



আউনীআটী বিশ্ববিদ্যালয়

AUNIATI UNIVERSITY

Estd. By Govt. Of Assam under its Act No. XXXIX, 2022 &
Recognized by UGC under Section 2f of UGC Act, 1956

REGULATIONS

For the

Award of PhD Degree

Revised as per UGC latest notification

2024

Kaliapani- 785112, Teok, Assam

Website : www.auniv.ac.in

E-mail : auniatiuniversity@gmail.com



আউনীআটী বিশ্ববিদ্যালয়

AUNIATI UNIVERSITY

REGULATIONS FOR THE RESEARCH COUNCIL AND FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) 2024

1.01. Introduction:

To maintain minimum standard and procedure, as per UGC guidelines, and conducting research programmes leading to PhD degree shall remain vested with the Research Council subject to the general approval of the Academic Council of Auniati University (henceforth AU). While taking decisions, the Research Council shall follow the procedures laid down in this PhD regulations. In case any major policy change is required in these PhD regulations, the same shall be placed before the Academic Council for approval. The decision of the Academic Council shall be placed before the Governing Body for final approval and implementation.

1.02. Short Title, Application and Commencement:

- (a) These regulations shall be called the Auniati University (Minimum standard and procedure for award of the PhD Degree) Regulations, 2024.
- (b) These regulations shall apply for the Auniati University and its constituent institutions/ Centres of studies within the State of Assam
- (c) These Regulations shall come into force immediately after they are adopted in the Research Council of the University.

2.0. STATUTORY BODIES AND THEIR RESPONSIBILITIES:

2.01. Governing Body (GB)

The Governing Body is the highest executive body of Auniati University.

2.02. Academic Council (AC)

Academic Council is the highest Academic Body of Auniati University and have the control and general regulation and be responsible for the maintenance of standards of instruction, education and examination within the university.

2.03. Research Council (RC)

The Research Council (RC) is the body to oversee all the research activities of the university. Further, the Research Council will look after the matters related to recognition of PhD guide, Lab for PhD related work and ensure smooth implementation of the guidelines of these PhD regulations. Further, the Research Council will also oversee the research activities relating to DSC, D.Litt, and activities related Postdoctoral Research and research work of similar nature.

2.03.01 Composition of Research Council

- (a) The Vice-Chancellor Chairperson
- (b) Two Nominees of the Chancellor Members
- (c) The Deans Members
- (d) The Registrar (if the Registrar is not a Member Secretary) - Member
- (e) Five (05) Professors/ Associate Professors - Members representing each Schools to be nominated. These members of Research Council must be experienced in research. At least three research scholars must have obtained PhDs under their supervision.
- (f) Registrar/Academic Registrar Member Secretary

2.03.02 Functions of the Research Council

The Research Council shall be mainly responsible for the following functions :

- (a) The Council shall be responsible for reviewing, evaluating, and approving the recommendations submitted by the RAC pertaining to the research programme.
- (b) The Research Council shall advise, observe and suggest on the functioning of the MDRC/ DRC on the research matters.
- (c) It shall advise, observe and suggest on the functioning of the Office of the Registrar/ Academic Registrar.
- (d) It shall review the Policy Matters/Regulations pertaining to research leading to PhD degrees.
- (e) It shall explore for promotion of innovative research by the students and faculty members and work out policy initiatives for these.
- (f) It shall work out policy initiatives for greater Industry- Academia research.
- (g) It shall explore for greater Action Research by the students and faculty members.
- (h) It shall consider applications for the award of Junior Research Fellowship (JRF) and PhD scholarships offered by the University.
- (i) On behalf of the Research Council, the Chairperson of the Research Council shall examine the Reports of the Examiners of the PhD thesis and advise the Registrar/ Academic Registrar for the necessary action under report to the Research Council.
- (j) It shall receive annual Academic Report(s) from the Principal Investigator(s) of the ongoing Research Project(s) in various departments irrespective of the sources of funding through the Registrar/ Academic Registrar.

