

**PART-IV – SECTION-E**

**RGNUL Ph.D. Regulations, 2017**

***[Amendment approved by the Executive Council / Academic Council at their respective meetings held on 09.02.2017 Para 2 (6)]***

The RGNUL has adopted University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016.

Whereas the UGC has issued a Notification No. F.1-2/2009 (EC/PS) V (I) dated 05 May 2016 prescribing University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016. Therefore there is need for review of RGNUL Ph.D. Regulations.

In the aforesaid RGNUL Regulations 2010 Ph.D. Programme is also offered in Ph.D. in Social Sciences with Law. The RGNUL statutory bodies have reviewed this part of the regulations and decided to offer Ph.D. in Social Sciences, Humanities and English Language and Literature as independent subjects.

Therefore there is need to review RGNUL Ph.D. Regulations to incorporate the UGC 2016 requirements for Ph.D. Programme and also to make provisions offering Ph.D. in Social Sciences, Humanities and English Language and Literature.

Revised Regulations framed in conformity with the University Grants Commission, UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009.

**1. CATEGORIES OF RESEARCHERS**

- (1) A candidate can register for the Ph.D. Degree Programme either as a Full-Time Researcher or as a Part-Time Researcher.

**[It is proposed that Note:**

*"the seat for UGC / JRF candidate shall be over and above the total advertised seats".*

(a) **It is proposed that:**

*"a full time researcher who is not UGC JRF, shall have to attend the University on all working days till the submission of thesis and a separate attendance register shall be maintained for them".*<sup>8</sup>

(2) The Ph.D. Programme shall be as under:

- (a) Ph.D. in Law
- (b) **Ph.D. in Social Sciences, Humanities and English Language and Literature**

**2. ELIGIBILITY**

(1) An applicant seeking registration to the Ph.D. Degree Programme must have:

- (i) A Degree of Master of Laws (LL.M.) from any recognized university with a minimum of 55% marks; or
- (ii) M.Phil. Degree in Law with B+ grade or its equivalent.

(2) The applicant from other disciplines must have:

- (i) Master's Degree in the Social Science/Humanities/English Language and Literature with minimum 55% and established research credentials by way of publications; or
- (ii) For the Ph.D. Programme in Law, passed Company Secretaryship Examination conducted by the Institute of Company Secretaries of India (ICSI), New Delhi and have been awarded Associate Membership of the Institute (ACS);

Or

Passed Chartered Accountants Examination conducted by the

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<sup>8</sup> Inserted (New Provision) by the decisions of Academic Council meeting dt. 25.01.2020 and Executive Council meeting dt. 08.02.2020 Para 2 (18).

Institute of Chartered Accountants of India (ICAI) and should be a member of the Institute of Chartered Accountants, New Delhi.

A relaxation of 5% of marks from 55% to 50% or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/ differently abled and other categories of candidates as per the decision of Commission from time to time.

### 3. THE ENTRANCE TEST

- (1) Admission to the Ph.D. Programme shall be through an Entrance Test to be conducted by the University every year on the **First Sunday** in the **Month of May**.
- (2) The number of seats vacant for the Ph.D. Programme shall be notified through a public advertisement. 15 per cent seats shall be reserved for the SC candidates, 7.5 per cent seats for the ST candidates and **5% seats for specially abled persons (SAP)**. In case no qualified candidate would be available in the ST category, seat(s) shall be offered to the SC category, and if no qualified candidate(s) would be available in the SC category, the seat(s) shall be offered to the General Category candidates. **The reservation for specially abled persons shall be horizontal.** If no qualified candidates would be available in SAP category the seat(s) shall be offered to General Category.

Provided that if seats allotted to SC/ST/SAP categories remain unfilled the vacant seats in these categories may be offered to candidates of respective categories, who have applied for Entrance Test, but could not qualify, if the candidates otherwise meet the eligibility conditions as provided in rule 2 above, such candidates shall be considered in the order of merit of the qualifying examination.

- (3) The Entrance Test shall be a written examination of three (3) hour duration of one hundred forty (140) maximum marks comprising following four parts:
  - (a) Part-I - Research Methodology (20 MCQs) for 20 marks

- (b) Part-II - It shall comprise of 4 questions on Research Methodology out of which the candidate shall attempt two (2) of 15 marks each. This part shall have Total four Questions of 30 maximum marks.
- (c) Part-III - This paper shall have four questions out of prescribed syllabus for Ph.D. in Law and Ph.D. in Social Sciences, Humanities and English Language and Literature. Out of which candidate shall attempt any two (2) questions of 20 marks each. This part shall have total 40 marks.
- (d) Part-IV - Essay of intent of 50 marks on any Research Topic of the choice of the candidate.

The qualifying marks of the test shall be 50\* per cent for the General Category.

Provided that a relaxation of 5% of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/Specially Abled Persons (SAP).

- (4) After declaration of result, the qualified candidates shall appear for an interview for assessment of their research aptitude and the area of interest to be opted by the candidate.
- (5) (i) The Foreign Embassy sponsored candidates shall also be exempted from appearing in the Entrance Test.
- (ii) Such candidate, however shall be required to write an Essay of Intent on any topic of his/her area of interest in about 1000 words at the time of time interview.

**[3A. It is proposed that**

*"for the purpose of Ph.D. Entrance Test, Syllabus Booklets be prepared in the subjects of Law, Social Sciences, Humanities and English Language and Literature by the respective subject faculty".* **(Inserted**

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\*As amendment vide Executive Council decision Para 16 Proceedings of the meeting of 07.07.2018.

