

# NATIONAL LAW UNIVERSITY AND JUDICIAL ACADEMY, ASSAM

## REGULATIONS RELATING TO Ph.D. (DOCTOR OF PHILOSOPHY) PROGRAMME

*To regulate admission process, course work, allotment of supervisors, evaluation of thesis, award of degree and other related matters related to the Ph.D. Programme in concurrence with the UGC (Minimum Standards and Procedure for Awards of M.Phil. / Ph.D. Degree) Regulations, 2009 with such amendments as made by the UGC from time to time.*

### CHAPTER-I

#### 1.1 Name of the Regulations

- (a) These Regulations may be called ‘**National Law University and Judicial Academy, Assam Regulations Relating to Ph.D. (Doctor of Philosophy) Programme**’
- (b) The Regulations shall come into force with immediate effect once notified under the authority of the Executive Council. These Regulations shall supersede all the existing Regulations on the concerned subjects.

#### 1.2 Definitions

- (a) “**Research**” means systematic study or investigation in order to discover new knowledge in the form of facts/patterns or new interpretation of ideas.
- (b) “**Doctor of Philosophy (Ph. D.)**” signifies that the awardees of the degree have completed successfully the stipulated course syllabi and undertaken a substantial piece of original research, which has been conducted and reported by the holder under proper academic supervision, and in a research environment for a prescribed period.
- (c) “**Research Student**” means a student who is admitted to Ph. D. program of National Law University and Judicial Academy, Assam through the procedures adopted by same.
- (d) “**Supervisor**” means a member of the faculty of National Law University and Judicial Academy, Assam who supervises the research work carried out by the student/candidate for Ph. D. “**Co-supervisor**” means a person who may or may not be a member of the faculty of National Law University and Judicial Academy, Assam, but one who is recognized by the University to supervise the research work of a student jointly with a Supervisor.
- (e) “**Research Committee**” is the apex body that administers the research programs of the University.
  - I. The Vice-Chancellor shall constitute a Research Committee consisting of all the Professors, three Associate Professors of the University and three external experts

to supervise Doctoral Degree Programme.

- II. The nomination of external experts shall be for one year and the nomination of Associate Professors shall also be for one year but on rotation basis amongst all the Associate Professors of the University.
- III. The Vice-Chancellor shall be the Chairperson of the Research Committee, however in the absence of the Vice-Chancellor, one Professor of the University nominated by the Vice-Chancellor shall be the Chairperson of the Research Committee.
- IV. One-third members of the Research Committee shall form the quorum at the meeting.

**(f) “Board of Examiners of Thesis (BET)”** for examination of a thesis shall consist of internal examiner(s) (normally all the supervisors) and two external examiners. The external examiners shall be chosen by the chairperson of the Academic Council (AC) from a panel of five members proposed and recommended by the Supervisor through the Dean of the Department/ Chief Coordinator (Academic). The supervisor(s) shall propose the panel of examiners at the time of submission of synopsis of the thesis.

**(g) “Oral Defense Evaluation Committee (ODEC)** of a research student shall evaluate the performance on the Viva-voce examination or oral defense of the research work carried out by him/her. The committee shall consist of the internal examiner(s) and one of the external examiners of BET selected by the Chairperson of AC .If none of the external examiner(s) of BET is available for evaluation of oral defense, an alternative examiner shall be selected by the chairperson of the AC, preferably from the panel of examiners submitted by the supervisor(s).

### **1.3 Ordinances**

- a) **National Law University and Judicial Academy, Assam** shall award the degree of Doctor of Philosophy (Ph. D.) to a candidate who has successfully completed the required course work and the stipulated program of research in the University.
- b) The Academic Council (AC) of the University formulates the program of research with the governing rules and regulations. The AC can modify or change the structure, the governing rules and regulations from time to time.
- c) A candidate to be awarded the Ph.D. degree has to submit a thesis embodying the findings of his/her research carried out under this program .The thesis should be a record of an original contribution of high quality to the advancement of knowledge as judged by experts in the relevant area.
- d) A candidate shall become eligible for the award of Ph. D degree after fulfilling the academic requirements prescribed in the Ph.D. Regulations of this University.
- e) The Executive Council and General Council of the University shall approve the award upon the recommendation of the Executive Council and the Academic Council.

