concerned department of the College. The supervisor of the candidate shall be the Convener of the CRAC.

The RAC or CRAC, as the case may be, shall periodically monitor the work and progress of each Research Scholar admitted to the Ph.D. Programme, and shall advise them, on any or all aspects of his/her research work. The research scholar shall be required to appear before the RAC or CRAC, as the case may be, once in six months to make a presentation of the progress made in his/her research work. The RAC or CRAC, as the case may be, shall submit the six monthly report of research scholars along with its recommendations and suggestions, if any, to the DPC of the Department/Centre/Institute.

Provided that if the RAC or CRAC, as the case may be, finds that the progress of the research scholar is unsatisfactory, it shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement the corrective measures, the RAC or CRAC, as the case may be, may with specific reasons recommend, to the Research Degree Committee (RDC), through the DPC, for cancellation of the registration of the research scholar.

(i) There shall be no financial liability on part of the University with regard to the Research Scholar admitted in the Constituent College of the University.

(j) The list of applicants referred to in serial number (iii) of sub-clause (e) of clause 2, along with the application of each such applicant, and a synopsis of the research proposal drawn up by him, shall be forwarded to the RDC, through the DPC in the case of a Department by the Head thereof, through the Dean of the Faculty, or in the case of the other academic entities by the Director, the Head or the Coordinator or Principal of the Constituent College, as the case may be:

Provided that the said synopsis shall present a review of the literature and current state of knowledge on the proposed topic of research, the objectives and plan of research, the sources or methodology proposed to be employed in the investigation and such other information as may be relevant in that regard.

3. (a) The RDC shall comprise of —

(i) the Vice-Chancellor or, where the Vice-Chancellor so directs, the Pro-Vice-Chancellor or any other Professor nominated by the Vice-Chancellor (Chairperson);

(ii) the Dean of the concerned Faculty, or the Director of the concerned University Institute or

Constituent Institute, or the Head of the concerned Independent Centre;

- (iii) Head, Coordinator or Director of the concerned academic unit, as the case may be.
- (b) The RDC shall examine the list, the applications and the synopsis referred to in sub-clause (a) and grant admission to such of the applicants as are, in its opinion, qualified for the same.
- (c) The proceedings of the RDC, in respect of the matters referred to in sub-clause (c), shall be reported in the case of a Department to the Board of the concerned Faculty, or in the case of any other academic entity to the concerned competent executive or academic body.
- (d) In furtherance of the decision of the RDC to grant admission to a candidate, the Registrar shall issue a letter of admission to him, specifying the name of his supervisor, the topic of his research, the academic entity where he shall be enrolled, the language or languages, if any, in which he is required to acquire proficiency, and the period, ordinarily of not more than one month, within which he is required to get himself enrolled for the Ph.D. programme at such academic entity after paying fees and completing other requisite formalities:

Provided that where the candidate gets himself so enrolled within the said period, his enrolment shall come into force with effect from the date of the meeting of the RDC that granted his admission, but in all other cases the said enrolment shall be with effect from the actual date thereof.

- (e) Each candidate after getting admission will have to attend a Pre-Ph.D. course work of not more than six months duration, as per the UGC Regulations as amended from time to time. The Academic Council shall frame the rules regarding the Pre-Ph.D. course work in accordance with the UGC Regulations. No candidate will be allowed to submit his/her thesis if he/she does not complete the Pre-Ph.D. course work as per the UGC norms.

4. (a) Subject to the provisions of this Ordinance and the Regulations, each candidate shall, upon admission and enrolment to the Ph.D. programme, pursue a course of research of a duration of not less than twenty-four months in residence within the area referred to in sub-clause (b) of clause 1, and shall regularly pay the prescribed annual and other fees up to the time he withdraws from his enrolment, or such enrolment is terminated, or he duly submits his thesis to the University. The minimum duration of submitting the thesis is 36 months from the date of enrolment and maximum period of submitting the thesis is 72 months from the date of enrolment.

Provided that the Women Candidates and Persons with Disability may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the Women candidate may be provided maternity leave/childcare leave once in the entire duration of Ph.D. for upto 240 days.

