

PH.D. ORDINANCE 2023

For the Degree of

DOCTOR OF PHILOSOPHY

(Approved by the Academic Council on April 17, 2023)



Khwaja Moinuddin Chishti Language University

Sitapur-Hardoi Bypass Road

Lucknow

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ख्वाजा मुईनुद्दीन चिश्ती भाषा विश्वविद्यालय, लखनऊ
Khwaja Moinuddin Chishti Language University, Lucknow

(Uttar Pradesh State Government University)

Khwaja Moinuddin Chishti Language University, Lucknow

Ph.D. Ordinance – 2023

This Ordinance of the University shall be known as **Khwaja Moinuddin Chishti Language University, Doctor of Philosophy (Ph.D.) Ordinance, 2023**, and shall come into effect from the date of its approval by the Competent Authority of the Khwaja Moinuddin Chishti Language University.

This Ordinance shall cohere to, and cover all the provisions made by the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022.

The Degree of Doctor of Philosophy (Ph.D.) of the Khwaja Moinuddin Chishti Language University, Lucknow shall be conferred upon the candidates who fulfill the requirements as specified in this ordinance.

1. SHORT TITLE, APPLICATION AND COMMENCEMENT:

This Ordinance shall be called “**Khwaja Moinuddin Chishti Language University, Doctor of Philosophy (Ph.D.) Ordinance, 2023**”.

The Khwaja Moinuddin Chishti Language University (hereinafter referred to as University) would consider the admission to programme in the Faculties established as per the Statutes of the Khwaja Moinuddin Chishti Language University.

Those candidates who have been registered for Ph.D. programme before the promulgation of this Ordinance would be governed by UGC (Minimum Standards and Procedures for the Award of M.Phil./Ph.D. Degrees) Regulations 2016 following its subsequent amendments as on dates August 27, 2018 and October 16, 2018 and earlier Ordinances of the University under which they have been admitted.

From the date when these Ordinances come into operation, all previous Ordinances on the subject shall cease to have effect. Provided that this revocation shall not affect the previous Ordinances so revoked or anything done or suffered under any previous Ordinances so revoked or affect any right, privilege, obligation or liability acquired, arrived or incurred under any Ordinances so revoked.

2. DEFINITIONS:

All the definitions prescribed in the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022 shall be applicable as they are mentioned in the Regulation.

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3. ELIGIBILITY CRITERIA FOR ADMISSION TO THE PH.D. PROGRAMME:

Candidates for admission to the Ph.D. programme should have successfully completed:

- 3.1 A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory/regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.
- 3.2 A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (Non-Creamy Layer), Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- 3.3 Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (Non-Creamy Layer), Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- 3.4 Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (Non-Creamy Layer), Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- 3.5 A candidate whose M.Phil. Dissertation has been evaluated and recommended for award of the degree, may be admitted to the Ph.D. programme of the University on provisional basis even before the Viva-Voce.
- 3.6 The eligibility marks of 55% (or an equivalent grade in a point scale wherever



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grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark.

- 3.7 A relaxation of 0.5 score, i.e. CGPA of 7/10 or an equivalent relaxation of grade may be allowed for those belonging to SC/ST/OBC (Non-Creamy Layer), Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Admission to the Ph.D. programme will be allowed in those subjects in which regular programmes are being offered by the University. The degree would be awarded in the subjects in which the candidate is admitted. Interdisciplinary research may be encouraged by respective departments by taking Co-Supervisors from other relevant disciplines.

4. DURATION OF THE PROGRAMME:

- 4.1 Ph.D. programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme. The date of first fee deposit will be considered as the date of admission.
- 4.2 A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Regulations/Ordinance of the University; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.
- 4.3 Provided further that, the female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- 4.4 In cases where student enrolled for Ph.D. Programme happens to get appointed in job, he/she may opt for temporary withdrawal to a maximum of three years. However, the maximum period (eight years) of the programme shall remain same. The candidate may avail this facility by submitting an application duly recommended and forwarded by the Supervisor to the Head of the Department.
- 4.5 The duration of programme for every candidate shall be counted from the date of his/her admission in Ph.D. programme till the date of successful Pre-Submission Presentation and the candidate's seat will be considered vacant on the same day.
- 4.6 Attendance Register for all the students for both course work and for the subsequent completion of the Ph.D. programme is to be maintained in the office of the Departments.

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5. PROCEDURE FOR ADMISSION:

- 5.1 The University shall advertise admission notification on its website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in Hindi, and the other one (1) in English.
- 5.2 The admission notification will clearly mention the number of vacant seats available for each subject/discipline, criteria for admission, procedure for admission and all other relevant information for the benefit of the candidates.
- 5.3 The admission will be made taking into account the reservation policy of the Central/ State Government from time to time.
- 5.4 The Ph.D. programme in a Department shall be classified under any one of the following categories:
 - (a) Full-Time Ph.D. Programme
 - (b) Part-Time Ph.D. Programme

6. FULL-TIME PH.D. PROGRAMME:

- 6.1 Candidate enrolled for Ph.D. programme shall not be permitted to take admission in any other regular degree programme till the award of the Ph.D. Degree, unless any specific regulation of dual degree comes into effect.
- 6.2 The admission in the Ph.D. programme shall be based on the Research Entrance Test (RET) comprising of written test and Interview.

