

**NOORUL ISLAM CENTRE FOR  
HIGHER EDUCATION**

**REGULATIONS**

**for**

**The Degree of Doctor of Philosophy**

**R 2014**



**NOORUL ISLAM UNIVERSITY**

**(Deemed-to-be-University declared under section 3 of UGC Act 1956)**

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# REGULATIONS FOR DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)

## Definitions and Nomenclature

- (i) “University” means Noorul Islam Centre for Higher Education (NICHE)
- (ii) “Programme” means Doctoral Programme leading to the award of Ph.D. Degree in Engineering / Technology / Science and Humanities / Management Studies etc.
- (iii) “Credit”(c) means the weightage assigned to a course in terms of contact hours.
- (iv) “Grade” means a letter grade assigned to a scholar on the basis of evaluation of his/her performance in a course on a ten point scale.
- (v) “Grade point” (g) means the numerical equivalent of a letter grade assigned to a scholar in a ten point scale.
- (vi) “Semester Grade Point Average” (SGPA) means the grade point average of a student calculated in the following manner:

$$SGPA = \frac{(g1 * c1) + (g2 * c2) + \dots}{\text{Total Number of Credits of Courses for which the Student has Registered in a Semester}}$$

- (vii) “Cumulative Grade Point Average” (CGPA) means a cumulative index grade point average of a scholar calculated in the following manner:

$$CGPA = \frac{(g1 * c1) + (g2 * c2) + \dots}{\text{Total Number of Credits of Courses for which the Student has Registered up to and Including the Semester for which Cumulative Index is Required}}$$

- (viii) “Final Grade Point Average” (FGPA) means the final index of a scholar at the time of the award of the Degree.
- (ix) “Final Grade” means the letter equivalent assigned to a scholar on the basis of his/her final grade point at the time of the award of the Degree.
- (x) The final grade point average of a scholar in the courses is worked out on the basis of the formula indicated below:
  - a.  $c_i$  = Credit of the  $i$ th course
  - b.  $g_i$  = Grade point secured by the student in the  $i$ th course
  - c.  $n$  = Total number of courses for which the student has registered

$$FGPA = \frac{\sum_{i=1}^n [ci * gi]}{\sum_{i=1}^n ci}$$

- (xi) “Doctoral Committee” means the Committee constituted by the University for each research scholar to monitor the progress of his/her research work.
- (xii) “Research Guide” means a faculty member recognized by the University as the research guide.
- (xiii) “Joint Supervisor” means a supervisor under clause (xii) who guides the scholars in interdisciplinary research along with the research guide.
- (xiv) “Research Coordinator” means a faculty member with Ph.D degree who coordinates the administrative and research responsibilities of the scholar.
- (xv) “Course” means a theory subject of a PG programme or any other subject that is prescribed by the Doctoral Committee for the scholar to undergo as a part of the programme requirement.
- (xvi) “Selection Committee” means a committee constituted by the Vice-Chancellor for the purpose of selecting eligible research scholars from among those who have cleared the entrance test of University / NET.

## 1. Introduction

1.1. The University (NICHE) recognizes the importance of research in higher Education and its contribution to the development of our nation. The Board of Research, Development and Consultancy (BRDC) of the university shall be the apex body to monitor all research Programmes, including Doctoral research, with due approvals from the Board of Management (BOM) of the University. The University offers Ph.D programme to eligible scholars who are interested in doing research on full time or part time basis.

1.2. These regulations govern the eligibility, duration of the programme, the selection procedure, admission, recognition and approval of research guides, Doctoral Committee, programme structure, implementation methodology, evaluation of the thesis and award of the degree etc., for the Ph.D. programme. These regulations shall come into force from the beginning of the academic year 2014 - 15.

1.3. Doctoral programme leading to Ph.D. degree is offered in the following

Departments

- i) Department of Aeronautical Engineering
- ii) Department of Automobile Engineering
- iii) Department of Bio-Medical Engineering
- iv) Department of Civil Engineering
- v) Department of Computer Science and Engineering
- vi) Department of Computer Applications
- vii) Department of Electrical and Electronics Engineering
- viii) Department of Electronics and Instrumentation Engineering
- ix) Department of Electronics and Communication Engineering
- x) Department of Information Technology
- xi) Department of Management Studies
- xii) Department of Mechanical Engineering
- xiii) Department of Nanotechnology
- xiv) Departments of Mathematics, Chemistry, Physics and English

1.4. The provisions of these regulations shall be applicable to any new disciplines that are introduced from time to time and added to the above list.

