SEMESTER RULES AND REGULATIONS DOCTOR OF PHILOSOPHY (PhD) PROGRAMS



Abdul Wali Khan University Mardan, Pakistan

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1. SHORT TITLE, COMMENCEMENT AND APPLICATION

- 1.1 These Rules and Regulations, framed under section 29(a) of the Khyber Pakhtunkhwa Universities amendment Act, 2016, shall be known as Semester Rules and Regulations for PhD programs.
- 1.2 These Rules and Regulations shall come into force (*from the date approved by Academic Council*) with immediate effect.
- 1.3 These Rules and Regulations shall apply to all PhD Scholars of Abdul Wali Khan University Mardan.

2. <u>DEFINITIONS</u>

- (a) **Academic Program** means an "Academic Program" means a Program of studies, which leads to the award of a Degree to the scholars, after successful completion of all its requirements.
- (b) **Assessment** means evaluation of performance of scholars in academic Programs, including examinations, assignments, practicals, project work, seminars and tutorials.
- (c) Advance Studies and Research Board (ASRB) means Advance Studies and Research Board of the University.
- (d) **Cease** means that a scholar is declared unsuitable for further studies.
- (e) **Class Assignment** means a task relevant to a course of study to substantiate the course contents. An assignment may or may not be graded.
- (f) **Contact Hour** means one hour spent on teaching, lab work, practicals, research work, projects, seminars, workshops, internships, etc.
- (g) **Controller** means Controller of Examinations of the University.
- (h) **Credit Course** means a course required for a degree and is counted towards CGPA.
- (i) **Credit Hour (Crd. Hr)** means a lecture of one-hour duration per week in a semester for a subject countable towards a scholar's Cumulative Grade Point Average (CGPA). A practical of two hours is equivalent to one credit hour.
- (j) **Cumulative Grade Point Average (CGPA)** means the average of grade points earned in all courses in all semesters of an Academic Program.



- (k) **Chairman** means Chairman of an Academic Department of the University.
- (1) **Dean** means Dean of a faculty of the University.
- (m) **Director Academics** means Director Academics of the University.
- (n) **Department** means an Academic Department of the University.
- (o) **Examiner** means a person appointed to conduct the examination.
- (p) **Faculty** means Faculty of the University having two or more departments.
- (q) **Faculty Equivalence Committee (FEC)** means Faculty Equivalence Committee of the University made under these rules and regulations.
- (r) **Grade** means a letter grade which represents certain points earned by a scholar.
- (s) **Grade Point (P)** means Number of points assigned to a letter grade.
- (t) **Grade Point Average** means the average of points earned by a scholar in a semester.
- (u) **Graduate Study Committee (GSC)** means Graduate Study Committee of the University make under these rules and regulations.
- (v) **Non-Credit Course** means a course of study, successful completion of which is required for a degree but not counted towards CGPA.
- (w) **Probation** means a scholar is said to be on probation if his GPA in a semester is lower than the required GPA for promotion to the next semester.
- (x) **Provost** means Provost of the University.
- (y) **Dissertation** means a report comprising the original research of a scholar which is counted towards the partial fulfillment of his Master degree.
- (z) **Registration** means Registration of the scholar in a Teaching Department of the University.
- (aa) University means Abdul Wali Khan University Mardan
- (ab) **Vice Chancellor** means Vice Chancellor of the Abdul Wali Khan University Mardan
- (ac) **He** means Pronoun for both male and female students..

3. REQUIREMENTS FOR LAUNCHING A PhD PROGRAM

- 3.1 There should be at least 3 PhD faculty members in a department to launch a PhD program along with NOC from HEC.
- 3.2 The supervisor(s) of a PhD scholar must possess PhD degree in the relevant field as per the HEC guidelines.
- 3.3 There can be one or more supervisor(s) for each PhD scholar. In case of two supervisors, i. Principal and co-supervisor (s), ii. Joint Supervisors (Both Principal supervisors). Joint supervision means two principal supervisors, one from AWKUM second expert (PhD holder) from other institutes/universities.
- 3.4 A supervisor can supervise upto 5 PhD scholars at a time (based on the uniform distribution in the Department) which can be increased/ **decreased** as per HEC guidelines.