2.04.0. Multidisciplinary Departmental Research Committee (MDRC) or Departmental Research Committee (DRC):

- (a) The Multidisciplinary Departmental Research Committee (MDRC) or Departmental Research Committee (DRC) is the research committee of the teaching department/centres of the University.
- (b) The University shall constitute an MDRC or DRC in each Department/Centre for Studies.
- (c) The MDRC shall be formed to advance research activities across departments, with the Vice-Chancellor as Chairperson and the Registrar as Member Secretary.
- (d) Alternatively, a DRC shall be constituted in each department, comprising: Head of the Department/Director of the Centre: Chairperson All eligible PhD Supervisors of the subject concerned: Members. Any other member nominated by the Dean of the School concerned, as and when necessary.
- (e) In case the Head of the Department/Director of the Centre is not an eligible PhD Supervisor, the Dean of the School/Registrar/Academic Registrar shall be the Chairperson of the DRC concerned, until the Head of the Department/Director of the Centre acquires eligibility to be a Supervisor.
- (f) In Departments with only one eligible recognized Supervisor, at least two members for the DRC shall be nominated by the Registrar/Academic Registrar from allied Departments, in consultation with the Chairperson, DRC.
- (g) In the absence of postgraduate teaching departments, the Registrar, with the approval of the Vice-Chancellor, shall constitute an MDRC comprising qualified members.

2.04.01.Functions of the MDRC or DRC :

The MDRC or DRC shall consider all matters related to research works in the subject(s) concerned. The functions of the MDRC or DRC are :

- i. To consider recommendations of the Research Advisory Committees related to registration of PhD research scholars.
- ii. To convene periodical seminars/presentations for PhD scholars.
- iii. To scrutinize progress reports of PhD research scholars and recommend to the Registrar/ Academic Registrar.

- iv. To organize pre-submission seminars of PhD scholars and receive abstracts along with the panel of examiners from the RAC.
- v. To consider any other issues relevant to PhD works of scholars.

2.05.0. Research Advisory Committee (RAC)

There shall be a Research Advisory Committee as defined in the Statutes/Ordinances of the Higher Educational Institution concerned for each PhD Scholar. The Research Supervisor of the PhD Scholar concerned shall be the Co-ordinator of this committee. The Committee will be constituted by the Registrar/Academic Registrar and informed to the concerned members and the Vice-Chancellor's office.

2.05.01. Composition of Research Advisory Committee :

- i. The Supervisor -Coordinator
- ii. Co-Supervisor, if any -Member
- iii. A Faculty Member of the Department concerned or qualified experts from other Institutions -Member
- iv. A Faculty Member of another Department, outside the Department concerned, or qualified experts from other Institutions -Member

2.05.02. Functions of the Research Advisory Committee :

- i. To review the research proposal and finalize the topic of research.
- ii. To guide the PhD scholar in developing the study design the methodology of research and identify the course(s) that he/she may have to do.
- iii. To periodically review and assist in the progress of the research work of the PhD scholar.

Each semester, a PhD scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of PhD scholar's progress report to the Higher Educational Institution concerned. A copy of such recommendations shall also be provided to the PhD scholar.

In case the progress of the PhD scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the PhD scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the PhD scholar from the PhD programme.

3.01.0. Eligibility to be a Supervisor

To be eligible to be a PhD supervisor, an applicant must meet the following conditions :

- (a) The applicant must be a regular faculty member of the academic departments of Auniati University or its constituent units. Alternatively, a teaching faculty member of an educational institution that has a collaborative agreement with Auniati University may be considered for nomination as a supervisor, subject to the condition that the teaching faculty member must be affiliated with a research-related course or program of the University.
- (b) The applicant must meet one of the following research publication requirements : Have at least two research papers published in refereed journals with a peer-reviewed ISSN. Alternatively, have at least two research books published with an ISBN.

