

## **RULES FOR DOCTOR OF PHILOSOPHY PROGRAMME 2016**

### **1. Short Title, Application and Commencement:**

- 1.1 These Rules may be called National Law University Rules for Doctor of Philosophy Programme 2016.
- 1.2 These rules will be applicable for all research scholars enrolled from 2016 onwards.

### **2. Eligibility Criteria for admission to PhD programme:**

Persons possessing the following eligibility are eligible to seek admission for the PhD programme:

- 2.1 Master's Degree holders in Law with at least 55% aggregate or equivalent Grade point from Indian Universities or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 2.2 A relaxation of 5% in eligibility criteria will be granted to candidates from SC/ST/OBC (Non-creamy layer)/SAP<sup>1</sup> Categories

### **3. Duration of the PhD Programme:**

- 3.1 PhD Programme shall be for a minimum duration of 3 years, including Course Work and maximum duration of 6 years.
- 3.2 The women candidates and SAP candidates will be allowed a relaxation of two years in the maximum duration. In addition, women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of PhD for up to 240 days.
- 3.3 Extension may be granted to a Research Scholar on the expiry of the total tenure, the procedure for the same being as follows:
  - 3.3.1 Application for extension of tenure will be presented before the Vice Chancellor duly forwarded by the Research Advisory Committee of the candidate and thereupon, the Vice Chancellor may grant extension up to a maximum period of one year.

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<sup>1</sup> SAP- Special Abilities Persons (with more than 40% disability)

#### **4. Procedure for admission:**

- 4.1 The University shall conduct a National Level Entrance Test annually at the beginning of each academic year for enrollment of candidates to the PhD programme. UGC-NET and JRF qualified candidates will be exempted from appearing in the Entrance Test but will have to appear for the Personal Interview.
- 4.2 The dates of the National Level Entrance Test will be notified well in advance on the University's website and advertised in two national and one regional daily newspaper with details of available seats, areas of specialization, criteria for admission, process for admission, examination centres and other relevant information.
- 4.3 The candidates writing the National Level Entrance Test will be tested on Subject Knowledge and Research Methodology in equal proportion.
- 4.4 On securing more than 50% marks in the National Level Entrance Test, the short-listed candidates will be summoned for a Personal Interview where the candidate's research interest/area will be deliberated upon after a presentation made by the candidate dwelling on his/her research interest. A relaxation of 10% will be granted in cut off marks for candidates from SC/ST/OBC (Non-creamy layer)/SAP Categories.
- 4.5 The Personal Interview will be conducted by a panel appointed by the Vice Chancellor.
- 4.6 On completion of Personal Interview, the University will declare the list of successful candidates and instruct for deposit of enrollment fee.
- 4.7 The candidates will deposit their Original Migration certificate and all other relevant documents and fulfill all the criteria specified from time to time for admission to the University.
- 4.8 On payment of enrollment fee, the candidate will be admitted to the PhD program and his/her date of admission will be counted from payment of enrollment fee.

#### **5. Course Work:**

The course work shall be treated as a prerequisite for PhD preparation.

- 5.1 The credit points allocated for Course work will be on a scale of 8 to 16.
- 5.2 The Course Work will have to be completed in the first one year of the Doctoral Programme.
- 5.3 The contents of the Course Work along with pedagogical requirements, assessment systems and evaluation methods will be notified to scholars before the commencement.

- 5.4 Besides Course Work on Research Methodology, other Course Work may be prescribed to the scholars on the recommendations of the Research Advisory Committee.
- 5.5 After completion of all assessments, final grades will be allotted for Course Work. A scholar has to secure minimum 55% or equivalent grade point to be eligible to continue in the PhD programme and submit the thesis.
- 5.6 Only one repeat opportunity will be given for completion of all components of Course Work which will include re-appearing in all components thereof.