Conditions for Admission in Full Time Ph.D. Programme:

Admission to the Ph.D. programme shall be made using the following methods:

- i. Students with valid Fellowship/Scholarship (Junior Research Fellowship) in UGC-NET/UGC-CSIR NET/GATE/CEED and similar National level tests shall be exempted from the entrance test and admitted directly on the basis of Interview.
- ii. Regular Teachers of Khwaja Moinuddin Chishti Language University shall be exempted from the written test and admitted directly on the basis of Interview.

Such candidates as referred in (i) and (ii) of Clause 6.2 may be given preference/weightage as per criteria mentioned in **Annexure – A**.

- 6.3 The regular faculty members of this University can continue Ph.D. in Full-Time mode after completion of three years continuous service provided that discipline/subject is available in the respective department of the University in which

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Ph.D. programme is being offered. Other conditions shall be applicable for this mode as mentioned in this Ordinance.

- 6.4 All those applicants who do not fall in the abovementioned criteria will have to appear in the written test conducted by the University. Candidates who qualify the written test will have to appear in Interview/Viva-Voce.
- 6.5 The final selection of the candidate for Ph.D. shall be based on the 70% weightage to written test and 30% weightage to his/her performance in the Interview.

Candidates who are exempted from the written test by having valid Fellowship/Scholarship or being regular and working teachers employed in Khwaja Moinuddin Chishti Language University will be selected only on the basis of Interview/Viva-Voce as mentioned in **Annexure – A**. Such teachers are also entitled to avail the benefits of the provisions laid down in the State Government Orders (i) 1190/ sattar-1-2019-16 (114)/2010 dated 15/10/2019 (ii) 70/sattar-1-2022 dated 06/01/2022. Such teachers shall provide their appointment letter endorsed by the Registrar at the time of Interview.

- 6.6 The candidate(s) qualifying the Research Entrance Test (RET) will have to appear in an Interview as decided by the Admission Committee or sub-committee constituted by the Vice Chancellor for the purpose.
- 6.7 The Interview panel will comprise of Convener, a member from the Admission Committee, External/Internal Expert(s) of the subject as decided by the Admission Committee and approved by the Vice Chancellor. The Interview Board will award marks as suggested in **Annexure – A**. Any modification/alteration/amendment of the Interview panel shall be at the sole discretion of the Vice Chancellor.

The final merit for admission to Ph.D. programme shall take into account the total score of written tests (in cases where applicable) and Interview. The University shall adhere to the Central/State Reservation Policy, as applicable.

- 6.8 The University shall decide the total number of eligible students to be called for an Interview based on the number of Ph.D. seats available in the subject concerned.

The University shall maintain a list of Ph.D. Supervisors specifying the name of the Supervisor, his or her designation, the department/school/center, along with the details of Ph.D. scholars i.e. the name of the registered Ph.D. scholar, the topic of his/her research work, and the date of admission on the website of the University, and the list will be updated on a regular basis.

7. PART-TIME PH.D. PROGRAMME:

- 7.1 Ph.D. programmes through Part-Time mode will be permitted, provided all the conditions stipulated in UGC (Minimum Standards and Procedures for award of

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Ph.D. Degrees) Regulations, 2022, including Entrance Test and completion of course work as mentioned in Ph.D. Ordinance-2023 of Khwaja Moinuddin Chishti Language University are fulfilled.

- 7.2 Part-Time Ph.D. will be allowed provided all the conditions mentioned in the Ph.D. Ordinance are met and applicable as and where required.
- 7.3 A candidate shall be considered as a Part-Time research scholar if he/she is employed and has submitted an NOC (No Objection Certificate) from the head of the institution/organization where he/she is employed.
- 7.4 Part-Time Ph.D. scholar will not be eligible for any Fellowship/Scholarship from any source. However, the Teacher of this university admitted in Part-Time Ph.D. programme may continue to receive salary.
- 7.5 The time duration of Part-Time Ph.D. programme shall be a minimum of three (3) years and maximum of Six (6) years. A further extension of two (2) years will be at the sole discretion of the Vice Chancellor.
- 7.6 A Teacher serving in this University will be eligible to enroll for Ph.D. programme under Part-Time mode after completion of probation period or at least one year of service.
- 7.7 Other than the teacher of this University, the candidate is required to have at least three years of continuous service experience in Recognized Educational Institutions, Union Government, State Government(s), Arm Forces, PSUs or Corporations listed in BSE or NSE.
- 7.8 The University shall obtain a "No Objection Certificate" through the candidate for a Part-Time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - i. The candidate is permitted to pursue studies on a Part-Time basis.
 - ii. His/her official duties permit him/her to devote sufficient time for research.
 - iii. If required, he/she will be relieved from the duty to complete the course work.
- 7.9 The selection of the candidates for the Part-Time Ph.D. programme shall be based on same criteria as mentioned for Full Time Mode.
- 7.10 Any matter related to Part-Time Ph.D. where the ordinances are silent or unclear shall be decided by the Vice Chancellor.

8. ADMISSION OF INTERNATIONAL STUDENTS IN PH.D. PROGRAMME:

- 8.1 Each supervisor can guide up to two international research scholars on a



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supernumerary basis over and above the permitted number of Ph.D. scholars.

- 8.2 Such students must submit application directly to the Vice Chancellor/Registrar after consultation with the faculty member (Supervisor) with whom they wish to work.
- 8.3 Except for the waiver in admission to the Ph.D. programme, rest of the conditions will remain same as mentioned in the Ordinance.

