



**PH.D. REGULATIONS 2017**

**[Adopted under the WB National University of Juridical Sciences Act  
1999 and following the guidelines of the University Grants Commission  
(Minimum Standards and Procedure for award of M.Phil./Ph.D. Degrees)  
Regulations 2016]**

**THE WEST BENGAL NATIONAL UNIVERSITY OF JURIDICAL SCIENCES**

**12 LB BLOCK, SALT LAKE CITY, KOLKATA 700098, INDIA**

**THE WB NUJS REGULATIONS GOVERNING AWARD**

**OF THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) 2017**

**1. TITLE AND COMMENCEMENT**

- 1.1 These Regulations shall be called the Regulations governing the standards and procedures for the award of the degree of Doctor of Philosophy [Ph.D.] of the West Bengal National University of Juridical Sciences (NUJS), Kolkata.
- 1.2 These Regulations shall come into force from the date of assent by the Academic Council.

**2. DEFINITIONS**

In these Regulations, unless the context otherwise requires

- 2.1 "Approved list of Examiners" means the panel of examiners chosen by the Vice Chancellor, recommended by the Academic Council and approved and appointed by the Executive Council of the University for adjudicating/evaluating the Ph.D. thesis.
- 2.2 "Candidate" means any person who satisfies the prescribed eligibility conditions as stated later in Regulation 5 and who intends to register for the Ph.D. degree;
- 2.3 "Co-guide" means the recognized supervisor(s) who supervises the Ph.D. work of a candidate jointly with the guide satisfying eligibility as in Regulation 4 below;
- 2.4 "Course work" means the compulsory preparatory study to be undertaken by a candidate as prescribed by Research Advisory Committee;
- 2.5 "Degree" means the degree of Doctor of Philosophy [Ph.D.];
- 2.6 "Research Advisory Committee (Ph.D.)" means the Committee constituted by the Vice Chancellor and approved by the Academic Council.
- 2.7 "Foreign candidate" means any person who is a foreign national with a valid foreign Passport, satisfying the prescribed eligibility conditions as stated later in Regulation 5 and who intends to register for the degree, with a valid research visa;
- 2.8 "Guide" means the recognized supervisor for the research work of a candidate satisfying eligibility as in Regulation 4 below to oversee the research work of a candidate;
- 2.9 "Notional Supervisor" means a guide appointed for the purpose of supervising course work in relation to particular candidate appointed by the Research Advisory Committee.
- 2.10 "University" means the West Bengal National University of Juridical Sciences, Kolkata.

**3. CONSTITUTION AND FUNCTIONS OF THE RESEARCH ADVISORY COMMITTEE (Ph.D.)**

- 3.1 The Research Advisory Committee (Ph.D.) shall consist of
- (a) the Vice Chancellor,
  - (b) Members designated by the Vice Chancellor among the Professors, Associate Professors and Assistant Professors of the University having Ph. D. degree.

The Vice Chancellor shall be the Chairperson of the Research Advisory Committee (Ph.D.). Wherever the Vice Chancellor shall be absent, the senior most Professor of Law in the Research Advisory Committee (Ph.D.) of the University shall be the Chairperson. The Assistant Registrar (Academics) shall be the

secretary of the committee. Any research guide who is not a member of the Research Advisory Committee (Ph.D.) may be specially invited whenever the presentation of his/her candidate before the Research Advisory Committee (Ph.D.) is held.

3.2 The Research Advisory Committee (Ph.D.) shall:

- (a) Prepare the list of recognized guides and co-guides
- (b) Conduct pre-registration colloquium as in 6.5 below
- (c) Review the research proposal and finalize the topic of research
- (d) Guide the research candidate to develop the study design and methodology of research and identify the course(s) that he/she may have to do
- (e) Allocate guides and co-guides
- (f) Assess bi-annual progress reports and presentations of candidates as under Regulation 7 below
- (g) Conduct pre-submission colloquium as in 8.1 below
- (h) Conduct open viva-voce of the candidate as in 8.6 below
- (i) Perform any other work relating to administration of Ph.D. programme of the University

