



ASSAM UNIVERSITY: SILCHAR

NOTIFICATION

As approved by the Academic Council, in its 97th meeting held on 27th September 2024 vide resolution No.AC:97:09-24:19.1(e) and 170th EC vide resolution No.EC:170:10-24:12, the Regulation for implementation of Assam University Ordinance on PhD Degrees, 2023 is hereby notified for information of all concerned.

The Regulation placed at Annexure-1.


(Dr. Pradosh Kiran Nath)
Registrar

No. AURW-13/02R/14/2013

Date: 18/08/2025

Copy for information & necessary action to:

1. Vice Chancellor, Assam University for his kind information.
2. The Pro-Vice-Chancellor, AUDC for kind information.
3. The Controller of Examinations, AUS for information.
4. All Dean of Schools, AUS for information.
5. All Heads of PG Depts, AUS/AUDC for information.
6. Director, Computer Centre, AUS for upload the notification in the AU website.
7. Guard File.


(Anup Kumar Verma)
Section Officer (Res)



REGULATION FOR IMPLEMENTATION OF ASSAM UNIVERSITY ORDINANCE ON PH.D. DEGREES, 2023

1. No Objection Certificate (NOC) and Leave Sanction Order (LSO) for in-service applicants (Ref. Clause 14.3 of the AUS Ph.D. Ordinance 2023):

In-service candidates should submit a No Objection Certificate (NOC) from respective employer in prescribed format (**Form 1**) *at the time of admission*. Those candidates, who are not eligible to get exemption from Course Work, are expected to submit the Leave Sanction Order (LSO) for the duration of the Course Work through RAC to the department *within one month* from the date of admission.

In cases where the candidate joins a service or changes job during the programme, the candidate will have to submit/resubmit a fresh NOC from competent authority in prescribed format through RAC (Form 1).

2. Ph.D. admission for candidates pending M.Phil. degree award:

Candidates, whose M.Phil. Dissertation in Assam University have been evaluated as per AUS M.Phil./Ph.D. Ordinance 2017 but viva-voce is pending and who are willing to apply for Ph.D. admission, should submit a certificate obtained from the COE (in **Form 2**) to the DRCs of the respective department at the time of admission interview/PI. This is mandatory for getting benefit of the degree at the time of admission and also for being eligible to apply for exemption from coursework.

3. After completion of admission process, the candidates should proceed for AU registration through the designated portal <https://auexaminations.ac.in/admission>. Students already registered with AU need to register for PhD program through the *existing student link*. Fresh students need to follow the link for fresh students. No Objection Certificate needs to be uploaded during the process if the candidate is employed and willing to pursue the programme via part time mode.

4. Unique Enrolment Number (Ref. Clause 5.8 of the AUS Ph.D. Ordinance, 2023):

Departments are to send a list of admitted candidates along with the name of supervisor and date of admission to the academic section (Research Cell) within 15 days of completion of admission. On receipt of the communication from the departments, the Academic Section (Research Cell) will allot a 10 digit **unique enrolment no.** to each candidate in the following format and enter the data in appropriate places in the online Management System. This process needs to be completed within one month from the date of completion of admission process by the Academic section (Research Cell).

CourseCode			Year of Admission				Running No.			

D	D	M	M	Y	Y	Y	Y
Date of Admission							

5. Maintenance of Student Information:

Uploading information related to Research Scholars on the university website (Ref. Clause 5.8 of the AUS Ph.D. Ordinance 2023):

The Academic Section (Research Cell) shall upload the information of the newly admitted student on the university website within three months of the date of completion of the admission process 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 the approval of the BRS.

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

At the Department:

A hard copy file should be maintained corresponding to each research scholar in every department. Copies of selection notice, admission fee receipt, Registration certificate, UEN notification, RAC formation notification, all RAC reports, Coursework marksheet, title registration form along with synopsis duly forwarded, title registration notification, Title modification notification (if any), co-supervisor adoption notification (if any), Re-registration notification (if any), Additional Extension notification for disability (if applicable)/ women candidate, Leave approval records for women candidate (if any), pre-submission form with abstract duly forwarded with supporting documents, final submission form along with all fee receipts and no dues certificates, copies of publications (if any) and any other relevant documents are to be available in the file.

