

**Era University**  
**Uttar Pradesh, Lucknow**  
**India**

**Ph.D. Programme –**  
**Rules and Regulations’ 2020**

**Administrative Office:**  
**Research Cell**  
**Administrative Block**  
**Era University**  
**Lucknow, UP-226003**

**ERA UNIVERSITY**  
**Lucknow, UP-226003**  
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## **1. INTRODUCTION**

Ph.D. programme is being initiated at Era University from the current year. In this academic session faculty with required experience in all the UGC, AICTE or MCI recognized/ permitted departments will be eligible to become chief guides. The candidates are trained in areas like research methodology, biostatistics, computer use, etc to ensure general proficiency as researcher in biomedical sciences and increase the likelihood of their pursuing a successful career in research. Successful candidates will be awarded “DOCTOR OF PHILOSOPHY” from Era University Lucknow (SUBJECT SPECIFIC). The university will ensure that outputs of Ph.D. programme are original works of excellence leading to discovery of new facts in science or evolution of fresh approach towards interpretation of existing facts. This document lists the rules and regulations for the Ph.D. programme to be followed at Era University, Lucknow. These can be reviewed and modified from time to time in the interest of the programme.

## **2. INFRASTRUCTURE**

PhD students can be registered at Era University, Lucknow. They may have co-guide/s from the other academic and research institutions in India & abroad, if infrastructure alongwith conducive academic environment exists with the guide and co-guide, who also have expertise in the area of research work, proposed for PhD. However, the approval from the Academic Council is mandatory in such a cases.

Any Department that is equipped to carry out research work can register a Ph.D. candidate in Era University, Lucknow.

## **3. ELIGIBILITY**

A candidate seeking registration for the degree of Doctor of Philosophy (Ph.D.) at the Era University must hold at least one of the following qualifications:-

First division or 60% marks (or Grade Point 6.75, where Grade Point System is followed) in MD/MS/MDS, M.Tech, M.B.A., M.C.A., M.Pharm., M.Arch. or equivalent qualification in appropriate field.

Master's degree with a minimum of 55% marks (or Grade Point of 6.25, where Grade Point System is followed) in the respective field of Science/ Humanities/ Education.

Notwithstanding anything contained in the above-mentioned two clauses the eligibility criteria/ guidelines prescribed and / or issued by UGC, AICTE, MCI or any such other statutory/regulatory bodies, from time to time pertaining to said disciplines/ courses may be considered as minimum requirement for registration to Ph.D. Programme of the University.

#### **4. Candidates in Permanent Employment**

Candidates who are permanent employees of external institutions will have to provide a NOC for applying in PhD program of Era University from the employers. Also such candidates have to provide a certificate at the time of submission of synopsis from the employer stating that in the event of selection to PhD program the candidate will be granted for a minimum of 3 years study leave with the full pay and permission to work in Era University, Lucknow.

#### **5. For the Registration of Guides**

- All full-time Professors/Associate Professors/Assistant Professors (Ph.D. Qualified) of Era University are eligible to register as a supervisor for a Ph.D. candidate. Professors/Associate Professors/Assistant Professors having M.D. should have a minimum of 15 years of experience post M.D. to be a Principal guide (as per the MCI regulation 2020).
- All prospective guides have to get the approval from Academic Council.
- The guide must have a proven research track record, with at least 5 publications for Professors & 2 publications for Assoc. Prof/Assist. Prof. in indexed, peer-reviewed journals.
- For guiding Ph.D. in basic sciences the guide must have bench experience of the techniques involved.
- Subject to the availability of the source of funding, a guide at the level of Professor, Associate Professor and Assistant Professor can enroll 8, 6 and 4 Ph.D. scholars respectively at any given time, as a supervisor/co-supervisor.
- A faculty member cannot become co-supervisor of more than 3 students per year.