9. ENTRANCE TEST:

- 9.1 Appearing in the Research Entrance Test (RET) shall be mandatory for all except the candidates exempted under the clause 6.2 (i) & (ii).
- 9.2 Appearing in Interview is mandatory for all candidates.
- 9.3 The entrance test syllabus shall consist of 50% questions of Research Methodology and 50% questions related to the specific subject.

Students who have secured 50% marks in the entrance test are eligible to be called for the Interview.

- 9.4 A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC, Differently-Abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
- 9.5 The University will decide the number of eligible students to be called for Interview based on the number of Ph.D. seats available.

In the Interview candidates will be required to discuss their research interest/area through a presentation before the RAC and the following points should be ensured:

- i. The candidate possesses the competence for the proposed research.
 - ii. The research work can be suitably undertaken at the University.
 - iii. The proposed area of research can contribute to new/additional knowledge.
 - iv. The Interview Panel shall award marks as per **Annexure – A**.
- 9.6 The final merit of admission in the programme shall be as follows:

Total Marks = Marks Secured in RET + Marks Secured in Interview including weightage for JRF/NET/UP-SLET).

Note: Those who are exempted from RET, 30% preference/weightage allocated for Interview shall be scaled up to 100%.



10. ALLOCATION OF THE RESEARCH SUPERVISOR:

(Eligibility criteria to be a Research Supervisor/Co-Supervisor, Number of Ph.D. scholars permissible per supervisor etc.)

10.1 Permanent faculty members working as Professor/Associate Professor of the University with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the University.

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

Such recognized research Supervisors cannot supervise research scholars in other institutions, where they can only act as Co-Supervisors.

10.3 Co-Supervisors from within the same department or other departments of the University or other Institutions may be permitted with the approval of the competent authority.

10.4 Adjunct Faculty members shall not act as Supervisors and can only act as Co-Supervisors.

10.5 Professor/Associate Professor/Assistant Professor shall submit relevant publication details to the Registrar for consideration as Supervisor at different levels. Already supervising Ph.D., will be deemed to be possessing necessary eligibility.

10.6 Newly appointed Faculty Members at all levels may be allowed to register Ph.D. scholars under their supervision after the successful completion of their probation period. However, other eligibility criterion will remain the same.

10.7 In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.

10.8 Faculty Members at all levels can be Co-Supervisor of other Universities/Institutions/Organizations if they are approved Supervisors of University. Provided that at any point of time the total number of candidates under a research Supervisor shall not exceed the number as prescribed above including the candidates under co-supervision. An NOC for the same may be issued by the Registrar or any competent authority on the basis of the submitted application.

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Allocation of Research Supervisors:

The allocation of Research Supervisor for a selected research scholar shall be decided by the Committee consisting of Head of the Department and the proposed Supervisor(s) based on the following Criteria:

- Available vacancy per Supervisor.
- Specialization of the Supervisor.
- Common research interest of the scholar and the Supervisor as indicated by them with mutual consent.

The Supervisors will be allotted to the candidate within two months from the commencement of the Ph.D. Course Work.

A supervisor shall not be allowed to supervise a candidate who is a relative whether by blood, adoption or by marriage. In this ordinance "relative" means the relations provided in the explanation to section 20 of the U.P. State Universities Act, 1973.

11. NUMBER OF PH.D. SCHOLAR PER SUPERVISOR:

- 11.1 A research Supervisor who is a Professor at the any given point of time cannot guide more than Eight (8) Ph.D. Scholars. An Associate Professor as a research Supervisor can guide up to a maximum of Six (6) and an Assistant Professor can guide up to a maximum of Four (4) Ph.D. scholars. This limit is applicable even for Co-Supervisors. Ph.D. seats for Part-Time applicants shall be a maximum of Two (2) seats for Professor/Associate Professor and One (1) for Assistant Professors.
- 11.2 The seats under new Supervisors would be declared in a phased manner (e.g. 50% seats in first year and rest of the seats in next consecutive year).
- 11.3 A Co-Supervisor cannot be below the rank and grade of an Assistant Professor.
- 11.4 In case of relocation of a Ph.D. female scholar due to marriage or otherwise the research data shall be allowed to be transferred to the University/Institution to which the scholar intends to relocate provided all the other conditions in these regulations are followed, and the research work does not pertain to a project sanctioned to the University/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent University and Supervisor for the part of research already undertaken.
- 11.5 Faculty Members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a Co-Supervisor after superannuation, but not after attaining the age of 70 years.



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- 11.6 The Faculty Members of the University, who are themselves enrolled as Ph.D. scholars in this University or in any other Institute/University cannot act as Ph.D. Supervisor/Co-Supervisor.
- 11.7 If the Supervisor of a candidate proceeds on LIEN/Leave/Deputation for more than Twelve (12) months or he/she proceeds on leave for less than Twelve (12) months, but later extends the leave beyond Twelve (12) months he/she will continue as Supervisor unless he/she wishes to withdraw his supervision. In such cases he/she may recommend for a fresh Supervisor with the mutual consent of the proposed Supervisor and the candidate essentially. The recommendation should be duly forwarded by Head of the department as well as Dean of the Faculty concerned. The final decision in this regard shall be taken by the Vice Chancellor.

12. CHANGE OF SUPERVISOR:

- 12.1 If a candidate for some reasons intends to change his/her Supervisor, it may be permitted by the Vice Chancellor on the recommendation of RAC. This recommendation should be duly forwarded by Head of the department as well as Dean of the Faculty concerned. In such cases the mutual consent of the present Supervisor, the proposed Supervisor and the candidate is essential.

