

CNLU PhD Regulations

1. Preamble

Doctoral program at CNLU encourages interdisciplinary and innovative research at the intersections of law, social sciences, and humanities, as envisaged in the National Education Policy, 2020. In this direction, the University offers full-time doctoral program in the following specializations:

- I. Ph.D. (Law)
- II. Ph.D. (Multidisciplinary)
- III. Ph.D. (Sociology/Political Science/History/Economics/Management/English)

The following regulations shall be applicable to the entire doctoral research, including Ph.D. students and Research Supervisors of the University, and will be called “CNLU PhD Regulations.”

2. Eligibility

Eligibility criteria for the above-mentioned programs are as follows:

a. Candidates who have completed:

A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed

or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/BC/EBC/PwD (Persons with Disabilities), Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time. Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/BC/EBC/PwD (Persons with Disabilities), Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Note:

Admission is subject to reservation as per the Bihar (In Admission in Educational Institutions) Reservation Act, 2003 (Bihar Act 16 of 2003) and other applicable rules. The candidates outside of the State of Bihar shall not claim the benefits of reservation under EWS as per the Bihar Reservation in vacancies in posts and in services and in Admission in the Educational Institutions (For Economically Weaker Sections) Act, 2019.



(This implies that candidates with qualifications in social sciences, humanities, sciences and commerce/management or other related or allied disciplines may be admitted to the programme.)

- b. Those clearing in UGC-NET in any of the three categories are eligible to apply for the admission to Ph.D. programmes:

Category-1: Eligible for (i) admission to Ph.D. with JRF and (ii) appointment as Assistant Professor.

Category-2: Eligible for (i) admission to Ph.D. without JRF and (ii) appointment as Assistant Professor.

Category-3: Eligible for admission to Ph.D. programme only and not for the for the award of JRF or appointment as Assistant Professor

- c. Sponsored candidates are required to submit a sponsorship certificate from their employers on an official letter head clearly stating that for the period of his/her studies under the programme, the candidate would be treated on duty with usual salary and allowances and that he/she will be fully relieved for the full period of the study and admissible fee of the candidate will be paid by the sponsoring organization.
- d. Candidates seeking admissions to Ph.D. programmes based on study leave must present a proof at the time of interview of the fact that they will be/have been granted study leave for a minimum period of three years.
- e. The Vice-Chancellor of the University may permit a member of the CNLU faculty to pursue the Ph.D. programme along with regular teaching responsibilities in the interest of career development and institutional growth.

3. Admission

- a. Applications to the doctoral programme must be necessarily made on the prescribed form of the university.
- b. The selection criteria for Ph.D. admission are as follows:
- I. For those candidates with **Category-2** and **Category-3** of UGC-NET, 70% weightage is given to their NET score and 30% weightage is to their performance in the personal interview.
 - II. For those candidates who have a valid JRF, the selection will be based on the performance in personal interview only.
 - III. *In case, the valid JRF holders are not selected based on performance in personal interview, then the criteria applied to Category-2 and Category-3 of UGC-NET i.e., 70% weightage for NET score and 30% weightage for personal interview shall apply.*
- c. The candidates must upload a research proposal or concept note (minimum two thousand words) to their proposed research along with their admission form.
- (The questions/discussion in the personal interview will mostly focus on the proposed research topic/research interest).*

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- d. Admission is subject to vacancies as available in the relevant areas of specializations.
- e. After the selection, the candidates will be admitted to the doctoral program.
- f. The fee structure for the same will be as follows:

Admission Fees (one time)	25000/- (twenty-five thousand)
Course work Fees (one time)	15000/- (fifteen thousand)
Facilities Fees (per annum)	10000/- (ten thousand)
Library Fees (per annum)	15000/- (fifteen thousand)
Library Deposit Fees (refundable)	5000/- (five thousand)
Semester Fees (per annum)	16000/- (sixteen thousand)
Total Fee (at the time of admission)	86000/- (eighty-six thousand)

- g. The date of admission will be considered as the corresponding date of registration.

4. Coursework

The Ph.D. coursework shall be treated as a pre-requisite for Ph.D. to overcome any deficiency in the domain of fundamental training for advanced work.