- A faculty cannot registered more than 2 students per year under his/her direct supervision.
- There may be one or more co-supervisor/s from the same/allied department as the guide, who is eligible to be PhD guide, so that in case of any eventuality like superannuation etc. of the Chief guide, the co-guide may take over as the Chief guide.
- Long term leave for more than months to the Chief guide can be permitted by the competent authority. In that case, the co-guide will undertake in writing that he/she will substitute for the guide and not take long leave during that period.
- If a faculty member is a co-guide for a candidate registered in another university, his/her candidate can conduct work within the university, with the approval of the institutional ethics committee.

## **6. CHANGE OF SUPERVISOR**

No change of Supervisor shall ordinarily be allowed, but in special cases where the Head of the Department is satisfied that the research work of the candidate will suffer on account of Supervisor leaving this University or on account of his/ her retirement or death or being unapproachable or when he / she is unwilling to continue to guide the candidate or in any other circumstances necessitating such a change, the Head of the Department, on the request of the candidate, will recommend a change of Supervisor through the Dean of the Faculty to the Doctoral Committee which may allow change of the Supervisor. In the absence of a Supervisor, the Co-Supervisor will discharge all the duties of a Supervisor.

## **7. SELECTION PROCEDURE**

- Advertisement for PhD qualifying examination will be given in Newspapers /University Website and the admission will be in July of every calendar year.
- b) Admissions will be restricted to the number of vacancies available and the willingness of the supervisor/s.
- Both online and offline (at the examination cell) applications will be made available.

## **8. Entrance Test**

For Eligible PhD applicants with secure funding (including those with JRF from UGC/CSIR/ICMR/NET/SLET) a PhD Entrance Test in English medium shall be conducted by the University through the Office of the Examiner Controller of Examination, Era University.

Entrance Test will be of two parts i.e. written and interview. The written test will be consists of aptitude test in logical thinking, human biology (10+2 level), general awareness, research aptitude and basic computer knowledge (class 10 level). The syllabus of the entrance test shall consist of 50% of research methodology and 50% shall be subject-specific.

Qualifying marks will be 50%. Only the qualified candidates will be called for Interview in the respective department of their choice.

The written Test qualified candidates will have to submit an application to the Head of the department of his/her chosen field within 15 days of declaration of result of Entrance Test.

All Candidates irrespective of whether they are JRF/NET/SLET/M.Phil qualified or not have to appear in entrance and interview conducted by the Era University.

## **9. Departmental Interview**

The qualified candidates will have to appear for interview, in the department/s of his/her choice, before a Departmental Interview Committee constituted by Vice Chancellor, under the Chairmanship of Dean, Era University. The constitution of Departmental Interview Committee will be respective faculty as follows:

1. Dean – Chairperson
2. Vice Chancellor's Nominee
3. Head of the concerned Department
4. Faculty Members of concerned Department who are eligible and willing to be Guide

**NOTE :**

A candidate seeking registration for Ph.D. degree must apply to the University on the prescribed application form stating therein that he/ she is applying for full-time registration.

Those applicants who will be declared successful in written test should bring the following at the time of interview:

- i) A summary (in about 500 words) outlining the research topic which the candidate proposes to undertake.
- ii) A no-objection certificate (NOC) from the employer if he/ she is a serving candidate.

**10. REGISTRATION**

- a) All eligible candidates selected by the University for the Ph.D. programme including those who are working in projects as JRF/ SRF in National Laboratories, will be allowed to pursue only full time -Ph.D.
- b) All regular Era University employees who have been selected for Ph.D. programme.

**11. Duration of the Ph.D. Programme**

Ordinarily the Ph.D. programme will be for a minimum period of three and half years (3 <sup>1</sup>/<sub>2</sub>) including course-work from the date of final registration.

Candidates who do not submit their thesis within 6 years after registration will be removed from PhD program of the Era University, unless the Doctoral Committee recommends otherwise.

The period of a candidate's studentship shall be counted from the date on which he/she has deposited the first installment of his/her fees before the commencement of the course work.

**12. Foundation Course**

All admitted candidates shall undergo a Foundation Course for one semester.