1.5. Notwithstanding any of the clause(s) contained in the regulations, the Board of Management (BOM) shall exercise its powers to change/amend/interpret / implement decisions and actions on all matters subject to the ratification of the Academic Council.

## **2. Board of Research, Development and Consultancy (BRDC)**

2.1. The Board of Research, Development and Consultancy shall be responsible for planning, implementation and monitoring the research and consultancy activities of the University.

2.2. The composition of BRDC shall be:

- (i) Vice-Chancellor - Chairman
- (ii) Six External Experts Nominated  
by the Chancellor - Members
- (iii) Deans of Schools - Members
- (iv) Registrar - Member
- (v) Director, Research - Member Secretary

### 2.3. The BRDC shall

- (i). Plan, initiate, review, oversee and monitor the research & consultancy activities of the University.
- (ii). Identify thrust areas for R&D and Consultancy within the frame work of the vision and mission of the University.
- (iii). Formulate the rules and procedures for research, development and consultancy programmes based on these Regulations.
- (iv). Facilitate R&D tie-ups and consultancy with other Universities, National and International bodies and Industries.
- (v). Evolve and implement multi-institution and multi- disciplinary programmes, utilising the infrastructure and resources of the University gainfully.

### 3. Eligibility for Registration

3.1. A post graduate degree of the University or any other qualification recognized as equivalent thereto in the fields of study notified from time to time by the University.

3.2. The qualifications for admission to the Ph.D programme under the Engineering discipline, Science & Humanities discipline and Management discipline are given below.

Sl.No	Programme	Qualification for Admission
1.	Ph.D. Degree in Engineering/Technology.	M.E/M.Tech. or any other qualifications recognised as equivalent thereto in the relevant branch of Engineering/Technology with a minimum of 60% marks* .
2.	Ph.D. Degree in Science and Humanities	M.Sc/M.C.A./M.A. or any other qualifications recognised as equivalent thereto in the relevant branch of Science and Humanities with a minimum of 55% marks* .
3.	Ph.D. Degree in Management Studies	MBA or any other qualifications recognised as equivalent thereto in Management Studies with a minimum of 55% marks* .

\* A relaxation of 5 % of marks is permissible for SC & ST research scholars.

3.3. All degrees and other equivalent qualifications mentioned above must have been obtained from AICTE/UGC approved Institutions.

#### 4. Categories of Ph. D Research Scholars

There shall be two categories of Ph.D. Research scholars: (i) Full-time and (ii) Part-time.

4.1. **Full-time:** All those research scholars who pursue their doctoral programme on full-time regular basis in the University shall belong to this category.

4.2. **Part-time:**

(i) All those research scholars pursuing doctoral programme not on full-time regular basis and working as Teachers & Technical Assistant in Colleges & Universities / Higher Secondary School / High School, Officers & Technical Assistant in Govt. Departments / Industries / Research Organizations recognized by this University.

(ii) All those research scholars pursuing doctoral programme while working as regular faculty members of this University.

#### 5. Duration

The duration of the Ph.D. programme and the time limit for submission of thesis are given below. The duration will be counted from the date of registration.

Sl. No	Category	Duration	
		Minimum	Maximum
1.	Full Time	Three Years	Five Years
2.	Part Time	Four Years	Six Years

5.1. Exemption of one year from the minimum duration prescribed is permissible in respect of both full time and part time candidates who possess M. Phil. degree in the relevant subject.

#### 6. Selection Procedure

6.1. The research scholars desirous of joining the Ph.D. programme should apply in the prescribed application form, through proper channel wherever applicable, before the due date as indicated in the notification issued from time to time. Normally, the University will issue notification for Ph.D. admission twice in a year- in the month of June and December.