- f) In the case of any controversy in the BET or ODEC report, the decision of the AC shall be final and binding.
- g) The Ph.D. degree shall be awarded in the discipline of the department in which the student registers for Ph.D. program.

## CHAPTER-II

### 2.1 Eligibility for Admission

- (a) To be admitted to the candidature for a Ph.D. Degree Programme an applicant shall have :

- (i) Obtained a Master's Degree in Law from any recognized University securing not less than 55% marks or its equivalent CGPA.

or

- (ii) Obtained a Master's Degree in any discipline from a recognized University with not less than 55% marks or its equivalent CGPA.

*Provided* that candidates with qualifications in Social Sciences, Humanities And Sciences may be admitted to the programme if the research they wish to pursue interfaces with the discipline of Law with a special focus on Public Policy Or Law.

Or

- (iii) Officiated as District and Session Judge or equivalent with five (5) years of experience.

- (iv) Officiated as Judge of any High Court in India with two (2) years' experience or Judge of the Supreme Court of India.

- (v) Passed the Company Secretary Examination conducted by the Institute of Company Secretaries of India and awarded the Associate Membership of the Institute (ACS) shall be eligible for admission to the programme if the research they wish to pursue interfaces with the discipline of law with a special focus on public policy or law.

or

- (vi) Passed the final examination of the Institute of Chartered Accountants of India, New Delhi.

- (vii) The University shall update the prerequisite qualifications (Pre-requisite/Qualification for Ph.D. admission) from time to time. Prior to the advertisement for Ph. D. admission, if needed, the concerned department shall review the Prerequisites/Qualifications and present in the Admission Brochure.

*Provided* that the candidates whose final result of the qualifying examination is awaited for any reason shall be allowed to appear provisionally in the admission test. Such candidates shall have to produce the final result of the qualifying examination at the time of the final presentation of their Ph.D. proposals.

*Provided further* that the requirement of 55% marks or its equivalent at Master's Degree is relaxed to 50% marks or its equivalent in case of candidates belonging to SC / ST and Differently Abled Persons (DAP).

- (b) The Vice-Chancellor may permit a member of the National Law University and Judicial Academy, Assam faculty to take up Ph.D. Degree Programme along with his / her teaching assignment on the condition that his / her teaching and other responsibilities are not hampered in any way provided. Provided further that, such candidates fulfill the conditions prescribed in the Ph.D. Regulations.

## **2.2 Notification for Ph.D. admission**

The Controller of Examinations (CoE)/ Registrar, through advertisements placed in newspapers and through the University website, shall make notification for admission to Ph. D. program annually, subject to availability of vacancies.

## **2.3 Procedure for Admission**

- (a) All the candidates shall appear for admission test except those candidates who have qualified UGC NET / JRF, SLET / M.Phil. and Judge [as referred in Regulation 2.1 (a)(iii)] as per these Regulations.
- (b) All the candidates who have cleared the admission test as well as those who were exempted from appearing for it are required to attend an interview before the Research Committee.
- (c) All the candidates who have cleared the admission test as well as those who were exempted from appearing for it are required to submit a preliminary proposal of 1000 words indicating the hypothesis, the statement of problem, research outlines, set of research questions, proposed research methodology and survey of literature. The short-listed candidates shall be called for interview by the Research Committee.
- (d) All research proposals including the preliminary proposals shall be screened through the anti-plagiarism software. If the percentage of plagiarism for any proposal exceeds 15% or more of the total work, or 10% or more of total work from a single source then the candidates shall not be called for the interview.
- (e) Candidates who have cleared the admission test and the interview shall be provisionally admitted for Ph.D. and are required to attend a course work programme

conducted by the University.

- (f) After successful completion of the course work programme, the candidates shall submit their research proposal.
- (g) The research proposals shall be evaluated by all members of the Research Committee and based on the evaluation, research proposals shall be short-listed.
- (h) Candidates whose proposals are short-listed for approval shall be required to present their research proposals to the Research Committee. Subsequent to this presentation, the Committee shall recommend to either register the proposal or seek its re-submission in accordance with suggested modifications.
- (i) Candidates who have cleared the admission test and the interview *on pre-proposal* and also completed the research methodology course shall be given two opportunities to re-submit their proposal on the basis of the recommendation of the Research Committee.
- (j) Research Scholars shall submit the title of the thesis along with the research proposals for approval through the Supervisor / Supervisors to the Research Committee. The title approved by the Research Committee shall not be substantially altered except with the permission of the Research Committee.
- (k) Once a candidate clears the admission test, successfully gives the Interview, completes course work programme and makes final Presentation before the Research Committee, he / she shall be allowed to take admission into Ph.D. Degree Programme and period of his / her registration for Ph.D. shall be counted thereafter.