*(New Provision) by the decision of Academic Council meeting dt. 25.01.2020 and Executive Council meeting dt. 08.02.2020 Para 2 (18).*

**4. EXEMPTION FROM TEST**

1. The following category of applicants may be exempted from appearing in the Entrance Test:
  - (i) Judges of High Court/Supreme Court (sitting as well as retired judges).
  - (ii) Eminent Jurists in the field of Law.
  - (iii) Officials of the level of Secretary Serving/Retired from Govt. Service (State/Centre), having experience of working in the area of Higher Education/Legal Affairs of the Government.
  - (iv) Designated Senior Advocates with standing of atleast 10 years as Sr. Advocate.
  - (iv)(a) UGC JRF qualified shall also be exempted from appearing in the Entrance Test.<sup>9</sup>
  - (v) Any other category not covered above, may be considered by the Academic Council/Executive Council, if found appropriate.
2. The above said category of applicants shall fulfill the following conditions:
  - (i) Be otherwise eligible to get enrolled as per RGNUL regulations except for qualifying "Entrance Test" and undertaking "Course Work."
  - (ii) Deliver atleast 10 lectures to the students of the University during the tenure of their research, without payment of any remuneration.
  - (iii) Publish atleast 2 papers in any journal having ISSN Number during the course of their research.
- (iv) Such Researcher shall attend four lectures on Research Methodology as scheduled by this University.

**5. MERIT LIST**

- (1) The merit list of the candidates who have qualified the Ph.D. Entrance Test shall be drawn as under:

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<sup>9</sup> As per decision of Executive Council dated 30.01.2015 (Para 13)

- (i) Marks secured in the Written Entrance Test i.e. out of 140 (One hundred forty) marks.
  - (ii) Marks secured in interview i.e. out of 60 (Sixty) marks.
  - (iii) In case of tie of marks, the merit shall be decided on the basis
    - a. Percentage of marks secured in the qualifying examination. If percentage of marks of the qualifying examination are same;
    - b. Date of birth, if the date of birth is same;
    - c. Lottery system.
- (2) The merit for the UGC (JRF) candidate shall be prepared on the basis of the marks secured in the essay of intent out of 70 marks and interview out of 30 marks i.e. out of total 100 marks.
- (3) Except the UGC (JRF) qualified candidates, registration of the other candidates mentioned in clause 5A shall be on the basis of the research proposal submitted to the University. The research proposals shall be prepared by the candidate as per University guideline.
- (4) The result of the Entrance Test/enrolment shall be valid for one year only. The selected candidates shall be eligible for provisional enrolment to the Ph.D. Programme during the year.
- (5) Candidates whose final result is awaited for any reason shall be allowed to appear provisionally in the Entrance Test. Such candidates shall, however, have to produce the final result of the qualifying examination at the time of the interview.

**Note:** In each academic year the vacancy status of the RGNUL Ph.D. Programme shall be worked out before giving the advertisement for the Ph.D. Entrance Test.

*[Amendment approved by the Academic Council/Executive Council at their respective meetings held on 07.02.2019 Para 2 (5)]*

## **6. ADMISSION**

### **(1) Enrolment**

- (i) The qualified candidate shall submit his/her application in the prescribed form (See Annexure) alongwith a prescribed fee for

enrolment. The candidate shall submit the following documents alongwith the application:

- (a) An attested photocopy of the LL.M., M.Phil., and M.A./M.Sc./M.Com./Degrees, whichever is applicable, along with the marks sheet; and
  - (b) One set of published books, articles, monographs and papers, if any.
  - (c) An attested copy of the Membership Certificate of the Professional Institution, wherever applicable;
- (ii) The qualified candidates shall be enrolled on verification of eligibility as per regulation (2) above).
  - (iii) The enrolled researcher shall be assigned a supervisor by the University keeping in view the available specializations among the faculty members and the research interests of the researcher expressed by him/her at the time of the interview.

**(2) Cancellation of Enrolment and Re-Enrolment**

If a student enrolled for the Ph.D. programme fails to comply with the conditions within the period of six months from the date of his/her enrollment, his/her enrollment shall be cancelled. However, he/she may get himself/herself re-enrolled by paying re-enrollment fee of Rs. 5000/- with the permission of the Vice-Chancellor.

**(3) Registration to the Ph.D. Degree Programme**

- (i) The candidate enrolled for the Ph.D. Programme shall submit the following documents duly approved by the supervisor:
  - (a) An outline of the scheme of research work in about 3000 words clearly mentioning the Proposed Title; Statement of the Problem; Hypothesis, if any; Data-Base and Proposed Methodology; Research Questions; Significance and Likely Contribution of the Study to the Existing Knowledge;
  - (b) A chapter-wise proposed scheme of the thesis;
- (ii) The enrolled candidate shall be called upon to make a presentation before the Doctoral Committee on the date fixed by the Vice-Chancellor.
- (iii) The Doctoral Committee shall comprise Vice-Chancellor as the Chairman, Registrar and three other members nominated by the

Vice-Chancellor having profound research experience from within or outside the University.

- (iv) The Doctoral Committee shall examine the suitability of the research topic for pursuing the Ph.D. Degree Programme. The Committee shall thoroughly explore and review the nature and scope of the research work before giving its approval.
- (v) On approval of topic of research by the Doctoral Committee, the candidate may be allowed to register for the Ph.D. Degree Programme as Part Time / Full Time researcher.
- (vi) The candidate shall pay the prescribed registration fee.