The Foundation Course work shall be treated as pre Ph.D. preparation and include a course on Bio-statistics; Research methodology; Personal skills development for research and scientific communication; Bio Computing.

The Semester end examination of Foundation Course will be conducted by the institute with 55% as pass marks.

Alongwith the foundation course the Guide may prescribe and arrange for an Elective Course work for his individual PhD candidate, if needed.

### **13.Seminars/Assignments/Workshops/Symposias/Conferences/Elective classes**

All PhD students have to attain 2 Assignments/Workshops/Symposias/Conferences/Elective classes at any local institutes. Without 2 Assignments/Workshops/Symposias/Conferences/Elective classes they will not be allowed to submit the thesis.

### **14.Place of Work**

Majority of PhD work must be performed in the institution of registration. In case additional help is needed from sister institution/s, then 1/3rd of work may be done outside the parent institution.

In no case a PhD candidate can be registered in a certain institution (like Era University) and allowed to complete his/her work in a different institution with no direct supervision of Guide/Co-guide of the present Institution/department.

### **15. Departmental Seminars**

All PhD students must give 2 departmental seminars. Without 2 Seminars presentations they will not be allowed to submit the thesis.

### **16. Ph.D. Evaluation Procedures**

Before submission of the thesis it is essential for the candidate to have 2 papers either published or accepted for publication in peer reviewed indexed Pubmed listed journals with his/her name as the first author in at least one paper and co-author in second paper. The candidate must have presented 2 papers in conference/seminar before submission of thesis.



After completion of Ph.D. work, the candidate shall submit four printed copies of thesis in English, alongwith a summary of 2000 words, to the Research cell. Published matter may also be incorporated as part of thesis. Ph.D. guides and co-guides will give a written certificate stating that the thesis is the original work of candidate conducted under his/her supervision alongwith the duration of work.

Each thesis will have external and internal evaluation. In addition, the candidate will defend the work at oral presentation.

## **17. SUBMISSION OF THESIS**

A full-time candidate will have to attend and clear four DC meetings and a part-time candidate will have to attend and clear six DC meetings before submission of thesis. This does not include the initial DC which is meant for registration and allotments of topics.

No Ph.D. thesis shall be allowed to be submitted unless at least one paper, based on the work done, is published in a refereed journal, and another accepted. A letter conveying acceptance of the publication of the paper may be counted as a publication. She/he should have made two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

Depending upon merit and progress of the work done, DC may permit the candidate for Pre-Ph.D. presentation which would be held in the coming next scheduled meeting meant for DC. This permission will be duly recorded. The candidate is required to keep copies of draft Ph.D. thesis ready and exhibit the same during Pre-Ph.D. presentation, inviting final suggestions to be incorporated in the draft thesis. The presence of Supervisor/Co-Supervisor is essential in the Pre-Ph.D. presentation.

The thesis shall be in conformity with all the norms and standards set by the University. 75% attendance is mandatory for PhD student before he/she should submit thesis or his pre- PhD Doctoral Committee.

Three spiral bound, duly certified and verified copies of the thesis alongwith five copies of summary and soft copy of thesis shall be submitted by the

Candidate in the Academic Department after incorporation of the suggestions and necessary modifications made.

The thesis shall be accompanied with the following certificates:

**a. Certificate from the student**

The student has to certify that he/she has not done plagiarism anywhere in the entire content of the thesis and the thesis is the original work carried by him.

**b. Certificate from the Supervisor**

i) That he/she has checked the possibilities of plagiarism and stating that the thesis embodies the original work of the candidate and it has not been earlier submitted by him/ her or any other candidate elsewhere for any degree.

ii) That the candidate worked under him/ her for the prescribed period.

iii) That the thesis fulfils the norms and standard set by the university

iii) That all the necessary suggestions raised at Pre-Ph.D. stage have been incorporated in the thesis by the candidate.

The Academic Section has to check and ensure that the required certificates from the student and supervisor are attached with the thesis.