- (b) Without prejudice to the requirements of sub-clause (a), the RDC may, on the recommendation of the RAC or CRAC, as the case may be, through the DPC, forwarded in the case of a Department by the Head thereof through the Dean of the Faculty, or in the case of the other academic entities by the Director, the Head or the Coordinator, as the case may be, grant permission to a candidate-

- (i) who has not fulfilled the minimum period of residential enrolment specified in clause (a), to avail leave of absence from Allahabad for a total period of not more than twelve months (in one or more instalments), on the grounds that it is in the interest of his research work that he should work outside Prayagraj (erstwhile Allahabad) at the station or stations specified in the recommendation, and such total period shall not be discounted from the computation of the said minimum period;
- (ii) who has fulfilled the said minimum period of residential enrolment, but has not completed his research work, to continue his work outside Prayagraj at the station or stations specified in the recommendation:

Provided that in each case under sub-clause (i) or (ii), the candidate shall continue in enrolment with his supervisor and shall submit to the RAC/CRAC, a report once every six months on the work carried out by him outside Prayagraj, and all such reports shall be forwarded to the RDC, through the DPC, in the manner aforesaid.

- (c) The schedule of the fees and other dues, including fees for the examination of the thesis and the viva voce examination, to be charged to candidates, and the manner of the payment thereof, shall be laid down, from time to time, by the Executive Council.

Provided that a regularly appointed teacher of the University, including an institution maintained by

it, or of an institution admitted to the privileges of the University, enrolled as a candidate shall be exempted from the payment of all fees other than the initial admission fees and the thesis and viva voce examination fees.

(d) The candidate shall not be entitled, or permitted, to secure admission to, or continue his earlier admission in, any other degree-granting course of study or whole-time academic programme, whether in the University or in any other institution, and his admission to the Ph.D. programme shall stand terminated at whatever stage he is discovered to have been in violation of this requirement.

5. (a) The candidate shall, subject to the provisions of sub-clause (b) of clause 4, report and record his attendance at the concerned academic entity on all working days, or on such number of working days in a week as may be laid down by the DPC, and on such other days on which he may be required by the supervisor or the DPC to so report, except the days on which he is, with the permission of the supervisor, intimated to the DPC, away from the academic entity, for attending academic conferences or Seminar or Workshop or training programmes and conducting research investigations:

Provided that the Academic Council may provide for such maximum number of days in an academic year on which the candidate may, upon submitting a written request to that effect through the supervisor, be exempted by the DPC from so reporting:

Provided further that a teacher, referred to in the proviso to sub-clause (c) of clause 4, may be exempted by the DPC, on the recommendation of the supervisor, from reporting and recording of such attendance.

(b) The academic entity where the candidate is enrolled may require him to undertake general and advanced course-work and special training programmes in relevant areas and methods of research and to fulfil not less than a specified minimum level of attendance at such course-work and programmes and attain not less than the requisite minimum standard in the evaluatory exercises for the same.

(c) The DPC may require the candidate to attend and participate in such special lectures, seminars and workshops as may be organised or prescribed for the candidates, and also require him to make presentations, or give seminars, on the progress and contents of his research work in the presence of the members of the DPC, his supervisor and other teachers and candidates, of the academic entity concerned:

Provided that the DPC may require the candidate to make such presentation before granting endorsement to his application, referred to in sub-clause (c) of clause 6, and to the submission of his thesis, under the provisions of sub-clause (g) of clause 7.

(d) The candidate holding a Fellowship awarded by the University Grants Commission, the Council of Scientific and Industrial Research or any other national funding agency, or any other research fellowship or scholarship (hereafter referred to as "the stipendiary candidate"), shall be required to assist in the teaching and other academic work of the academic entity concerned, in accordance with the rules laid down by the Academic Council or, pending the same, by the Vice-Chancellor, and by the relevant funding agency.

(e) The candidate shall, at the end of each academic year, submit to the DPC, through the supervisor, a detailed report on the work done by him in the course of the academic year and the work he proposes to do in the ensuing academic year, and shall not be entitled to deposit the fees and other charges for the ensuing academic year except if such report has been endorsed in the case of a Department of University by the Head thereof and by the Dean of the Faculty, or in the case of a Department of a Constituent College by the Convenor thereof and by the Principal of the College or in the case of the other academic entities by the Director, the Head or the Coordinator, as the case may be.

Provided that, in the case of a stipendiary candidate, the submission of such report shall be without prejudice to the requirements of the funding agency concerned for the submission of periodic reports on the progress of the research work of the candidate.

