

**REGULATION FOR IMPLEMENTATION OF
ASSAM UNIVERSITY ORDINANCE ON M.PHIL. AND PH.D.
DEGREES, 2017**

1. No Objection Certificate (NOC) and Leave Sanction Order (LSO) for in-service applicants (Ref. Clause 11.2) :

In-service candidates should submit No Objection Certificate (NOC) from the employer in prescribed format (**Form 1**) *at the time of admission interview*. The candidates those who are not exempted from Course Work, should submit the Leave Sanction Order (LSO) to the department *within three months* from the date of admission.

2. Ph.D. admission for candidates pending M.Phil. degree award (Ref. Clause 3.3):

Candidates whose M.Phil. Dissertation has been evaluated but viva-voce is pending, and is willing to apply for Ph.D. admission, should submit a certificate obtained from COE (in **Form 2**) in this regard to DRC at the time of admission interview.

3. Information of Research Scholars :

Within a week of completion of admission process for research programs, the department shall send the course wise list of admitted candidates to Academic Section (Research Cell) with the following details:

- Name of the Candidate :
- Name of Legal Guardian :
- Permanent Address :
- Email ID :
- Phone No. :
- Category : GEN/SC/ST/OBC
- Sub Category (if any):
- Date of admission :
- Topic of Research :
- Whether pursuing the course Full Time/Part time :
- Name and designation of the Supervisor :
- Name and designation of the Co-Supervisor, (if any) :
- Names of RAC members :

A file should be maintained corresponding to each research scholar in the department.

4. Unique Enrolment Number (Ref. Clause 5.8) :

On receipt of details of admitted candidates in M.Phil./Ph.D. program, Academic Section (Research Cell) will allot a 10 digit unique enrolment no. to each candidate in the following

Format :

--	--	--	--	--	--	--	--	--	--

Course Code Year of Admission Running No.

Ph.D. – 01
M.Phil.- 02

Date of Admission

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

5. Uploading information related to Research Scholars on university website (Ref. Clause 5.8):

On receipt of the information (mentioned in pt. 3) from the departments regarding students admitted to the research program of the university, the Academic Section (Research Cell) shall upload the information on the university website within one month of the date of admission in the following format. The registered title and the date of title registration shall be updated as and when the information reaches the Academic Section (Research Cell) after approval of the BRS.

Sl No	Faculty	Department	Name of the scholar	Unique enrollment No With date of admission	Mode of PhD Part time/Full time	Research topic	Name of Supervisor	Name of Co-Supervisor (if Any)	Date of title registration	Likely date of completion	Availing fellowship	Funding agency for fellowship

6. Course Work (Ref. Clause 7) :

- (i) Course Work Classes will commence from February 1st of each calendar year.
- (ii) Regular Course Work Examination will be held in July and Arrear examination will be conducted in January every year.
- (iii) Applicants who have obtained M.Phil. degree and have passed four paper Course Work with 55% or equivalent grade seeking exemption from Ph.D. Course work shall apply to DRC through RAC in **Form 3**. The DRC will communicate its decision to the candidate within one month from the date of admission (with copy to RAC and COE) after obtaining required approval of the Dean of the concerned School. (Ref. Clause 7.5).
- (iv) Teachers of Assam University and its affiliated Colleges, who are entitled for exemption from attending regular Course Work classes, shall apply to DRC through RAC for availing the exemption. They shall submit a copy of No Objection Certificate (NOC) from the competent authority (submitted during admission) and a certificate from DRC on exemption from attending Course Work classes along with Course Work Examination form.
Concerned RAC will decide regarding assignments in each paper in lieu of classes and will also evaluate them.
- (v) In-service candidates other than teachers of Assam University and its affiliated colleges should submit a copy of **Leave Sanction Order (LSO)** for the duration of Course Work from the competent authority and a copy of No Objection Certificate (NOC) in prescribed format along with the Course Work Examination Form.
- (vi) To appear in Course Work Examination, the application should be made in prescribed format (**Form 4**) along with necessary documents.
- (vii) A candidate has to obtain minimum 55% marks in aggregate and a minimum of 50% in each paper or its equivalent grade to qualify in Course Work Examination for being eligible to continue in the research programme. However-
 - a) A candidate failing to obtain qualifying marks in any paper in first semester of the program can appear in the concerned paper(s) as arrear only in the second semester.
 - b) A candidate obtaining qualifying marks in individual papers but having shortage in

aggregate in first semester may choose to repeat any of the theory paper(s) in the following semester. The paper may be selected from those where he/she has less than 55% marks.