### **2.3 Syllabus for Admission Test**

- (a) The admission test shall comprise of 25 (Twenty Five) questions of one mark each (Multiple Choice Questions (MCQ) and 5 (Five) short descriptive questions to be attempted out of 10 (Ten) questions of 5 (Five) marks each. There shall be two compulsory questions of 25 (Twenty Five) marks each wherein the candidate shall write an Essay on any topic of his / her area of interest in about maximum 1000 (one thousand) words. The Examination shall be of two hours duration. The qualifying marks of the admission test shall be of 55% for the General Category and 50% for the other categories, i.e., SC / ST and Differently Abled Persons.
- (b) The question paper shall consist of legal and logical reasoning for multiple choice questions whereas the short descriptive questions and essay type questions shall be from Contract Law, Jurisprudence, Personal Laws, Constitutional Law, International Law, Criminal Law, Human Rights Law, Environmental Law, Corporate Law and Intellectual Property Law.
- (c) Special care shall be taken for the candidates of social sciences and humanities. If the research they wish to pursue interfaces with the discipline of law with a special focus on public policy or law, the question paper shall be prepared accordingly.

## CHAPTER-III

### 3.1 Categories of Enrolment

#### (a) Full-time Enrolment

- (i) Enrolment for the Ph.D. Degree Programme shall ordinarily be full-time. The candidate shall put in a minimum of two-years residence of which at least 18 months shall be in the University. There shall thus be provision for the candidate to earn credits for research work done outside the University.
- (ii) Three years shall be the maximum period in which a full time candidate shall complete the work and submit it for evaluation.

#### (b) Part-time Enrolment

There shall be provision for part-time enrolment for the Ph.D. Degree Programme.

- (i) A part-time candidate shall put in a minimum of three years of part-time study in the University including time spent for research at any other place with the permission of the Supervisor.

*Provided* that the part-time candidate shall put in residence in the University for at least a total period of six months spread over the three year period.

- (ii) Five years shall be the maximum period in which the part-time candidate shall complete the research work and submit it for evaluation.
- (iii) Conversion either from part-time to full-time or from full-time to part-time may be permitted only with the approval of the Research Committee.
- (iv) In cases of both part-time and full-time enrolment the Supervisor of the candidate shall ensure monitoring of the research work done by the scholars outside the University campus by insisting on production of adequate proof of work done.
- (v) A candidate who has been enrolled in any other National Law Universities may be enrolled at National Law University and Judicial Academy, Assam with the approval of the Research Committee when the Supervisor of such a candidate joins National Law University and Judicial Academy, Assam.

*Provided* the University where the candidate was earlier enrolled consents to the same. The Supervisor has to give a detailed Report as to the course work done, fulfillment of residential requirement and the progress of research work to the Research Committee before such an application is considered by the

same. Similarly, National Law University and Judicial Academy, Assam would permit transfer of a candidate enrolled with it when the Supervisor allotted to him / her joins some other National Law University with the consent of such University.

- (vi) Employed Part Time candidates shall submit a No Objection Certificate from their employers stating that the candidates shall be allowed to get themselves admitted to the Ph. D. program, if selected. Such candidates shall complete their course work and submit the Plan of Research (PoR) by third semester after obtaining necessary leave from their employers.
- (vii) Project Fellows working on different research projects at National Law University and Judicial Academy, Assam may be admitted to the Ph. D. program provided they satisfy the eligibility criteria, subject to the consent of the Principal Investigator of the project. Project fellows shall submit their applications accompanied by no objection certificate from the Principal Investigator.
- (viii) Recognized organizations, institutions, corporates may sponsor students/candidates from India and abroad. They shall be admitted provided they satisfy the requisite qualification and they shall not be entitled to any fellowship/assistantship from the University. They shall work full time for the Ph. D. course work. Sponsored candidates shall submit a sponsorship certificate from their employers in proper format

**(c) Expiry / Lapse of Enrolment**

Enrolment for the Ph.D. Degree Programme shall be deemed to have lapsed after three years from the date of enrolment in the case of full-time scholars and five years in the case of part-time scholars.