(f) In case the candidate is in default of any of the requirements specified in this clause and other provisions of this Ordinance or in the Regulations, or in case the DPC is not satisfied with any aspect

of his work and progress, the DPC may, after considering such explanation as he may submit through his supervisor endorsed by the RAC/CRAC in that regard, take such action as it may deem proper including a recommendation to the RDC, forwarded in the manner specified in sub-clause (b) of clause 4, that the admission of the candidate be terminated.

(g) Where —

- (i) the University has taken disciplinary action against the candidate or the candidate has been charged with a criminal offence; or
- (ii) the fellowship or scholarship of the stipendiary candidate has been terminated by the funding agency concerned for the violation of the rules thereof,

he shall, within one week of receiving intimation to that effect, report the same to the DPC through the supervisor, along with such statement as he may wish to submit in the matter, and in such a case the RDC shall, upon consideration of the report in that regard of the DPC, forwarded in the manner specified in sub-clause (b) of clause 4, decide upon the action to be taken in the matter, including the termination of the admission of the candidate. Prior to termination of admission three notices shall be served to the candidate to comply with the principle of natural justice.

6. (a) Subject to the sub-clause (a) of Clause 4, the candidate shall be required to complete his research work and submit the thesis within a period of six years reckoned from the date of his enrolment for the Ph.D. Programme. However, the RDC may, on the recommendation of the Supervisor and the DPC, grant in a very special case, an extension of not more than one year in the maximum duration.

Provided that in case the candidate fails to submit the thesis within the period permitted for the submission of the thesis, including the periods of the extension thereof under the preceding provisos, his admission to the Ph.D. programme shall be liable to be terminated and he shall, upon such termination, forfeit all the fees and other dues paid by him for and during such admission.

(b) Subject to the approval of the Board of the concerned Faculty in the case of a Department, or the competent executive or academic body in the case of any other academic entity, the RDC may, on the recommendation of the supervisor endorsed by the DPC, forwarded in the manner specified in sub-clause (b) of clause 4, permit the candidate, not less than six months before the submission of his thesis, to modify his topic of research, or limit the scope thereof:

Provided that such period of six months shall be reckoned from the date on which the DPC endorsed the said recommendation of the supervisor.

(c) The candidate may, not less than six months before the date on which he shall complete the minimum duration of 36 months, submit an application recommended by his supervisor, on the Form prescribed for the purpose by the Vice-Chancellor, to the effect that the thesis of the candidate is likely to be submitted within six months, and upon the endorsement of such application by the DPC —

(i) in the case of a Department, the Board of the concerned Faculty, on the recommendation of the relevant Board of Studies; or

(ii) in the case of any other academic entity, the competent executive or academic body,

shall, in such manner and subject to such conditions as may be laid down in that regard by the Academic Council by Regulations or, pending the same, by the Vice-Chancellor, draw up a panel of three experts of the subject or area of research concerned, for evaluating the thesis of the candidate (hereafter in this Ordinance referred to as "the examiners") and of three other such experts, one corresponding to each examiner, as the alternates to the examiners, and nominate two of the said examiners for conducting the *viva voce* examination of the candidate:

Provided that two of the said examiners, and their alternates, shall be persons not in the service of the University or any institution maintained by it or admitted to its privileges, out of whom one examiner should be from outside the state. He may also be from outside the country. The supervisor shall, ordinarily, be one of the examiners:

Provided further that, ordinarily, no examiner or alternate examiner shall conduct the *viva voce* examination, except if he has evaluated the thesis of the candidate:

Provided also that such panel shall no longer be valid in case the thesis has not been submitted within two years of the date of the meeting of the said Board of the Faculty, or competent executive

or academic body, at which the said panel was drawn up, except if the Academic Council agrees to extend the validity of the panel for a further period of not more than one year but subject to provision of Clause 6 (a).

7. (a) After the research work of the candidate is completed, prior to the submission of the Ph.D. thesis, the research scholar shall make a presentation before the DPC concerned, which shall also be open to all faculty members and research scholars of the academic unit. The feedback and comments, if any, obtained from them may be suitably incorporated into the draft thesis in consultation with the DPC.

(b) The candidate shall submit, in the manner specified in sub-clause (h) and in conformity with the style prescribed by the Vice-Chancellor by standing orders, four copies of his thesis along with four copies of an abstract, thereof:

Provided that the said abstract shall be such as to satisfy the examiners that it is an actual abstract of the thesis.

Provided further that the candidate shall also be required to submit a soft copy of the thesis and abstract.