- c) The candidate has also the option to surrender all the marks of the previous examination and appear in the examination again.
- d) A candidate will have to clear all the papers within initial two semesters, failing which the admission will stand cancelled.
- e) There shall be no provision for re-evaluation for Course Work Examination.

7. Research Advisory Committee (Ref. Clause 8) :

- (i) At least four members must remain present in any RAC meeting including Head and Supervisor.
- (ii) In case of long leave, lien, resignation, demise etc. of a member of RAC, HOD may appoint a replacement on the recommendation of the Supervisor. Such changes may be intimated to the concerned authorities.
- (iii) At a given point of time, there will be five (5) members in a RAC.
- (iv) Six-monthly Progress Reports should be submitted in prescribed format (**Form 5**).

8. Adoption of Co-supervisor (Ref. Clause 6.2) :

For adopting a person as co-supervisor for a Ph.D. Candidate, the supervisor may send a proposal after discussion in RAC to BRS through DRC along with a copy of bio-data and consent letter of the prospective co-supervisor. After BRS approval, this data shall be updated by the Academic Section (Research Cell) in the research student database maintained in the University website.

9. Title Registration (Ref. Clause 10.2) :

On successful completion of Course Work, (i.e. declaration of Course Work results), a candidate should apply for Title Registration within twelve months in prescribed Format (**Form 6a** for M.Phil. and **Form 6b** for Ph.D.) in duplicate following the procedure described in Ordinance.

In case of candidates who are exempted from Ph.D. Course Work, the twelve (12) months period should be counted from the date of admission.

10. Submission of Panel of Examiners (Ref. Clause 10.6.3, 6.4 and 6.6) :

Panel of Examiners should be submitted in the prescribed format (**Form 7**) - for M.Phil. at the time of Title Registration and for Ph.D. at least one year prior to pre-submission by supervisor through RAC to the Chairperson, BRS.

11. Change of Title (Ref. Clause 10.3) :

Application in prescribed format (**Form 8**) should be sent to BRS on recommendation of RAC through DRC & relevant statutory bodies. Once approved by BRS, this data shall be uploaded in the website by Academic Section (Research Cell).

12. Extension of Time (Ref. Clause 4) :

Application in prescribed format (**Form 9**) should be made **at least three months prior** to the date of expiry of the normal duration on recommendation of RAC to BRS through DRC.

13. Pre-Submission (Ref. Clause 10.4 & 10.5):

An application in plain paper is to be submitted by the scholar to supervisor requesting for

presentation of pre-submission seminar after completing at least two and half years from the date of admission in case of Ph.D., and ten months from date of qualifying the Course Work, in case of M.Phil. (**Refer Clause 10.5**). The report of the seminar should be prepared in **Form 10 A**. Within two weeks from the date of successful presentation, the scholar has to submit an abstract of his/her dissertation / thesis (within 2500 words) along with duly filled pre-submission form (**Form 10 B**) and fees to the Department. The RAC should ensure the validity of submitted panel before allowing a student to present the pre-submission seminar.

If a candidate fails to submit his/her thesis within six months of submission of **Form 10.B** (Pre-submission form), the whole pre-submission procedure shall have to be repeated provided it is within the allowed duration of the course.