**7. PRE-Ph.D. COURSE WORK IN RESEARCH METHODOLOGY**

- (i) The registered candidates will be required to complete the Pre-Ph.D. Course Work in Research Methodology successfully **in one year after registration of their Ph.D. thesis.**
- (ii) The Researcher having M.Phil. Degree shall be exempt from the Course Work.
- (iii) The Pre-Ph.D. Course Work will consist of following papers.
  - Paper-I : Research Methodologies
  - Paper-II: Review of Literature and Scope of Work
  - Paper III: Research Techniques to be Applied to the Topic Under Research
  - Paper IV: Research and Publication Ethics (RPE)<sup>10</sup>
- (iv) The Paper-I shall be the Theory Paper of 100 (One Hundred) marks as per the syllabus of the RGNUL LL.M. First Semester Course of 'Legal Education and Research Methodology'.
- (v) The Researcher shall attend minimum 70% of lectures delivered on the subject along with the LL.M. class and shall appear in the end semester examination of that paper.
- (vi) The Researcher having LL.M. Degree from Rajiv Gandhi National University of Law, Punjab, Patiala or any other recognized University where paper of Research Methodology is part of the LL.M. Course

<sup>10</sup> Inserted (New Provision) by the decisions of Academic Council meeting dt. 25.01.2020 and Executive Council meeting dt. 08.02.2020 para 2 (18) vide UGC Notification No. D.O. No. F.1-1/2018 (Journal/CARE) dt. Dec. 2019 (See Annexure Pre-Ph.D. Course Work).



curriculum shall be exempt from taking Paper I of the course work. In other cases, researchers holding LL.M. Degree may be exempted from attending theory classes but shall take the end term examination of Paper I.

- (a) "However, the Research Methodology consisting of Quantitative Method, Computer Application, Research Ethics & Review of Published Research shall be essential part of the 1<sup>st</sup> Paper of Course, if they have not studied the Research Methodology Work as per the UGC Notification 2016".<sup>11</sup>

- (vii) The Course work on Paper-II will consist of the following:

- (A) Review of the Existing Literature related to the Research Topic  
(B) Statement of Problem Under the Research.

The End Semester Examination (ESE) of the Paper-II shall be of 50 marks in the form of submission of a Written Report to be evaluated by the Supervisor.

- (viii) The Paper-III 'Research Techniques to be Applied to the Topic Under Research' shall consist of two parts as under:

- (A) Description of Research Tools and Techniques  
(B) Application of Library and IT Techniques.

This Paper-III shall be a Seminar Paper of 50 marks, to be evaluated by a panel comprising supervisor and two experts to be constituted by the Vice-Chancellor.

- (ix) This Paper-IV shall consist of theory and practical and shall be of 100 marks.<sup>12</sup>

- (x) Minimum pass marks for Papers I-III shall be 50% in each paper.<sup>13</sup>

**(Amendment approved by the Academic Council meeting dt. 25.01.2020 and Executive Council meeting dt. 08.02.2020 Para 2 (18).**

<sup>11</sup> Ibid.

<sup>12</sup> Ibid.

<sup>13</sup> Ibid.

**8. THE RESEARCH ADVISORY COMMITTEE (RAC)**

- (i) On completion of the registration formalities, the Vice-Chancellor shall constitute a Research Advisory Committee (RAC) comprised of three members. It shall include Supervisor as the Chairperson and two (2) other members with appropriate research experience from within or outside the University. In case the research work is also being guided by a Co-supervisor, he/she shall also be a member of the Research Advisory Committee (RAC). In case of need, an additional outside expert may also be appointed as a member of the Research Advisory Committee.
- (ii) The Research Advisory Committee shall monitor the progress of the research work. The Research Advisory Committee may also prepare a plan of work for the entire research programme, stipulating the teaching assignments, the number of academic activities that the candidate should get involved in.

**9. DURATION OF THE PROGRAMME**

- (i) The minimum and maximum time permissible for completion of the Ph.D. Degree shall be respectively as under:  
Minimum period shall be **Three** years and Maximum **Six** years for both categories i.e. part-time and whole time researchers.
- (ii) The duration of the Ph.D. Programme and the time for submission of the thesis shall be counted from the date of "Enrollment"<sup>14</sup> of the candidate. *(Amendment approved by the Academic Council meeting dt. 19.06.2020 Para 4 and Executive Council meeting dt. 20.06.2020 Para 3 (4)).*
- (iii) **The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave once in the entire duration of Ph.D. for upto 240 days.**

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<sup>14</sup> The word "Registration" substituted for "Enrollment" vide decision of Academic Council meeting dt. 19.06.2020 Para 4 and approved by the Executive Council meeting dt. 20.06.2020 Para 3 (4).