6. Research Advisory Committee (Ref. Clause 10 of the AUS Ph.D. Ordinance, 2023):

- a. RAC for every admitted student should be constituted and notified by the department within fifteen days from the date of admission.
- b. First RAC meeting should be conducted within twenty-five days of the date of admission. The RAC needs to decide on the broad topic of research, eligibility for coursework/ class attendance/ examination exemption, courses to be opted during coursework etc. (Refer Clause

10.3 of the AUS PhD Ordinance, 2023) in the first meeting.

- c. At least four members must remain present in any RAC meeting including the HOD and the Supervisor.
 - d. A faculty member (with the exception of HODs) can become a member of maximum 8 (eight) RACs (excluding her/his own scholar) at a point time.
 - e. In case of long leave, lien, resignation, demise, etc., of any member of an RAC, the Supervisor should propose the replacement to the HOD. A modified notification should be issued by the HOD and the information needs to be updated in the online management system.
 - f. At any given point of time, there will be five (5) members in an RAC. Co-supervisor, if any, may be a member of RAC/permanent invitee (if from outside the institution) to all RAC meetings.
 - g. RAC reports should be submitted in the prescribed formats (**Form 5/10 as per requirement**) and uploaded in the portal in due time. This report submission period should start immediately after admission (not after the Course Work exam). If the time gap between uploading two consecutive RAC reports **exceeds one year**, the system will automatically block the student from proceeding further.
7. **Course Work (Ref. Clause 9 of the AUS Ph.D. Ordinance, 2023):**
- (i) Course Work Classes will commence within fifteen working days of completion of admission.
 - (ii) Regular Course Work Examination will be held at the end of the first semester after admission. Arrear examination will be held within the next semester
 - (iii) Applicants, who have obtained M.Phil. degree from Assam University and have passed the four paper Course Work with at least 55% marks or equivalent grade and are seeking exemption from Ph.D. Course work, shall apply to the DRCs of the respective departments through the respective RACs **online within fifteen days from the date of admission (Form 3)**. The DRCs will scrutinize the applications on the basis of the **latest guidelines** and will communicate their decision(s) to the candidates within 45 days from the date of admission (with copies to the respective RACs and the COE) after obtaining the required approval of the Dean of the concerned School. (Refer Clause 9.6 of the AUS Ph.D. Ordinance 2023). This should be a completely online process.

Exemption Guidelines:

- *A candidate whose M Phil. dissertation has been evaluated with viva voce pending will have to produce an M.Phil. Evaluation Certificate before the DRC at the time of interview/PI for claiming exemption from Ph.D. course work through RAC if selected for Ph.D. admission.*
- *A candidate who has been awarded M.Phil. Degree from AUS as per AU Ordinance on M.Phil. and Ph.D. Degrees 2017 with 55% marks in aggregate and who is willing to pursue Ph.D. in the same dept. is eligible to get exemption from Ph.D. Course Work. In case, the M Phil coursework does not include the paper on Research and Publication Ethics, s/he will need to clear it within one semester of admission to the PhD program failing which, the provisional exemption granted will be withdrawn.*

- (iv) Teachers of Assam University and its affiliated Colleges (in permanent positions), who are entitled for exemption from attending regular Course Work classes, shall apply to the respective DRCs through the respective RACs for availing the exemption. Such candidates will have to submit one assignment per unit of each theory paper which will be assigned and evaluated by the RAC. A certificate from the respective DRC on exemption from attending Course Work classes and completion of assignments will be given in the course work examination form.
- (v) To appear in the Course Work Examination, the application should be made online along with the necessary documents (Form 4).
- (vi) A candidate has to obtain a minimum of 55% marks in aggregate and a minimum of 50% in each paper or its equivalent grade to qualify in the 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 less than 55% marks in aggregate in the first semester may choose to repeat any of the theory paper(s) in the following semester. The paper may be selected from those in which he has less than 55% marks. However, a candidate can never repeat the TERM paper.
 - c) the candidate also has the option to surrender all the marks of the previous examination and appear in the examination afresh. But this can only be done within one year from the date of admission.
 - d) a candidate will have to clear all the papers within the initial two semesters, failing which the admission to the PhD programme will stand cancelled.
 - e) there shall be no provision for re-evaluation for Course Work Examination.

8. Adoption of Co-supervisor (Ref. Clause 6.1 of the AU PhD Ordinance, 2023):

For adopting a person as a co-supervisor for a Ph.D. Candidate, the supervisor may send a proposal after discussions in the RAC to the BRS through the 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. Co-Supervisor's name must be mentioned in Ph.D. title registration (if available at that point of time) and Ph.D. award notification.