(c) The thesis shall be presented in the case of the subject, or research area within the subject, of -

- (i) Arabic or Persian, in the language concerned or Urdu or English;
- (ii) Sanskrit, in Sanskrit or Hindi or English;
- (iii) Urdu, in Urdu or English; or
- (iv) a Classical Language (other than Arabic, Persian or Sanskrit) or a Modern Language (other than Hindi or Urdu), in the language concerned or Hindi or English,

and in all other subjects, in Hindi or English:

Provided that the abstract of the thesis shall be presented in the same language as the thesis.

(d) The candidate shall indicate in the thesis as to how far it embodies the result of his own research or observations and in what respect his investigations appear to him to advance the study of his topic and subject.

Provided that the Academic Council shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty in accordance with the UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018. While submitting for evaluation, the thesis shall have an undertaking from 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 of Allahabad, or to any other Institution.

(e) The candidate may also enclose with the thesis, as subsidiary matter, in the same number of copies each as required in respect of the thesis under sub-clause (a), any printed contribution or contributions to the advancement of his topic or subject that he may have published independently or conjointly:

Provided that in the event the candidate submits such subsidiary matter published conjointly, he shall state fully his own share in the publication.

(f) The candidate may incorporate in the thesis the contents of any work that he may have published on the concerned topic or subject, stating fully in the thesis the extent to which such published work has been incorporated therein, but he shall not submit as his thesis a work, or a substantial portion thereof, for which a degree has been conferred on him by the University or by any other Institution of higher learning.

(g) The thesis submitted by the candidate shall comply with the following conditions -

- (i) that it is a piece of research work characterised either by the discovery of facts or by a fresh approach towards interpretation of facts or theories;
- (ii) that it evinces the capacity of the candidate for critical examination and judgement;
- (iii) that it is satisfactory in terms of its literary presentation; and / or
- (iv) that it is suitable for publication.

(h) The candidate shall submit all four copies of the thesis and abstract alongwith their 2 sets of softcopies at the Department or the concerned other academic entity, and the same shall be forwarded, by the Head of the Department through the Dean of the concerned Faculty, or the Director, Head or Coordinator, Principal of the Constituent College, as the case may be, of the concerned other academic entity, to the Registrar, who shall despatch one copy each of the thesis to the three examiners who have consented to evaluate the same.

8. (a) The examiners shall examine the thesis and may consult one another before formulating their reports, and shall submit their reports on the Form set out in **SCHEDULE II** to this Ordinance, either individually or conjointly, along with such suggestions as they deem fit for the improvement of the thesis, and such suggestions shall be appropriately communicated to the candidate in case his thesis is required to be re-submitted in a revised form or is accepted for the award of the Ph.D. degree.

(b) In their individual or conjoint reports on the thesis, the examiners shall, in the context of the conditions specified in sub-clause (f) of clause 7 and other issues relevant to the same, make a clear recommendation to the effect that —

- (i) the thesis be approved for the Ph.D. degree, subject to the recommendation of the *viva voce* examiners;
- (ii) the candidate be required to re-submit the thesis in a revised form; or
- (iii) the thesis be rejected without further assessment, and the Ph.D. degree be not conferred on the candidate.

9. (a) The reports of the examiners of the thesis shall first be placed before the RDC and, in case any report is not in accordance with the form specified in sub-clause (a) of clause 8, or is not complete and clear, the RDC shall return such report to the concerned examiner or, in the case of a conjoint report, examiners, to make up the deficiency.

(b) If all three examiners unanimously and unambiguously recommend that the thesis be accepted, the RDC shall direct that the *viva voce* examination of the candidate be arranged as early as possible.

(c) If at least two of the examiners recommend rejection of the thesis, the thesis shall stand rejected and the RDC shall cause the candidate to be notified accordingly.

(d) If all three examiners recommend re-submission, or two examiners recommend re-submission and the third recommends acceptance of the thesis, the RDC shall direct that the thesis be re-submitted in a revised form not earlier than six months and not later than one year from the date of the decision of the RDC, and the re-submitted thesis shall be sent again to the original examiners.

(e) If two of the examiners recommend re-submission in a revised form and the third recommends rejection, or if one of the examiners recommends approval, the second recommends such re-submission and the third recommends rejection, of the thesis, the RDC shall refer the matter to the immediately ensuing meeting of the Board of the concerned Faculty in the case of a Department, or of the competent executive or academic body in the case of any other academic entity, and such meeting shall decide upon the further course of action in the matter.