- (c) Out of these, one paper must be published after attaining the PhD Degree, and the applicant must be the corresponding author. However, in case of not fulfilling the conditions above, proportionate weightage shall be given as per UGC norms.
- (d) Faculty members superannuated from their regular service or having less than two years of regular service shall have to take a co-supervisor for each PhD scholar from among the eligible supervisors of the area concerned working in regular posts.
- (e) A faculty member of the University working in a contractual post and who fulfils the conditions above shall have to take a co-supervisor for each PhD scholar from among the eligible supervisors of the area concerned working in regular posts.
- (f) A scholar having a PhD as evidenced by extensive research work at recognized State/Regional/National level Institutes/Laboratories or institutions recognized by the University as Research Centres for a period of not less than five years, of which at least three years must be after obtaining the PhD Degree.
- (g) Any recognition as provided here would entail that the person shall apply for recognition to the Research Council through the Registrar/Academic Registrar along with relevant documents. The Research Council shall have the right to accept or reject the applications of individuals as research supervisors.
- (h) Provided further that such recognition be covered under three categories : (i) Regular Faculty of the University, (ii) Supervisors from Institutes having academic collaboration and (ii) Unattached independent research supervisors
- (i) Such recognition shall be governed by the following requirements:
 - (i) The person seeking recognition as a supervisor has worked in the Research Centre/Institute for at least five years on the date of application.
 - (ii) The recognition is in the interest of the University and is expected to enhance and protect the required standards of research of the University through collaboration and joint research ventures.
 - (iii) The recognition of such persons would necessarily mean that they are treated as internal examiners of the University.
 - (iv) In case the applicant is not covered by the clauses [3(a) to (d)] above, the applicant shall apply to the Registrar/Academic Registrar.
 - (v) A recognized PhD supervisor in the rank of :
 - Professor - not more than 8 research scholars at a time,
 - Associate Professor - not more than 6 research scholars at a time and
 - Assistant Professor - not more than 4 research scholars at a time

3.02.0. Eligibility to be a Co-Supervisor

1. The faculty members of other Universities/ Institutions of repute may also be recognized as the Co-supervisor under special circumstances on recommendation of the Research Council.
2. In case of the prospective research supervisors from the Institutes of repute, with whom the University does not have an academic collaboration, the prospective supervisor shall have to submit a No Objection Certificate from her/ his own Institute issued by the competent authorities.
3. Apart from the above he/she shall have to comply with the eligibility criteria as prescribed in clause 3.01.(b & c).

3.03.0. Change of Supervisor

- (a) In case the Supervisor of a candidate leaves the University before the completion of research of the scholar, the Research Council may allow the Supervisor concerned to continue the supervision of the research work as the Co supervisor. In such cases, the MDRC/ DRC concerned shall take necessary steps for appointment of a Co supervisor for the Scholar for that particular research work. Further, the Supervisor, who is in long leave or on lien or leaves the University, shall continue the supervision of the ongoing research work in the capacity of co-supervisor for the said period. In such cases, the MDRC/ DRC concerned shall take necessary steps for appointment of another co-supervisor for that particular research work before the outgoing teacher leaves the department/ centre.
- (b) The University may replace the Supervisor or Co-Supervisor upon written application of the scholar due to inactivity or other inconvenience of the Supervisor.
- (c) The change of supervisor shall be permitted only in exceptional cases like death, state of being incapacitated due to illness, mental disabilities, removal from the job and the likes by the Research Council. In such cases, the contribution of the former/original supervisor shall be recognized/ acknowledged.

4.0. Admission requirements

- (i) Candidates who have completed a 2-year/4-semester master's degree programme after a 3-year/6-semester bachelor's degree programme or 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.
- (ii) Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.
- (iii) Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a Foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the PhD programme.
- (iv) A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- (v) All applicants seeking admission to the Doctoral programme of the University [except foreign students applying for admission as provided for under clause 6] must clear the Auniati University Research Admission Test (AURAT), (See Annexure I*). Candidates with M Phil degree (regular mode) and NET/NET-JRF/SET/SLET qualified candidates are exempted from appearing in the (AURAT). The AURAT is to be conducted one every six months by the University depending on the number of applicants and student intake. The mode of conducting the AURAT shall be decided by the Research Council time to time.

- (vi) Under special circumstances, a candidate may be allowed by the Research Council to undertake research in a subject other than one in which he/she has obtained Master Degree. Before permitting the candidate to do so, the Council shall satisfy itself that the branches are inter-related and/or the candidate is competent to undertake research in the particular subject as evidenced by published/practical works.

