



MAHARASHTRA NATIONAL LAW UNIVERSITY MUMBAI DOCTOR OF PHILOSOPHY (Ph.D.) REGULATION 2016

PREAMBLE

These Regulations have been framed in accordance with the UGC (Minimum Standards and Procedures for Award of M.Phil. / Ph.D. Degrees) Regulations, 2016.

Whereas research in law and interdisciplinary enquiry of juridical concepts are a concomitant part of the National Law University model of advanced legal education and research. Law and research are integral part of learner centric curriculum of MNLU Mumbai;

Whereas, the formal research degree in law leading to the award of PhD degree in law needs to adhere to the UGC stipulated Minimum Standards and Procedures;

Whereas one of the central objects of MNLU Mumbai is to contribute meaningfully to the promotion and advancement of social justice through quality research;

Whereas training research scholars and academicians are necessary to generate a knowledge pool.

Hence, the following regulations will consider exploring goals beyond compliance to the minimum standards and procedures with respect to research techniques and methods at the coursework to set a benchmark in advanced legal education and research.

I. ADMINISTRATION

By the Post Graduate and Research Department (P.G.& R) constituted by the Vice Chancellor.

II. INTAKE

MNLU Mumbai shall decide the number of seats available for admission in the respective areas/ domains of Ph. D. from time to time, subject to the availability of faculty supervisors/ guides in the relevant area/ specialization/ domain. This shall be done before the commencement of the Admission. The Board of Studies of law constituted by the Vice Chancellor shall specify and assign scholars to the respective supervisors.

III. NOTIFYING AVAILABILITY OF SEATS

MNLU Mumbai shall notify and advertise the number of research seats available. The University shall also notify the admission details through the University Website and through at least two newspapers of which one shall be in regional language. The admission shall be made through Ph.D Admission Test (PAT) conducted by the University.

IV. ELIGIBILITY

1. Candidates seeking admission to the Ph.D. Programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree 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 for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
2. A relaxation of 5% of marks, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
3. Candidates who have cleared the M.Phil. Course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated programme. 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/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time.
4. Candidates whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D;
5. Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, 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 for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.

V. DURATION

1. The candidates are required to carry out research for a minimum period of three years, including coursework, from the date of registration, and submit thesis within a maximum period of six years.
2. Failure to complete within the stipulated time (maximum period of six years) will lead to cancellation of registration.

VI. PROCEDURE FOR ADMISSION

1. Candidates who have qualified NET/SET/JRF examination are exempted from PAT conducted by MNLU Mumbai. They shall be eligible to directly appear at the personal interview along with PAT qualified candidates as in rule VI (5).
2. Candidates who have not qualified NET/SET/JRF examination of the apex bodies in higher/technical professional education or other equivalent examination shall have to take Ph. D. Registration Admission Test” (PAT), conducted by MNLU Mumbai.
3. The candidate shall apply for PAT in the prescribed Application Form within the date notified.
4. The entrance test “PAT” will generally be of two hours’ duration. The questions will be of objective type inclusive of short answer questions and/or essay type based on Legal Research Methodology having 50% weightage and other law subjects. There shall be no negative marking.
5. The PAT qualified candidates and PAT exempted candidates, shall submit a tentative research proposal of about 1500 words including the hypothesis, the statement of problem and literature review.
6. Candidates seeking admission shall submit all documents as listed in proviso 15.
7. Based on the tentative research proposal a personal interview shall be conducted to examine the research methods & survey of literature.
8. All proposals shall be subjected to the MNLU Mumbai Plagiarism Policy. It shall be the responsibility of the candidates to produce anti plagiarism certificate at the time of interview and submit an undertaking to that effect. If the information is found contrary to the undertaking, the research process can be cancelled at any time.