**10. FEE STRUCTURE\***

| Sr. No. | Mode of Fee  | Fee                           |
|---------|--|-------------------------------|
|         | Fee of Ph.D. Entrance Test –<br>General Category<br>SC/ST/SAP Category   | Rs. 2500/-<br>Rs. 1500/-      |
| 1.      | Application Fee  | Rs. 2000/-                    |
| 2.      | Enrolment Fee  | Rs. 5000/-                    |
| 3.      | Registration Fee   | Rs. 10,000/-                  |
| 4.      | Annual Fee   | Rs. 5000/-                    |
| 5.      | [Library & Computer Lab Fee per annum] <sup>15</sup>   | Rs. 5000/-                    |
| 6.      | [Late submission of progress report after 31 <sup>st</sup> March / 30 <sup>th</sup> September each year and Annual Seminar after 31 <sup>st</sup> March each year] <sup>16</sup> | Rs. 2000/-<br>per half yearly |
| 7.      | Thesis Submission Fee  | Rs. 15,000/-                  |
| 8.      | Fee for Extension of Time for Thesis submission by six month at a time.  | Rs. 8000/-                    |
| 9.      | Fee for one additional opportunity for the second viva-voce  | Rs. 10,000/-                  |
| 10.     | Re-enrolment Fee   | Rs. 5000/-                    |
| 11.     | Re-submission of thesis fee  | Rs. 10,000/-                  |
| 12.     | Provisional Certificate Fee  | Rs. 2000/-                    |
| 13.     | Change of Supervisor   | Rs. 5000/-                    |
| 14.     | Change of Area of research   | Rs. 5000/-                    |
| 15.     | Copy of an Examiner Report of Thesis evaluation and viva-examination Report  | Rs. 1000/-<br>per report      |

**11. PROGRESS MONITORING**

- (i) The research progress of each candidate shall be monitored by the Research Advisory Committee. The candidate shall submit Six Monthly (Bi-annual) Progress Reports. This report shall be submitted to the Office through the Research Supervisor latest by 31<sup>st</sup> March / 30<sup>th</sup> September every year for the work done during the year. After this date, the candidate shall pay the prescribed late fee.
- (ii) A candidate registered for the Ph.D. Degree shall be required to give an Annual Seminar each year before 31<sup>st</sup> March. After this date, the

<sup>15</sup> Amendment approved by the Academic Council meeting dt. 25.01.2020 and approved by Executive Council meeting dt. 08.02.2020 Para 2 (18).

<sup>16</sup> Ibid.

candidate shall pay a prescribed late fee. The Research Advisory Committee after review of the Progress Report may recommend:

- (i) Continuation of the registration.
- (ii) Continuation of the registration with suggestions to improve progress.
- (iii) Termination of the registration.

## **12. PUBLICATION OF RESEARCH PAPER**

The Researcher shall publish minimum one research paper relating directly to his / her area of doctoral research in a refereed journal before submission of the thesis for evaluation and shall produce evidence for the same in the form of a reprint of the aforesaid paper.

## **13. SUBMISSION OF THE THESIS**

- (i) At least one month before submission of the thesis, the candidate shall be required to present a Pre-Submission Seminar wherein he / she shall have to present and defend the findings of his / her research work. Thesis is required to be submitted within three months of the pre-submission seminar.
- (ii) The Pre-Submission Seminar shall be attended by the Faculty members, the post-graduate students and other invited experts, if any.
- (iii) The candidate shall submit the thesis to the University by incorporating various suggestions offered at the pre-submission seminar.
- (iv) The candidate shall submit four copies of the thesis to the University for evaluation, along with copy on Compact Disc (CD) and shall also comply with the following requirements:
  - (i) A certificate from the Research Supervisor to the effect that researcher has satisfactorily completed the research work under his/her supervision and that the thesis is fit for evaluation;
  - (ii) A declaration by the candidate and attested by the Supervisor to the effect that the research work is of original nature and has not been submitted or published elsewhere; and

(iii) The proof of prescribed evaluation fee having been paid.

- [(v) <sup>17</sup>**Instruction for the submission of Thesis:** The Researcher would be required to adhere to the following standards for submission of Ph.D. thesis:

**Paper:** A4-size paper

**Thesis text:** 12 pt. for English: Times New Roman; Line 1.5 spacing; Both side printing.

**Foot note:** The footnote (if any) shall be typed single spaced with Font Size 10 in RLR/Blue Book Format.

**Page Numbering:** All pages of the thesis shall be on the right bottom of the page in format (Page 1 of 100) except the preliminary pages which shall be numbered in lower case Roman Numerical (ii, iii, iv ....).

**Binding:** Soft Flexible.

It is proposed that for the submission of Ph.D. Thesis a format needs to be specified. Annexure enclosed.]

#### 14. EXTENSION OF TIME

In exceptional circumstances, the Vice-Chancellor, if deems it fit, may extend the period by six months at a time subject to maximum of two years. Thereafter, the registration of the candidate shall be deemed to be cancelled. For every extension, the candidate shall pay to the University the prescribed fee.

#### 15. PLAGIARISM REPORT

- (i) Ph.D. thesis will be accepted for evaluation subject to verification that there is no plagiarism or other academic dishonesty.
- (ii) The researcher is required to submit a verification report, that the thesis meets the submission requirements, generated through Anti-Plagiarism Software available at the University Library through the Supervisor.

**Note: Plagiarism in case of Ph.D. Synopsis/Thesis should not be more than 20% after applying all relevant filters. (Approved by the Academic Council meeting dt. 25.01.2020 and Executive Council meeting dt. 08.02.2020 Para 2(18))**

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<sup>17</sup> Inserted (New Provision) by the decisions of Academic Council meeting dt. 25.01.2020 and Executive Council meeting dt. 08.02.2020 Para 2 (18).