**6. Joint Research Board and Research Advisory Committee:**

- 6.1 The Vice Chancellor will constitute a Joint Research Board to look after all the routine research activities of the University and may reconstitute the same from time to time.
- 6.2 The Joint Research Board will meet at least twice a year and once every semester to deliberate upon PhD related matters inclusive of but not limited to appointment of Supervisors, Synopsis Presentation, Pre-Submission Presentation, approval of Panel for evaluation of thesis and other research related matters.
- 6.3 There shall be a Research Advisory Committee for each research scholar constituted by the Vice Chancellor. The Research Supervisor of the scholar concerned shall be the Convener of the Committee and there shall be at least two more members. The Committee shall have the following responsibilities:
- 6.3.1 To review the research proposal and finalize the topic of research
- 6.3.2 To guide the research scholar to develop the study design and methodology of research and identify the components of Course Work
- 6.3.3 To periodically review and assist in the progress of the research work of the research scholar
- 6.3.4 To periodically review the progress of the candidate every semester by way of presentation and endorse the progress report before submission to the Students' Section repository and individual file concerned
- 6.3.5 In case the progress report is not satisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the scholar fails to implement the corrective measures recommended by Research Advisory Committee, the said Committee may recommend to the University for the Cancellation of the registration of the scholar specifying the reasons.

## **7. Allocation of Research Supervisor**

After successful completion of Course Work, the University will undertake the appointment of Research Supervisor to proceed with Research work

7.1 The Professors, Associate Professors and Assistant Professors of the University, possessing notable research and publication experience and PhD degree holders, will act as Research Supervisors for Doctoral Scholars.

7.2 Only full time and regular Faculty of the University will act as Research Supervisors. However, Co-Supervisors from other Faculty/ external institutions may be appointed for inter-disciplinary areas of research. There shall be no provision of Joint Supervisors.

7.3 The Research Supervisors will be appointed by the Vice Chancellor.

7.4 On the occurrence of any contingency, including but not limited to the resignation of the Research Supervisor or his/her removal from the University, the Vice Chancellor shall appoint a new Research Supervisor/ Co-Supervisor to insure that the research work does not suffer any setback.

7.5 A University Professor may not guide more than 8 Doctoral scholars at a time. Similarly, an Associate Professor may take up not more than 6 Doctoral scholars and an Assistant Professor will supervise not more than 4 Doctoral scholars.

7.6 In case of relocation of a female research scholar after marriage, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to any project secured by the parent institution/ Research Supervisor from any external funding agency. However, the scholar will give due credit to the Research Supervisor and the parent University for the part of research already done.

## **8. Synopsis Presentation and Approval**

8.1 The Doctoral scholar, guided by the Research Supervisor, will work towards completion of Research Synopsis.

8.2 The Research Synopsis will briefly outline all the details of the proposed research work including detailed title, theme, methodology, techniques, proposed chapterisation and proposed time frame for completion.

8.3 The Research Synopsis will be presented before the Joint Research Board which will then suggest amendments, updations and mark the Synopsis as Approved/Rejected or call for Re-Submission.

8.4 Upon Rejection, the Doctoral Scholar will prepare a synopsis afresh, guided by the Research Supervisor.

8.5 Upon call for Re-Submission, the Research Scholar will present an amended Synopsis before the Joint Research Board.

8.6 No Research Scholar will be permitted to Re-Submit the synopsis more than twice. On Rejection or Re-submission being the mandate of the Joint Research Board in the third instance, the registration and enrollment of the doctoral scholar will automatically lapse.

8.7 The Research Synopsis should be presented and approved within two years of enrollment.

## **9. Requirements during Research Tenure**

After successful completion of Course Work and approval of Research Synopsis, the Doctoral scholar will work towards completion of Research work and finalization of thesis.

9.1 The Doctoral scholar must give timely presentation of Progress Reports before the Research Advisory Committee as specified in Clause 6.3.4 and 6.3.5

9.2 Prior to submission of Doctoral thesis, the Research Scholar will give a Pre-Submission Presentation before the Joint Research Board. The feedback and comments obtained during the said presentation may be suitable incorporated in the final thesis in consultation with the Research Supervisor.

9.3 Doctoral scholars must publish at least 1 research paper in a refereed journal and make two paper presentations in national/international seminars/ conferences before the submission of the Doctoral thesis for evaluation and produce evidence for the same in the form of presentation certificates/reprints/ acceptance letter from publisher.

9.4 Doctoral Scholars will submit 6 copies of Abstract, 6 copies of Doctoral thesis, a softcopy of the thesis in the form of a CD and an Undertaking attesting to the originality of the research work, to office of Controller of Examination for evaluation work.