If the Candidate is not satisfied with the recommendation of RAC, he/she may move a fresh application to the Vice Chancellor and the decision of the Vice Chancellor will be final and binding on all the parties.

- 12.2 If a candidate has been assigned a new Ph.D. Supervisor, he/she shall continue his/her research with the new Supervisor till the submission of thesis. No candidate shall be allowed to change Supervisor more than once except for some exceptional cases as decided by the Vice Chancellor.
- 12.3 Many National Research Institutes across the nation where students are carrying out research work for Ph.D. and the degree has to be awarded by this University in such cases, the Supervisor will be from this University and Co-Supervisor from other institutions. The Co-Supervisor shall be a permanent researcher not below the level of Scientist-C in that Research Institute where the students carry out research work.

Note: The research Supervisor should declare the number of Ph.D. scholars registered with him/her periodically to the University. He/she cannot increase the number by using recognition from multiple Universities.

13. COURSE WORK:

(Credit Requirements, Number, Duration, Syllabus, Minimum Standards For Completion etc.)

- 13.1 Six months course work (Residency Period) of Ph.D. programme is mandatory for all (Full-Time and Part-Time) research scholars. After completion of residency period,



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Part-Time Ph.D. candidates will have to spend at least 10 days (including public holidays) in each semester on research work at any time as advised by the Supervisor. Record of attendance will be maintained with the Supervisor.

- 13.2 The Credit requirement for the Ph.D. course work is a minimum of 12 credits, including:
- Research and Publication Ethics (2 Credits)
 - Computer Application Course (2 Credits)
 - Research Methodology Course (Faculty/Department Wise) (4 Credits)
 - Subject Specific Course (Department Wise) (4 Credits)
- 13.3 The RAC can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- 13.4 If an admitted candidate fails in the course work examination, he/she will get another chance to reappear in the next course work examination only after the submission of examination fee.
- 13.5 In cases where the candidate fails to appear in the course work examination due to any reason, he/she may be allowed to appear in the next course work examination without submission of fee.
- 13.6 If an admitted candidate fails to complete his course work, he/she may be provided another chance to complete his/her course work. The minimum period of three years of Ph.D. programme for such candidates will be counted from the date of start of the fresh course work.
- 13.7 If the candidates fail consecutively in the second attempt, his/her registration shall be cancelled. Further, attempts if any or any decision pertaining to registration will be at the sole discretion of the Vice Chancellor.
- 13.8 A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-Point Scale in the course work to be eligible to continue in the programme and submit his/her thesis.
- 13.9 All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- 13.10 Candidates already holding M.Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work, will be exempted from the Ph.D. course work.



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- 13.11 All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters. In case of pandemic like situation or in any other extraordinary situation, provisions of blended mode should be made available.

14. RESEARCH ADVISORY COMMITTEE:

There shall be a Research Advisory Committee for each Ph.D. scholar.

Composition of RAC:

- The Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee.
- Co-Supervisor (if any) of the concerned Ph.D. scholar as member of the committee.
- Two (2) external subject expert(s) nominated by the supervisor as member(s).

Functions of the RAC:

The Committee shall have the following responsibilities:

- To review the research proposal and finalize the topic of research.
 - To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
 - To periodically review and assist in the progress of the research work of the Ph.D. scholar.
- 14.1 A Ph.D. scholar shall appear before the Research Advisory Committee every six months (every twelfth months for Part-Time scholars) to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance.
- 14.2 The Research Advisory Committee shall submit its recommendations along with the copy of progress report of Ph.D. scholar to Dean Research/Ph.D. Coordinator/Dean Faculty concerned. A copy of such recommendations shall also be provided to the Head of the Department and Ph.D. scholar.
- 14.3 In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.



15. EVALUATION AND ASSESSMENT METHODS:

(Minimum Standards/ Credits for award of the degree etc.)

Pre-Submission Presentation:

- 15.1 Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause 9(3) of UGC Regulation-2022, (A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.) the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- 15.2 After completion of research work by the Ph.D. scholar, he/she will make a Pre-Submission Presentation before the RAC. The RAC will send the final report of successful Pre-Submission Presentation to Dean Research/Ph.D. Coordinator/Dean Faculty concerned. A copy of final report shall also be provided to the Head of the Department and Ph.D. scholar.
- 15.3 If the RAC is not satisfied with the work of the candidate, the candidate shall do further work as advised, and deliver a fresh presentation in the stipulated period specified by the RAC. The RAC shall record the reasons for the same and suggest corrective measures and will send the report of Pre-Submission Presentation to Dean Research/Ph.D. Coordinator/Dean Faculty concerned. A copy of the report shall also be provided to the Head of the Department and Ph.D. scholar.
- 15.4 The seat of candidate shall be considered as vacant on the date of successful Pre-Submission Presentation.
- 15.5 It is desirable that the research work of Ph.D. scholars is published in peer reviewed or refereed journals and presented in conferences/seminars.

Plagiarism Check:

Plagiarism check should be done by a competent authority and a proper certificate should be attached along with other documents at the time of thesis submission.

This plagiarism check should be in conformity with the Gazette of India dated July 23, 2018 [UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018]. The plagiarism report of the thesis should be certified by the competent authority and the concerned supervisor which must be provided during the submission of thesis.

Submission of the Thesis:

The candidate is required to submit the thesis within six months from the date of his/her successful Pre-Submission Presentation.