(f) If two of the examiners recommend approval and the third recommends re-submission in a revised form, or rejection, of the thesis, the RDC shall cause the report of the examiner who recommends such re-submission, or rejection, to be circulated to the other two examiners to ascertain whether they would agree to the re-submission, or rejection, of the thesis, as the case may be, in view of the reasons given for the same by the third examiner, and —

- (i) in case the two examiners who have recommended approval stand by their original reports, the examiner who has recommended such re-submission, or rejection, shall be replaced by a new examiner appointed in accordance with the provisions of sub-clause (c) of clause 6 (hereafter in this clause referred to as "the new examiner");
- (ii) in case at least one of the two examiners who have recommended approval agrees with the view of the third examiner that the thesis be re-submitted, the RDC shall direct that thesis be re-submitted in a revised form not earlier than six months and not later than one year from the date of the decision of the RDC and the re-submitted thesis shall be sent

again to the original examiners; or

- (iii) In case at least one of the two examiners who have recommended approval agrees with the view of the third examiner that the thesis be rejected, the thesis shall stand rejected and the RDC shall cause the candidate to be notified accordingly.

(g) If in any case governed by serial number (i) to sub-clause (f), the thesis is recommended for acceptance by the new examiner or, if in any case governed by serial number (ii) thereof, the re-submitted thesis is recommended for approval by all the three examiners, the RDC shall direct that the *viva voce* examination of the candidate be arranged as early as possible.

(h) If in any case governed by serial number (i) to sub-clause (f), the new examiner recommends re-submission in a revised form, or rejection, of the thesis, or in any case governed by serial number (ii) thereof, two of the examiners recommend approval and the third examiner recommends re-submission, or rejection, of the re-submitted thesis, the RDC shall refer the matter to the immediately ensuing meeting of the Board of the concerned Faculty in the case of a Department, or of the competent executive or academic body in the case of any other academic entity, and such meeting shall, subject to the provisions of sub-clause (k), decide upon the further course of action in the matter.

(i) If in any case governed by serial number (ii) to sub-clause (f), only one of the examiners recommends approval, and the other two examiners do not recommend approval, of the re-submitted thesis, the thesis shall stand rejected and the RDC shall cause the candidate to be notified accordingly.

(j) The thesis required to be re-submitted, under the provisions of sub-clause (d), (e), (f) or (h), and the abstract thereof, shall be submitted in the same manner, style and language as the original thesis.

(k) Notwithstanding any provision to the contrary in this Ordinance, no candidate shall be entitled or permitted to re-submit the thesis more than once.

(l) All decisions of the RDC under sub-clauses (b), (c), (d), (f), (g) and (i) shall be reported to the immediately ensuing meeting of the Board of the concerned Faculty in the case of a Department, or of the competent executive or academic body in the case of any other academic entity.

10. (a) The *viva voce* examination shall be held in the manner laid down by the Vice-Chancellor by standing orders, and the *viva voce* examiners shall, after perusing the reports of the other examiners of the thesis, conduct the oral assessment of the candidate in order to ascertain to extent to which he is well acquainted with the literature on the subject, evinces a good understanding of the topic of his research as well as originality in his investigations and conclusions, and has an appropriate comprehension of the broad field of his study, and to address other issues relevant in that regard, make a clear recommendation in their report, on the Form set out in **SCHEDULE III** to this Ordinance, to the effect that-

- (i) the thesis be approved for the Ph.D. degree;
- (ii) the candidate be required to re-appear at the *viva voce* examination; or
- (iii) the other examiners be requested to reconsider their reports on the thesis.

(b) The report of the *viva voce* examiners shall first be placed before the RDC and, in case such report is not in accordance with the form specified in sub-clause (a), or is not complete and clear, the RDC shall return such report to the said examiners to make up the deficiency:

Provided that where the recommendations of the *viva voce* examiners are not unanimous, the RDC shall refer the matter to the immediately ensuing meeting of Board of the concerned Faculty in the case of a Department, or the competent executive or academic body in the case of any other academic entity, for appropriate decision.