**16. EVALUATION OF THE THESIS AND THE VIVA-VOCE**

- (i) **The Ph.D. thesis submitted by a Research Scholar shall be evaluated by his/her Research Supervisor (at the time of submission and shall give the certificate) and three External Examiners** selected by the Vice-Chancellor, out of a panel of seven external experts, recommended by the Research Advisory Committee and approved by the Vice-Chancellor for this purpose. The external examiners shall send their evaluation report in the prescribed form within a period of two months from the date of receiving the thesis.
- (ii) The reports of the External Examiners shall be opened by the Controller of Examination, who shall prepare a note of the reports specifically stating whether the Examiners have recommended the award of degree or not. The said note shall be submitted to the Vice-Chancellor for further necessary action.
- (iii) If two out of three External Examiners recommend the award of degree, the Vice-Chancellor shall constitute a Board of Examiners for conducting the viva-voce examination of the candidate. The Board of Examiners for viva-voce shall consist of:
  - (a) one of the external examiners who has evaluated the thesis
  - (b) supervisor/co-supervisor of the candidate
  - (c) nominee of the Vice-Chancellor

Any two members present, including the external examiner, at the viva shall be the quorum.

The viva-voce shall be held at RGNUL and it shall be an open viva. In the open viva, the Board of Examiners shall put questions to the candidate based on his/her research work including the questions, if any, sent by the Examiners who have evaluated the thesis. Relevant questions may also be asked to the candidate by any other person present in the viva-voce.

The report about the performance of the candidate shall be signed by the members of the Board of Examiners present in the viva-voce.

- (iv) (a) If the Board of Examiners for the viva-voce is satisfied with the performance of the candidate at the viva-voce, it shall submit a report to the Doctoral Committee in the prescribed form with the signatures of the members of the Board including that of

the external examiner and specifically make recommendation for the award of the Ph.D. Degree or otherwise.

- (b) In case the Board of Examiners finds that weaknesses or shortcoming pointed out by the External Examiners (who have otherwise recommended for award of degree) are such which must be rectified in the thesis, before the result for the award of degree is declared by the Doctoral Committee under regulation 13, it shall make a mention of this in the report to be submitted to the Doctoral Committee.
- (c) In case report contains remarks by the Board of Examiners as mentioned in clause (ii) above, the Controller of Examiner shall inform the candidate to re-submit two hard copies and a CD ROM of the corrected thesis.
- (d) The Controller of Examiner shall put before the meeting of the Doctoral Committee the reports of the Board of Examiners submitted under clause (d) (i) or (ii) above alongwith corrected copy of thesis for its appraisal.
- (v) If the Board of Examiners is of the opinion that the candidate should not be considered for the award of the Ph.D. Degree, a report shall be sent to the Doctoral Committee with reasons to be recorded in writing.
- (vi) The Doctoral Committee may allow one additional opportunity for the viva-voce to the candidate on his application. The candidate shall pay the prescribed fee of Rs. 10,000/- (Rupees Ten Thousand Only) for the second viva-voce.
- (vii) At the re-viva-voce examination, the Vice-Chancellor may call other examiner to conduct the viva-voce and the decision of the Viva-Voce Examiner at this stage shall be final.

#### **17. REJECTION OF THE THESIS**

Where the thesis fails to obtain approval of the majority of the examiners or where after viva-voce examination, the Board of Examiners does not recommend the award of Ph.D. Degree, the Doctoral Committee may decide:

- (i) That the thesis be rejected; or
- (ii) The thesis be re-submitted in a revised form within one year but

not before six months from the date of communication in this regard.

The revised thesis shall be sent to the original panel of examiners. In case one or more of the original examiners are not available, additional examiners may be appointed. The same evaluation procedure shall be followed as that of original submission.

Only one re-submission shall be permissible on payment of fee of Rs. 10,000/- (Rupees Ten Thousand Only) as re-enrolment fee and Rs. 5,000/- (Rupees Five Thousand Only) as the re-submission fee. If the re-submitted thesis again fails at the evaluation process, there shall be no further re-submission on any ground whatsoever. ***(Amendment approved by the Executive Council at its meeting held on 25.07.2019 Para 6)***

**18. AWARD OF DEGREE**

If the two of the external examiners of the thesis recommend the award of the Ph.D. degree and the Viva-Voce Examiner having satisfied himself/herself on the basis of performance of the candidate in the Viva-Voce Examination, that the candidate has written the thesis himself/herself may recommend the award of the Ph.D. Degree to the ***Doctoral Committee***. The ***Doctoral Committee*** would consider the reports of the examiners of the thesis and Viva-Voce Examination for arriving at a decision with regard to the award of the degree. ***The result of the Ph.D. Degree of a candidate be deemed to have been declared from the date of notification of award of Ph.D. Degree issued after the approval of the Academic Council/Executive Council.*** The Registrar shall publish the result. The Ph.D. Degree shall be awarded at the convocation of the University. The candidate, however, may obtain provisional certificate on the payment of the prescribed fee.

**19. DEPOSITORY WITH INFLIBNET**

1. Following the successful completion of the evaluation process and before the announcement of the award of Ph.D. Degree. University shall submit an electronic copy of the Ph.D. Thesis to the INFLIBNET.
2. Prior to the actual award of the degree University shall issue provisional certificate to the effect that the degree has been awarded in accordance with the provisions of UGC Regulations 2016.



### 3. Uploading the Ph.D. Thesis in Shodhganga Repository

The UGC Ph.D. regulations require the depository of the Thesis with Shodhganga. Research Scholar(s) who are submitting the Thesis and CD (in .pdf format) for the Shodhganga has to follow the Shodhganga Repository Guidelines.