5.0. Foreign Students

- (i) All foreign candidates intending to pursue the PhD Programme of Auniati University shall be exempted from AURAT. However, the university shall conduct appropriate Entrance Test case to case basis to assess the Research Aptitude of the candidate concerned. All other matters related to the foreign candidates shall be governed by the AU Rules for Foreign Students.
- (ii) The applicant should fulfil the minimum eligibility requirements as prescribed in the Rules for the Foreign Students. It shall be the responsibility of the applicant to provide a certified grade conversion formula along with the application from an officer not below the rank of Registrar of a recognized University;
- (iii) The applicant possesses valid research/student visa and other relevant documents including a Medical certificate from appropriate authority for the prescribed duration of the concerned course at the time of admission;
- (iv) The antecedents of the candidate be verified by the forwarding authority/ministry/institution and, if found to be in order, a certificate be issued to the effect thereof;
- (v) The candidate should have adequate knowledge of English or the language subject in case the course is to be pursued in a language subject [it would be the responsibility of the DRC to satisfy itself on the candidate's knowledge of English or the language as required];
- (vi) The degrees and certificates of the candidate's country or institution or university have been approved by the Association of Indian Universities (AIU)/Association of Commonwealth Universities (ACU) as equivalent to the corresponding Indian degrees;
- (vii) All foreign students admitted into the programme shall be full-time PhD scholars. Minimum residential requirement for the foreign students is of two years.

6.0. Transferred Students

In cases where a PhD student transfers from another university, the following conditions will apply :

1. Coursework or previously completed work from the previous university will be recognized and counted towards the PhD program.
2. If the student's research topic was not registered at the previous university, they can be admitted to the PhD program by submitting a certificate of completion of coursework.
3. If the research topic was registered at the previous university, the student must obtain a No Objection Certificate from the Registrar/Registrar Academic of the previous university and submit it along with their application.
4. The student's guide from the previous university will also need to forward the student's research work.
5. Transfer students will be granted a one-year exemption from the minimum three-year PhD program. This means that students who transfer will be required to submit their thesis within two years from the date of admission.
6. Transferred scholars who have not completed their coursework prior to admission must complete this requirement within six months. They are required to sit for and pass the coursework examination within this timeframe. Transferred scholars will have only one opportunity to complete the coursework program. Failure to pass the examination within the six-month period will result in no further opportunities to complete the coursework.

7.0.Course Work

1. After getting admitted, a student shall have to undertake a Six-Month Pre-Registration Course Work in the Department/Centre, which will include Research Methodology, Publication Ethics, Value Education, Indian Knowledge System etc.
2. The credit requirement for the PhD course work is a minimum of 12-14 (+1) credits. In the six-month Course Work Programme, the student must earn a total credits of 144. That is, their total teaching will be 144 credit hours.
3. Credits earned through online classes, as permissible under the National Education Policy (NEP) 2020, shall also be recognized and counted towards the total credit requirement.
4. All PhD scholars, irrespective of discipline, shall be required to train in teaching/ education/ pedagogy/ writing related to their chosen Ph.D. subject during their doctoral period. PhD scholars may also be assigned 4-6 hours per week of teaching/ research assistantship for conducting tutorial or laboratory work and evaluations.
5. A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.
6. The structure of the course work shall be as per the provisions in Annexure II.
7. Provided, in exceptional cases, as approved by the Research Council, course work may be carried out in the institutes/organizations recognized by the University as research centres either within or outside the University campus for which due credit shall be given to them. The Research Council may also allow the Research Centres to conduct the end semester examinations. Provided further that the end-semester examination shall be conducted only in the University.
8. The PhD coursework examination will be conducted under the direct supervision of the Research Council. To oversee the examination process, an Examination Committee will be formed, comprising the Vice-Chancellor as Chairperson and the Registrar/Academic Registrar as Member Secretary. As per the PhD program structure, the coursework is a mandatory component to be completed within the first semester. Consequently, the Course Work Examination must be held within the first six months of the PhD program.