14. Thesis Submission (Ref. Clause 10):

(i) Guidelines for the submission of Ph.D Thesis / Dissertation :

- i) Duly filled **Form 11 A and 11 B** should be submitted along with the thesis.
- ii) Thesis shall be printed on both side of A-4 size paper with a margin of at least 3 cm from all sides (excluding binding space) size paper with double spacing. Final hard bound (rexin or cloth) copy shall have to be printed in 100 GSM Bond paper. The title of the thesis shall be printed on the spine along with year of award.
- iii) Each Ph.D. thesis must contain two certificates i.e. Certificate of Originality and Student Approval Form (**Form-11.C & 11.D**), with other necessary enclosure.
- iv) The PhD thesis should contain a certificate of Similarity Index duly signed by the Librarian, AUS (**Form 11.G**).
- v) The supervisor should certify for exclusion of self-published work in **Form 11.F**.
- vi) The soft copy of the thesis must be submitted to the Examination Branch in specified media (i.e. non-re-writable CD/DVD) in the specified formats (separate chapters in Open Office/MS Office Document/pdf Format) along with the hard copies of the thesis. The Supervisor must authenticate the CDs submitted by the students and submit a verification form, enlisting and checking each requirement (**Form 11.E**). Soft copy should be exact replica of the print version.
- vii) The PhD Thesis will also contain a Metadata form (**as given in Form 11.H**) provided by the University Library.
- viii) Thesis should include copy of all publications out of the thesis work. Thesis should not contain material from a publication, which has been shared with another Ph.D. student.

(ii) Guidelines for Plagiarism Check

1. The following guidelines must be adhered to for submitting the Plagiarism reports generated by the anti Plagiarism software at the time of Ph.D. thesis submission:
2. The Ph.D. thesis must undergo a Plagiarism check by the anti Plagiarism software recommended by the University from time to time.
3. The exclusion at the time of performing the check should be limited to the followings:
 - a. Quotes
 - b. Bibliography
 - c. Phrases
 - d. Small matches upto 10 words
 - e. Small similarity less than 10%
 - f. Mathematical formula

- g. Name of the Institutions, Departments, etc.
4. Regarding the self Plagiarism or cases where the published work of the student is shown as Plagiarism in the check, a certificate (Plagiarism Self Exclusion certificate) has to be issued by the supervisor specifying and attaching the articles that have been published by the student from the thesis work. Only these articles should be excluded from the check. No other article of the Supervisor or the student should be excluded from the check. This will be for reference of the library which will perform the final check.
 5. The final plagiarism check from the library is essential so that the correct report is submitted at the time of thesis submission.
 6. The Central Library will issue the final certificate of Plagiarism Check/Similarity Index (Plagiarism Verification Certificate), certifying and authenticating the check performed by the student/department. This certificate has to be submitted to the Examination Branch at the time of submission of the thesis.

(iii) Embargo to Open Access for Digital version of Ph.D. thesis of Assam University, Silchar

(In case of Patent Filing or Some other Technical Reasons)

There is a uniform two year embargo on Ph.D. thesis of the University to be uploaded on the INFLIBNET–Shodhganga Repository for open access. The period of two years will be counted from the date of submission of thesis.

In case any student wants to put his/her thesis in Open Access immediately or wants to change the duration, he/she should inform the INFLIBNET through the Student Approval Form.

- (iv) Thesis submission certificate will be issued by the Controller of Examinations within three working days of thesis submission (**Form 12**).

15. Provisional Certificate (Ref. Clause 12.2) :

On receipt of hard bound copy of the thesis within fifteen days after successful completion of viva-voce, COE will seek approval of the Vice-Chancellor for awarding the degree. Provisional Certificate from COE's end will be issued after receiving the approval.

(Prof. Abhik Gupta)
Chairperson of the Committee
M.Phil. and Ph.D. Regulation Committee
Assam University, Silchar

Subject : Procedures for submission of M.Phil. and Ph.D. Dissertation / Thesis as per revised AU Ordinance/Regulation on M.Phil. and Ph.D. Degrees 2017 and implementation of the same.