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The candidate shall submit the thesis to the office of Head of the Department, with due endorsement of the Supervisor. While submitting the thesis, the candidate shall submit the following as mentioned in (Annexure – G):

- i. Three hard copies and one soft copy of the abstract of thesis consist of 500-600 words describing the salient features of his/her work.
- ii. Three hard copies and one soft copy of the thesis in Hindi or English or any other language approved by the respective RAC.
- iii. No-dues Certificate.

A thesis once submitted cannot be re-submitted except when the examiner recommends for the revision of the thesis.

The Head of the Department shall forward the thesis to the Dean of the Faculty concerned.

The Dean of the Faculty concerned shall forward the thesis to the Registrar office.

The Registrar office will issue a certificate of submission to the candidate.

16. THE PANEL OF EXAMINERS FOR EVALUATING THE Ph.D. THESIS:

- 16.1 The Supervisor shall propose a panel of six Experts (excluding working faculty members from the University and University/institution of the Co-Supervisor) to the Chairperson of the Board of Studies, for approval of External Examiners prior to the submission of the thesis. In this panel at least 3 examiners must be from outside the state, and shall be specialized in the area of the thesis concerned.
- 16.2 Only Professors/Associate Professors/their equivalents are eligible for being External Examiner.
- 16.3 The panel of External Examiners shall not include the name of any person with whom the candidate has published a joint research paper.

17. THESIS EVALUATION:

- 17.1 The panel of External Examiners duly approved by the Board of Studies shall be sent by the Head of the Department/Director of the institute to the Registrar within a week after the submission of the thesis in the department.
- 17.2 The Registrar shall send this panel of examiners within three days, to the Vice Chancellor or his nominee to get the approval of two External Examiners.
- 17.3 The Registrar shall get in touch with each Examiner over e-mail with a soft copy of the abstract/summary to secure acceptance of the Examiner apart from communicating through post. The said exercise shall be undertaken by the Registrar



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within three days of the receipt of approval from the Vice Chancellor. The Registrar shall forward the thesis and the abstract to the Examiners within a week from whom the consent has been received (via email or postal services) and take necessary action to get the report of the Examiners expeditiously.

- 17.4 The Examiners shall be requested to submit their individual reports within two months of the receipt of the thesis.
- 17.5 In case of refusal from the Examiner(s), the Registrar will get a fresh approval from the Vice Chancellor for another Examiner of the approved list.
- 17.6 In case, an Examiner does not send his/her report within the said period, a reminder shall be sent to him/her over email/post. This shall be followed by a subsequent reminder after a fortnight.
- 17.7 In the event of the report not being received from the Examiner within three months from the receipt of the thesis, the name of the Examiner shall be cancelled and a new Examiner shall be appointed from the approved list.

18. EXAMINERS' REPORTS:

- 18.1 The examiners shall submit the report on a prescribed format as given in **Annexure – E**.
- 18.2 If both the examiners recommend acceptance of the thesis for the award of the degree, the thesis shall be accepted.

Thesis Rejected:

If both the Examiners recommend rejection of the thesis for the award of the degree, the thesis shall be rejected.

If the Examiner(s) raise some queries/seek clarifications, the candidate shall be required to give satisfactory answers to the queries at the time of Viva-Voce.

If one or both the Examiners recommend revision of the thesis, the candidate shall resubmit the thesis after revision within six months.

If one Examiner recommends rejection of the thesis and the other recommends acceptance, then the Registrar shall send the thesis to a third Examiner from the approved list. In such cases the majority decision shall prevail.

19. VIVA-VOCE:

- 19.1 The Registrar will take the approval of the Vice Chancellor or his nominee for one External Examiner to conduct the Viva-Voce, and subsequently inform the Head of the Department and the Supervisor to organize the Viva-Voce as soon as possible. The Supervisor will inform the External Examiner about the date of Viva-Voce. The same will be communicated to the Registrar. TA/DA as per University rules or as



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approved by Vice Chancellor would be paid to the External Examiner.

- 19.2 The Supervisor and the Co-Supervisor (if any), shall arrange for the Viva-Voce of the candidate within one month from the date of communication from the Registrar for conducting the Viva-Voce.
- 19.3 The Viva-Voce of candidate completing the Ph.D. will be held in the department concerned in the open defence mode comprising of RAC members, faculty members, research scholars, students and one External Examiner who has evaluated the thesis.
- 19.4 In some special circumstances if the External Examiner is unable to come to conduct the Viva-Voce, the open Viva-Voce can be conducted through video conferencing. The recording of complete Viva-Voce through video conferencing shall be preserved by the Head of the Department/Supervisor and also make it available if sought by competent authority.
- 19.5 The External Examiner shall submit the confidential report in a hard copy through Head of the Department to the Registrar. **(Annexure – K)**
- 19.6 In the case of inability of the Supervisor or Co-Supervisor to conduct the Viva-Voce due to any reason, the Head of the Department shall make arrangements to conduct the Viva-Voce. In such cases, the work shall be deemed to have been carried out under the guidance of the original Supervisor/Co-Supervisor only.
- 19.7 If a candidate, after the submission of the thesis, has gone abroad and is not likely to return in near future and the reports of Examiners on the thesis are unanimous without any major critical comments or corrections, the Viva-Voce shall be conducted via Video-Conferencing, if necessary.