8.0 Registration

- (i) After successful completion of the course work, a candidate shall submit a synopsis of the proposed research work in triplicate to the Research Advisory Committee concerned through her/his supervisor within one year from the date of declaration of the result of the Course Work. The candidate may need to give a presentation of the synopsis before the Research Advisory Committee.
- (ii) The Research Advisory Committee shall scrutinize the research proposal of the candidate and suggest for modification if any.
- (iii) The Coordinator, RAC shall forward the applications of the candidates for Ph.D. Registration along with its recommendations to the Registrar/Academic Registrar. The proposals for registration should contain the following documents-
 - a) Duly filled in and duly forwarded Application Forms
 - b) Recommendation of the Research Advisory Committee
 - c) Recommendation of the DRC with proposed date of effect. In the absence of a DRC, where the MDRC oversee the department's research activities, the Registrar/Academic Registrar, as Member Secretary, will approve the research process based on the PhD regulations, upon recommendation from the RAC.
- (iv) The candidates from other states must submit the University Registration Certificate to the Registrar/Academic Registrar within one year from the date of admission.

- (v) Upon recommendation from the RAC, the Registrar/Academic Registrar will facilitate the registration of the PhD candidate in accordance with the University's PhD regulations, subject to prior approval from the Research Council.

9.0. Registration without Supervisor

- (a) The University may allow a candidate to pursue PhD Research without a supervisor under very special circumstances and may confer the Ph.D. degree on the basis of outstanding research publications of the doctoral research.
- (b) The candidate intending to pursue PhD Research without Supervisor shall apply to the Chairperson, Research Council after completion of his/her Course Work. If satisfied with the proposal, the Chairperson, Research Council shall constitute a Research Advisory Committee for such candidate with the following members-
 - i) The Chairperson, Research Council - Chairperson
 - ii) The Registrar (if the Registrar is not a Member Secretary) - Member
 - iii) The Dean of the School concerned - Member
 - iv) The Head of the Department concerned - Member
 - v) Two expert members of the relevant area - Members
 - vi) The Registrar/ Academic Registrar - Member Secretary
- (c) The RAC constituted under clause 2(5) shall perform its functions as per clause 2(5.2) of these regulations.
- (d) The candidate shall have to present her/his research proposal/ synopsis before the RAC. Provided that the RAC is satisfied with the proposal, the matter shall be recommended to the MDRC/DRC concerned for further necessary action.
- (e) The Research Scholar registered under clause 8(i) shall submit her/ his progress reports and shall maintain all correspondence regarding her/ his research to the Research Council through the Coordinator of the RAC concerned.

10.0. Post Doctoral Degree

- (a) The degree of D.Litt. or D.Sc. or LL.D. shall be opened to those who obtained a PhD degree and have complete five years of research experience from the effective date of PhD award notification.
- (b) The candidate for Post Doctoral Degree Registration must be a scholar of repute and must have at least ten research papers published in peer reviewed journals. She/He must have completed five years of teaching and/ or research experience in an Academic/ Research Institute, or have five years of professional experience. Out of these ten publications, at least five publications must be beyond her/his PhD work.
- (c) Post Doctoral Degree is open to all under 65 years of age.
- (d) The maximum duration of the Post Doctoral is three years. Research can be submitted within one year from admission through the University's prescribed process.
- (e) There is no entrance examination for admission to Post Doctoral Degree Programme. Admission can be obtained by applying to the Vice-Chancellor through the Registrar/Academic Registrar and subject to the approval of the Research Council.
- (f) There is no Course Work Programme for Post Doctoral Degree.

11.0. Periodical Report

- (i) Registered scholars shall submit a progress report on every six months from the date of admission to the Research Advisory Committee in duplicate. The RAC will review the Progress Reports and forward the same along with recommendations of the RAC to the Registrar/Academic Registrar for consideration.

- (ii) The submission of six-monthly Progress Report on every six-month shall be a regular procedure for all research scholars; every scholar shall have to submit it positively at the end of every six months. Non-submission of progress report beyond a period of one year may lead to cancellation of her/his registration.
- (iii) The Progress Reports will be reviewed by the RAC taking note of the opinion of the Supervisor's from time to time. If at any stage, it is found that a candidate is not making satisfactory progress, her/his registration may be recommended to the Research Council for cancellation.

12.0. Language

The standard languages for thesis submission are English and Assamese.