If, after successful Pre-Ph.D. presentation, a candidate fails to submit the thesis within six months then he/she has to take fresh permission from DC to submit it which will be the final permission and in this case six months time period only will be permitted, beyond which his/her enrollment shall be liable to be cancelled.

**18. Student's progress report**

During the tenure of 3<sup>1/2</sup> years of PhD every student has to face the RDC for their work progress.

During the whole tenure of PhD a student has to be present in atleast 5 progress report meetings to show the work of their progress.

## **19. Pre-PhD Presentation**

The Pre-presentation is a requirement to enrich the scholar and to fine tune his research presentation. This presentation shall be conducted before the submission of synopsis at the Research Centre concerned in the presence of Doctoral Committee members, Faculty members, Research Scholars. The Pre-PhD shall be conducted after notifying the same by the Supervisor at least 7 days before the date of presentation. The scholar is expected to present the first draft of the research work or can explain the findings/problems faced. The gathering may suggest ideas/references to be consulted/suggestions to improve the work and so on. The minutes of the Pre PhD presentations alongwith signature of participants shall be forwarded by the Supervisor/Co-Supervisor to the University.

## **20. EVALUATION OF THESIS**

- a. The thesis must be an original piece of research work, characterized by the discovery of facts or by fresh approach towards interpretation of theories. In either case, it should reflect the candidate's capability for critical examination and sound judgment. It should also be satisfactory as far as its logical and reasonable presentation is concerned.
- b. Doctoral Committee will prepare a panel of six persons, duly qualified to examine the thesis. The duly signed list will be forwarded by the Convener DC to Academic Department for taking approval from Vice Chancellor. At least four of the examiners in the panel shall be from outside the State including one from outside the country, if possible. From this panel, the Vice Chancellor will appoint two external examiners. The internal examiner shall be the Supervisor.

The thesis will be sent to the examiners for evaluation.

A maximum of two months' time shall be given to the examiners for sending the evaluation report in the prescribed format failing which the Vice Chancellor may appoint an alternate examiner from the panel.

The examiners shall specifically report whether the thesis fulfills the requirements of the clause 17a. Possibilities of plagiarism should also be checked by the examiners. They shall clearly recommend whether the thesis be:

i) Approved as it is

OR

ii) To be resubmitted after revision/ extension/ modification of work. OR

iii) Rejected

The reports of all the three examiners shall be placed before the Examination Committee by the Controller of Examination.

If one of the external examiners approves the thesis and the other external examiner recommends revision, the comments of the examiner recommending revision shall be sent to the Supervisor and the candidate for reply. These responses/ replies will be communicated to the concerned examiner and following positive reply of the examiner, the viva-voce examination shall be held. In case of a negative reply from the concerned examiner the matter shall be dealt with as per the provision of clause.

- c. If one external examiner approves the thesis and the other external examiner recommends rejection of the thesis, the thesis shall be sent to the third external examiner to be appointed by the Vice Chancellor alongwith the reports of both the examiners. The third external examiner shall be appointed from the panel of examiners. If the third external examiner also rejects the thesis, the thesis shall be rejected.

If both external examiners reject the thesis, the thesis shall stand rejected.

If the candidate is required to revise the thesis by both the examiners, the DC may permit the candidate to revise his/ her thesis within one year maximum from the date of communication to the candidate. The candidate shall have to pay an additional examination fee as prescribed by the University from time to time for resubmission of his / her thesis.

The resubmitted thesis shall be examined by the old set of examiners including the Supervisor. A copy of each of the report pertaining to

examination of the thesis earlier submitted shall be sent to the examiners. The examiners shall clearly recommend whether the candidate has incorporated all the comments in the revised thesis which is to be approved or rejected.

## **21. Oral Defense**

In case the thesis is approved, an open viva-voce examination for the candidate shall be arranged which will be attended as per following.

- i) One of the two external examiners who approved the thesis and Supervisor / Co-Supervisor as examiners.
- ii) Chairman, Vice-Chairman, V.C. Nominee, HOD/Convener of DC& Controller of Examination.
- iii) Apart from the above, the open viva-voce examination may be attended by any other faculty member / research scholar whosoever is interested.