20. RESULT COMMITTEE:

Composition of Result Committee:

Result Committee shall consist of:

- i. Vice Chancellor or his nominee (Chairperson)
- ii. Controller of Examination (Member)
- iii. Dean of Research/Academics (Member)
- iv. Dean(s) of concerned faculty(s) (Member)
- v. Registrar (Convener)

Functions of Result Committee:

- i. To convene a meeting within 03 days after receiving the report of Viva-Voce.



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- ii. To take cognizance of the recommendations of the External Examiner and declare the result accordingly, in anticipation of approval from Academic Council.

21. FEE STRUCTURE:

- 21.1 Fee payable by a candidate admitted to the Ph.D. Programme shall be as prescribed by the University from time to time.
- 21.2 The candidate must ensure timely submission of his/her fee, failing which action may be initiated for the cancellation of his/her admission.
- 21.3 Full fee, as applicable, shall be payable by the candidate for the entire period for which extension is granted.
- 21.4 Fee once paid to the University shall not be refunded except the caution money, which shall be refunded to the candidate within one year from the date of award of the degree or cancellation of admission on any ground, subject to the adjustment of any dues payable by him/her.

22. ADMISSION CANCELLATION:

The admission of a candidate may be cancelled by the RAC in any one of the following eventualities:

- i. If the candidate is absent for a continuous period of three months without prior information/sanction of leave by Supervisor.
- ii. If the candidate fails to renew his/her registration and does not pay the fee in time.
- iii. If two consecutive six monthly progress reports of the candidate are unsatisfactory.
- iv. If the candidate fails to submit the thesis within the maximum stipulated time as provided in this Ordinance.
- v. For any errant behaviour, such as indiscipline, anti-University or anti-National activity, moral turpitude or any behaviour which is unlike that of a student.

Provided further that action of cancellation of admission of a candidate [in the eventualities listed above] may not be taken by the RAC without serving a show cause notice on the erring scholar and without giving him/her an opportunity to reply.

If a student requests through proper channel to cancel his/her admission for any valid reason, the fee will be refunded as per the University norms.



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Before the completion of course work if any vacancy arises due to cancellation of admission that may be filled by the wait listed candidates.

23. DEPOSITORY WITH INFLIBNET/INSTITUTIONAL ELECTRONIC ARCHIVE:

- 23.1 Following the successful completion of the evaluation process and before the announcement of the award of degree, the University shall submit a soft copy of the thesis to the University Grants Commission within a period of thirty days for hosting the same on INFLIBNET/Institutional Electronic Archive, so as to make it accessible to all Institutions/Universities.
- 23.2 The University shall issue a certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC (Minimum Standards and Procedures For the Award of Ph.D. Degree Regulations, 2022). (Annexure – F)

24. MISCELLANEOUS:

- 24.1 Any doubt or dispute about the interpretation of these Ordinances shall be referred to the Vice Chancellor, whose decision, in his capacity as the Chairman, Academic Council, shall be final.

The Vice Chancellor is authorized to:

- modify, amend and/or delete any of the clauses given in the Ordinance or add any clause(s) to this Ordinance, which shall be reported to the Academic Council at its next meeting for approval.
- order a special procedure for the evaluation of a thesis to protect the work of classified nature involving national security and sovereignty and/or to protect the intellectual property rights of the candidate, the Supervisor and the University.
- relax any of the provisions laid in this Ordinance for handling circumstances not covered by this Ordinance.

25. LEAVE RULES:

- 25.1 A scholar shall be eligible to avail leave as per the University rules applicable to students of the University. He/she shall not be entitled for any inter-semester breaks. However, he/she would be entitled for an additional leave of up to 30 days on medical grounds in an academic year. The aforesaid leave provisions are cumulative. However, all such leave would not be reckoned for calculation of minimum requirement of 36 months for submission of thesis and in such a situation, requirement of full 36 months needs to be completed (including course work).
- 25.2 The leave shall be granted by the Head of the Department/Director of the Institute on the recommendation of the Supervisor.

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- 25.3 Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme, or as notified by UGC/State Govt. of Uttar Pradesh. Candidates availing such leaves will be given a relaxation of one year in thesis submission.
- 25.4 In addition to the above, all candidates pursuing Ph.D. are entitled to avail 30 days Duty Leave (DL) annually for attending/participating in conferences/seminars/workshops/training programmes.

26. DATE OF AWARD OF DEGREE:

- 26.1 The date of the award of the Ph.D. degree will be the date of Viva-Voce successfully conducted.
- 26.2 Its intimation shall be duly and immediately forwarded by the Head of the Department, through the Dean, to the Registrar.
- 26.3 Prior to the actual award of the degree, the university shall issue a provisional certificate to the effect that the Degree has been awarded in accordance with the provisions of this Ordinance. (Annexure – L)
- 26.4 There shall be a separate register in the University in which the information about the Ph.D. awarded in different Departments/Institutes is maintained. The record must include the following:
- Name of the Candidate
 - Topic of the Research
 - Name of the Supervisor/s
 - Date of the Registration
 - Enrolment No.
 - Date of Submission
 - Date of Viva-Voce
 - Date of Award of Ph.D.

This information should be uploaded on the University website also.