9. Final selection shall be made on the basis of the personal interview and assessment of research proposal.
10. The PAT will be conducted centrally, at the scheduled time and place, as notified by the University.
11. Personal Interview shall be conducted immediately after the written test by a panel constituted by Postgraduate and Research Department (P.G.& R) with the approval of Vice-Chancellor. The interview shall consider the following aspects, viz. whether:
 - i) the candidate possesses the competence for the proposed research;
 - ii) the research work can be suitably undertaken at the University;
 - iii) the proposed area of research can contribute to new/additional knowledge
12. A merit list of the selected candidates shall be prepared by Postgraduate and Research Department (P.G.& R) in accordance with the distribution of marking criteria specified above. The merit list along with waiting list, prepared on the basis of the ranks shall be published by the University on the website.
13. After completion of the above process, only pre-determined number of students will be admitted to Ph. D. programme and they shall be assigned a registration number.
14. Categories of Enrolment:
 - a) The Ph.D. Degree programme shall ordinarily be a full-time programme of the University. The candidate shall put in a minimum of two-years residence of which at least 18 months shall be in the university. Minimum duration for the entire programme shall be three years, including course work and a maximum of six years.
 - b) A part-time candidate shall put in a minimum of four years, including course work, of part-time study in the University including time spent for research at any other place with the permission of the Supervisor. Conversion either from part-time to full-time or from full-time to part-time is to be permitted only with the approval of the Doctoral Committee.
15. **Registration for Ph.D. shall be deemed to have lapsed after three years from the date of enrolment for full-time scholars.** In such cases, however, the Postgraduate and Research Department (P.G.& R), on the application by the concerned scholar along with the report of supervisor, may grant extension for a period of six months at a time, not exceeding one year.
16. In case the candidate fails to submit the thesis within the extended period of time, the Vice Chancellor, MNLU Mumbai, may grant extension for one more year, on the application of the Scholar along with the recommendation of the Supervisor and the Research Committee.

VII. ALLOCATION OF RESEARCH GUIDE/SUPERVISOR

1. The allocation of the guide/ supervisor shall be decided on the basis of the following guidelines –
 - a. The allocation of the Supervisor for a selected candidate shall be decided by the Postgraduate and Research Department (P.G.& R) in a formal manner depending on the number of candidates per faculty member, the available specialization among the faculty supervisor.
 - b. A supervisor ordinarily cannot have more number of Ph.D. Scholars than prescribed by UGC guidelines

VIII. ELIGIBILITY TO BE A SUPERVISOR/GUIDE-

1. All full time Professors of the university, possessing Ph. D. degree, shall be eligible to be appointed as supervisor/guide. In exceptional circumstances, University may also appoint external expert as Supervisor/Guide for the students who wish to pursue Ph.D. Co-Supervisor (Joint- Guidance) may be recommended in inter-disciplinary areas with the approval of the Postgraduate and Research Department (P.G.& R)
2. Associate Professors/ Assistant Professor with Ph.D. Degree and at least five research publications in refereed journals may be recognised as Research Supervisor.

IX. RESEARCH SUPERVISION COMMITTEE (RSC) -

1. The Postgraduate and Research Department (P.G.& R) shall constitute Research Supervision Committee (RSC) for respective scholars with the approval of the Vice Chancellor.
2. The Constitution of RSC shall be as under :

Sr. No.	Name of the Committee members	Designation
1.	Supervisor/ Guide	Chairman
2.	Co Supervisor/ Guide (Optional)	Member
3.	One Expert from the field of academics	Member

3. RSC shall monitor the progress of the research scholar from time to time as per the proposed schedule of work presented by the scholar.

4. Responsibilities of RSC shall be as under:
 - To review the research proposal and finalize the topic of research.
 - To guide the scholar to develop the study design & methodology of research and identify the course(s) that he/she may have to do.
 - To periodically review and assist in the progress of the research work of the scholar.
5. Every scholar shall appear before the Research Supervision Committee (RSC) once in Six months to present the progress of his/her work for evaluation and further guidance.
6. The half yearly progress reports submitted by the scholar shall be forwarded by the Research Supervision Committee (RSC) to the Head of the Postgraduate and Research Department (P.G.& R) of the University in a prescribed format with a copy to the research scholar. If a scholar fails to submit two interim reports the registration shall automatically stand cancelled.
7. In case the progress of the research scholar is unsatisfactory, the Research Supervision Committee (RSC) shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the University, with specific reasons, a proposal for cancellation of the registration of the research scholar.