A. The following steps/procedures to be followed by the M.Phil. Research Scholar while submission of M.Phil. Dissertation for evaluation to the Examination Section for award of the degree :-

1. The scholar shall apply for pre-submission seminar after ten months from qualifying the Course Work Examination as per format 10 B.
2. The scholar shall submit two hard copies of abstract and a soft copy along with pre-submission report within 15 days of successful completion of pre-submission presentation in format 10 A.
3. The scholar shall submit three soft bound copies of M.Phil. Dissertation (both side typed) along with all other documents as prescribed in format 11 A including evaluation fees at the revised rate within two months from the date of submission of pre-submission form.
4. The Dissertation must be accompanied by Format C, D, E, F, G and H, complete in all respect (ref. 14. (i) of AU regulation 2018)
5. Plagiarism Certificate must be signed by the Librarian as per format 11 G (Ref. 14 (i) (d) and (ii) of AU Regulation 2018)
6. Metadata Form will be countersigned by the Librarian as per format 11 H (ref. 14 (i) (g) of AU Regulation 2018)
7. Open Viva-Voce will be held for M.Phil. Research Scholar
8. The final copy of the thesis (Hard bound) along with the qualified viva-voce report must reach to the Examination Branch within fifteen days from the date of conducting viva-voce.
9. Degree will be awarded in first week of every month.

Note : Scholars must submit soft bound copies and hard bound copies as prescribed in 14 (f) of AU Regulation 2018.

Compliance with the above points while submitting the Dissertation is mandatory in terms of awarding M.Phil. degree from Assam University according to the revised Ordinance/Regulation on M.Phil. and Ph.D. Degrees 2017 and 2018.

B. Moreover the norms for similarity index may kindly be fixed by the university authority so that the Examination Section may implement the same while submission of M.Phil. Dissertation /Ph.D. thesis.

C. By now 4 nos. of M.Phil Dissertation of the following research scholars who are governed by the revised Ordinance/Regulation has already submitted to the Examination

Branch for evaluation, the section has checked, verified and found the following points to be noted on the basis of the revised guidelines :-

From pre-page :-

(1) Swagata Das, M.Phil. Research Scholar, Dept. of Mass Communication –

- i) Date of admission 25 January 2017
- ii) Has no unique enrolment number
- iii) Course Work qualified on 23 November 2017 and title registered on 3 July 2017
- iv) Pre-submission seminar held on 1 March 2018
- v) Signature of the Librarian in Plagiarism certificate is not available.
- vi) Counter signature of the Librarian in Metadata Form is not available
- vii) Panel submitted on 43rd BRS dated 13 April 2018
- viii) Dissertation submitted on 20 June 2018

(2) Afrin Yasmin, M.Phil Research Scholar, Dept. of Biotechnology –

- (i) Date of admission 30 January 2017
- (ii) Course work qualified on 21 November 2017
- (iii) Pre-submission presentation held on 24 August 2018
- (iv) No counter signature by the supervisor in format 11A
- (v) Plagiarism certificate has no signature of the Librarian in format 11 G
- (vi) Format 11 H is not countersigned by the Librarian
- (vii) Title registered vide notification dated 13/08/2018
- (viii) Dissertation submitted on 24 August 2018
- (ix) Panel submitted on 27/02/2018

(3) Yengkhom Sophiarani, M.Phil. Research Scholar, Dept. of Biotechnology –

- (i) Date of admission 30 January 2017
- (ii) Course work qualified on 21 November 2017
- (iii) Pre-submission presentation held on 17 August 2018
- (iv) Incomplete format 11 D
- (v) Plagiarism certificate has no signature of the Librarian in format 11 G
- (vi) Format 11 H is not countersigned by the Librarian
- (vii) Title registered vide notification dated 13/08/2018
- (viii) Dissertation submitted on 24 August 2018
- (ix) Panel submitted on 27/2/2018

(4) Manasi Devi, M.Phil research scholar, Dept. of English-

- (i) Date of admission 27 January 2017
- (ii) Course work qualified on 21 November 2017

- (iii) Pre-submission presentation held on 17 August 2018 and the recommendation of the RAC received which is not as per the format 10 A

From pre-page :-

- (iv) Incomplete format 11 D
- (v) Plagiarism certificate not signed by the Librarian in format 11 G
- (vi) Format 11 H not countersigned by the Librarian
- (vii) Title registered vide notification dated 13/08/2018
- (viii) Dissertation submitted on 3 October 2018
- (ix) Panel submitted on 28/8/2018

All the above mentioned four M.Phil Dissertations do not fulfill the entire criteria as prescribed above. Considering the transition period from old to new regulation on M.Phil/Ph.D. Degrees, the authority may like to consider the above four cases and allow starting the evaluation process.