- a. The credit assigned to the Ph.D. course work shall be a minimum of twelve credits.
- b. To fulfil the coursework requirement, a student will be required to complete the following courses:
- I. Research Methodology – 6 credits.
 - Research Methodology in Law and Social Sciences
 - Quantitative and Qualitative Research Methods
 - Research and Publication Ethics
 - II. Teaching Methodology (with Research Supervisor) – 2 credits
 - III. Literature Review for Doctoral Research (under the supervision of RAC) – 2 credits
 - IV. Any other advanced course as recommended by RAC – 2 credits.
- c. After completion of the prescribed coursework, a combined assessment of fulfilment of the requisite credit earned and grades thereof will be conducted and finalized by the RAC and communicated to the DRC through Dean (Research).
- d. A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the course work to be eligible to continue in the program and submit his or her thesis.
- e. The Ph.D. course work must be completed within six months of joining the program. In case, if the student fails to complete the course work within six months of joining, the DRC on the

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recommendation of the RAC through Dean (Research) may grant extension for up to six months. The RAC must record reasons for the same and communicate it to the DRC through Dean (Research).

5. Research Proposal Defense:

- a. A student will be permitted to appear for defending the research proposal only after the successful completion of the Ph.D. course work.
- b. As a part of the research proposal defense, a draft research proposal must be prepared by the student in consultation with the Research Supervisor(s). The Research Supervisor will circulate the draft proposal, at least 10 days prior to the research proposal defense, to a panel comprising of the RAC members and other invited members, if any, and schedule the research proposal defense.
- c. The panel may recommend a repeat of the research proposal defense in case of any failure.
- d. After the satisfactory defense, the student will submit his/her final research proposal and related documents to the DRC through Dean (research) with due approval from the Research Supervisor.
- e. The final research proposal must be submitted to the DRC through Dean (Research) within a period of 12 months from the date of registration in the Ph.D. program and not later than that under any circumstances. *To avoid unnecessary delays a pre-proposal defense may be planned at least 3 months prior to the deadline.*
- f. The students' evaluation will be based on an oral presentation and the accompanying draft research proposal that should include:
 - I. Proposed title
 - II. Introduction and literature review
 - III. Rationale for research (through identification of gaps etc.)
 - IV. Research objectives, questions, hypotheses/propositions.
 - V. Proposed methodology and ethical considerations
 - VI. Expected outcomes and Proposed Timeline.
- g. The presentation should also list the Ph.D. courses completed, grades obtained, and any other research-related activities undertaken by the student.
- h. If, any major changes are suggested in the research proposal due to exceptional circumstances, as assessed by the RAC, including, but not limited to the topic, objectives and methodology, the RAC may recommend submission of a revised research proposal to be followed up by fresh research proposal defense and same should be communicated to the DRC by RAC through Dean (Research).
- i. After the successful oral defense of the research proposal, the same needs to be submitted for approval to the Institutional Ethics Committee (IEC) at CNLU through Dean (Research). Approval from the IEC is mandatory for any research in the University, including the doctoral research.



- j. The Oral defense of research proposal will be open to all the faculty members of the University.

6. Duration of the Doctoral Program

- a. Doctoral program shall be undertaken for a minimum duration of three years, including course work and for a maximum of six years. The date of thesis submission shall be considered as the relevant benchmark for assessing the duration of the Ph.D. program.
- b. The women candidates and persons with disability (more than 40% disability) may be allowed a maximum possible relaxation of 2 years in the maximum duration; however, the total period for completion of a Ph.D. program in such cases should not exceed ten (10) years from the date of admission in the Ph.D. program. The request for relaxation by the candidate should reach the Research Supervisor prior to completion of 6 years. The Supervisor should forward the request to the DRC through Dean (Research).
- c. Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240days in the entire duration of the Ph.D. program.
- d. The maximum time limit for submission of Ph.D. thesis (over and above 6b and 6C) may be extended by the DRC through Dean (Research) based on a specific request by the Research Supervisor(s) concerned and duly recommended by the Research Advisory Committee (RAC) as a special case for a period of one year (on a maximum of two occasions), following the acceptance of which the registration will automatically stand cancelled. While recommending it to the DRC through Dean (Research), the RAC may consider one or more of the following criteria as accentuating circumstances (based on the actual evidence produced by the candidate):
- I. Medical Exigency.
 - II. Discontinuity in supervision (due to non-availability of Supervisor).
 - III. Change in focal area of research due to possible emergence of any new/unforeseen challenges in conducting research.
- e. In case of extension, Ph. D. Scholars shall pay the applicable fee, prevailing at CNLU.

7. Allocation/Eligibility of Research Supervisor:

- a. The DRC will allocate a Research Supervisor(s) for every doctoral student within a month of their admission to the doctoral program. The DRC must consider the following while making its decision.