X. PRE PH.D. COURSE WORK

A Ph.D. scholar shall be required to undertake Course Work with the following requirements:

- a. There shall be at least one semester of stipulated Course Work.
- b. The 'Annual Pattern' for the Ph. D. Course work will be followed and marks should be sent to the examination department along with the required certificates signed by the Head, Postgraduate and Research Department (P.G.& R), only once at the end of the academic year for the publication of results.
- c. The Registrar shall publish the marks and the requisite certificate certifying that the Ph.D. scholar has successfully fulfilled the requirements of Pre Ph. D. Course Work.
- d. There shall be a compulsory course on Legal Research Method and three substantive domain courses, each carrying 4 credits related to Ph.D. research work. These courses shall be more in the form of seminar presentation, and workshop based on contemporary and cutting-edge research followed by a written examination of 100 marks each.
- e. In stipulating the content of the subject domain workshops, flexibility shall be retained so that the content may be current and contemporary.
- f. **Qualifying Criteria For Completion Of Course Work**

The qualifying percentage for each Pre Ph.D. course will be 60%. Other guidelines as regards clearing the course work are as under:

Sr. No.	Internal assessment (1/3 of maximum marks of ICA for passing)	Term end examination/ aggregate passing criteria (1/3 of maximum marks for TEE for passing and 60% on aggregate)	Proposed Course of Action
1.	Completed	Failed to pass	Such scholars will be required to re-register for the respective course/s in which he/ she has failed to pass, after completion of the stipulated period of entire Pre Ph.D. course work. Such scholars, thereafter, should complete the requirement of the respective course <i>ab initio</i> in which he/ she has failed. However, scholars who have failed to pass in more than two courses shall seek re-admission for the entire programme.
2.	Not completed	Not eligible for term end examination	Such scholars will be required to re-register for the respective course/s in which he/ she has failed to pass, after completion of the stipulated period of entire Pre Ph.D. course work. Such scholar, thereafter, should complete the requirement of the respective course <i>ab initio</i> in which he/ she has failed. However, a scholar who has failed to pass in more than two courses shall have to seek re-admission for the entire programme.
3.	Completed	Absent in term end examination due to exceptional circumstances such as hospitalization, death in family, posting outside India etc.	Special re-examination to be conducted, on recommendation by Head (P G & Research) and approval of the Vice Chancellor

- g. Wherever the course requires the candidate to carry out field work, the evaluation will be only by way of internal assessment also be made.
- h. In case a course/ subject has evaluation component of only End Term Examination or Internal Continuous Assessment, the passing for such a course/ subject shall be 60 % of the total marks allocated to that course/ subject. If a student fails to pass in any of such

course/subject/s s/he will have to appear for re-examination which will be conducted at the end of the academic year and before the next academic year begins or alternately improve the internal assessment marks (before commencement of the relevant end-term examination).

- i. Proportionate course fee shall be payable by such students who fail to pass and re-register for the respective course/s.
- j. A student who fails to pass in more than two courses/ subjects at the time of completion of the stipulated period of course work, will be required to seek re-admission for the entire course work along with the subsequent batch of students by paying full fees as applicable for that year.

XI. REGISTRATION OF THE SCHOLAR -

1. The title of the Scholar's proposal shall be approved by the Research Supervision Committee (RSC)
2. Copy of the Research Supervision Committee (RSC) minutes will be sent to the Registrar by the Head Postgraduate and Research Department (P.G. & R).
3. The Registrar shall communicate to the concerned scholar about his/her registration for Ph. D. along with the approved title and validity date.
4. A copy of the said registration letter shall be sent to the examination department by the Registrar.
5. The Registrar shall ensure that the above documents have been dispatched to all concerned.
6. The date of registration shall be the date of approval of the proposed research topic by the Research Supervision Committee (RSC)

XII. FINALIZATION/ CHANGE OF THE TITLE OF THE THESIS

The title shall be finalized within a year after the declaration of the results of the Pre - Ph. D Course Work.

Minor changes in the Title of the proposed research may be allowed only once, before the submission of the synopsis, on the request of the candidate and recommended by the respective supervisor. Request for such changes shall be placed before the Research Supervision Committee (RSC) for its approval.

XIII. REPORT SUBMISSION & PRESENTATION

The Scholar shall submit through his/ her guide the report of progress in his/ her research work. These reports shall be submitted once in every six months. If in two consecutive reports the progress of a scholar's research work is found to be unsatisfactory, he / she shall be automatically deregistered from the programme.