**4. ELIGIBILITY CRITERIA FOR RECOGNITION AS GUIDE**

- 4.1 Any regular Professor of the University with at least five research publications in refereed journals and any regular Associate/ Assistant Professor of the university with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Guide.
- 4.2 Only a full time regular teacher of the University can act as a Guide. The external Guides are not allowed. However, Co-Guide can be allowed in inter-disciplinary areas from other related institutions with the approval of the Research Advisory Committee.
- 4.3 A Research Guide/Co-Guide who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. candidates. An Associate Professor as Research Guide can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. candidates and an Assistant Professor as Research Guide can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. candidates.
- 4.4 Faculty member who attains superannuation or resigns job will forfeit recognition as Guide / Co-guide. However, such a person shall sign a letter that he/ she shall have the responsibility of continuing to guide candidates who were registered under him / her before getting relieved from the University.

**5. ELIGIBILITY CRITERIA FOR A CANDIDATE**

Any candidate who satisfies the following conditions is eligible to seek registration for Ph.D. in the University upon application for provisional registration after going through these Regulations and Guidelines for Ph.D.

- 5.1 The candidate shall have Masters Degree of any University recognized by UGC or an equivalent Masters degree of foreign University, with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA). However, this condition is relaxed to 50% in case of candidates belonging to SC/ST/OBC (non-creamy layer) or differently-abled categories.

**Explanation:**

In case of foreign University, the factor of equivalence shall be decided by the Research Advisory committee (Ph.D.) as per the applicable norms

- 5.2 **Entrance Test:** Admission to Ph.D. shall be through an Entrance Test and Interview. Applications for Entrance Test shall be invited once a year in the month of July, depending on the vacancies existing in each specialized area.
- 5.3 The Entrance Test shall consist of one paper of 100 marks with 3 hours duration. The syllabus of the paper for candidates with law background shall cover, Research Methodology, Comparative Public Law/Systems of Governance and Law and Justice in a Globalizing World. Candidates with non-law background shall have to undertake entrance test comprising of Research Methodology and subjects of their specialization. Qualifying marks in the entrance test shall be 50%.
- 5.4 The qualified candidates shall be present for an interview before the Research Advisory Committee (Ph.D.). The interview shall be evaluated out of 100 marks and the candidates need to secure minimum 50 marks for passing the interview.
- 5.5 Candidates who have qualified UGC JRF/NET/SLET/SET are exempted from the Entrance Test. However, they have to undergo interview.
- 5.6 Candidates with M. Phil. degree from any recognized University are exempted from Entrance Test. However, they have to undergo interview.
- 5.7 Candidates who have cleared the M.Phil. course work and successfully completed the M.Phil. Degree in NUJS shall be directly eligible to proceed to do research work leading to the Ph. D. Degree.
- 5.8 **Provisional Registration:** Selected candidates shall apply in the prescribed form for provisional registration as doctoral candidates after payment of stipulated fee to the University.

## 6. **REGULAR REGISTRATION**

- 6.1 The provisionally registered candidates (Including candidates who have qualified UGC JRF/NET/SLET/SET) shall undergo Ph.D. course work of one semester duration (10 credits) from the date of provisional registration, prescribed by the University.
- 6.2 After 16 weeks of course work, which shall consist a minimum of 50 hours of contact classes, the University shall conduct a written examination for 300 marks. The candidate shall be assessed under following heads:
  - (a) Advanced Research Methodology (100 marks)
  - (b) Research Proposal in the area of research (50 Marks) and its presentation (50 Marks)
  - (c) Preparation of an exhaustive module (around 800 pages) in the area of research in consultation with the notional supervisor appointed by the University (25 Marks), writing an essay of minimum 5,000 words on the basis of his/her module (25 Marks) and written examination on the module (50 Marks)
- 6.3 The candidate has to obtain a minimum of 55% of marks in the course work in order to be eligible to continue in the programme.
- 6.4 Candidates who are unsuccessful in the course work shall be permitted to re-appear for assessment within one year from the date of announcement of the results. Provisional registration of a candidate who fails in the assessment of course work in two attempts shall be canceled.