**(d) Extension of Time**

- (i) The Research Committee, on the application by the concerned scholar along with the report of the Supervisor, may give extension of time for a period of six months at a time but for a maximum period of one year.
- (ii) Beyond one year, the Executive Council on the recommendation of the Academic Council may give extension for one more year, on the application of the Scholar along with the recommendation of the Supervisor and the Research Committee.

The registration of a candidate shall stand cancelled in case of failure of submission of thesis within the prescribed period including the extended period. Such candidates shall be allowed to register as a fresh candidate for continuation of his/her research. He/ She shall be treated as fresh candidate; however, the maximum period for submission of the thesis shall be four semesters.

## 3.2 Supervisors

### (a) Allotment of Supervisors

- i. The Research Committee shall appoint one or more faculty member(s) to supervise the Ph.D. scholars.
- ii. If the area of study so requires, an External Supervisor possessing expertise and experience in the area of study may be appointed, in addition to at least one Internal Supervisor who shall be a full time faculty member.
- iii. The Research Committee shall ensure that Supervisor(s) be competent to supervise the scholar and that they be available for supervision for the expected duration of the scholar's period of study.
- iv. The maximum limit for supervising Ph. D. students as Supervisors/Co-Supervisors at a time shall be as follows:
  - **Professor:** 8 (both as Supervisor and Co-supervisor), 4 as Co-supervisor in other Government and other Universities/Institutes recognized by University Grants Commission (UGC) and similar other Regulatory Authorities of India or reputed foreign University/Institute.
  - **Associate Professor:** 6 (both as Supervisor and Co-supervisor), 2 as Co-supervisor in other Govt. and Universities/Institutes recognized by UGC and similar other Regulatory Authorities of India or reputed foreign University/Institute.
  - **Assistant Professor:** 4 (both as Supervisor and Co-supervisor)
  - However, before deciding the number of students for each category of faculty, the Research Committee shall take into consideration the availability of infrastructure and the teaching commitments of the supervisor.

### (b) Recognition of Supervisor

- i. Only a full time / permanent faculty who holds Ph.D. Degree can be a Supervisor for a Ph.D. scholar provided that she / he has completed at least three years teaching experience and has published at least two (02) quality research articles in peer reviewed journals after obtaining Ph.D. degree from any one of the Indian or foreign universities. Further, a full time / permanent faculty who holds Ph.D. Degree can be a Supervisor for a Ph.D. scholar if she/he has at least three years of post-doctoral research experience and has

published at least two (02) quality research articles in peer reviewed journals after obtaining Ph.D. degree from any one of the Indian or foreign universities

- ii. Faculty members who acquire Ph. D. degree and other requisite qualifications subsequent to their appointment in the University shall express their willingness to supervise research by writing to the Chairperson of the Research Committee
- iii. No faculty member shall be recognized as Supervisor/Co-supervisor during his/her probation period. Also, no Guest Faculty, Visiting Professor and Contractual Faculty shall be appointed as Supervisor/Co-supervisor. Visiting Professor of longer duration may be permitted to guide the Ph.D. students as Co-supervisor with approval of Academic Council.
- iv. If a Supervisor leaves the University, the Ph. D. student registered under her/him faces various difficulties, particularly when the student is on the verge of submission of her/his thesis. In such a case, on written request of the concerned student with consent of the Supervisor and submitted to the Chairman - Research Committee, one permanent faculty member of the university shall be appointed as the Officiating Supervisor for time-bound academic and administrative purposes. The name of the Officiating Supervisor shall not be incorporated in the thesis. However, his/her contribution shall be duly acknowledged.
- v. If a supervisor leaves the University permanently or temporarily or retires from service she/he shall continue to supervise the student(s) till she/he/they complete the work. However, the student(s) can apply to the Research Committee for a Co-supervisor with the consent of the Supervisor.
- vi. In very exceptional cases, an eminent scholar with significant contribution in his/her area of specialization/expertise and having experience of teaching and research totaling ten (10) years or more but without a Ph. D. degree may be recognized as Co-supervisor.
- vii. Under no circumstances shall a Ph. D. student have more than two supervisors including a Co-supervisor.
- viii. In case the Supervisor or the Co-supervisor is not in a position to continue supervision due to prolonged illness or other problems (in such a case she/he shall communicate her/his inability to the Research Committee) or for factors beyond his/her control, the Research Committee may appoint a new Supervisor or a Co-supervisor on receiving an application from the student concerned. In the case of change of Co-supervisor the application shall be endorsed by the Supervisor.
- ix. Those faculty members of the University who have been recognized as

Supervisors shall not take new Ph. D students to supervise three years prior to their retirement.