- (i) After the successful completion of the evaluation process and after the announcement of the award of the M. Phill./Ph.D. degree (s) the Examination Branch shall submit an electronic copy in pdf file of the Dissertation/Thesis to INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.
- (ii) Examination Branch after the evaluation of Thesis may kindly send a CD of the Thesis in PDF format to the library, and then library will accordingly upload the same on Shodhganga.
- (iii) Research Scholar(s) who are submitting the Thesis and CD (in pdf. format) for the Shodhganga Repository has to follow the following guidelines:-
  - (a) Ph.D. Research data on CD by Candidate.
  - (b) Separate file for Title page, Certificates, summary and Chapter wise Ph.D. Thesis or Dissertation.
  - (c) Authenticate by Supervisor of CD as to exact replica of Print version.
  - (d) "Certificate of Originality" by Researcher and Plagiarism report and certificate of Supervisor.
  - (e) Contents of Thesis:-
    - Title page.pdf
    - Certificate of supervisor.pdf
    - Declaration by Researcher.pdf
    - Preface if needed.pdf
    - Acknowledgment.pdf
    - List Contents.pdf
    - List of Abbreviations.pdf
    - List of Cases.pdf
    - Chapters.pdf
    - Bibliography.pdf
    - List of Reference if any
    - List of Table/Figure (as applicable)
    - Summary

- (f) The researcher is to give non – exclusive rights in the specified format to archive and distribute their doctoral work or LL.M. Dissertation work through “Shodhganga” as well as through University’s IR in full text at the time of submission.

*(Approved by the Executive Council at the meeting held on 08.06.2019 Para 23 (vi))*

4. To ensure authentic research work from the inception itself, it is proposed that the plagiarism report of the synopsis shall also be generated by the Supervisor concerned at the time of submission of the Synopsis for the purpose of registration to the Ph.D. Program.  
*(Inserted (New Provision) by the Academic Council meeting dt. 25.01.2020 and Executive Council meeting dt. 08.02.2020 Para 2(18))*

**20. PUBLICATION OF THESIS**

The publication of the thesis in the form of a book after award of Degree shall be allowed only after due written permission from the University is obtained by the Scholar.

**21. REMOVAL OF DIFFICULTIES**

If any difficulty arises in giving effect to the provisions of these Regulations, the Vice-Chancellor may by an order remove such difficulties. Such an action shall be reported in the next meeting to Academic Council for information.

**22. GENERAL RULES**

**(1) Research Supervisor**

- (i) (a) Any regular Professor of the University/College with atleast five research publications in refereed journals and any regular Associate/Assistant Professor of the University/College with a Ph.D. Degree and at least two research publications in refereed journals may be recognized as Research Supervisor.
- (b) Only a full time regular teacher of the University can act as a Supervisor. External Supervisor are not allowed however Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the University or from other related institutions with the approval of Research Advisory Committee.

- (ii) University shall allocate the supervisor/co-supervisor form amongst the regular faculty members depending on the number of students per faculty member the available specialization among the faculty supervisors and the research interest of the student.
- (iii) In cases, where for valid academic reasons, it is felt that the guidance of an additional Research Supervisor is desirable, the Co-Supervisor may be appointed for joint supervision, provided the research student makes such a request which is also supported by the main Research Supervisor.
- (iv) At any given time, the maximum number of research students working with a Research Guide, shall not be more than **eight** in case of a Professor; **six** in case of an Associate Professor; and **four** in case of an Assistant Professor. Joint Supervision shall be counted as half.
- (v) In case of relocation of a Ph.D. woman scholar due to marriage or otherwise the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided the research work does not pertain to project secured by parent institution/supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

**(2) Change of the Research Supervisor**

The Doctoral Committee may consider the request of the candidate for change of the Research Supervisor. The candidate shall pay the prescribed fee for the change of the Research 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 otherwise in capacity of the Supervisor to continue supervision on health grounds or shifting to a distant place.

**(3) Change of Area of Research**

The change in the topic or area of research may be allowed by the Doctoral Committee on the recommendation of the Research Advisory Committee. However, such change is only permissible once during the

entire period of registration. The candidate shall pay the prescribed fee for the change of topic.

**(4) Cancellation of Registration**

The registration of the candidate may be cancelled in any of the following circumstances, with the approval of the Vice-Chancellor if the candidate:

- (i) fails to submit two continuous progress reports; or
- (ii) resigns from the Ph.D. Degree Programme and his/her cancellation recommended by the Research Advisory Committee; or
- (iii) research progress is found unsatisfactory by the Research Advisory Committee; or
- (iv) is found to be involved in any act of indiscipline or of misconduct, whatsoever.

**(5) Quorum**

The quorum for all the committees provided herein shall be fifty percent of the total strength of the member of the Committee including the Chairman.

**(6) Residuary Powers**

- (i) Notwithstanding anything contained in the foregoing rules/regulations, the candidates shall be governed by the regulations and procedures framed/amended by the University from time to time.
- (ii) The Vice-Chancellor shall have power to take appropriate decision in case of any ambiguity or difficulty in interpretation of these rules.