6.5 Candidates who have cleared the M.Phil. course work and successfully completed the M.Phil. Degree are exempted from Ph.D. course work. However, they have to submit their research proposal and undertake pre-registration colloquium before the Research Advisory Committee (Ph.D.). The Research Advisory Committee (Ph.D.) may ask the candidate to present the colloquium again if the performance/preparedness of the candidate in the first instance is not satisfactory. Only one re-appearance is permitted within 6 months from the date of the first colloquium. The failure of the candidate to successfully complete the pre-registration colloquium after the second attempt shall result in the cancellation of provisional registration.

#### 6.6 **Allocation of Guide and Co-Guide**

The allocation of Guide and Co-Guide for a selected student shall be decided by the Research Advisory Committee (Ph.D.) in a formal manner depending on the number of student per faculty member, the available specialization among the faculty supervisors, and the research interest of the student as indicated during interview by the student. The allotment/allocation of Guide and Co-Guide shall not be left to the individual student or teacher. The co-guide may be from outside the University also.

6.7 **Ph.D. Registration:** Application for registration shall be submitted to the University through the Guide and co-guide, if any, within one month from the date of informing the candidates about the successful completion of course work/pre-registration colloquium as the case may be. Application shall be made along with prescribed fees, 3 hard copies and one soft copy of the synopsis. The regular registration of the candidate shall date back to the date of provisional registration.

6.8 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years. Hence, the registration of the candidate gets cancelled after completion of six years from the date of provisional registration.

6.9 The women candidates and Persons with Disability (more than 40% disability) are allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates are entitled to Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

### 7. **PROGRESS OF WORK**

7.1 After the regular registration, a candidate is required to submit the following twice in a year (January and July):

- (a) Progress report of research work done,
- (b) Recommendation of the Guide regarding progress of research.

7.2 The candidate shall pay the prescribed annual fee once in a year from the date of provisional registration. Failure to pay annual fee within one month from the due date shall result in cancellation of registration.

7.3 The progress report shall be placed before the Research Advisory Committee (Ph.D.) within 15 days of receipt. The research candidate shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance.

7.4 In case the progress of the research candidate is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research candidate fails to implement these corrective measures, the Research Advisory Committee may recommend with specific reasons for cancellation of the registration of the research candidate.

7.5 Failure to submit two consecutive progress reports or failure to present before the Research Advisory Committee shall entail cancellation of registration.

7.6 The candidate shall publish at least two research articles in journals of repute as main author and make at least two paper presentations in conferences/seminars/workshops, based on his / her research work in order to be eligible to submit the final thesis.

## 8. **SUBMISSION OF THESIS AND EVALUATION**

### 8.1 **Pre-submission Colloquium:**

- (a) The candidate is eligible to submit his / her thesis only after completing 3 years of research work from the date of his / her provisional registration.
- (b) The candidate has to submit 10 copies of the synopsis of his / her Ph.D. thesis highlighting contents of the thesis, one soft copy and one hard copy of the draft thesis, and enclose evidences of two research publications in journals/books of repute in the form of acceptance letters or published papers, and two paper presentations in conferences/seminars/workshops in the area of research, to the University.
- (c) The Chairperson of the Research Advisory Committee (Ph.D.) shall organize the pre-submission colloquium meeting before the faculty members in the University at the earliest.
- (d) The Research Advisory Committee (Ph.D.) shall advise and offer suggestions to the candidate for the finalization of the thesis.
- (e) The decision of the Research Advisory Committee (Ph.D.) shall be communicated to the candidate.
- (f) If the Research Advisory Committee (Ph.D.) is not satisfied with the pre-submission colloquium of a candidate, it may ask the candidate to appear for the colloquium again after a gap of one month.

### 8.2 **Submission of Ph.D. Thesis:**

- (a) After the successful completion of pre-submission colloquium, the candidate shall submit six bound copies of his / her Ph.D. thesis along with six copies of abstract of not more than thousand words and the electronic version of the thesis in .pdf format (2 discs) for evaluation.
- (b) A certificate duly signed by the Guide and Co-guide, if any, indicating his / her supervision of the candidate and bonafide character of the work, along with a declaration by the candidate about the originality and the fact that it has not been previously submitted by the candidate either for award of any Degree or Diploma to this or any other University, shall be enclosed with the thesis.