6.2. All GATE/NET qualified candidates shall be eligible for direct admission to the Ph.D programme. Other eligible applicants shall be called for a written test. Based on the performance in the written test, the candidates shall be

shortlisted and called for interview by the selection committee constituted for that purpose by the University.

- 6.3. The short listed research scholars on the basis of their performance in the interview shall be forwarded to the BRDC for approval. The BRDC shall follow the state/national reservation policy for the admission of Ph.D. programme.
- 6.4. Research scholars whose selection is approved by the BRDC will be intimated about their selection with copies marked to the concerned research guide and the sponsoring institution, if any.

## **7. Admission**

Selected research scholars shall register for the Ph.D. programme after the payment of the prescribed fees. The research scholar should also pay fees every subsequent year as prescribed by the university, failing which, registration is liable to be cancelled.

## **8. Research Guide**

- 8.1. Each Research scholar must select a qualified and approved expert among the members of the faculty of the University as his/her research guide depending upon the area of research. The research scholars may select a Joint Supervisor from other institutions / within the university in case of interdisciplinary research with the due approval of the BRDC.
- 8.2. In case a suitable faculty is not available in the University, the research scholar may select an External Research Guide. In such cases, there must be a Research Coordinator from among the members of the faculties of the University to coordinate the administrative and research responsibilities of the research scholar in the University.
- 8.3. On genuine & valid reasons, the research scholar may be permitted to change the research guide by the Vice-Chancellor.
- 8.4. When a research guide retires from service on superannuation or leaves the University service, he/she shall make arrangements for an alternate research guide for his/her research scholar. However, the research guide who retired from service shall be permitted to continue to guide a research scholar on his/her written request. However, a Research Coordinator shall be nominated by the Vice Chancellor based on the request of the research



guide and / or the recommendation of the Director (Research) to take care of the administrative and research responsibilities of the research scholar.

8.5. When a research guide migrates to another University, such research guide shall be permitted to guide the research scholars already registered under him/her. However, a Research Coordinator shall be nominated by the Vice Chancellor to take care of the administrative and research responsibilities of the scholar. Otherwise, an alternate research guide shall be nominated by the Vice Chancellor based on the request of the research scholar and/or research guide.

8.6. The total number of research scholars registered for the Ph. D. Degree, including part-time scholars, at any point of time shall not exceed eight under each research guide.

## **9. Recognition of Research Guide**

9.1. The research guide should have Doctoral Degree in the relevant area of research in which he/she proposes to guide the scholar.

9.2. The research guide shall have a minimum of two publications to his / her credit in refereed Journals.

9.3. Recognition as research guide for guiding research work shall be accorded by the Vice Chancellor.

9.4. Joint-Supervisor shall be recognised by the Vice Chancellor in special cases, depending upon the topic, subject and area of research for interdisciplinary fields.

9.5. A research guide may be allowed to entertain fresh registration of research scholars even after his / her retirement from University service on his/her written request to the University.

9.6. Applicants who are already recognised as research guide by AICTE / UGC recognised Institutions shall be eligible for recognition as research guide after due approval by the Vice Chancellor.

## **10. Doctoral Committee**

10.1. Separate Doctoral Committee shall be constituted for each research scholar to consider his research proposal, to prescribe the course work to be undergone by the research scholar, to continuously monitor the progress of the research scholar and to advise midcourse corrections wherever needed.

- 10.2. For every research scholar, the research guide shall furnish a panel of three experts with doctoral qualification in the field of proposed research, from the members of the faculty of the other Universities / affiliated institutions / experts from R&D organizations / National Laboratories / any other research laboratories, from which one shall be nominated by the Vice Chancellor.
- 10.3. Normally, the internal research guide shall be the convener of the Doctoral Committee. In case of the external research guide, the joint supervisor/research coordinator shall be the convener of the Doctoral Committee.
- 10.4. In the event of the research guide leaving the University temporarily or permanently the Joint-Supervisor/Research Coordinator shall be Convener of the Doctoral Committee.
- 10.5. The Doctoral Committee shall normally meet within one month of its being constituted and thereafter at least once in every sixth months. However, the meetings may be convened whenever necessary.
- 10.6. In case the research scholar is unable to appear before the Doctoral Committee for genuine & valid reasons, in spite of sufficient notice, the expenditure for holding the meeting shall be recovered from the research scholar. However, the research scholar has to attend the Doctoral Committee meeting convened subsequently. If the research scholar fails to attend the subsequent meeting also, his/her registration shall be cancelled.
- 10.7. The following shall be the composition of a doctoral committee:

<b>Sl. No</b>	<b>Category</b>	<b>Position</b>
1.	Dean of the School / Senior most Professor of the Department**	Chairman
2.	Research Guide	Convenor*
3.	Joint Supervisor, if any	Member
4.	External Expert	Member
5.	Head of the Department / Professor	Member
6.	Research Co-ordinator, if any	Invitee

\*In case of external research guide, Joint Supervisor / Research Co-ordinator shall be the Convenor.

\*\*To be decided by the Vice Chancellor

## **11. Programme Structure**

### **11.1. Course Work**

- 11.1.1. The Doctoral Committee of a research scholar shall meet within a month from the date of communication of his/her registration to prescribe the Course Work.
- 11.1.2. All research scholars shall successfully complete four Courses, with a minimum of 12 credits, prescribed by the Doctoral Committee. In the case of research scholars with M. Phil qualification from recognized institutions, the number of course work shall be limited to two with not less than 6 credits.
- 11.1.3. Among the above four Courses, one shall be on Research Methodology. M.Phil degree holders are exempted from Research Methodology. Two courses shall be from among the PG courses in the relevant discipline offered in the university (only one paper for M. Phil. degree holders) and the remaining one shall be a paper on “Direct Study”. The full time research scholars shall attend classes along with PG students and will be evaluated in the same relative grading.
- 11.1.4. The part time research scholars shall be given course lectures during the last four weeks of a semester to cover their course work.
- 11.1.5. The prescribed course work shall normally be completed within one year from the date of registration in the case of Full-time research scholars and two years in the case of part-time research scholars. If the research scholar fails to complete the courses in time, appropriate remedial or punitive action (including cancellation of registration) may be taken by the University.
- 11.1.6. No change in the Course Work prescribed shall be made without the approval of the Doctoral Committee.

### **11.2. Evaluation**

- 11.2.1. The Evaluation Pattern and Scheme for each prescribed course will have a Continuous Internal Assessment (CIA) for 40 marks and End Semester Assessment (ESA) by the University for 60 marks. A minimum of 50% mark is required for both CIA and ESA to pass the

course work. If a research scholar scores below 50% in CIA or ESA or both, he / she should repeat the same in the next semester / can do another source with the approval of the doctoral committee.

11.2.2. For Continuous Internal Assessment (CIA), two tests each carrying 50 marks of 1 ½ hrs duration and one model examination covering the full syllabus carrying 100 marks of 3 hrs duration shall be conducted. The marks obtained from the best of the two tests and model examination put together out of 150 marks shall be reduced for 20 marks. Two assignments each carrying 5 marks and one seminar carrying 10 marks shall be added with the test marks of 20.

### 11.3. **Attendance**

11.3.1. Each full time research scholar shall sign in the attendance register provided for the purpose on all working days. They are eligible for fifteen days leave in a year, on the recommendation of the Research Guide/ Joint Supervisor / Research Coordinator and approval from the HOD concerned.

11.3.2. Every part time external research scholar shall spend at least one year in a maximum of six spells (those who are involving in laboratory work)/ six months in maximum of three spells (those who are not involving in laboratory work) during the course of research at the University / Institution where the guide is working. The supervisor / Research Coordinator has to submit the attendance certificate of the research scholar to the Director – Research at the time of synopsis submission.

### 11.4. **Comprehensive Examination**

11.4.1. Immediately after the successful completion of the course work, the Doctoral Committee will conduct a Comprehensive Oral Examination for every research scholar to test the background knowledge of the research scholar in the broad area of specialization. The result of this examination and the results of the course work shall be detailed in the minutes of the Doctoral Committee and forwarded to the Director (Research), within two months from the date of the comprehensive examination.