**(c) Change of Supervisor**

The Research Committee may consider the request of the scholar for change of the Supervisor. However, the request should be made at least six months prior to the date of submission of the thesis. This limitation shall not be applicable in the event of death of the Supervisor or the Supervisor being incapacitated to continue supervision on health grounds or shifting to a distant place / institution.

**CHAPTER-IV**

**4.1 Ph.D. Course Work**

The scholars should undertake course work for a minimum period of one semester on the following (12 credits):

- i. A paper on Research Methodology including computer applications;
- ii. A paper focusing on the selected research area;
- iii. A paper on the philosophical foundation of the concerned subject;

**NOTE**

*The scholars possessing M.Phil. Degree may be exempted from taking the Research Methodology paper in the course work provided they have completed such course earlier;*

*The scholars shall secure at least 50% of marks in each paper;*

*The course work shall be completed within six months from the date of admission;*

*Scholars failing to secure 50% of marks in the courses mentioned above may be provided an opportunity to re-appear one or more time(s) within three months of the publication of results; and*

*The scholar shall be allowed to continue further research work only after completing the course work.*

## 4.2 Registration in the Ph.D Programme

- i. The student shall submit a Progress Report (PoR) to the RC through his/ her supervisor in the subsequent semester after completion of the course work. The Chairperson, RC shall arrange for a seminar for presentation of the Progress Report by the scholar.
- ii. The Progress Report (PoR) shall indicate the area/issues/problems to be taken up, refer to previous research/literature on the same/similar/related areas/issues/problems, mention methodology/ field works/approaches to be adopted, expected outcome and relevance/ significance of the research.
- iii. The RC shall assess the feasibility of the PoR and the capability/preparedness of the student for carrying out the research and recommend one of the following:
  - *in view of the suitability/feasibility of the PoR and the capability/preparedness of the student he/she may be allowed to go ahead with research work;*
  - *the student shall be asked to revise his/her PoR incorporating the suggestions made and resubmit within a period of one month.*

The RC shall approve and forward the Progress Report to the CoE for notification.

## 4.3 Monitoring of Research Progress

- i. A scholar shall pursue the programme of study and research as approved by the Supervisor(s). Such programme shall include the presentation of a thesis embodying the results of the scholar's research work.
- ii. All scholars registered for Ph.D. Degree Programme shall submit the interim report every six months duly certified by the Supervisor. If they fail to submit two interim reports their candidature will automatically stand cancelled. The progress reports may be presented in a seminar organized under the mentorship of Chairperson, Research Committee.
- iii. At least once a year, or at any other time considered desirable, the Supervisor shall present to the Research Committee a report on the work of the scholars working under his / her supervision.

#### 4.4 Period of Candidature

The period of candidature (from the date of Admission) of Ph. D student shall be as follows:

Category	Minimum period for submission	Maximum period of submission
Full time	six semesters	eight semesters (extension 2 semesters)
Full time (with M. Phil) and University Faculty/Staff	four semesters	eight semesters (extension 2 semesters)
Others	eight semesters	ten semesters (extension 2 semesters)

- i. A student may apply for extension maximum for two semesters with semester-wise admission for submission of the thesis to the Chairperson, RC during the eighth semester in case of a full-time student and the tenth semester in the case of a part time student. The RC may approve the request and recommend the needful action to be initiated by the Registrar/CoE.
- ii. The registration of a candidate shall stand cancelled in case of failure of submission of thesis within the prescribed period including the extended period. Such candidates shall be allowed to register as a fresh candidate for continuation of his/her research. He/ She shall be treated as fresh candidate however; the minimum period for submission of the thesis shall be four semesters.

#### 4.5 Change of Category of Candidature

- i. A PhD student shall be allowed to change his/her category from full time to part time or vice-versa only once during the tenure of the PhD program on the following valid reasons:
  - Employment
  - Medical grounds
  - Valid personal grounds
- ii. After completion of the course work, student may apply for change of category from full time to part time or vice versa through DRC in the prescribed format (Form X) along with valid documents such as appointment letter/NOC from the employer/medical certificate/documents endorsing valid personal grounds etc. However, part time Ph. D students in 9<sup>th</sup>/10<sup>th</sup> semester are not eligible to change their category of research to full time.