The Board of Examiners shall give a final decision and a clear recommendation whether the candidate's performance is satisfactory or the candidate be asked to re-appear for a viva-voce. In case of second recommendation, the candidate shall be required to re-appear for a viva-voce before the same board but not earlier than six month from the date of previous viva-voce examination. If the performance of the candidate at the viva-voce is still unsatisfactory, the thesis shall be rejected.

## **22. Award of the Degree**

After the viva voce is successfully over, the candidate shall submit three hardbound copies of the thesis incorporating all the suggestions at Pre-PhD and viva voice stage alongwith certificate of the Supervisor and the soft copies of the thesis.

The candidate shall be eligible for the award of Provisional Certificate, provided the Examination Committee recommends and Vice Chancellor approves the same. However, the Ph.D. degree will be awarded in Convocation after Academic Council's and Executive Council's approval. The date of the eligibility of the candidate for the degree shall be the date

of approval of Examination Committee's recommendation by the Vice Chancellor.

The award of PhD degree can be withdrawn at any time in case the thesis submitted by the candidate is found to be a duplication of an old work or an act of plagiarism and the Examination Committee and the Academic Council recommend withdrawal of PhD degree and the Executive Council approves it.

### 23. Depository with UGC

Following the successful completion of the evaluation process and conferment of the award of Ph.D. the University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions Universities.

The University shall host another soft copy of the Ph.D. thesis on its website for general viewing.

### 24. PhD COURSE FEE STRUCTURE :

S.NO.	Course	Duration	Annual Fee	Registration Fee
1-	Ph.D. in Medical Anatomy	Minimum 3 and ½ Years	Rs.75,000/-	Rs. 2000/-
2-	Ph.D. in Medical Biochemistry	Minimum 3 and ½ Years	Rs.75,000/-	Rs. 2000/-
3-	Ph.D. in Medical Microbiology	Minimum 3 and ½ Years	Rs.75,000/-	Rs. 2000/-
4-	Ph.D. in Medical Pharmacology	Minimum 3 and ½ Years	Rs.75,000/-	Rs. 2000/-
5-	Ph.D. in Medical Physiology	Minimum 3 and ½ Years	Rs.75,000/-	Rs. 2000/-
6-	Ph.D. in Pathology	Minimum 3 and ½ Years	Rs.75,000/-	Rs. 2000/-
7-	Ph.D. in Biotechnology	Minimum 3 and ½ Years	Rs.50,000/-	Rs. 2000/-
8-	Ph.D. in Food and Nutrition	Minimum 3 and ½ Years	Rs.50,000/-	Rs. 2000/-
9-	Ph.D in Physiotherapy	Minimum 3 and ½ Years	Rs.1,00,000/-	Rs. 2000/-
10-	Ph.D. in Nursing	Minimum 3 and ½ Years	Rs.60,000/-	Rs. 2000/-

11-	Ph.D. in Pharmacy	Minimum 3 and ½ Years	Rs.50,000/-	Rs. 2000/-
12-	Ph.D. in Biochemistry	Minimum 3 and ½ Years	Rs.50,000/-	Rs. 2000/-
13-	Ph.D. in Neuroscience	Minimum 3 and ½ Years	Rs.50,000/-	Rs. 2000/-
14-	Ph.D. in Molecular Medicine	Minimum 3 and ½ Years	Rs.50,000/-	Rs. 2000/-
15-	Ph.D. in Molecular Biology and Genetics	Minimum 3 and ½ Years	Rs.50,000/-	Rs. 2000/-
16-	Ph.D. in Stem Cell Biology and Regenerative Medicine	Minimum 3 and ½ Years	Rs.50,000/-	Rs. 2000/-
17-	Ph.D. in Nanoscience and Nanotechnology	Minimum 3 and ½ Years	Rs.50,000/-	Rs. 2000/-
18-	Ph.D in Public Health	Minimum 3 and ½ Years	Rs.75,000/-	Rs. 2000/-

\* Deposition of Rs. 2000/- is mandatory for each course at the time of the registration.