11.4.2. If a research scholar fails in the comprehensive oral examination in the first attempt, he or she may be allowed to appear once again, not earlier than four months and not later than six months from the date of the first examination. If the research scholar does not pass in the second attempt also, his / her registration may be cancelled by the University.

## **12. Monitoring the Progress of the Research Scholar**

12.1. The research scholar shall submit progress report in the prescribed format through the research guide with his/her recommendation to the BRDC once in every six months.

12.2. The research guide shall arrange a presentation by the research scholar on his / her work twice a year before the Doctoral Committee to review his/her progress in research work which is open to all faculty members and Research Scholars.

## **13. Extension of Duration**

13.1. In exceptional circumstances, based on the recommendations of the Doctoral committee the Vice Chancellor shall permit the extension of the duration of the programme. Such extensions shall be limited to 2 years, six months at a time, beyond the normal maximum period of 5 years(Full time)/6 years(Part time) to enable the research scholar to submit the Thesis. In such cases, extension fee as prescribed from time to time shall be payable.

13.2. Request for such extension (six months at a time) shall be submitted to the Director (Research), with the recommendation of the Doctoral Committee, at least one month prior to the end of the maximum period or expiry of the previous extension.

## **14. Cancellation of Registration**

14.1. If the research scholar fails to submit the Thesis within the extended period of two years, the registration shall be cancelled and the name of the research scholar shall be removed from the rolls.

14.2. The registration is liable for cancellation, if

- The research scholar has not paid the research fees within the stipulated time.

- The progress reports are not submitted consecutively twice or the reports are not satisfactory.
- The Doctoral committee recommends for cancellation based on assessment of the progress of research.
- The research scholar wishes to withdraw from the programme and requests to cancel his/her registration.
- Any violation of the regulations of Ph.D. programme.

14.3. In all the above cancellation cases, the fees paid by the research scholar shall not be refunded.

### **15. Temporary Break from Ph. D Programme**

Research scholars who completed their course work may be permitted to take a temporary break from the programme for a maximum period of one year for genuine and valid reasons subject to the recommendation of the Doctoral Committee and the approval of the Vice Chancellor.

### **16. Pre-Submission Presentation**

The candidate shall make a presentation of the draft thesis in the Department/ Research Centre, which shall be open to all faculty members and research scholars of the University. The feedback from this presentation may be suitably incorporated in the thesis as suggested by the supervisor. The minutes of the meeting along with the feedback shall be noted by the supervisor and forwarded the same to the Director-Research. The supervisor will inform the date of this presentation in advance to the Director-Research.

### **17. Synopsis of Thesis**

- 17.1. After successful completion of all prescribed courses, and the comprehensive oral examination, a research scholar can submit his/her synopsis of the thesis. The research scholar should have to his/her credit at least one paper either published or accepted for publication in a “indexed journals (Scopus, ISI Web of Knowledge, Impact Factor, etc.)”.
- 17.2. The research scholar shall be permitted to submit the synopsis six month prior to the completion of minimum duration (if they published more than five papers in indexed journals).
- 17.3. A research scholar shall submit six copies of synopsis of the Ph.D. thesis to the Doctoral Committee through the research guide.

17.4. If the Doctoral Committee approves the research work reported in the synopsis, it shall permit the research scholar to submit the thesis. It shall forward six copies of the approved synopsis to the Registrar along with a panel of six names of examiners-three from India and three from abroad.

## **18. Submission of Thesis**

18.1. The thesis shall report, in an organized and scholarly fashion, an account of original research work of the research scholar leading to the discovery of new facts or techniques or correlation of facts already known (analytical, experimental, hardware oriented, etc.) and demonstrating a quality contribution to the advancement of knowledge as well as the scholar's ability to undertake sustained research.

18.2. The thesis shall include a certificate of the research guide from the University as prescribed, to the effect that the thesis is a record of the bonafide original research work carried out by the research scholar under his / her supervision and guidance and that the work reported in the thesis has not been submitted elsewhere for a Degree or Diploma.

18.3. Six copies of the thesis shall be submitted within three months of the approval of the synopsis by the Doctoral Committee to the Registrar. The thesis Submission shall not be delayed except under extraordinary circumstances, where an extension of three months may be permitted. However, a late fee which will be fixed by the University shall be charged.