4. PROCEDURE FOR ADMISSION

- 4.1. There shall be a Graduate Study Committee (GSC) consisting of the following:
 - i. Chairperson of the concerned department

Convener

- ii. **Two** senior PhD faculty members (In the upper existing cadre)
- Member
- iii. Two senior PhD faculty members from other departments to be nominated by the Dean concerned (Not for admission) Member
- iv. One Nominee of the Dean Concerned

Member

v. Two experts from other University/Degree Awarding Institution (DAI) to be nominated by the Dean concerned from the panel of five experts recommended by the chairperson of the department concerned for synopsis evaluation

(Not for admission) Member

Note: In case of acting Chairperson of the Department, the concerned Dean of the faculty will be the Convener of GSC. The Chairperson of the Department with the approval of the Dean shall form the GSC, to be notified by the Director Academics. Also, the convener may co-opt member(s), if needed. In the GSC meeting, only the members will participate.

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- 4.2. The Director Admissions shall advertise the PhD program in at least two leading national newspapers with the recommendation of the chairman concerned and the Director Academics.
- 4.3. Application on prescribed forms along with the following documents shall be submitted to the concerned office.
 - a. Transcripts or Detailed Marks Certificates (DMCs) of all Examinations.
 - b. Original/Provisional Degrees.
 - c. Three duly attested passport size photographs.
 - d. Certificate to the effect that no major / minor penalties have been imposed on the applicant on account of misconduct during their undergraduate and graduate studies.
 - e. Domicile Certificate and CNIC.
 - f. Undertaking / Agreement (in original) on selection for admission signed by the Oath Commissioner (At the time of admission).
 - g. Migration Certificate (At the time of admission).
 - h. An affidavit to the effect that he is not pursuing degree Program studies in any other University.
 - i. Entry test/GAT Subject/GRE Subject or any other aptitude with minimum passing marks as per HEC guidelines.
 - j. In case of the University entrance test, the following committee shall prepare and conduct test:
 - i. Dean of the concerned faculty or his nominee
 - ii. Chairman of the concerned department
 - iii. Two senior teachers of the concerned department
 - iv. One expert from outside the university
- 4.4. In service candidates must apply for admission with submission of NOC and leave certificate (initially for two semesters) within one month of admission otherwise their admission will be stand canceled automatically.

- 4.5. The AWKUM employee(s) cannot apply. However, study leave may be granted, as per rules, to them to pursue PhD degree in other institutions.
- 4.6. Foreign scholars shall apply for admission as per criteria laid down by HEC.
- 4.7. If the scheme of studies pursued by a scholar in the M.Phil. program does not provide adequate background for the PhD program, the scholar must take deficiency course (s) proposed by the GSC/FEC.
- 4.8. All eligible candidates are required to appear for interview to adjudge their aptitude, suitability and verification of documents.
- 4.9. The GSC shall grant admission. The Department shall notify the list of admitted (Partially) candidates and will send the final list along with attested copies duly checked by the GSC to the Director Academics with the approval of concerned Dean within three weeks of admission for final notification.
- 4.10. After the notification by the Director Academics the Director admission will assign the registration Number to the admitted candidates.
- 4.11. The GSC may refuse admission to a candidate based on reasons to be recorded.

5. ELIGIBILITY CRITERIA

- 5.1. To be eligible for admission to the PhD program a candidate is required to have:
 - a. MS/MPhil Degree or equivalent in the relevant field (or to be determined by the FEC) with a minimum of CGPA 3.00 under semester system of at least 30 credit hours or 1st division under annual system.
 - b. Have qualified NTS /Graduate Assessment Test (subject) or GRE (subject) or International GRE (subject) or University own test as per HEC criteria.
 - c. Selection shall be made on the basis of cumulative merit to be determined from academic record, written test and interview.

6. MERIT DETERMINATION AND QUANTIFICATION

6.1. Merit will be determined using the following weightage.

Sr#	Title	Marks
i.	Academic qualifications	40
	BS (4-year)/(Bachelor & Master) 10% and M.Phil / MS / LLM	
	or Equivalent 30%	
ii.	Test (Screening test)	25
iii.	Publication	10
iii.	Interview	25

Note: 2.5 Marks per Publication.