9. Title Registration (Ref. Clause 12 of the AU Ph.D. Ordinance, 2023):

On successful completion of Course Work, (the date of which should be considered as the date of the declaration of Course Work results), a candidate should apply for Title Registration within twelve months in prescribed Form *online* on the recommendation of RAC (**Form 6**). Hard copy in duplicate may be submitted to DRC **following** the procedure described in the Ordinance. For candidates who are exempted from appearing in Ph.D.

Course Work examination, the twelve (12) months period should be counted from the date of admission.

Title registration proposals are to be discussed in the respective DRC, BPGS and School Board before placing it in BRS for approval. In case of any suggestion for alteration/modification, the proposal may be sent back to RAC for reconsideration by BRS with proper reasoning. In such a case a revised application need to be uploaded with RAC recommendation directly for BRS approval.

Title Registration seminars are expected to be attended by all the faculty members and research scholars of the department.

10. Submission of Panel of Examiners (Ref. Clause 12.8 of the AU Ph.D. Ordinance, 2023):

The panel of examiners should be submitted in the prescribed format *online* at least one year prior to the pre-submission by the supervisor through the respective RACs to the Chairperson, BRS (Online) (Form 7). Any such submission should be reported by the HOD in subsequent DRC, BPGS, School Board and BRS meetings.

Supervisor must take consent of the examiner before proposing the name. The examiner should not be in anyway involved in Ph.D. work of the concerned candidate. Two names of examiners preferably not be proposed from the same university/institution. The examiner is expected to be in the rank of Associate Professor (or equivalent) or above. Panel must contain six external examiner names (excluding Supervisor). A Panel submitted remains valid for two and half years. However, change of address/contact number/email id/demise must of any examiner may immediately be informed to the COE by the Supervisor mentioning the name of the student(s)

List of panel of examiners should be processed online through the examination portal <https://ausexamination.ac.in>

11. Change of Registered Title (Ref. Clause 12.2 of the AUS Ph.D. Ordinance, 2023):

For change of title, application in prescribed format (Form 8), both online and offline, should be sent to BRS on the recommendation of the RAC through the DRC and other statutory bodies. Once approved by the BRS, this data shall be uploaded in the website by the Academic Section (Research Cell). **Pre-Submission seminar can only be presented with a BRS approved title.**

12. Application for Re-registration/Extension of time (Ref. Clause 4 of the AU Ph.D. Ordinance, 2023):

Online application along with a hardcopy in prescribed format (Form 9) should be made **within one year** of expiry of the 6 years duration on recommendation of RAC to BRS through DRC and other statutory bodies for re-registration.

Applications for availing an additional / extra time (formore than 40% disabled candidates/ women candidates)should be made not earlier than 3 months and not later than 3 months of expiry of the 8 years period from the date of admission (Form 9).

13. Pre-Submission (Ref. Clause12.3 of Ph.D. Ordinance, 2023):

An email/plain paper application is to be sent/submitted by the scholar tothe supervisor requesting for presentation of pre-submission seminar after completing at least two and a half years from the date of admission. *Pre-submission seminars are to be attended by all the faculty members and research scholars of the department.*

The report of the seminar should be prepared in **Form 10**.Column 10 should clearly recommend the submission of the thesis(should not be left blank). If any suggestionsaremade during pre-submission seminar, these may be incorporated.

Within two weeks from the date of successful presentation, the scholar has to submit the duly filled form (**Form 11**) and fees to the Department, *a copy of which needs to be uploaded on the portal* along with abstract of the thesis(in pdf format within 3000 words)

No dues certificate from dept., central library any other central facility should be submitted in proper format along with (Form 12).

The RAC should ensure the validity of the submitted panel before allowing a student to present the pre-submission seminar.

If a candidate fails to submit her/his thesis within six months from the date of pre-submission seminar, the whole pre-submission procedure shall have to be repeated provided it is within the allowed duration of the course. The online submission of thesis will not be possible after the expiry of six months from successful presentation of pre-submission seminar.

14. Thesis Submission (Ref. Clause 12of the AUS Ph.D. Ordinance, 2023):

Thesis submission must be onlinethrough the portal <https://ausexamination.ac.in>.