## **19. Thesis Evaluation**

19.1. The Vice Chancellor shall consider the panel of 6 examiners, 3 Indian and 3 foreign examiners already recommended by the Doctoral committee and appoint two examiners consisting of one from each of the above categories.

19.2. The Registrar shall take appropriate steps with the prior approval of the Vice Chancellor to receive the reports from the examiners as quickly as possible.

19.3. The examiner shall include in his report an overall assessment placing the thesis in one of the following categories:

- (a) Recommended
  - (b) Minor revision
  - (c) Revision and resubmission
  - (d) Rejected.
- The examiner shall enclose a report, indicating the standard attained in regard to category (a), the nature of revision in regard to

category (b), the major revision required in the category of (c) and the reasons in regard to category (d).

19.4. Based on the reports of the examiners, Registrar will act as follows with the due approval of the Vice Chancellor:

- a) If both the examiners recommend the award of the Degree, the thesis shall be provisionally accepted. Any minor revision, modification etc., suggested by the examiners shall be carried out by the research scholar and duly certified by the research guide before the viva voce examination.
- b) If both the examiners recommend rejection, the thesis shall be rejected.
- c) If one examiner suggests resubmission of the thesis after major revision, while the other recommends, the research scholar shall be given extra time to revise and resubmit based on the recommendation of the Doctoral Committee.
- d) If one of the examiners does not recommend the award of Ph.D. Degree while other does, the thesis shall be referred to a third examiner.

19.5. In cases not covered by the above regulations, the BRDC will seek the opinion of Doctoral Committee before giving its decision.

## **20. Viva Voce Examination**

20.1. If the thesis is provisionally accepted, a Viva Voce Examination shall be conducted as "Open Defence Type" examination.

20.2. The Vice Chancellor shall constitute a Viva-Voce board with the following members:

- |  |   |                 |
|--|---|-----------------|
| i. Deans of the school concerned /<br>Senior most Professor in<br>the Department   | - | Chairman        |
| ii. Indian Examiner of the Thesis<br>or Expert nominated by<br>the Vice Chancellor | - | External Member |
| iii. Research guide  | - | Convener        |
| iv. Joint Supervisor/<br>Research Coordinator (if any)                             | - | Member          |



20.3. The Vice Chancellor shall appoint the Indian Examiner as the member of the Viva Voce examination. In case he/she expresses his / her inability to participate in the Viva-Voce examination, the Vice Chancellor shall nominate another expert from the panel. In that case, a copy of the thesis shall be sent to the nominated expert at least 15 days prior to the Viva Voce examination.

20.4. If the viva voce board declares the performance of the research scholar as not satisfactory, he/she may be asked to reappear for viva-voce examination at a later date (not earlier than three months and not later than six months from the date of the first viva voce). Again if the viva-voce Board declares that the performance of the research scholar is not satisfactory in the second time also, the matter will be referred to the Board of Management for appropriate decision.

## **21. Award of Ph.D. Degree**

If the report of the viva voce is satisfactory, the research scholar will be awarded the Ph.D. Degree by the University with the approval of the Board of Management of the University.

## **22. Publication of Thesis**

The research scholar may publish papers arising out of the thesis. However, the research scholar without the specific approval of the University shall not publish the thesis as a whole.

## **23. The Act of Plagiarism**

23.1. In the case of research scholars who have copied and included any Dissertation / Thesis / Book for M.Phil. / M.S. or Ph.D. Degree in their thesis, the University shall forfeit their degree. They also shall be debarred to register for any other programme in this University.

23.2. Contact of thesis examiners by the Research guide /Joint Supervisor after the submission of synopsis / thesis of his/her scholar in connection with the evaluation report shall lead to the withdrawal of his/her supervisorship for a period of three years and he/she shall be debarred from guiding the research scholars for any research programme in the University till such period.

23.3. Contact of thesis examiners by the research scholar regarding the thesis evaluation shall lead to withdrawal of his/her registration and he/she shall be debarred from registering for any research programme for the next three years.