- 6.2. After selection, the candidate shall submit course registration form along with bank deposit slip to the Chairman of the concerned department **as per advertisement**.
- 6.3. If a candidate fails to enroll during the stipulated time after selection for admission, the next candidate will be offered admission on merit.
- 6.4. Each enrolled PhD scholar will be assigned a supervisor by the GSC based on equal distribution of scholars in all PhD faculty members.

7. <u>DEGREE REQUIREMENTS</u>

- 7.1. The normal duration of the program for the Degree of PhD will be 06 regular semesters (03 years) to 10 regular semesters (05 years).
- 7.2. The extension after 10 regular semesters (05 years) will be granted by the ASRB on the recommendation of the Chairman and Dean concerned with proper justification by the supervisor. After the ASRB extension, the supervisor would not be entitled for any monetary supervisory benefit.
- 7.3. The study Program of PhD shall comprise of course work, research and dissertation. A candidate is required to complete at least 18 credit hours of course work during the first two semesters (first year) and a minimum of 36 credit hours of research work during the next 04 semesters before submission of dissertation. However, if the scholar opts for more courses both the credit and non-credit (personal preference or supervisor(s) recommendations) can be allowed to a maximum of 18 credit hours per semester.
- 7.4. A PhD scholar is required to pass comprehensive Examination as prescribed in section 15.

- 7.5. Dissertation of a minimum of 36 credit hours based on original research shall normally be completed by the end of **sixth** semester.
- 7.6. English shall be the medium of instruction except for languages and Islamic Studies.
- 7.7. Each scholar shall follow the syllabi and Scheme of studies as may be prescribed by the Academic Council from time to time.
- 7.8. After the expiry of the maximum duration 7 years (14 Semesters), the scholar who fails to complete successfully the studies shall be dropped out from the university and shall not be eligible for re-admission.
- 7.9. All course work may preferably be completed in the first two semesters. The result of each semester must be submitted to the controller of examination with in one month after the completion of examination.
- 7.10. There will be two regular semesters in each year, Spring and Fall.
- 7.11. Each semester shall be of 18 weeks. Out of 18 weeks, 16 weeks will be actual teaching time, the rest may be utilized for registration, conduct of examination, declaration of result etc.
- 7.12. The commencement of semesters shall be regulated by the Director Academics and Research of the university as per approved academic calander.

8. COURSE FILE

- 8.1. Every teacher shall maintain a complete Course File of the subject he teaches which shall be ensured by the Chairperson and Dean concerned.
- 8.2. The course file shall contain:
 - i. Attendance record,
 - ii. Detail description/outlines of the course,
 - iii. Weekly teaching schedule,
 - iv. Date of mid-term and final term examinations,
 - v. Details of marks allocation/grading,
 - vi. Copy of each homework assignment,
 - vii. Copy of each quiz/class test,



- viii. Copies of the question paper of mid-term and final term examinations with their solutions and best, medium and worst answer sheets from students.
 - ix. Result sheets of scholars,
 - x. Difficulties/problems faced during course delivery and recommendations

9. SEMESTER RENEWAL AND REGISTRATION

- 9.1. Every student must get enrollment in PhD degree program in the relevant department in each semester by completing registration form duly signed by the chairperson concerned within stipulated time **as per academic calendar**.
- 9.2. If a student fails to register/enroll in any semester in the stipulated time, he/she shall be considered dropped. However, the Chairperson concerned may allow that dropped student to be re-admitted within 15 days, after the deadline has passed. After that, Approval of the concerned Dean is needed on the recommendation of the chairperson concerned for re-admission with penalty of 5% of the total fee till one month after the commencement of classes.
- 9.3. For improving of CGPA, a student is allowed to repeat courses in the whole program (in the first 4 semesters)

Note:

- i. If a student CGPA is below 2.0, he/she will be dropped from the program.
- ii. If a student CGPA is more than 2.0 and below 3.0, a warning letter must be issued to him/her to improve his/her CGPA.
- iii. If the student fails to improve his/her CGPA in the course work to 3.0 in the first 2 years, the student will be dropped from the program.
- iv. The minimum requirement for the award of PhD is 3.0 CGPA.
- 9.4. For improving of CGPA, a student is allowed to repeat one course of the previous semesters, when such courses are offered up to 12 Cr. Hrs.
- 9.5. The taken courses, including the repeated and the failed, will be appeared in the transcript as "Failure" and Repeat". A minimum of 18 credit hours coursework is

required; however, one can get extra coursework (Both credit and non-credit) after the approval of the Chairperson on the recommendation of the concerned supervisor