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- b. Any Professor of CNLU with at least five (5) research publications in peer-reviewed journals and any Associate/Assistant Professor of the University with a Ph.D. degree and at least two (2) research publications in peer-reviewed journals may be recognized as a Research Supervisor.
- c. Only a full-time faculty member of the University can act as a Research Supervisor and external members cannot be allowed as Supervisors. However, Co-Supervisor from other institutions can be allowed in inter- disciplinary areas and/or as warranted by the research area with due approval of the Research Supervisor(s).
- d. The allocation of Research Supervisor(s)/Co-supervisor(s) for a selected research scholar shall be decided by the Doctoral Research Committee (DRC) of the University. The DRC may base its decisions on factors like:
 - I. number of existing research scholars per Research Supervisor,
 - II. the available specialization amongst the Supervisors and importantly,
 - III. the research interests of the scholars as indicated by them in the application form or at the time of interview.
- e. A Research Supervisor/Co-supervisor who is a professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as a Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.
- f. 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 all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the CNLU faculty member from any funding agency. The scholar will, however, give due credit to the Research Supervisor and CNLU for the part of research already done.
- g. Re-allocation of Research Supervisor
 - I. In case a Research Supervisor leaves or retires CNLU before the student clears RAC thesis presentation, s/he may continue to supervise the scholar(s) in CNLU as external Co-Supervisor only.
 - II. However, the out-going supervisor will be considered as Co-supervisor, only if S/he wishes so and upon approval from DRC/CRC and only if the student has cleared the course work requirements along with a successful defense of Research Proposal after completion of the course work requirements.
- h. The outgoing Supervisor may recommend a new Supervisor in proper consultation with the RAC and the scholar for due approval from the DRC. If this process has not been completed before leaving the faculty,



then the DRC Chairperson shall initiate the process of change of Supervisor in consultation with erstwhile RAC members and the scholar. The erstwhile RAC members may be given preference for appointment as a new Supervisor.

- i. If the Supervisor leaves after the successful completion of the requirements of RAC thesis presentation by the student, s/he shall continue as the Supervisor if a request for the same is received three months before date of leaving/retiring by the outgoing Research Supervisor and the same is duly recorded in the DRC minutes.
- j. To facilitate the scholar for submission of her/his thesis and take care of the timebound academic and administrative matters a faculty member of CNLU shall be appointed as 'officiating Supervisor' by DRC to facilitate the scholar for submission of her/his thesis and take care of the timebound academic and administrative matters. The name of the officiating Supervisor will not be appearing in the thesis. Due acknowledgement may be given to the officiating supervisor for his/her contributions by the student. If a co-Supervisor from CNLU already exists, then S/he shall act as the officiating Supervisor to facilitate thesis submission.



- k. In absence of a Co Supervisor from CNLU, if DRC and RAC fail to appoint an officiating Supervisor, the DRC Chairperson would assume the position of officiating supervisor for the purpose.
- l. In case no request for continuation is received from the outgoing Research Supervisor by due date, then DRC Chairperson shall initiate the process of change of Research Supervisor in consultation with erstwhile RAC members and the scholar. The erstwhile RAC members may be given preference for appointment as a new Supervisor.
- m. A Research Supervisor(s) under exceptional circumstances may place a request to relinquish a student to the DRC. The DRC Chairperson shall initiate the process of change of Research Supervisor in consultation with RAC members.
- n. In all such matters, the final approving authority will be the DRC.

8. Attendance Requirements:

- a. A doctoral scholar is an integral part of academic and research life at CNLU and hence encouraged to participate in research and academic activities of the University under the guidance of CNLU faculty.
- b. A Ph.D. student is expected to attend all the classes in each course, in which he/she is registered. In case his/her attendance is less than 75%, he/she will be debarred from the evaluation for the course and will be awarded an Ab Grade.
- c. A doctoral scholar, after having completed the course work, must attend to his/her research work on all working days and mark attendance except when s/he is on leave or any official work as approved by the Research Supervisor.
- d. The University should develop a mechanism for registering attendance.

9. Grant of Leave for Ph.D. students:

- a. During the course work, a full-time Ph.D. student, during his/her stay at CNLU will be entitled to a leave for 30 days, including leave on medical grounds, per academic year. However, the leave will be granted subject to the approval of the Research Supervisor.
- b. After completing the course work a full-time Ph.D. student during his/her stay at the University will be entitled to leave for 30 days per academic year. In addition, a Ph.D. scholar who has completed his/her course work may be granted leave on medical grounds for up to 10 days per academic year.