1. There shall be three presentations during the programme.
2. On completion of three months from the date of completion of the 'course work', the candidate is required to send / submit the first report of progress to the Examination Department which will be sent to the respective Supervisors for their evaluation and suggestions.
3. Thereafter the candidate will be furnished with the suggestions on the report made by the supervisors.
4. The first presentation should be made within one month of the receipt of the suggestions on the first report. It would require the candidate to detail out the identified problem, research outline, a set of research questions, proposed methodological approach, besides survey of literature.
5. On completion of six months after the first presentation, the candidate is required to submit a report of the research work which would explain and analyse the progress made by the researcher to the Examination Department which will be sent to the respective Supervisors for their evaluation and suggestions. The candidate will be furnished with the suggestions on the report made by the supervisors.
6. The second presentation should be made within one month of the receipt of the suggestions on the second report. The second presentation will be evaluated by the RSC. The suggestions / comments made by the RSC will be furnished to the candidate by the respective Supervisors along with their suggestions.
7. The final presentation should be made at any time after completion of three years from the date of registration, once the final draft thesis is approved by the Supervisor. The candidates are required to submit 4 (four) copies of the draft thesis to the Examination Department with an endorsement by the Supervisor. The final presentation will be scheduled approximately one month after the submission of the draft thesis.
8. There shall be at least three external experts on the panel to evaluate the final presentation. The comments and suggestions of the experts shall be consolidated and made available to the supervisor for suitably advising the candidate. After incorporating the suggestions of the experts as certified by the Supervisor, the candidate is permitted to submit his final thesis.

XIV. GUIDELINES FOR THESIS SUBMISSION

1. The candidates are required to submit 4 hard copies and a soft copy of their thesis after paying the requisite fee.
2. The thesis shall be in English and embody original research of the candidate.
3. The thesis should not include work done by the candidate for any other degree successfully completed at the present University or elsewhere.
4. The thesis should contain a declaration by the candidate attesting the bona fide and original nature of the work.
5. The thesis should also contain a certificate of originality issued by the supervisor.

6. The thesis should comply with the anti-plagiarism rules of the University, failing which it will not be considered for submission

XV. EVALUATION OF THE THESIS

1. The thesis submitted by the candidate will be sent to three external examiners (two examiners from India and one examiner from outside India) selected by the Vice-Chancellor, from out of a panel of ten external examiners submitted by the P.G & R Department.
2. The examiners shall send detailed evaluation reports in the pro forma sent by the university which shall include:
 - i) Questions to be asked or points to be clarified at the Viva-voce examination;
 - ii) A definite recommendation as to whether the thesis be accepted in the present form or with minor revisions or major revisions or to be rejected.
3. In case of two of the external examiners not recommending the award of the Degree, the candidate shall be provided through the Supervisor a copy of the suggestions / comments made by the examiners. The candidate is required to resubmit the thesis after incorporating the suggestions /comments and submit the modified thesis within three months along with the prescribed fee. Only one such resubmission shall be permitted.

XVI. RULES PERTAINING TO CONDUCT OF THE VIVA VOCE EXAMINATION

1. If the three examiners recommend unanimously the award of the Degree, an 'Open Viva-voce examination' shall be conducted by a panel constituted by the Vice-Chancellor and consisting of three examiners, of whom at least one examiner shall be from among the three examiners who evaluated the thesis.
2. The questions which are to be asked to the doctoral scholar during the final viva voce would be shared with the guide immediately on receipt of the same from the examiner, along with the reports of the examiners, before the conduct of the viva so that the candidates are prepared for the same. This is required since the questions pertain to research related to data and are technical in nature.
3. After successful conduct of the viva-voce examination, the recommendation of the Panel to award a degree shall be placed before the Academic Council.

XVII. ISSUANCE OF PROVISIONAL CERTIFICATE

Immediately upon the completion of the viva-voce examination, the University shall issue a provisional certificate stating that the degree has been awarded in accordance with the regulations of the UGC.