10. GRADING POLICY

% age Marks	Grade Points	Letter Grade
Below 50	0	F
50	2.00	
51	2.05	
52	2.10	C-
53	2.15	
54	2.20	
55	2.25	
56	2.30	
57	2.35	С
58	2.40	
59	2.45	
60	2.50	
61	2.55	
62	2.60	C+
63	2.65	
64	2.70	
65	2.75	
66	2.80	
67	2.85	B-
68	2.90	
69	2.95	
70	3.00	
71	3.05	
72	3.10	В
73	3.15	
74	3.20	
75	3.25	B+

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76	3.30	
77	3.35	
78	3.40	
79	3.45	
80	3.50	
81	3.55	
82	3.60	A-
83	3.65	
84	3.70	
85	3.75	A
86	3.80	
87	3.85	
88	3.90	
89	3.95	
90 – 100	4.00	A+

11. COURSE WORK PROGRAM

- 11.1. The codes to all post-graduate courses will be assigned by the first three to four alphabets of the name of the Department / program followed by **800**.
- 11.2. A scholar admitted to the course shall complete course work of not less than 18 credit hours.
- 11.3. A course cannot be registered without qualifying its pre-requisite (if any) as determined in the scheme of studies.
- 11.4. A scholar shall not enroll for more than 12 credit hours in a semester.
- 11.5. All courses shall be of 3 credits hours.
- 11.6. A scholar is required to repeat failed course (s) of the previous semesters whenever the Course (s) is offered during the first four semesters.
- 11.7. Maximum of two courses can be repeated one time at the most. In case a scholar fails to make-up the deficiency or improve grade point average shall cease to be on the roll.

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- 11.8. In case a scholar drops a course without permission of the Head of the Department, he shall be deemed to have failed in that course and will have to register the same course, as and when offered.
- 11.9. When a course for which a scholar is enrolled, cannot be offered according to the program announced, scholar may opt for an alternate course, on the recommendation of the head of the department within two weeks of the commencement of the semester.
- 11.10. Once an examination of a registered course is taken the course cannot be deleted from the transcripts.
- 11.11. The supervisor shall submit semester wise progress report regarding course and research work to the concerned HOD. HOD will include the summary of all students progress reports in the ASRB of each faculty member for Synopsis, supervisor and co-supervisor approval.

12. TRANSFER OF CREDIT BY MIGRATION

- 12.1. Transfer of Credit by Migration in the first Semester is not allowed.
- 12.2. Transfer of Credit by Migration from/to AWKUM is allowed in the bracket of 2nd to 6th semesters on the basis of solid reasons/justification. The Migration shall not be allowed in the 7th and onward semesters.
- 12.3. Transfer of Credit would be allowed from AWKUM by the approval of Supervisor and with final clearance from Directorate of Admissions.
- 12.4. Transfer of Credit would be allowed if the candidate fulfilled the admission requirements of the fresh intake (updated rules).
- 12.5. Transfer of Credit by Migration to AWKUM is allowed provided the scheme of study is the same as in vogue in AWKUM as per the following rules:
 - a. Transfer of Credit by Migration to AWKUM is allowed within first months of start of a semester as per academic calendar.
 - b. The faculty equivalence committee will determine the suitability of the candidate and the courses to be studied at AWKUM.



- c. The scholar will have to complete the required residency of minimum 3-5 years including 3 semesters of study at AWKUM. However, admission date will be the date of initial admission which will reflect the total duration of study.
- d. The FEC meeting will be notified by the Director Academics and Research with the recommendation of the concerned chairperson and Dean.