Submitted for kind perusal as detailed above and soliciting further instruction and approval of the university authority at an urgent date so that the section start the evaluation process for awarding the degree of pending cases and circulate the procedures for implementation to all the departments.

AR (PG/PR)/JR (Exam) please

As per provision of AU Ordinance/Regulation on M.Phil. and Ph.D. Degrees 2017, the following steps/procedures will be followed while submission of M.Phil. Dissertation/thesis to the Examination Section for award of the degree:-

1. The scholar shall apply for pre-submission seminar after ten months from the date of qualifying the Course Work Examination as per Format 10 B.
2. The scholar shall submit two copies of abstract (including soft copy) along with pre-submission report within 15 days of successful completion of pre-submission presentation as per Format 10 A.
3. The scholar shall submit three soft bound copies of M.Phil. Dissertation (both side typed) along with documents as prescribed including evaluation fees within two months from the date of pre-submission presentation as per Format 11A.
4. Format C (Certificate of Originality) and D (Student Approval Form) must be affixed with the thesis/Dissertation (Ref. AU Regulation 14 (i) (c)).
5. The Dissertation/thesis must be accompanied by Format E, F, G and H, complete in all respect (ref. 14. (i) of AU Regulation)
6. Plagiarism Certificate needs to be signed by the Librarian as per format 11 G (Ref. 14 (i) (d) and (ii) of AU Regulation) which is mandatory.
7. Metadata Form will be signed by the Librarian as per format 11 H (ref. 14 (i) (g) of AU Regulation)
8. Open Viva-Voce for M.Phil. Research Scholar to be conducted after receiving positive reports (Ref. 10.6.5 of AU Ordinance)
9. Two hard bound copies of the final Thesis/Dissertation along with the viva-voce report shall reach to the Examination Branch within fifteen days from the date of completion of viva-voce for award of the degree.

Note : One final copy will be sent to HOD and the other copy of the final thesis along with soft copy will be sent to Library for record and to upload on INFLIBNET-SHODHGANGA after certification from Examination Branch.

10. The notification will be done by the university in the first week of every month for award of M.Phil./Ph.D. degree (Ref. Ordinance 10.6.2)

In case any revision of the thesis/dissertation is suggested during the process of evaluation, the revised thesis/dissertation (including revised soft copy) shall be submitted incorporating all changes / corrections as suggested to the Examination Branch for re-evaluation through proper channel. A detailed revised report must be submitted by the research scholar along with the revised thesis/dissertation.

P.T.O.

From pre-page :-

The soft copy of the revised thesis and the detailed revised report needs to be submitted after certification from the Library for award of the degree.

Research Scholar/Supervisor/HOD should certify that the thesis is the exact replica of the same while submitting for plagiarism check and evaluation.

In case of revision of a thesis/dissertation is suggested during viva-voce examination, the above mentioned criteria has to be followed. The final copy of the thesis must be submitted along with the qualified viva-voce report to the Examination Branch for award of the degree.

Note: Scholars must submit soft bound and hard bound copies of the thesis/dissertation as prescribed in 14 (b) of AU Regulation.

Compliance with the above points while submitting the thesis/Dissertation is mandatory in terms of awarding M.Phil./Ph.D. degree from Assam University according to the revised AU Ordinance/Regulation on M.Phil. and Ph.D. Degrees in vogue.

Submitted for perusal and soliciting kind approval of the Vice-Chancellor for immediate circulation to all Head of Departments and Dean of Schools, Assam University, Silchar and Diphu Campus please.