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ANNEXURE – A

Interview Award List					
Maximum Marks = 30					
(Part A) For JRF and NET/SLET Qualified Candidate (Maximum 8 Marks)	Explanation				Marks given to Candidate
					Marks for JRF and NET/SLET
	Students who qualified JRF shall be given 8 marks				
	NET Qualified students shall be given 3 marks				
(Part B) Academic Record (Maximum 10 Marks)	Explanation				Marks given to candidate
		80% and above	60% to less than 80%	55% (50% in case of SC/ST/OBC NCL/ Differently-Abled/ EWS) to less than 60%	
	PG	04 Marks	03 Marks	02 Marks	
	UG	04 Marks	03 Marks	02 Marks	
	Teaching Experience* (1 mark for one each year) Maximum 2 marks.				
(Part C) Interview Performance (Maximum 12 Marks)	Explanation The marks shall be awarded to the candidate on the basis of performance before the interview board. The interview shall comprise on Research Aptitude and Subject knowledge.				Marks given to Candidate
Total Marks in interview					
Total marks in Interview (Maximum 30 Marks)	Marks in Part A + B + C				

*Teaching experience implies the experience in teaching from government/added colleges and universities by being employed as permanent/regular teachers in the HEIs.

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ANNEXURE – B

CANDIDATE'S DECLARATION

I,....., certify that the work embodied in this Ph.D. thesis entitled is my own bona-fide work carried out by me under the supervision of and the co-supervision of for a period of (months/days) from to.....at Khwaja Moinuddin Chishti Language University.

The content embodied in this Ph.D. thesis has not been submitted for the award of any other degree/diploma.

I declare that I have faithfully acknowledged, given credit to and referred to the research workers wherever their works have been cited in the text and the body of the thesis. I further certify that I have not willfully used any other person's work, paragraph, text, data, results etc. reported in the journals, books, magazines, reports, dissertations, thesis, etc., or available at websites/internet and included them in this Ph.D. thesis and cited that as my own work.

Date:

(Signature of the Candidate)

Place: Lucknow

(Name of the Candidate)

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ANNEXURE – C

CERTIFICATE FROM THE SUPERVISOR/CO-SUPERVISOR

This is to certify that the research work embodied in the thesis entitledby Mr./Ms. was carried out under my/our supervision and that the candidate has worked under me/us for the period required under the Ordinance.

Date:

(Signature of the Supervisor/Co-Supervisor)

Place: Lucknow

[Handwritten signatures in blue ink]



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ANNEXURE – D

**CERTIFICATE FROM THE HEAD OF THE DEPARTMENT/DIRECTOR OF THE
INSTITUTE FOR SUCCESSFUL COMPLETION OF PH.D. COURSE WORK**

This is to certify that Mr./Ms. has successfully completed the
Ph.D. course work on (date of declaration of result) as required under the
Ordinance.

Date:

(Signature of the Head of the Department

Place: Lucknow

/Director of the Institute)



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ANNEXURE – E

PH.D. THESIS EVALUATION REPORT PROFORMA

Note: The report may kindly be sent to the Registrar of the University in a separate sealed cover (not along with the thesis) under Registered Post/Speed Post/Air Mail or on email phdevaluation@kmclu.ac.in

Name of the Candidate :

Title of the Thesis :

Enrolment No. :

Department :

The examiner may make a specific recommendation by placing a tick (✓) against any one of the following:

RECOMMENDATION OF THE EXAMINER

- I recommend that the Ph.D. degree be awarded.
- I recommend that the Ph.D. degree be awarded subject to incorporation of minor suggestions/corrections in consultation with the Supervisor before Viva-Voce.
- I recommend that the thesis be revised and resubmitted for evaluation as per suggestions/observations.
- I recommend that the thesis be rejected for reasons given in the detailed report. (For giving detailed report use the space on the back of this page.)

Note: Strike off which is not applicable. Only one option may be exercised from the above mentioned options.

In case the examiner recommends award of the Ph.D. degree:

- The Examiner is requested to attach a detailed report on the enclosed sheet.
- The Examiner is also requested to indicate in the proforma enclosed, the questions which he/she would like the candidate to answer at the Viva-Voce.

RECOMMENDATIONS FOR PUBLICATION OF THE THESIS

- I recommend for Publication.
- I do not recommend for Publication.

In case the examiner recommends for Publication of the thesis:

He/she may indicate his/her suggestions to revise/improve the thesis for publication. (On a separate sheet)

Name of the Examiner :

Address :

Mobile :

E-mail :

Place :

Date :

Signature of the Examiner (With Date)

Sy-

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SUGGESTIONS FOR MINOR CORRECTIONS

In case the Examiner recommends minor changes to be made in consultation with the Supervisor, he/she may kindly mention the suggested changes. These comments will be conveyed to the candidate to enable him/her to revise his/her thesis. (If the space is not sufficient, please attach extra sheet/s):

Signature of the Examiner (With Date)

SUGGESTIONS FOR REVISION

In case the Examiner recommends revision and resubmission of the thesis, he/she may kindly state the reasons for doing so. These comments will be conveyed to the candidate to enable him/her to revise his/her thesis. (If the space is not sufficient, please attach extra sheet/s):

Signature of the Examiner (With Date)

DETAILED REPORT FOR REJECTION

In case the examiner recommends rejection of the thesis, he/she may kindly state the reasons for doing so in the space provided. (If the space is not sufficient, please attach extra sheet/s):

Signature of the Examiner (With Date)

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DETAILED REPORT

Signature of the Examiner (With Date)

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QUESTIONS FOR THE VIVA-VOCE

Submitted by (Name of the Candidate) :

Department :

Question 1:

Question 2:

Question 3:

Question 4:

Question 5:

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ANNEXURE – F

**CERTIFICATE AS PER THE UGC (MINIMUM STANDARDS AND PROCEDURE
FOR AWARD OF PH.D. DEGREE) REGULATIONS, 2022**

TO WHOMSOEVER IT MAY CONCERN

This is to certify that Mr./Ms. Son/Daughter of
..... was awarded Ph.D. degree in the subject of
..... Enrolment No. by this University
in the year

As per University rules/records, his/her Ph.D. degree fulfills criteria suggested by UGC
Regulations 2022.