#### **4.6 Change of Area of Research**

The change in the topic or area of research may be allowed by the Research Committee on the request of the scholar through his /her Supervisor. However, such change is only permissible once during the entire period of registration. The candidate shall pay the prescribed fee for the change of the topic.

#### **4.7 Termination of Candidature**

- i. If in the opinion of the Research Committee a scholar's work is not satisfactory, the Committee shall ask the scholar to show cause as to why his / her candidature should not be terminated.
- ii. The response of the concerned scholar to the show cause notice shall be considered by the Research Committee which may thereon recommend to the Vice-Chancellor that the scholar be allowed to continue with his / her research or that his / her candidature be terminated.
- iii. After consideration of the recommendations of the Committee, the Vice-Chancellor may either permit the scholar to continue with his / her research or terminate the candidature or permit the candidate to re-enroll specifying conditions for such re- enrolment.
- iv. If the scholar does not respond to the show cause notice, then on the recommendations of the Research Committee, the Vice-Chancellor shall terminate candidature of the concerned scholar and the Registrar shall officially inform the scholar of such termination.
- v. A scholar whose candidature is terminated under these Regulations may prefer an appeal to the Academic Council. Such an appeal should be submitted in writing within 60 days from the date of the receipt of the order.
- vi. The Academic Council on proper examination of the case may either uphold the Research Committee's decision or may reverse such decision or may take any other appropriate decision in this regard.

#### **4.8 Pre-submission Presentation**

- i. At least three months prior to the submission of the thesis the student shall submit an abstract in the prescribed format (Form IX) in not more than 1,500 words in hard copy (triplicate) and soft copy (rewritable CD) to the Registrar/Controller of Examination through the Supervisor (and Co-supervisor, if needed) and appear for a pre-submission seminar before the RC on the research carried out by him/her which would be open to all the faculty members and research scholars for suggestions. The suggestions received may be suitably incorporated into the draft thesis on the advice of the Supervisor. The student shall submit the abstract through the RC to the

Registrar/Controller of Examination for necessary action.

- ii. A student shall review and finalize the title of his/her thesis at the time of presentation of pre-submission seminar and get it approved by the RC.

#### **4.9 Publication of Research Paper**

A Ph.D. scholar shall publish two research papers in a refereed journal (University may notify the names of journals in which scholar would be required to publish their paper) or UGC listed journal before the submission of the thesis and produce evidence for the same in the form of acceptance letter or the reprint.

#### **4.10 Submission of Thesis**

- a) The thesis shall be in English and shall be the result of scholar's own work attaining a satisfactory standard of literary presentation.
- b) Before a scholar submits his / her thesis, the Supervisor appointed for the purpose must be satisfied that the thesis conforms to the requirements of the Regulations and a certificate to this effect from the Supervisor shall accompany the thesis when the is submitted.

*Provided* that if the Supervisor does not provide a certificate to the scholar, the Research Committee shall determine whether the thesis shall be accepted for evaluation or not and take appropriate measures for submission / re-submission of the thesis accordingly.

- c) As per UGC guideline (Point No 9.5), the thesis shall contain a certificate of Plagiarism Check indicating that 'the research is within the permissible limit of plagiarism and hence, the thesis is fit for submission'. However, if the plagiarized content for any thesis exceeds 15% or more of the total work, or 10% or more of total work from a single source then the candidate shall not be provided with this certificate.
- d) No part of the thesis shall have been submitted for the award of any degree/diploma of this University or any other university/Institute.
- e) Five copies of the thesis shall be submitted initially in paperback cover and soft copy (rewritable CD). Final hard cover copies (at least three) and a soft copy (rewritable CD) after incorporating suggestions/modifications recommended by the Examiners shall be submitted within 15 days of the Viva-Voce Examination.
- f) The candidate shall submit a "No dues certificate" from the concerned departments/sections/offices/library at the time of submission of the thesis through the Supervisor (and Co-supervisor, where applicable).
- g) An abstract of 500 words and the summary of 1000 words respectively be submitted along with the thesis. The length and format of the thesis shall conform to the requirements as prescribed by the Research Committee. Guidelines for the preparation of thesis are presented in Annexure II.