## 25. Registration (from other Universities)

- Any student who chose Era University as a working place (providing they have no facility to do their work in the University where they are registered) can work under a co-guide from Era University, Lucknow.
- In such case the Principal guide should be a permanent faculty in the University from where the candidate is willing to take registration.
- The Principal guide must have an approval for becoming a Chief guide from that University.
- Ethical clearance will be needed from Era University, in such a case.
- Clearance from Research Development Committee of Era University is mandatory.

### Exemptions:

- Candidates having their own fellowship M.Sc/M.Tech with ICMR/CSIR/DBT/Inspire- JRF will be exempted from the annual tuition fee
- Those who have qualified NET/SLET will pay 50% of the annual Tuition fee

**Application Fee:** Rs. 1000/- (Submit a Draft of Rs. 1000/- in favor of “Era University Lucknow” payable at Lucknow alongwith the Application Form)

**Registration Fee for Ph.D. candidate:** Rs. 2000.00 (within 15 days of recommendation of selection committee)

**Examination fee:** Rs. 10000.00 (to be deposited alongwith the thesis)

Application forms can be obtained free from the Research Cell or downloaded from the Era University web-site “[www.erauniversity.in](http://www.erauniversity.in)”.

If a candidate does not submit the thesis by 31st July of the next calendar year in which PhD Review Committee recommended submission then s/he will have to pay annual renewal of registration fees.

## **26. Leave:**

- a) A PhD student can be permitted (on his/her application recommended by the thesis supervisor) to proceed for academic activities outside the Institute (without taking any leave) to carry out field work, library work, computational work, experimental work, research work and to attend conference and courses.
- b) **Maternity Leave:** A female PhD student may be granted maternity leave for a maximum of 3 months. Maternity leave up to 6 weeks can also be granted for miscarriage including medical termination of pregnancy, if supported by a proper medical certificate.
- c) Above leave period will be in addition to the period of award, if it exceeds the leaves permissible to post-graduates in the University.



## 27. DOCTORAL COMMITTEE (DC)

DC shall comprise of:

i.	Vice Chancellor Nominee	Chairman
ii.	PhD Co-ordinator	Convener
iii.	One expert of the subject not below the rank of Professor/ Associate Professor belonging to the University, to be Nominated by the Vice Chancellor on the recommendation of Concerned Dean/ Concerned HOD	
iv.	Supervisor, co-supervisor	Invited Member
v.	Special Invitee / Invitees as per VCs' approval	Member

## 28. DUTIES AND POWERS OF DC

DC shall perform the following functions:

- i) Examine the summary of the proposed Ph.D. work for registration of a candidate and give its recommendation for allocation of the Supervisor/ Co-Supervisor.
- ii) The Committee shall satisfy itself that the proposed topic is one on which the Ph.D. work can successfully be pursued under the guidance of the proposed Supervisor (s), and that adequate facilities and equipment for the work do exist at the proposed place of work.
- iii) The DC will meet at least twice in each academic session, normally in the months of February and August.
- iv) Half of the members of the DC shall form the quorum for a meeting. However, presence of external expert is essential in the meeting.
- v) The minutes of the DC should be finalized and circulated on the same day when the meeting of the DC has been held before the departure of external expert. The convener of DC (HOD) will coordinate for it and forward the signed minutes of the meeting to Academic department

for the approval of Vice Chancellor. All the necessary records will be kept in Academic Department.

- vi) A research Scholar shall appear before the DC once in six months to make a presentation of the progress of his/her work.

## **29. Other Rules**

(e.g. disciplinary action, cancellation of registration etc.)

Other rules will be applicable to these students as are applicable to other post graduate students of the University.

The registration in Ph.D. programme is liable to be cancelled in case of non-deposition of fees, misconduct, unsatisfactory progress of research work, absence from work without information or if the candidate is found ineligible at a later date.

-Registrar