(c) Where -

(i) upon consideration of the report of the *viva voce* examiners, in the context of the reports of the thesis examiners, the RDC is satisfied that the thesis and the *viva voce* examiners have unanimously and definitely recommended the award of the degree to the candidate, it may announce the result:

Provided that where such result has not been announced by the RDC, the reports of the thesis and *viva voce* examiners shall be placed before the immediately ensuing meeting of the Board of the concerned Faculty in the case of a Department, or of the concerned competent executive or academic body in the case of any other academic entity, for the declaration thereof;

(ii) the *viva voce* examiners have recommended that candidate be required to re-appear at the *viva voce* examination, the RDC shall direct that the second *viva voce* examination of the candidate be arranged as early as possible, after communicating the paraphrased observations of the said examiners in that regard to the candidate and, where the supervisor of such candidate is not one of such examiners, to him as well;

(iii) the *viva voce* examiners have recommended the reconsideration by the examiners of their reports on the thesis, the RDC shall cause the report of the *viva voce* examiners to be circulated, along with all the reports of the examiners of the thesis, to the examiner or examiners, other than the *viva voce* examiners, for observations thereon, and in such a case all such reports and the said observations shall be forwarded by the Registrar to the immediately ensuing meeting of the Board of the concerned Faculty in the case of a Department, or of the competent executive or academic body in the case of any other academic entity, for further decision, which may be taken in the light of the relevant provisions of this clause and of clause 9, or on the basis of such considerations as the Board of the Faculty or the competent executive or academic body may consider fair and reasonable;

Provided further that any result announced by the RDC, the Board of the Faculty or the competent executive or academic body, as the case may be, shall be provisional and subject to the approval of the Academic Council:

Provided further that no candidate shall be entitled or permitted to re-appear at the *viva voce* examination more than once.

11. (a) The reports of the thesis and the *viva voce* examiners, which may be perused by the members, or read *in extenso*, in the course of the deliberations thereon at the meetings of the RDC and the Board of the concerned Faculty in the case of a Department, or the concerned competent executive or academic bodies in the case of any other academic entity, shall be treated as strictly confidential and shall not be made available to the candidate or any other person, but in the case of a thesis accepted for the award of the Ph.D. degree the Registrar may on the written request of the candidate to this effect, communicate to him, under sealed cover, relevant excerpts, as approved by the RDC, from the reports of the thesis examiners.

(b) After the submission of the thesis, the copyright shall vest in University and candidate jointly and in case of result involving patent, it shall be jointly appropriated by the University and candidate. In the event of the publication of a thesis that has been accepted for the award of the Ph.D. degree, the candidate shall seek the permission of the Registrar and the candidate shall be required to state on the title page of the publication that it was a thesis approved for the Ph.D. degree of the University:

Provided that where a published book authored or co-authored by the candidate incorporates substantially the contents of a thesis that has been accepted for the award of the Ph.D. degree, the candidate shall be required to appropriately acknowledge in the book that it is based on a thesis approved for the Ph.D. degree of the University.

12.(a) If a candidate is required to re-submit the thesis or re-appear at the *viva voce* examination, he shall pay such further fees before such re-submission or re-appearance as may be laid down, from time to time, by the Executive Council.

(b) The schedule of travelling and other allowances and the remuneration payable to thesis and the *viva voce* examiners shall be laid down, from time to time, by the Executive Council.

THE SCHEDULES TO ORDINANCE LVI

SCHEDULE I

(See serial number (III) sub-clause (e) of clause 2)

RULES ON THE QUALIFICATIONS AND APPOINTMENT OF SUPERVISORS

1. In these Rules, Ordinance LVI is referred to as "the Ordinance" and, unless required otherwise by the context, the words and expressions used in the Ordinance but not defined in these Rules shall have the meaning assigned to them in the Ordinance.

2. (a) No person shall be recommended for appointment as the supervisor of a candidate except if he has expertise in, or knowledge of, the relevant subject or area of research.

(b) Only a full time regular teacher of a Department, a University Institute, an independent Centre, or a Constituent College holding a doctoral degree can be recommended for appointment as research supervisor provided that he has to his credit:

(i) at least five research publications in refereed journals in case of a Professor and,

(ii) at least two research publications in refereed journals in case of an Associate/Assistant Professor

Provided further that in areas/disciplines where there is no or only a limited number of refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

Provided also that the provisions of this sub-rule shall not apply in the case of such teachers, as have been supervising candidates for the Ph.D. degree of the University from before the commencement of this Ordinance.

(c) The appointment of external supervisors is not allowed. However, the appointment of Co-Supervisors may be recommended following the provisions of Rule 5.

(d) An Emeritus Professor, appointed as such under the provisions of sub-clause (a) of clause 2 of Ordinance XIII, may be recommended for appointment as supervisor in any of the academic entities, other than a Constituent Institute, with which he is associated.