12.01.0. Translation Requirements for Assamese Thesis.

12.01.01. Candidates submitting their thesis in Assamese must provide three copies of the thesis translated into English, in addition to the prescribed number of copies of the thesis in Assamese, at the time of final submission.

12.02.0 Language Options for Specific Disciplines

12.02.01. In language and literature disciplines, students have the option to write their thesis in the relevant language(s), in addition to English or Assamese.

12.02.02. In departments such as performing arts and folklore, students are allowed to submit their thesis in their mother tongue, in addition to English and Assamese, to ensure that the thesis accurately captures the cultural nuances and folk traditions essential to these fields of study.

13.0. Modification of Title

A scholar may be allowed by the RAC/ DRC/ MDRC to modify the title, provided it does not alter the basic thrust or contention of the research work.

14.0. Change of Topic

A scholar may be allowed by the RAC/DRC/ MDRC to change the topic of her/his ongoing research. In such cases, the RAC/DRC/MDRC may ask the candidate to submit fresh synopsis on the changed topic.

15.0. Period of Registration

(i) A scholar registered for PhD degree may submit the thesis on completion of three years of research work from the date of admission. Provided that if a candidate fails to submit the thesis within five years from the date of admission, he/she may apply for re-registration. In such cases, the thesis shall be submitted not later than two years from the date of re-registration failing which his/her registration shall stand cancelled.

(ii) Transferred candidates will be governed by the provisions outline in Rule 6.0 of the regulations.

16.0. Extension of Registration

(i) The RC on recommendation of the DRC/MDRC concerned may allow a scholar for extension of the registration period for maximum two years on expiry of the five year term of admission.

(ii) In the cases of extension of registration, the scholar shall have to pay the prescribed Extension of Registration fee.

(iii) The scholar, whose registration period is extended shall have to submit her/his thesis within two years from the date of Extension of Registration failing which his/her registration shall stand cancelled.

17.0. Prerequisites for submission of Thesis

- (i) Every registered scholar shall present *at least two papers* during the tenure of her/his research at Seminars organized by the DRC/MDRC concerned or any national symposium.
- (ii) Every scholar shall have to publish at least two research paper (one of those two on her/his research work) in a referred journal before submission of the thesis and produce evidence to that effect in the form of re-print or acceptance letter.
- (iii) Prior to submission of the abstracts of the thesis, the scholar shall make a seminar presentation in the department/centre based on the findings of her/his research work and that shall be open to all faculty members and students for getting feedbacks and comments, which may be suitably incorporated into the thesis under the advice of the supervisor.

18.0. Anti-Plagiarism Measure

- (a) The scholar must check his/ her draft of thesis by anti-plagiarism software approved by the UGC-INFLIBNET Centre and shall have to produce two Certificates in relation to plagiarism as follows :
 - (1) Certificate of Originality by the Scholar
 - (2) Student Approval Form by the Scholar
- (b) Plagiarism percentage not above 10%. However, in extraordinary circumstances, the decision of the Research Council shall be final in this regard.

19.0. Submission of Abstracts of Thesis

- (i) On completion of the research work, the scholar shall write to the Registrar/Academic Registrar seeking permission to submit the thesis along with the quadruplicate copies of the abstracts of the thesis. The Registrar/Academic Registrar shall place the application before the RC.
- (ii) The Co-ordinator of RAC shall arrange for presentation of the Abstract submission seminar in the faculty/ department/ centre of studies concerned. On satisfactory presentation of the findings the RAC shall forward the quadruplicate copies of the abstracts of the thesis to the RC through the Registrar/Academic Registrar, provided the scholar fulfils all the requirements as mentioned in Clause 17.
- (iii) Abstracts must be examined by a panel of experts prepared by the Registrar/Academic Registrar in consultation with the supervisor. Therefore, the Registrar/Academic Registrar, with the approval of the Vice Chancellor, will allow 3 experts out of 6 experts from the panel list to be examined for this.
- (iv) After the report of the panel expert reaches the Registrar/Academic Registrar, the approval of Research Council must be obtained.