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**REPORT OF THE BOARD OF EXAMINERS FOR VIVA-VOCE**

1. NAME OF THE CANDIDATE \_\_\_\_\_
2. REGISTRATION NO. \_\_\_\_\_
3. TITLE OF THE THESIS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. NAME AND ADDRESS OF THE SUPERVISOR \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
5. NAME AND ADDRESS OF THE CO-SUPERVISOR (IF ANY) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
5. FACULTY (LAW/SOCIAL SCIENCES) \_\_\_\_\_
6. NAME AND ADDRESS OF THE EXTERNAL EXAMINER WHO CONDUCTED VIVA-VOCE \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
7. NAME OF THE MEMBERS OF THE BOARD OF EXAMINERS FOR VIVA-VOCE
  1. \_\_\_\_\_
  2. \_\_\_\_\_
  3. \_\_\_\_\_
  4. \_\_\_\_\_

(I) GENERAL COMMENTS ON PRESENTATION GIVEN BY THE CANDIDATE

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(II) WHETHER THE CANDIDATE WAS ABLE TO DEFEND THE FINDINGS?

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(III) WHETHER ANY CORRECTIONS/SUGGESTIONS AS PER REPORTS OF THE EVALUATION EXAMINERS NEED TO BE INCORPORATED IN THE THESIS BEFORE THE AWARD OF DEGREE?

NO [ ]

YES [ ]

IF YES, RELEVANT PORTIONS OF THE THESIS EVALUATION EXAMINERS' REPORTS INDICATING WEAKNESSES/SHORTCOMINGS/ SUGGESTIONS PLEASE BE MARKED AS 'A', 'B' 'C'... ON THE COPIES OF THE RESPECTIVE REPORTS.

(IV) WHETHER PH.D. DEGREE BE AWARDED?

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(V) ANY OTHER REMARKS

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\_\_\_\_\_  
(EXTERNAL EXAMINER)

\_\_\_\_\_  
(NOMINEE OF THE VICE-CHANCELLOR)

\_\_\_\_\_  
(SUPERVISOR)

\_\_\_\_\_  
(CO-SUPERVISOR)

**Pre-Ph.D. Course Work of "Research and Publication Ethics (RPE)"**

**ANNEXURE**

**Course Title:**

- **Research and Publication Ethics (RPE)**-Course for awareness about the publication ethics and publication misconducts.

**Course Level:**

- 2 Credit course (30 hrs.)

**Eligibility:**

- M.Phil., Ph.D. students and interested faculty members (It will be made available to post graduate students at later date)

**Fees:**

- As per University Rules

**Faculty:**

- Interdisciplinary Studies

**Qualifications of faculty members of the course:**

- Ph.D. in relevant subject areas having more than 10 years' of teaching experience

**About the course**

**Course Code: CPE- RPE**

**Overview**

- This course has total 6 units focusing on basics of philosophy of science and ethics, research integrity, publication ethics. Hands-on-sessions are designed to identify research misconduct and predatory publications. Indexing and citation databases, open access publications, research metrics (citations, h-index, Impact Factor, etc.) and plagiarism tools will be introduced in this course.

**Pedagogy:**

- Class room teaching, guest lectures, group discussions, and practical sessions.

**Evaluation**

- Continuous assessment will be done through tutorials, assignments, quizzes, and group discussions. Weightage will be given for active participation. Final written examination will be conducted at the end of the course.

**Course structure**

- The course comprises of six modules listed in table below. Each module has 4-5 units.

| Module          | Unit Title                     | Teaching hours |
|-----------------|--------------------------------|----------------|
| <b>Theory</b>   |                                |                |
| RPE 01          | Philosophy and Ethics          | 4              |
| RPE 02          | Scientific Conduct             | 4              |
| RPE 03          | Publication Ethics             | 7              |
| <b>Practice</b> |                                |                |
| RPE 04          | Open Access Publishing         | 4              |
| RPE 05          | Publication Misconduct         | 4              |
| RPE 06          | Databases and Research Metrics | 7              |
|                 | <b>Total</b>                   | <b>30</b>      |

**Syllabus in detail**

**THEORY**

- RPE 01: PHILOSOPHY AND ETHICS (3 hrs.)**
  1. Introduction to philosophy: definition, nature and scope, concept, branches
  2. Ethics: definition, moral philosophy, nature of moral judgements and reactions
- RPE 02: SCIENTIFIC CONDUCT (5hrs.)**
  1. Ethics with respect to science and research
  2. Intellectual honesty and research integrity
  3. Scientific misconducts: Falsification, Fabrication, and Plagiarism (FFP)
  4. Redundant publications: duplicate and overlapping publications, salami slicing
  5. Selective reporting and misrepresentation of data
- RPE 03: PUBLICATION ETHICS (7 hrs.)**
  1. Publication ethics: definition, introduction and importance
  2. Best practices / standards setting initiatives and guidelines: COPE, WAME, etc.
  3. Conflicts of interest
  4. Publication misconduct: definition, concept, problems that lead to unethical behavior and vice versa, types
  5. Violation of publication ethics, authorship and contributorship
  6. Identification of publication misconduct, complaints and appeals
  7. Predatory publishers and journals

**PRACTICE**

- RPE 04: OPEN ACCESS PUBLISHING(4 hrs.)**



1. Open access publications and initiatives
  2. SHERPA/RoMEO online resource to check publisher copyright & self-archiving policies
  3. Software tool to identify predatory publications developed by SPPU
  4. Journal finder / journal suggestion tools viz. JANE, Elsevier Journal Finder, Springer Journal Suggester, etc.
- **RPE 05: PUBLICATION MISCONDUCT (4hrs.)**
    - A. Group Discussions (2 hrs.)**
      1. Subject specific ethical issues; FFP, authorship
      2. Conflicts of interest
      3. Complaints and appeals: examples and fraud from India and abroad
    - B. Software tools (2 hrs.)**