9.5 The Supervisor shall forward the final thesis of the Doctoral scholar with the following certificate-

*(a) That the research work has not been carried out earlier in its present shape*

*(b) That the research work is original based on doctrinal/ empirical/ factual/ experimental/ survey/ study or an analysis/ evaluation of existing facts or principles.*

*(c) That the work is original and that there has been no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the University or any other Institution.*

## **10. Evaluation of Doctoral Work**

10.1 On successful completion of research work, the Research Supervisor of the Doctoral scholar shall forward a list of 8 experts, comprising mostly of Professors from Institutions of National importance, some of whom may be based in foreign institutions and none of whom should be from within the University, to the Chairman of the Joint Research Board for needful action. The list of experts should have at least 4 names from outside the State.

10.2 The Joint Research Board may accept or reject the proposed panel. On rejection, the Research Supervisor will provide an amended/ updated panel for the consideration of the Joint Research Board.

10.3 The Joint Research Board shall forward the approved panel to Controller of Examination for needful action.

10.4 The Controller of Examination shall present the Research abstract and expert panel before the Vice Chancellor who shall then appoint two external examiners, one of whom may be from outside the country, to initiate the process of Doctoral thesis evaluation.

10.5 The evaluation work will be conducted under the supervision of the Controller of Examination.

10.6 Steps may be undertaken by the Controller of Examination to seek appointment of new examiners in case of non-availability of/ delay by original examiners. The Vice Chancellor may also seek appointment of a fresh panel upon exhaustion of original panel.

10.7 The Doctoral thesis submitted by the Research Scholar will be evaluated by at least two external examiners, who are not in the employment of the University. The thesis defense, based on positive reports by all the examiners, will be conducted by the Research Supervisor as the internal examiner and at least one of two external examiners, and shall be open to attendance by other faculty members, research scholars and interested experts/ researchers. The panel of examiners so constituted will be called Board of Examiners.

10.8 The examiners evaluating the Doctoral thesis shall express their categorical opinion on the following points:

*(a) That the thesis is an original piece of research work and contributes to existing knowledge either from the point of the discovery of new facts or interpretation of existing facts or both;*

*(b) That the research scholar has given proof of consistent thinking and of critical approach to the problem enunciated by him/her*

*(c) That the thesis is satisfactory so far as its literary presentation is concerned.*

10.9 The examiners shall make a clear recommendation that:

*(a) The thesis be accepted for the award of PhD degree; or*

*(b) The thesis be rejected; or*

*(c) The research scholar be allowed to present his/her thesis in a revised form*

10.10 The examiners shall send the report to the University in the prescribed University proforma together with additional observations and a detailed report. When all the reports have been received, they shall be placed before the Vice Chancellor for further directions based on the recommendations of the examiners.

10.10.1 If all the examiners recommend the award of degree, the Vice Chancellor will order for the arrangement of thesis defense.

10.10.2 If all the examiners recommend a rejection of the thesis, the Vice Chancellor shall order for the rejection of the thesis. Subsequently, the enrollment of the research scholar shall automatically lapse.

10.10.3 If one external examiner recommends the award of degree and another external examiner seeks Re-Submission of thesis, then the thesis will be re-submitted after providing the Doctoral Scholar with the details of the amendments as sought by the Examiner, after concealing the examiner's identity.

10.10.3.1 The Doctoral scholar will re-submit the Doctoral thesis in a time span of not less than six months and not more than two years.

10.10.3.2 The re-submitted Doctoral thesis will then go to the examiner who sought re-submission, for evaluation and upon receipt of recommendation for award of degree; the thesis defense will be organized. In case of any of the examiners expressing his/her inability to evaluate the Re-Submitted thesis, the thesis will then go to a new examiner.

10.10.3.3 On receipt of a non-satisfactory report from the examiner upon Re-Submission, the Vice Chancellor shall order for the appointment of a third examiner. The recommendation of the third examiner will be final.

10.10.4 If both the external examiners seek Re-Submission of thesis, the thesis will be Re-Submitted after providing the Doctoral scholar with the details of the amendments as sought by the Examiners.