XVIII. UPLOADING/PUBLICATION OF THE THESIS

1. After the successful completion of the candidate's viva voce, his/her final doctoral work will be uploaded on INFLIBNET by the University, accessible to all Institutions/Universities, within a period of 30 days.

- University may allow the scholar to publish his/ her thesis in the form of a book/ any other format in case the scholar wishes so after obtaining a 'No Objection Certificate' (NoC).

XIX. FEE REGULATION

The fees will be payable by the scholar from time to time as per the prescribed rules in force. Fee concessions may be made applicable to faculty members of MNLU Mumbai.

XX. DOCUMENTS REQUIRED AT THE TIME OF APPLICATION AND ADMISSION

For details regarding "Documents required at the time of Admission", please see the table given below:

S. NO.	DOCUMENTS	ORIGINAL WITH SELF ATTESTED PHOTOCOPY
1.	Class X Mark Sheet (As proof of date of birth)	Yes
2.	*Degree Certificate/Mark Sheet of LL.B, LL.M. [Mark Sheets and Degree Certificate of all degree courses need to be provided]	Yes
3.	National Eligibility Test Score Card such as NET/SET/JRF (if any)	Yes
4	NOC from the employer (only for part-time candidates)	Yes
5	Certificate of Medical fitness from a registered medical practitioner	Yes

XXI. WITHDRAWAL POLICY

- All requests for withdrawal of admission must be made in writing by the applicant stating reasons for the same and must be accompanied with the original fee receipt. Requests made verbally or by fax/email or without the original fee receipt shall not be entertained.
- The written application of withdrawal must be submitted to the Head, PG and R Department, duly forwarded by the Supervisor. The student should also provide a *No Dues Certificate* along with this application.
- In case a scholar withdraws his / her admission to Ph.D. programme, the fee deposited by him / her shall not ordinarily be refunded in any form.
- The refund of fee, if applicable, shall be governed by University Norms & Policy.

XXII. DOCTORAL RESEARCH COMMITTEE

All matters referred to the Head, P.G. and Research Department, shall be placed before the Doctoral Research Committee and then placed before the Vice Chancellor for approval.

The Doctoral Research Committee shall consist of:

(i)	The Vice-Chancellor or his nominee	Chairman
(ii)	The Head of the PG & Research Department	Member and Convener
(iii)	Two experts in the subjects, not below the rank of Associate Professor, Who have successfully guided at least two Ph.D. students and/or have published research work in recognized or reputed national or international journals, one of them being from outside the University, preferably from the corporate world nominated by the Vice Chancellor.	Member
(iv)	Two experts in area of the specialization nominated by the Vice-Chancellor, where a referee is to be appointed for evaluation of highly specialized topic or subject	Member

XXIII. GRIEVANCE REDRESSAL

Grievance / complaints, if any, against any action/decision relating to admission into the PhD programme can be made in writing to the Vice Chancellor of the University, within 3 days of the decision.

XXIV. AMENDMENT CLAUSE

The Head, PG & R Department, in consultation with Vice Chancellor will be authorized to incorporate necessary changes in this regulation from time to time. However, all such changes will be reported to Board of Studies and Academic Council of the University.

XXV. SUPERSEDING CLAUSE

In case of any contradictions/ explanations/ clarifications in the said policy, the decision of the Vice Chancellor shall be final.

XXVI. JURISDICTION

Disputes, if any, arising out of The Regulations, 2016 are subject to jurisdiction of Courts in Mumbai.

XXVII. HELPLINE / WHOM TO CONTACT

For general queries related to Ph.D. admission (Management) contact the following:

Head, PG & Research Department
Email: hodpg@mnlumumbai.edu.in
Phone: 022-25703187, 022-25703188
Website: www.mnlumumbai.edu.in

XXVIII.IMPORTANT DATES

<u>S. No.</u>	<u>Details</u>	<u>Date</u>
1.	Advertisement for Ph.D. admission (on Website or Newspaper) and Application forms available online)	
2.	Last date for submission of fully filled application form	
3.	Entrance Test (PAT) and Interview	
4.	Online display of first admission list	
5.	Last date for fees deposition by candidates in the first list.	
6.	Online display of second admission list	
7.	Last date for fees deposition by candidates in the second list.	
8.	Registration dates	
9.	Commencement of classes	