- c. The female Ph.D. scholars are entitled to maternity leave/childcare leave and male Ph.D. scholar to paternity leave once in the entire duration of the Ph.D. program for up to 240 days and 15 days, respectively.
- d. In exceptional circumstances, student may avail "zero semester," with approval by DRC on the recommendation of RAC.
- e. In an approved "zero semester", the candidate is not required to pay the admissible fees. A "zero semester" will not count towards the minimum/maximum duration of the Ph.D. program.
- f. A "zero semester" can be approved for a maximum of one time, in a candidate's Ph.D. program duration.

10. Evaluation, Assessment Methods, and Standards for award of PhD degree

- a. The Ph.D. scholar may submit his/her thesis at any time if s/he has completed the minimum period of registration (3 years including coursework) and S/he has completed the course work requirement as prescribed by the DRC on the recommendations of the RAC and has also successfully defended his/her research proposal.
- b. Prior to the submission of the thesis, the scholar shall make a presentation before the RAC, which shall also be open to all the faculty members and other research scholars of the University. Relevant feedback and comments obtained from them may be suitably incorporated into the draft thesis in due consultation with the Research Supervisor(s). The duly approved minutes and the Action Taken Report (ATR) by the Research Supervisor(s) shall be submitted to the DRC through Dean (Research) within six months of time from the presentation.
- c. In addition to the thesis, the scholar is required to submit a synopsis document, duly approved by the Research Supervisor(s). The synopsis document summarizes the thesis, which introduces the potential examiner(s) to the objectives, methodology, and major findings along with an outlined structure of the thesis.
- d. Ph.D. scholars must have:
 - a published record or proof of acceptance for publication of at least one (1) research paper in SCOPUS indexed journal, which is a direct



outcome of their Ph.D. research (review paper will not be counted for this purpose)

- having made two paper presentations in conferences/seminars before submission of the thesis for adjudication and produced evidence for the same in the form of presentation certificates and/or reprints.
- e. The thesis will be scrutinized for plagiarism, if any, using appropriate scientific software for detection of similarity.
 - f. While submitting for evaluation, the thesis shall have an undertaking from the research scholar regarding the originality of the work presented, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the CNLU where the work was carried out, or to any other Institution (Excluding part of the own Ph.D. work published in journals or conference proceedings).
 - g. The thesis shall be written in English in the specified format and shall contain:
 - I. a critical account of the students' research. It should be characterized by the discovery of facts or a fresh approach towards the interpretation of facts and theories or a significant contribution to the knowledge of design or development, or a combination of them.
 - II. It should bear evidence of the student's capacity for analysis and judgment, and his/her ability to conduct independent investigation, design, or development.
 - III. Four copies of thesis in hard bound binding shall have to be submitted by scholar in a prescribed format. In case of joint supervision, additional copies of the thesis are required to be submitted. Additionally, a soft copy of the thesis shall be submitted.
 - h. The Ph.D. thesis submitted by the scholar shall be evaluated by an approved Board of Examiners. The Research Supervisor(s) shall provide a list of potential examiners (not less than seven) of international repute to the DRC through Dean (Research).
 - i. The Chairperson, DRC, will appoint a Board of Examiners for each doctoral scholar.
 - j. The Board of Examiners will consist of Research Supervisor(s) as internal examiners and at least two external examiners of whom one examiner may be from outside the country.

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- k. Each examiner will submit a detailed assessment report, preferably within two months but not exceeding three months, recommending to the Chairperson, DRC, one of the following courses of action:
 - I. That the thesis is deemed satisfactory and that the student may defend his/her thesis orally before a committee constituted for the purpose and any members of the faculty and research students who wish to be present.
 - II. That the student may submit a revised thesis. In normal circumstances, s/he may submit the revised thesis within a period of one year from the date of communication in this regard from the Chairperson, DRC. However, in exceptional circumstances, this period may be extended by the Chairperson, DRC by another one year; the total revision time, irrespective of the number of revisions allowed, will not exceed a period of two years.
 - III. The thesis may be outrightly rejected due to specific reasons as given in the detailed report by the external examiners.
- l. In the event of any disagreement arising between the external examiners, the Chairperson, DRC, may, as a special case, appoint yet another external examiner, if the merit of the case demands. The examiner thus appointed will report to the Chairperson, DRC.
- m. The oral defense of the thesis shall be conducted by an Oral Defense Committee consisting of the internal examiner(s) and at least one external examiner and Dean (Research) its Convenor.
- n. If, for some reason, neither of the external examiners is available for the conduct of the oral defense, an alternative external examiner shall be appointed by the Chairperson, DRC.
- o. On completion of all stages of the examination, the Convenor, Oral Defense Committee shall recommend to the Chairperson, DRC, along with a report of the Oral Defense Committee duly signed by all its members, one of the following courses of action.
 - I. That the degree be awarded.
 - II. That the student should be examined further on another occasion in a manner that they shall prescribe.
 - III. That the degree shall not be awarded.