13. <u>ATTENDANCE REQUIREMENTS</u>

- 13.1. A scholar will be allowed to appear in examination only if he has attended 75% of lectures. Scholar having class attendance less than 75% in a particular course shall not be allowed to sit in the examination of that course and will be awarded 'F' grade in that course and he shall be required to repeat the same course, if it is a compulsory course or an equivalent course in lieu thereof, if it is an optional course.
- 13.2. Calculation of attendance shall start from the date of commencement of classes.
- 13.3. A date-wise record of the attendance of scholars shall be maintained by the respective teacher for each course
- 13.4. One week before the commencement of the final examination, the teacher of each course shall send to the Chairman of the Department a statement in duplicate showing the total number of lectures delivered together with the total number of lectures attended by each scholar.
- 13.5. If a scholar fails to attend all classes for four consecutive weeks, his admission will be cancelled for that semester.

14. COMPREHENSIVE EXAMINATION

- 14.1. The comprehensive exam shall evaluate the knowledge obtained from the courses, seminars and independent studies to become a successful scholar in the chosen discipline.
- 14.2. A student shall be required to pass a comprehensive examination, consisting of written and oral parts, within 4 semesters of admission to the PhD program. The

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- comprehensive examination shall not be a mere re-examination of previous courses. The exam shall be designed to evaluate scholar based on breadth of knowledge, intellectual maturity, and ability to integrate etc.
- 14.3. If a student does not pass the comprehensive examination in the first attempt, he/she may be given one more chance on the recommendation of his/her supervisor. The registration of a PhD student shall be deemed as cancelled if he/she does not pass the comprehensive examination even in the second attempt.
- 14.4. The comprehensive examination shall consist of written and oral parts. The examination shall be conducted by a PhD comprehensive examination committee (three PhD faculty members) appointed by the Dean on the recommendations of the chairperson of the department in consultation with the supervisor. The supervisor of the student may be co-opted as a member of this committee. The pass percentage shall be 60%.
- 14.5. The comprehensive examination will be held twice every year in April/May and in November/December as per the academic calendar.
- 14.6. The comprehensive examination shall consist of three papers including two in major and one in minor subjects.
- 14.7. The PhD comprehensive examination committee is responsible for making papers, checking and declaring the outcome of the comprehensive exam along with oral part.
- 14.8. To pass the comprehensive examination a scholar must secure at least 60% marks in each paper as well as in oral test. The chairperson will send the result to concerned Dean who will notify it.
- 14.9. If a scholar fails to qualify in the comprehensive examinations, he shall be eligible to re-appear, only once, in the next exam.
- 14.10. A scholar who qualifies the comprehensive examination shall be deemed to submit synopsis for PhD to ASRB.

15. RESEARCH REQUIREMENTS



- 15.1. Each student will be required to present his/her Synopsis/Research proposal before the Graduate Studies Committee (GSC) of the concerned department in the third semester or onward.
- 15.2. The concerned supervisor is supposed to note the feedback, corrections/suggestions made by the GSC. The supervisor should issue a certificate after ensuring that the student has made the suggested changes.
- 15.3. Upon the approval of synopsis by the GSC, the synopsis along with supervisor/Joint Supervisors/Principal and Co-Supervisor will be submitted to the Advanced Studies and Research Board (ASRB) for final approval.
- 15.4. The final submission of the thesis will be subject to the research under the approved supervisors for at least three semesters (one year) after the final approval of synopsis by the ASRB.
- 15.5. A student is required to participate and present his/her work (Poster or Oral) in a National or International Conference/Workshop/Symposium *OR*, he/she must deliver: One seminars/presentations in the Department/Faculty/University at every semester after first year of study and one national level conference oral presentation.

16. THESIS/DISSERTATION AND EVALUATION PROCEDURE

- 16.1. The thesis/Dissertation format must be in accord with the approved template.
- 16.2. Once the concerned supervisor submit the dissertation to the QEC for Plagiarism Certificate, the student will no longer need to register for coming semesters. However, the date of this submission will be valid only if the QEC certificate is below the required similarity index is less than or equal to 19% and the concerned supervisor with the recommendation of concerned chairperson and Dean forward the request along with the panel of 10 foreign and 5 local expert to the Director Academics and Research within 30 days of QEC certificate. In case of failure the student will have to pay the extra semester, fee and will repeat the same process of the QEC Plagiarism Certificate.