Use of plagiarism software like Turnitin, Urkund and other open source software tools
  - **RPE 06: DATABASES AND RESEARCH METRICS (7hrs.)**
    - A. Databases (4 hrs.)**
      1. Indexing databases
      2. Citation databases: Web of Science, Scopus, etc.
    - B. Research Metrics (3 hrs.)**
      1. Impact Factor of journal as per Journal Citation Report, SNIP, SJR, IPI, Cite Score
      2. Metrics: h-index, g index, i10 index, altmetrics

#### References

- Bird, A. (2006). *Philosophy of Science*. Routledge.
- MacIntyre, Alasdair (1967) *A Short History of Ethics*. London.
- P. Chaddah, (2018) *Ethics in Competitive Research: Do not get scooped; do not get plagiarized*, ISBN:978-9387480865
- National Academy of Sciences, National Academy of Engineering and Institute of Medicine. (2009). *On Being a Scientist: A Guide to Responsible Conduct in Research: Third Edition*. National Academies Press
- Resnik, D. B. (2011). What is ethics in research & why is it important. *National Institute of Environmental Health Sciences*, 1–10. Retrieved from <https://www.niehs.nih.gov/research/resources/bioethics/what/index.cfm>
- Beall, J. (2012). Predatory publishers are corrupting open access. *Nature*, 489(7415), 179–179. <https://doi.org/10.1038/489179a>
- Indian National Science Academy (INSA), *Ethics in Science Education, Research and Governance*(2019), ISBN:978-81-939482-1-7. [http://www.insaindia.res.in/pdf/Ethics\\_Book.pdf](http://www.insaindia.res.in/pdf/Ethics_Book.pdf)

Sr. No.: ..... Roll No.: .....

**RAJIV GANDHI NATIONAL UNIVERSITY OF LAW, PUNJAB**  
 Established under the Punjab Act No. 12 of 2006  
 (Accredited with 'A' Grade by NAAC)

  
**RESULT-CUM-DETAILED MARKS CARD**  
 FOR COURSE WORK OF Ph.D. PROGRAMME  
 (COMPLIANT WITH UGC (MINIMUM STANDARDS AND PROCEDURE  
 FOR AWARD OF M.Phil/Ph.D. DEGREE) REGULATION, 2003)

Batch: .....

☐ LAW      ☐ SOCIAL SCIENCES      ☐ LANGUAGE

Name: .....

Father's Name: .....

Mother's Name: .....

Registration No.: .....

**SUBJECT-WISE DETAIL OF MARKS / GRADES**

| S. No. | Subject   |           | Marks Scheme   |      |      |                     |        |                      |
|--------|---|-----------|----------------|------|------|---------------------|--------|----------------------|
|        |   |           | Marks Obtained | Min. | Max. | Grade Point Secured | Credit | Credit Point Secured |
| 1.     | Research Methodologies Including Quantitative Analysis        | Th./Prac. |                | 50   | 100  |                     | 2      |                      |
| 2.     | Review of Literature and Scope of Work                        | Prac.     |                | 25   | 50   |                     | 1      |                      |
| 3.     | Research Techniques to be Applied to the Topic Under Research | Prac.     |                | 25   | 50   |                     | 1      |                      |
| 4.     | Research and Publication Ethics (RPE)                         | Th./Prac. |                | 50   | 100  |                     | 2      |                      |
| Total  |   |           |                | 150  | 300  |                     | 6      |                      |

PASS ☐      FAIL ☐

Passed Securing: .....

Grade: .....

Place: ..... Dated: .....

Registrar

For Scheme of Grades see overleaf

**DOCTOR OF PHILOSOPHY  
COURSE WORK IN LAW / SOCIAL SCIENCES / LANGUAGE**

**SCHEME OF GRADES (FOR Ph.D.)**

| Sr. No. | Score (%) | Grade Point | Grade                  |
|---------|-----------|-------------|------------------------|
| 1       | Above 80  | 10          | (O) Outstanding        |
| 2       | 75-80     | 9.5         | (E) Excellent          |
| 3       | 70-74     | 9.0         | (D) Distinction        |
| 4       | 65-69     | 8.5         | (A+) High First Class  |
| 5       | 60-64     | 8.0         | (A) First Class        |
| 6       | 55-59     | 7.5         | (B+) High Second Class |
| 7       | 50-54     | 7.0         | (B) Second Class       |
| 8       | Below 50  | 0.0         | (F) Fail               |

Full Signature { Prepared by : .....  
 Checked by : .....  
 Superintendent Exam : .....

Controller of Examination

Photo

## CERTIFICATE

This is to certify that Mr. / Ms. \_\_\_\_\_  
S/o, D/o, Mr./Ms. \_\_\_\_\_  
has appeared in Ph.D. Course Work Examination in the subject \_\_\_\_\_  
\_\_\_\_\_ under the  
Faculty of \_\_\_\_\_  
under Roll No. \_\_\_\_\_ and Registration No. \_\_\_\_\_  
conducted in the Year \_\_\_\_\_ and has qualified the Ph.D. Course Work  
Examination as per RGNUL University Regulations. He / She fulfils the eligibility criteria  
according to University Grants Commission (Minimum Standard for Award of Ph.D. Degree)  
Regulations.

Ph.D. Coordinator

Registrar

*(Signature of Registrar)*