Thesis, submitted online, should contain the signature of the concerned student and supervisor(s) at appropriate placesand must include the plagiarism verification certificate in **Form 12**. However, three copies (thermal bound/paperback) of the Ph.D. thesis areto be submitted along with a CD (containing files as per *similarity check guidelines of the University for Thesis as on submission date*) authenticated by the supervisor along with other relevant documents (Form 12 A, B, C, D, E, F) to the examination department for evaluation.

A Hardboundcopy (for Library) of final thesis along with a CD containing all relevant files (as per *similarity check guidelines of the University as on date*) and duly certified by the Supervisor/HOD, will be submitted to the COE office after successful completion of PhD viva-voce through the Dean of the concerned school. The final copy of the thesis should be signed/certified by the supervisor on the day of successful viva-voce.

In case any correction/modification/revision is suggested during evaluation, similarity check should be repeated and a fresh CD is to be prepared and submitted along with the Thesis. The revised thesis will be sent for re-evaluation to the original examiner or as per recommendation made by the examiner.

The similarity checks also need to be repeated in case of any suggestion made by the Viva-Voce Committee for revision of the thesis during Ph.D. viva-voce of a research scholar. Unless final hard copy of thesis along with viva-voce report and the CD is submitted to the COE office, result of the student will not be processed.

One copy of the final thesis must be submitted to the concerned department for the Departmental Library.

The research cell of the academic section of the University will send the CD containing soft copy of the thesis along with the Ph.D. award notification, thesis authentication (Form 12B) and the student metadata form (12F) to the AU Central Library for uploading to Sodhganga portal on receipt of the successful viva voce report from the COE. The hardbound copy will be submitted by the COE office to the AU central Library in due course of time.

Guidelines for the preparation of Ph.D. Thesis:

- (a) *Thermal bound/paperback copy* of the thesis submitted for evaluation 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) with double spacing. Copies of Publication, if any, should be included in the thesis.
- (b) Each Ph.D. thesis must contain a certificate from the supervisor regarding originality and the percentage of similarity after exclusion of publications out of the Thesis work. (Form 11.B)
- (c) The Ph.D. thesis should contain a certificate of Similarity Index duly signed by the Supervisor (**Form 12E**) in appendix. For any modification of thesis after first evaluation, fresh similarity check report needs to be issued and that needs to be included in the bound thesis.
- (d) The Thesis should be checked for similarity as per the University guidelines as on date of submission.
- (e) The soft copy of the thesis must be submitted to the Examination Branch in the specified media (i.e., non-re-writable CD/DVD), in the specified format (as per the similarity check guideline as on date) along with the printed version of the thesis. The Supervisor must authenticate the CDs submitted by the students. Soft copy should be exact replica of the print version.

In case of any suggested revision during evaluation, the similarity should be freshly checked and accordingly a new CD should be submitted to COE section.
- (f) Thesis should not contain material from a publication, which has been shared with another Ph.D. student without clearly mentioning the contribution of the concerned students.
- (g) A verification form consisting of a checklist (**Form 12**) needs to be submitted along with the Thesis.
- (h) The Thesis may be organized as follows

Suggested Organization of Thesis:

- Outer Cover page
- Inner cover page (should contain the names of Supervisor & Co-supervisor, if any)
- Declaration by the Scholar
- Acknowledgement
- Certificate of Supervisor and Co-Supervisor (as per Format 12 D)
- Thesis Abstract
- List of publications
- Content
- Introduction
- Review of literature
- Methodology
- Work chapters
- Bibliography (Alphabetically arranged (APA) style)
- Copies of publication, if any
- Similarity check report

(i) **The final hard copy thesis:**

- a. should be printed on both sides of 100GSM bond paper, in 12pt Times New Roman font.
- b. should have hardcover
- c. should include copies of all publications out of the thesis work.
- d. The title of the thesis shall be printed on the spine along with the **year of award**.

15. Embargo on 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 provision of time bound embargo on Ph.D. thesis of the University to be uploaded on the INFLIBNET–Sodhganga Repository for open access.

This needs to be intimated through the Student Approval Form (11.G) at the time of submission clearly mentioning the time period.

Submission certificate will be issued by the Controller of Examinations within three working days of thesis submission (**Form 13**).

16. Provisional Certificate (Ref. Clause 12.2 of the AUS M.Phil./Ph.D. Ordinance 2017) :

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

17. The departments are to introduce the newly admitted students with existing PhD ordinance and corresponding regulations of the University.