*Provided* that the name of the Supervisor of Ph.D. scholar shall not be mentioned anywhere in three copies of the Ph.D. thesis which are to be sent to External Examiners for evaluation. **While the copies of thesis submitted for evaluation to External Examiners should not mention the name of the Supervisor, the final copies of thesis, submitted thereafter, to the University for record should distinctly mention the name of the Supervisor.**

Further that final copies of thesis, should embody **Course Work Completion Certificate**.

#### **4.11 Board of Examiners for Thesis**

After submission of the thesis by the scholar, the Vice-Chancellor, on the recommendation of the Supervisor concerned, shall appoint Board of Examiners for Thesis (BET). The Chairperson of the AC will approve the BET as stated in Definitions with the Supervisor as the Internal Examiner and two Examiners chosen from the enlisted panel (not below the rank of Associate Professor) from out of a panel of not less than five External Examiners submitted by the Supervisor, the names being arranged in alphabetical order, of whom one shall be from outside the State. The Vice-Chancellor may also add any name to the panel suggested by the Supervisor.

#### **4.12 Evaluation of Thesis**

- a) For the award of the Degree of Doctor of Philosophy, the thesis must form a distinct contribution to the knowledge in the subject and afford evidence of originality shown either by the discovery of new facts or by the exercise of independent critical analytical power.
- b) The evaluation of the thesis shall be to assess the scholar's contribution arising out of research on the topic of the thesis not including any work which forms part of the scholar's work for the award of any other degree successfully completed at this University or elsewhere. The scholar shall clearly indicate in the thesis the nature and extent of the scholar's contribution.
- c) The Supervisor certifying the thesis for submission and subsequently being the Internal Examiner shall be given the task of evaluation after the receipt of the comments of the External Examiners omitting their names. He/she shall be provided with the thesis along with the comments of the External Examiners without mentioning their names. The Supervisor/Internal Examiner shall not only evaluate the thesis but also the comments of the External Examiners, whether being considered or incorporated by the concerned Ph. D. student in his/her thesis.

- d) Along with the Ph. D. thesis examination report, the Examiners, internal and externals shall be requested to submit their considered opinion recommending any one of the following four (Form XII):
- i) *The thesis is accepted for the award of the degree.*
  - ii) *The thesis is accepted subject to modifications carried out as suggested without further reference to me.*
  - iii) *The thesis is not satisfactory for viva-voce examination but the candidate be permitted to re-submit the thesis in a revised form for re-examination.*
  - iv) *The thesis is rejected.*
- e) Once the Ph. D thesis is sent to an examiner for evaluation, the time allowed for evaluation shall be limited to two (02) calendar months, with the provision of two (02) month's grace period, with intermittent reminder at the completion of one (01) month. If the thesis evaluation report is not received within this period, by the fourth (4<sup>th</sup>) month the thesis shall automatically be sent to the next examiner in the panel.
- f) In the case of recommendation (b) under Clause 4, the research scholar shall submit the modified/ corrected version of the thesis within three (03) months, carrying out the suggested modifications.
- i) In the case of recommendation (c) under Clause 4, the research scholar shall submit the revised version of the thesis within six (06) months, carrying out the suggested corrections/ modifications.
  - ii) If both the external examiners reject the thesis, the candidate and the supervisor shall be intimated accordingly. The candidate may be allowed to register afresh. In that case he/she is not required to do the course work already completed. The candidate shall be expected to submit his/her thesis within a period not exceeding six semesters.
  - iii) If one of the external examiners rejects the thesis, it shall be sent to a third external examiner to be approved by the Chairperson, Academic Council. If the third examiner also rejects the thesis, the decision shall be considered as final. However, if recommended by the Supervisor, the process similar to point 6 may be adopted.
  - iv) Only one re-submission may be permitted. A re-submitted thesis shall go through the evaluation process as specified under the Regulations. If the re-submitted thesis also fails at the evaluation process, there shall be no provision for a further re-submission.