(e) No supervisor shall be a relative of the candidate.

3. ADPC shall not recommend, and the RDC shall not appoint, a teacher as the supervisor of a candidate enrolled outside his Department, except with the concurrence of the Head of the Department of the said teacher, under intimation to the Board of the Faculty to which such Department is assigned, with the assent of the DPC thereof.

4. (a) A supervisor shall not be assigned more than two fresh candidates in any academic year. Provided that the academic year-wise and overall limits on the number of candidates assigned to a supervisor (hereafter in these rules referred to as "the enrolment limits") shall be computed, by adding together the candidates enrolled with him within and outside his own Department.

(b) In the case of the absence of a supervisor from Prayagraj (Allahabad), on leave or otherwise, for a period of more than two but not more than six months, the DPC may, in accordance with the standing instructions, if any, of the RDC, assign any other such supervisor of the concerned academic entity as has knowledge of the area of research of the candidate, as temporary supervisor of the candidate for the period of such absence:

Provided that where —

(i) such absence of the supervisor is for a period of six months or more;

(ii) the supervisor relinquishes his assignment as such, in accordance with the procedure laid down in clause (c) of this Rule, or permanently leaves the area referred to in sub-clause (b) of clause 1 of the Ordinance, or is otherwise no longer in a position to supervise candidates,

the DPC shall in respect of the candidates enrolled with the said supervisor, recommend to the RDC, in the case of a Department through the Dean of the Faculty, or in the case of any other academic entity through the Director, the Head or the Coordinator, as the case may be, the name of such other persons eligible to act as supervisors in the concerned academic entity, to be the new supervisors of such candidates, without exceeding, in the case of any such new supervisor, the enrolment limits specified in clause (a) of this Rule, and upon approval of any such recommendation by the RDC, the concerned original supervisor shall no longer supervise the candidate:

Provided further that where it is not possible to assign a new supervisor from amongst the persons entitled to act as supervisors, on account of the said enrolment limits, the RDC may approve the temporary supernumerary assignment of the candidate concerned to a supervisor who has knowledge of the concerned area of research, and such temporary supernumerary assignment shall be adjusted against the regular vacancy that next arises under the new supervisor:

Provided also that in any case, other than one referred to the first proviso, no recommendation of the DPC for change of supervisor shall be acted upon by the RDC except with the consent to that effect of the supervisor concerned, save in such cases where the DPC has adduced good and sufficient grounds for such change in the absence of such consent.

(c) A supervisor may, for good and sufficient cause, recorded in writing and submitted to the DPC, seek to be relieved of the supervision of any candidate, and the recommendation of the DPC thereon shall be forwarded, through the Dean of the Faculty, in the case of a Department, or the Director, the Head or the Coordinator, in the case of any other academic entity, to the RDC for decision.

5. Upon provision being made by the Academic Council by Regulations for the appointment of a co-supervisor for a candidate, such appointment shall be governed by the following conditions, which shall be subject to such modifications as may be made in the same by the said Regulations-

- (i) the supervisor may, in the interests of the conduct of theoretical or experimental investigations, or fieldwork, essential to the research work of the candidate, recommend to the DPC the appointment of a person, who has expertise in the concerned subject or area of research and has given his consent to that effect, as the co-supervisor of the candidate, and shall spell out in such recommendation the specific way or ways in which the association of the proposed co-supervisor shall be of benefit to the candidate;
- (ii) no person may be recommended for appointment as the co-supervisor, except if he —
 - (1) is eligible to supervise candidates under the provisions of Rule 3:
Provided that a person shall not be recommended for appointment as a co-supervisor in the same academic entity in which he is, or is eligible to be, a supervisor;
 - (2) has been declared, under the provisions of sub-clause (a) of clause 3 Ordinance XIII, as Adjunct Faculty:
Provided that a person declared as Adjunct Faculty shall not be recommended for appointment as a co-supervisor, except in the academic entity or entities to which he has been assigned under the provisions of sub-clause (b) of the said clause 3.
- (iii) no person shall act as co-supervisor of more than two candidates at any one time, and not more than one candidate shall be assigned to a co-supervisor in any one academic year; and
- (iv) the recommendation under serial number (i) shall, if endorsed by the DPC, be forwarded in the case of a Department by the Head thereof, through the Dean of the concerned Faculty, or in the case of any other academic entity through the Director, the Head or the Coordinator, as the case may be, to the RDC for approval, and upon such approval, the Registrar shall communicate the same to the concerned candidate, his supervisor and the concerned DPC, through the said Head of the Department, or the said Director, Head or Coordinator, as the case may be, and also report the same to the Board of the concerned Faculty in the case of a Department, or the competent executive or academic body, in the case of any other academic entity, and to the Academic Council.