The methodology for Re-Submission will remain as specified in Clause 10.10.3.1, 10.10.3.2 and 10.10.3.3

10.10.5 If the report of one external examiner recommends the award of degree, and another rejects the thesis, the University shall send the thesis to another external examiner (third examiner) out of the approved panel of examiners and the thesis defense shall be held only if the report of the latest examiner recommends the award of degree. The third examiner so appointed shall be informed of the recommendations of the other two examiners without disclosing the names of the examiners. If the report of the third examiner also recommends rejection of the thesis, the thesis shall be rejected and the Vice Chancellor shall order for the rejection of the thesis. Subsequently, the enrollment of the research scholar shall automatically lapse.

10.10.6 If the report of one external examiner rejects the thesis, and another seeks Re-Submission of thesis, the University shall direct the research scholar to Re-Submit the thesis after providing the Doctoral Scholar with the details of the amendments as sought by one Examiner, after concealing the examiner's identity.

The re-submitted thesis will then be sent to another external examiner (third examiner) out of the approved panel of examiners and the thesis defense shall be held only if the report of the latest examiner recommends the award of degree. The third examiner so appointed shall be informed of the recommendations of the other two examiners without disclosing the names of the examiners. If the report of the third examiner also recommends rejection of the thesis, the thesis shall be rejected and the Vice Chancellor shall order for the rejection of the thesis. Subsequently, the enrollment of the research scholar shall automatically lapse.

10.11 The University shall also evaluate the softcopy of the thesis on anti-plagiarism software before sending the thesis for external evaluation. The originality report thus generated will be attached to the Doctoral scholar's file. The thesis may be rejected on account of similarity of more than 20%

10.12 No research scholar shall be allowed to resubmit the thesis more than once.

10.13 The Board of Examiners at the time of thesis defense, if satisfied with the performance of research scholar, shall recommend the award of the degree of PhD to the research scholar.

10.14 If the research scholar's performance is judged to be unsatisfactory by the Board of Examiners, it may give the research scholar two more chances for thesis defense after a gap of six months each.

## **11. Successful Completion of Doctoral Work**



11.1 On successful completion of the evaluation process, the examiners' reports and the thesis defense reports shall be placed before the Joint Research Board for consideration. The recommendation of the Joint Research Board will be placed before the Vice Chancellor for consideration who shall then pass orders for granting of provisional degree, subject to the approval of Academic Council, Executive Council and General Council, whose decision shall be final for the award of degree.

11.2 Following the successful completion of the evaluation process and before the announcement of the award of PhD degree, the University shall submit an electronic copy of the Doctoral thesis to INFLIBNET for hosting the same so as to make it accessible to all other Institutions.

11.3 The Provisional Certificate issued to the Doctoral scholar shall include the provision that the Degree has been awarded in accordance with the provisions of UGC PhD Regulations, 2016.

## **12. Residential Requirement:**

12.1 Every research scholar shall pursue coursework and full-time research for not less than two calendar years from the date of registration. Employed students must obtain study leave for a period of two years to fulfill the residential requirement of the University. The clause shall be relaxable for faculty members provided their work in the University is related to their proposed research work.

## **13. Other requirements**

13.1 The University shall maintain, on its website, an updated list of active doctoral scholars including details of enrollment, name of Research Supervisor, area of research etc. on an year wise basis.

## **14. Fee and Remuneration**

14.1 The fee structure for the PhD programme will be as follows:

(a) Entrance Examination fee	Rs. 2500
(b) Admission fee at the time of provisional admission	Rs. 5000
(c) Semester Fee*	Rs. 25000
(d) Examination Fee	Rs. 50000

\* The semester fee will be charged for the entire period of enrollment of the research scholar i.e. upto the date of submission of thesis.

\*\* Hostel charges, Internet charges, caution money and other charges, if any, will be charges as per University rules.

\*\*\* The Vice Chancellor may waive up to 50% of the Semester fee for the Research scholars who are participating in the teaching programmes/ administration of the University

\*\*\*\* There shall be a 10% waiver for women/ SC/ST/OBC (non creamy layer) and SAP research scholars for all the above mentioned categories

14.2 The remuneration for thesis evaluation and conducting thesis defense shall be as follows-

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|-----------------------------------|----------|
| (a) For thesis evaluation         | Rs. 2500 |
| (b) For conducting thesis defense | Rs. 2500 |

## **15. Saving Clause**

15.1 PhD through Distance Mode will not be allowed

15.2 Notwithstanding anything contained in these regulations, the decision of the Vice Chancellor shall be final on any matter not specified above but related to administration of the PhD programme.