- p. The degree shall be awarded provided that: the Oral Defense Committee, so recommends; the student produces a 'no dues certificate' from all those concerned in the prescribed form and gets it forwarded by the Research Supervisor; and the student has submitted three hard-bound copies of the thesis, after incorporating all necessary corrections and modifications in the version submitted earlier and duly certified by the Supervisor(s), after the viva voce examination (one of the copies is to be kept at the CNLU library.)
- q. Prior to the actual award of the degree, a Provisional Certificate shall be issued by the University upon successful completion of the oral defense.

11. Doctoral Research and University Committees:

- a. **Doctoral Admission Committee (DAC):** The Chairperson, DRC, shall constitute a Doctoral Admission Committee, consisting of regular faculty members, representing all departments of the University, and external experts to supervise the admission process and administration of the full-time doctoral programs.
- b. **Research Advisory Committee (RAC):** RAC shall be formed by the DRC for each Ph.D. student in consultation with the Research Supervisor within a month of the student's admission.
- I. The composition of RAC will be:
- Research Supervisor (Convenor),
 - Co- Supervisor (if any),
 - At least two faculty members from CNLU faculty.
 - The Convenor may co-opt any other external expert as an RAC member or Co- Supervisor.
- II. Roles and Responsibilities of RAC:
- To review the research proposal and finalize the topic of research under consideration.
 - To advise the research scholar to develop the study design and methodology of research.
 - Identify the course(s) that he/she may have to undertake.
 - To periodically review and assist in the progress of the research work of a research scholar.
 - To advise and monitor the progress of the doctoral scholar periodically.



- Ph.D. scholars shall appear before their RAC at least once each semester to make a presentation of the progress of his/her work for evaluation and further guidance.
- The semester progress report shall be submitted by the RAC to DRC through Dean (Research).
- An 'X' grade will be awarded by the Research Supervisor along with the comments received for that semester if the progress is 'satisfactory.'
- In case the progress of the research scholar is unsatisfactory 'U,' grade will be awarded by the Research Supervisor(s), and the RAC shall record the underlying reasons for the same and suggest corrective measures.
- If the research scholar fails to implement these corrective measures, the RAC may recommend a 'U' grade along with comments to the Research Supervisor. When a 'U' grade is awarded for the first time, a warning will be issued to the student.
- If, his/her performance does not improve even after the warning, on receiving a total of three 'U' grades or two consecutive 'U' grades, the student will be de-registered from the Ph.D. programme. Two 'U' grades with a zero-semester in-between will be considered as two consecutive 'U' grades.
- An absent grade (Ab) would be awarded for not meeting the attendance requirement compliance as stipulated by CNLU. On receiving a total of three 'Ab' grades or two consecutive 'Ab' grades, the student will be deregistered from the Ph.D. programme. Two 'Ab' grades with a semester of zero in between will be considered as two consecutive 'Ab' grades.
- The role of RAC ceases to exist with the successful thesis presentation in front of the RAC by the doctoral scholar.



c. **Doctoral Research Committee (DRC):** DRC is the apex body regarding doctoral research in the University.

I. The composition of DRC will as follow:

- Vice Chancellor of the University – Chairperson
- Dean, (Research) - Member Secretary
- Two external experts nominated by the Vice-Chancellor (Member)
- Dean, Social Sciences and Humanities (Member)
- Head, Centre for Post Graduate Legal Studies (Member)
- Dean, Academic Affairs and Law (Member)
- Three other CNLU faculty as members (to be appointed by the Chairman from Law, Social Sciences & Humanities, and Management Departments)

II. Roles and Responsibilities of DRC

- The academic programme of all the PhD students in the University will be coordinated by the DRC as per the CNLU PhD Regulations, upon recommendations of the RAC.
- Prepare and periodically review the research plans of the University, so that there is consistency with the overall vision and Research Agenda of the University.
- DRC will allocate Research Supervisor(s) and form RAC for each PhD scholar within a month of his/her admission to the doctoral programme.
- DRC will supervise and oversee the functions of the RAC.
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- The academic program of all the Ph.D. students in the University will be coordinated by the DRC as per the CNLU PhD Regulations upon recommendations of the RAC.
- Prepare and periodically review the research plans of the University, such that these align with the overall vision of the CNLU.

Note: For removal of any doubts, the decision of the Vice-Chancellor shall be final.