REGISTRAR

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ANNEXURE – G

DOCUMENTS TO BE SUBMITTED WITH THESIS

1. Three hard copies of thesis with soft cover and printed on both sides of paper which will include:
 - i. Candidate's Declaration
 - ii. Certificate from Supervisor/Co-Supervisor
 - iii. Certificate from Head of Department/Director of Institute for successful completion of course work
 - iv. Certificate of Plagiarism check
2. Three copies of Abstract.
3. Soft copy of Abstract and Thesis along with the listed documents in CD or Pen Drive.
4. Thesis submission fee receipt in original.
5. Photocopies of fee receipts of every year.
6. No Dues Certificate on prescribed proforma.

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ANNEXURE – H

FORMAT OF THE PH.D. THESIS

The following format may be normally adopted for the Ph.D. Thesis:

1. Cover Page
2. Inner Cover Page
3. Self-Declaration Certificate from the Candidate (Annexure – B)
4. Certificate from the Supervisor/Co-Supervisor (Annexure – C)
5. Certificate of the completion of Course Work/Certificate for exemption from course work.
6. Certificate of Plagiarism Check
7. Acknowledgements
8. Contents/Index
9. List of Symbols, Figures and Tables, if any
10. Chapters
11. References
12. Appendices

Note: References should be arranged chronologically in alphabetical order. Typical style of writing the references is given below:

For single author, Surname, Initials, Title of the Article, Journal Name, Volume, Pages, Year.

For two authors, Surname and Initials of first author, Surname and Initials of second author, Title of the Article, Journal Name, Volume, Pages, Year.

For more than two authors, Surname and Initials of first author, Surname and Initials of second author, Surname and Initials of third author, Title of the Article, Journal Name, Volume, Pages, Year.

While citing the references in the text, the following format should be followed: Surname (Year) or Surname et al. (Year).



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ANNEXURE – I

COPYRIGHT TRANSFER CERTIFICATE

TITLE OF THE THESIS :

CANDIDATE'S NAME :

COPYRIGHT TRANSFER

The undersigned hereby assigns to the Khwaja Moinuddin Chishti Language University, Lucknow all rights under copyright that may exist in and for the above thesis submitted for the award of the Ph.D. Degree.

(Signature of the Candidate)

Note: However, the author may reproduce or authorize others to reproduce material extracted verb at in from the thesis or derivative of the thesis for author's personal use provided that the source and the university's copyright notice are indicated.



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ANNEXURE – J

PRE-SUBMISSION PRESENTATION COMPLETION CERTIFICATE

This is to certify:

- i. That Mr./Ms is a bonafide research scholar of the department of at Khwaja Moinuddin Chishti Language University has satisfactorily completed the Ph.D. course work and has been successful in comprehensive examination.
- ii. That his/her open Ph.D. thesis Pre-Submission Presentation on (topic) was held on (date) in the Department/University.
- iii. That the RAC is satisfied/not satisfied with the quality of the work of candidate.
- iv. That the candidate described the thesis work satisfactorily/unsatisfactorily and answered the questions related with the basic understandings of the subject and thesis work satisfactorily/unsatisfactorily.

(In case of dissatisfaction, the RAC gave following suggestions for the improvement of quality of work/performance of Pre-Submission Presentation.)

Date:

(Signature of Convener of RAC)

Place: Lucknow



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File No.

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ANNEXURE – K
VIVA-VOCE CERTIFICATE

DEGREE OF DOCTOR OF PHILOSOPHY (PH.D.)
EXAMINER'S REPORT ON THE VIVA-VOCE

Title of the Thesis :

Name of the Candidate :

Department :

(Date & Time of the Conducting the Viva-Voce)

Date:

Time:

RECOMMENDATIONS

.....
.....
.....
.....
.....
(I Recommend that the Ph.D. Degree be awarded) {}
(I Recommend that the Ph.D. Degree not be awarded) {}

(Signature of the Examiner)

Counter signed by the
Supervisor

Forwarded by the HoD with seal

Name of the Examiner
Address

Note: The report may kindly be sent to the Registrar through Dean of Faculty concerned duly signed by the Examiner in a sealed cover.



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ANNEXURE – L
PROVISIONAL CERTIFICATE
DOCTOR OF PHILOSOPHY

Serial No.

Enrolment No.

This is to certify that (Name of the Candidate.....) having successfully completed all the requirements in terms of the Ordinance relating to Ph.D. Degree has been declared eligible for the award of the Degree of **Doctor of Philosophy** of the University in the year 0000.

The Title of the Ph.D. thesis:

Date:

REGISTRAR

Place:

This Provisional Degree is valid till the original degree is issued.



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ANNEXURE – M

PH.D. DEGREE

Serial No.

Notification No.

Enrolment No.

Upon the recommendation of the Academic Council hereby confers the Degree of

Doctor of Philosophy

in (Subject Name) on (Name of the Candidate) who has successfully completed in the year 2023 the requirements prescribed under the Ordinance for the award of the Degree.

Title of Thesis:

Given this day under the seal of the University at Lucknow in the Republic of India.

REGISTRAR

VICE CHANCELLOR

Date:

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