### 8.3 **Evaluation of the Ph.D. Thesis:**

- (a) The Ph.D. thesis submitted by a research candidate shall be evaluated by his/her Research Guide and at least two external examiners, who are not in employment of the University. The external examiners are selected by the Vice Chancellor from the list of four examiners shortlisted by the Vice Chancellor in consultation with the Research Guide from the approved list of examiners.
- (b) Within three weeks of submission of thesis, the AR (Academics) shall get the consent of the external examiners selected by the Vice Chancellor via e-mail to evaluate and submit the thesis within 45 days from the receipt by them. If the external examiner/s rejects the offer, the AR

(Academics) shall inform this to the Vice Chancellor and get the consent of other external examiner/s as directed by the Vice Chancellor within another 7 days.

- (c) The *viva voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted in the presence of the Research Guide and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the University, other research candidates and other interested experts/researchers.

#### 8.4 **Evaluation Reports:**

- (a) The external examiners shall send the evaluation reports to the University.
- (b) Apart from the evaluation report, each examiner is required to submit a short report in the prescribed proforma duly signed and sent as hard copy/ FAX/ scanned image by e-mail.

#### 8.5 **Decision about Evaluation:**

- (a) For award of Ph.D. degree there shall be unanimous recommendation by all the three examiners that the thesis be accepted for the award of Ph.D. degree.
- (b) If the two external examiners reject the thesis outright, the University shall notify rejection of the thesis and cancellation of Ph.D. registration.
- (c) If one of the external examiners rejects the thesis, the thesis shall be referred to another examiner. If this examiner also rejects the thesis, the University shall notify rejection of the thesis and cancellation of Ph.D. registration.
- (d) If any one or more of the examiners (including the research guide) recommend/s revision and reevaluation of the thesis, the candidate shall revise the thesis based on the suggestions made by the examiner(s) and submit the revised thesis, duly certified by the Guide and with payment of the prescribed fees to the University. The University shall send the revised thesis at the earliest to the same examiner(s).
- (e) If any examiner recommends the award of degree after incorporating the suggested revisions / corrections, such modifications shall be complied with by the candidate. The revised thesis shall be submitted to the University along with the prescribed fees.

#### 8.6 **Viva-Voce Examination:**

- (a) After receipt of three positive reports from the examiners, open viva-voce examination shall be conducted by the University in the presence of the members of the Research Advisory Committee (Ph.D.), research guide, one external examiner, members of the Faculty, research candidates and students by giving wide publicity.
- (b) If the candidate desires, the viva-voce examination may be held via video conferencing after payment of necessary additional fees prescribed by the University.

8.7 The Ph.D. degree would be awarded if three examiners give positive reports and the candidate successfully completes viva voce examination.

8.8 **Ph.D. Notification:** The Ph.D. notification shall be done by the Registrar on the official letter-head.

### 9. **CHANGE OF TITLE / GUIDE**

9.1 A candidate desiring to change the title of the thesis after the regular registration shall apply to the

- University with 10 copies of revised synopsis and changed title through the Guide after paying the prescribed fee.
- 9.2 The University shall seek the opinion of the Research Advisory Committee (Ph.D.) for the change of title. Such a change can be permitted anytime before the pre-submission colloquium.
  - 9.3 If a candidate decides to change the topic of research after the regular registration, his / her regular registration stands canceled, and the candidate has to undergo the regular registration process again and may apply for pre-submission colloquium only after a period of three years from the date of registration of change.
  - 9.4 Generally, change of Guide is not permissible. It may be permitted only under exceptional circumstances such as death/disability/other medical conditions of the Guide or legal actions on the Guide by the administration. However, if there is any written complaint about conflict between the Guide and the candidate, the University shall refer the matter to the Research Advisory Committee (Ph.D.) for final decision.
  10. All communications by the Ph.D. candidates under these Regulations to the University shall be made to the AR (Academics).
  11. **Depository with INFLIBNET:**
    - 11.1 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the AR (Academics) shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.
    - 11.2 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 UGC (Minimum Standards and Procedure for award of M.Phil./Ph.D. Degrees) Regulations 2016.
  12. Any issue not covered by the foregoing Regulations shall be governed by the decision of the Vice-Chancellor.
  13. The earlier Rules/Regulations governing the award of the Degree of Doctor of Philosophy (Ph.D.) of NUJS are hereby repealed.