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- 16.3. For plagiarism/similarity index check the scholar should submit Rs. 1000/- in University main account as a processing fee.
- 16.4. The QEC will not process thesis for Plagiarism Certificate when the research period is less than two semesters (one year) after the final approval of the ASRB.
- 16.5. The Director QEC will then forward the processed certified soft form of PhD thesis to the Director Academics and Research for one local and two foreign evaluation from technologically/academically advanced foreign countries.
- 16.6. The Directorate of Academics and Research will process the soft file of PhD thesis along with the Turnitin report received from the QEC for evaluation purpose.
- 16.7. Three examiners (two foreign experts and one local Pakistani which also be the Examiner at the time of public defense) for evaluation of dissertation shall be appointed by the Vice Chancellor on the recommendation of the Dean from a panel proposed by the Chairperson and Supervisor of minimum of 10 experts in each (Foreign Expert list must have the experts from different countries (not more than 2 from the same country) comprises with more than 60% of professors and Associate Professors in the relevant area with their consents. The local list should also contain more than 60% of the professors and associate professors in the respective area with their consents. The foreign experts will be taken from technologically advanced countries (for languages and Islamic Studies countries will be selected as per the HEC criteria). The local list must have the experts from different universities from the different locations of the country.
- 16.8. Each Examiner shall explicitly state in his confidential report to Director Academics:
 - Whether or not the dissertation is of sufficient merit to justify the award of PhD
 Degree to the candidate
 - Whether the candidate should be allowed to revise and re-submit his dissertation.
- 16.9. If three of the examiners (two foreign and one local) approved the dissertation, the candidate shall be considered for the award of the degree.
- 16.10. If three examiners (Two foreign and *two* local) do not approve the dissertation, the candidate shall be declared failed in dissertation and he/she be given at the maximum six months to reproduce the dissertation.

- 16.11. The **GSC** shall examine the report of each examiner and shall direct the scholar to revise dissertation as per observations / comments / suggestions of the examiners.
- 16.12. The scholar shall also furnish a letter countersigned by his supervisor forwarded by the chairperson and Dean along with the proof that required research paper(s), out of his dissertation, have been published in category as per the HEC criteria defined for sciences and social sciences (However, the publication in AWKUM Journals will not be considered for PhD publication requirements). The scholar shall be the first author in the published research work
- 16.13. The scholar shall defend his dissertation in an open public defense. The examination panel shall be present at the time of open defense.

i.	Dean concerned	Convener
ii.	Chairperson	Member
iii.	Supervisor	Member
iv.	Co-supervisor	Member
v.	Two Local experts	Member
vi.	Director Academics and Research/Nominee	Secretary

- 16.14. The defense presentation should have more than 35 and less than 45 minutes, followed by questions and answer sessions by the public and student for not more than 15 minutes. Further, the public will be asked to leave the Examination Hall and the external examiner will continue the question and answer session for up to maximum of 30 minutes.
- 16.15. The PhD presentations should have the following:
 - a) Introduction of the research
 - b) Goal/objectives of the research
 - c) Literature review/theoretical framework
 - d) Problem Statement
 - e) Methodology
 - f) Findings
 - g) Comparison with the existing research
 - h) Recommendations and future directions



- 16.16. The examination panel will award the status, Fail or Pass to the candidate on the basis of his performance in the presentation. In case of Fail the scholar will be given a second and last chance after at least six months from the date of his first defense.
- 16.17. Final dissertations along with proforma for specialization of the candidate should be submitted to the Director Academics duly signed by the Supervisor, Chairman and Dean concerned, for onward submission to the Controller of Examinations (CE) with the approval of the Vice Chancellor.
- 16.18. If dissertation of a candidate is proved to be plagiarized even after its evaluation and declaration of result, the result of the scholar will be cancelled, and he will be declared to have failed in dissertation examination. Such a candidate shall not be readmitted to any post-graduate program of the university under any circumstances.
- 16.19. A scholar who fulfills all requirements with the prescribed CGPA shall be awarded the PhD degree with specialization indicated.
- 16.20. Minimum CGPA for PhD degree is 3.00.
- 16.21. In all cases where these regulations are silent or where there is difference of opinion about their interpretation, the GSC shall send recommendation to the Academic council through concerned Dean.

Note: Anomaly Committee is suggested comprising Deans, Director Academics, Director QEC, Director Admission and the Controller Examination to discuss and solve the issues vague in the semester rules.