SCHEDULE II

(See sub-clause (a) of clause 8)

UNIVERSITY OF ALLAHABAD

REPORT OF THE EXAMINER OR EXAMINERS OF THE THESIS OF THE CANDIDATE FOR THE Ph.D. DEGREE

1. Name of the candidate:
2. Academic unit of the enrolment of the candidate for the Ph.D. degree:
The Department of under the Faculty of
or
The Centre of under the University Institute named
or
The independent Centre named
or
The School named
or
The Constituent Institute named
or
The Department of under the Constituent College named
3. Title of the thesis submitted by the candidate:

PART I

I/We have examined the thesis for the degree of Doctor of Philosophy submitted by the candidate named above on the topic set out above, and have to report:

[Strike out two from amongst (A), (B) and (C)]

(A) That the thesis submitted by the candidate —

- (i) is a piece of research work characterised by the discovery of facts or by a fresh approach towards interpretation of facts or theories;
- (ii) evinces the capacity of the candidate for critical examination and judgment;
- (iii) is satisfactory so far as its literary presentation is concerned; and
- (iv) is suitable for publication as a thesis approved for the degree of Doctor of Philosophy of the University of Allahabad.

(B) That the thesis submitted by the candidate deserves to be re-submitted in a revised form.

(C) That the thesis submitted by the candidate deserves to be rejected without further assessment.

PART II

(Concise statement of the examiner or examiners on the grounds for the report recorded in Part I).

PART III

I/We recommend —

[Strike out two from amongst (a), (b) and (c)]

- (a) That the thesis be approved for the degree of Doctor of Philosophy, subject to the recommendation of the viva voce examiners.
- (b) That the candidate be required to re-submit his thesis in a revised form, within the prescribed period, after the communication to him of the lines on which the revision of his thesis is recommended.
- (c) That the thesis be rejected without further assessment, and the degree of Doctor of Philosophy be not conferred on the candidate.

Examiner/Examiners of the Thesis

REGISTRAR
University of Allahabad
Allahabad

SCHEDULE III

(See sub-clause (a) of clause 10)

UNIVERSITY OF ALLAHABAD

REPORT OF THE VIVA VOCE EXAMINERS OF THE CANDIDATE FOR THE Ph. D. DEGREE

1. Name of the candidate:
2. Academic unit of the enrolment of the candidate for the D. Phil. degree:
The Department of under the Faculty of
or
The Centre of under the University Institute named
or
The Independent Centre named
or
The School named
or
The Constituent Institute named
or
The Department of under the Constituent College named
.....
3. Title of the thesis submitted by the candidate:

PART I

We have read the thesis for the degree of Doctor of Philosophy submitted by the candidate named above on the topic set out above and perused the reports of the other examiner or examiners of the said thesis, and have examined the said candidate *viva voce*, and have to report:

[Strike out either (A) or (B)]

(A) That we are satisfied that the candidate —

- (i) is well acquainted with the literature on the subject;
- (ii) evinces a good understanding of the topic of his research and the thesis is genuinely his own work; and
- (iii) has an appropriate comprehension of the broad field of his study.

(B) That the candidate has not satisfied us —

[Strike out whichever is inapplicable from amongst (i), (ii), (iii) and (iv)]

- (i) that he is well acquainted with the literature on the subject.
- (ii) in respect of the basis of one or more of the conclusions he has drawn from the investigations reported in the thesis.
- (iii) as to the originality of one or more parts of the thesis.
- (iv) [state any other ground that merits reporting]

PART II

(Concise statement of the examiners on the grounds for the report recorded in Part I).


Part III

We recommend —

[Strike out two from amongst (a), (b) and (c)]

- (a) That the degree of Doctor of Philosophy be conferred on the candidate.
- (b) That the degree of Doctor of Philosophy be not conferred on the candidate for the time being, and he be required to re-appear at the viva-voce examination within the prescribed period.
- (c) That the degree of Doctor of Philosophy be not conferred on the candidate for the time being, and the other examiners be requested to reconsider their reports on the thesis in view of the grounds recorded in **Part II** of this Report.

Viva-voce Examiners


REGISTRAR
University of Allahabad
Allahabad