- g) The following guidelines shall be adhered to in case amendments are made to a thesis:
- i. The CoE shall send copies of the examiners' reports to the Supervisor/Co-supervisor for advising the research scholar to incorporate necessary corrections.
  - ii. A research scholar is not permitted to make any change to the thesis not specified by the examiners (or implied in their reports).
  - iii. Corrections and modifications to the thesis shall be incorporated in the text by changing the pages/tables/figures wherever necessary with a separate sheet indicating the corrections made with the page numbers, within two months.
  - iv. If the student needs more time to complete the modifications, extension of time may be sought by submitting an application to the Chairperson, AC through the Chairperson, RC/RC and presented the same by the Registrar/ Controller of Examination.
  - v. The examiners shall report in writing to the University giving their assessment of the thesis and their recommendations as to whether the Degree shall or shall not be awarded to the scholar. If in the examiners' assessment the thesis does not qualify for the award of the Degree, the examiners shall indicate whether additional work should be undertaken by the scholar or whether the thesis should be rejected outright.

#### **4.13 Oral Defense Evaluation**

- i) On completion of the examination process and all the examiners certifying the amendments, corrections specified having been incorporated, and the case being recommended for viva-voce examination, the Chairperson, AC shall constitute the Oral Defense Evaluation Committee (ODEC). It shall consist of the internal examiner (s) and at least one external examiner of BET nominated by the Chairperson of RC/AC. The External Examiner shall be the Chairperson of the ODEC.
- ii) If none of the external examiners of BET is available for evaluation of oral defense, the Chairperson, AC shall appoint an alternative External Examiner from the approved list of examiners to be the Chairperson of the Oral Defense (OD).
- iii) The CoE shall fix a date for OD evaluation of the thesis as early as possible having the consent of the External Examiner and the Supervisor (Internal Examiner).
- iv) On completion of all necessary formalities, the ODEC shall recommend its opinion to the Chairperson, AC through the CoE as per format (Form XIII).

## **NOTE**

(a) Where after the viva-voce examination, the viva-voce examiners do not recommend the award of a Degree, the Research Committee may decide :

*(i) to recommend that the Degree may not be awarded to the scholar;*

*or*

*(ii) to recommend that the scholar shall undertake additional work on the thesis and submit a revised thesis within a specified period;*

*or*

*(iii) to take such action as deemed appropriate before making a recommendation, provided that in making such recommendation(s) the Research Committee shall be guided by the opinion of the majority of the examiners.*

(b) If a scholar fails to defend his / her thesis at the viva-voce examination, the scholar may be given one additional opportunity to defend the thesis which shall be final.

(c) A copy of the thesis shall be deposited in the library which shall be available for consultation by others, either on loan or photocopying forthwith.

*Provided that, in exceptional cases, the Research Committee, on the application of the scholar and on the recommendations of the Supervisor, determine that it shall not be available for consultation by others until after the expiry of a period, which shall not ordinarily exceed one year.*

(d) The University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days after the award of the Ph.D. Degree to the candidate.

## **CHAPTER V**

### **5.1 Award of Ph. D. degree**

- i) The award of the Degree will be made at the Annual Convocation with the approval of the Academic Council , the Executive Council and the General Council of the University. The Ph.D. certificate shall indicate “Doctor of Philosophy” (Ph.D.) along with the title of Ph.D. thesis.
- ii) The Chairperson of AC shall be empowered by an Ordinance to issue the Original Degree Certificate prior to the Convocation to a needy student on written request with supporting document and payment of charges, if any.

## CHAPTER VI

### 6.1 Confidentiality and copyright of the thesis

- a. The confidentiality of the content of the thesis shall lie with the University.
- b. The copyright of the thesis shall lie with the concerned Ph. D. holder as per the Copyright Act, 1968.
- c. Upon submission of the thesis candidates shall be asked to sign the following statement, enabling the University to allow others to read the University copy of the thesis, and use it for research or private study:

*"I agree that my Ph. D. thesis titled (title) will be lodged in the University Library, and made available (if applicable after the expiry of any period of approved restricted access) to any person(s) entitled to use the Library and may be photocopied or microfilmed by or on behalf of the Librarian for use for research or private study pursuant to the provisions of the Copyright Act 1968. I agree that any user of the library may quote extracts from the thesis in any paper or written work prepared by the user, subject to acknowledging the source of the quotation."*

- d. Should the author of the thesis or the supervisor wish to publish the matter in the form of a book, the author and the supervisor shall obtain clearance from the University.
- e. If any Ph. D. student happens to be a family member or a close relative of the Chairperson of the DRC/CRC/RC/AC, a member of DRC/CRC or a senior professor nominated by the Chairperson of AC shall perform the duty of the Chairperson of the RC/AC.

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