20.0. Submission of Thesis

- (i) The scholar shall submit five printed copies (six copies in case the work is done under co-supervision) of PhD thesis within four (4) months from the date of submission of the abstracts or the date of expiry of the period of registration/ extension of registration (whichever is earlier) in the prescribed format along with requisite amount of fees. Provided that in case of a scholar registered under clause 9, the scholar shall attach a self-declaration stating that her/ his work is original and is in compliance with the Regulations concerned. It shall also be certified by the Registrar/Academic Registrar mentioning that the Work has been done independently by the scholar along with other relevant declarations.

- (ii) On verification of records, the Registrar/Academic Registrar shall issue necessary instruction to the scholar to submit the thesis to the University. The Registrar/Academic Registrar will send the thesis to the Examiners approved by the Vice-Chancellor along with a recommendation proforma. .

21.0. Appointment of Examiners

- (i) The Vice-Chancellor shall appoint two examiners, at least one of these two examiners from an University run by the Government.
- (ii) The Registrar/Academic Registrar shall send the Abstracts to the external examiners as approved by the Vice Chancellor as a first step towards the examination of the thesis.

22.0. Examination

The thesis shall be examined in two parts:

22.01.01. Written reports by the Examiners on the thesis submitted.

While giving detailed comments on the thesis, the Examiner shall recommend that in her/his opinion– either, the thesis be accepted, (This opinion will be given on the basis of the thesis Examiner’s detailed report and it must not contradict the detailed report.)

or, the thesis be revised and resubmitted. (In this case, the examiner shall indicate the lines along which the thesis should be revised. For such revision, the candidate shall be provided with the reports of the examiner/examiners who have recommended revision of the thesis.)

or, the thesis be rejected. [In this case, reasons for rejection will be given by the Examiner(s).] The Examiners shall also state whether the thesis is worthy of publication or not. If not, the reasons will be clearly stated by the Examiner(s). The recommendation, however, is necessary only for publication of the thesis. In case the thesis is not recommended for publication, this will not have any bearing on the award of the degree.

In case one examiner suggests resubmission while the other examiners accept the thesis, the Research Council may ask the candidate to resubmit the thesis along with a prescribed fee after six months in the light of the suggestions made by the Examiner concerned. The revised thesis will be referred to the examiner who had sought for revision.

If one of the examiners recommends rejection, then the thesis shall be referred to a Third External Examiner from the Panel. In the case, the candidate will have to pay a prescribed fee. If this examiner also recommends rejection, the thesis shall be rejected.

The Registrar/Academic Registrar shall place the Reports of the Ph.D. Thesis before the Chairperson of the Research Council in confidential. The Chairperson on behalf of the Research Council shall examine reports of the Ph.D. Thesis and suggest the Registrar/ Academic Registrar for further action accordingly.

However, the Registrar/Academic Registrar shall place a consolidated report on the theses examined before the next meeting of the Research Council for ratification.

22.02.0 Viva-Voce Examination

22.02.01. A Board of Examiners to conduct Viva-Voce Examination shall be constituted as below-

- (a) The Vice Chancellor, who shall Chair the Viva Voce Exam.
- (b) One External Examiner of the thesis to be nominated by the Vice Chancellor.
- (c) The Registrar

- (d) The Academic Registrar
- (e) The Supervisor/ Co-supervisor of the thesis.

22.02.02. Provided that in case of a scholar registered under clause 9, the Board of Examiners to conduct Viva-Voce Examination of the scholar shall be constituted as below-

- (a) The Vice Chancellor, who shall Chair the Viva Voce Exam.
- (b) One External Examiner of the thesis to be nominated by the Vice Chancellor.
- (c) The Registrar
- (d) The Academic Registrar.

22.02.03. During the Viva-Voce, scholars must defend the questions of the scholarly audience.

22.02.04. The Viva-Voce Board of Examiners so formed shall have at least two members, one of whom must be an external examiner of the thesis. Under an exceptional situation some other Expert from the Panel of Examiners may be invited by the Vice-Chancellor in lieu of the External Examiner. Provided that the Viva-Voce shall be open, and the examiner's report shall be read only by the members of the Board of Examiners and the Viva-Voce report shall be prepared only by the Board of Examiners for conducting the Viva-Voce.

22.02.05. In the event of absence of unanimity amongst the members of the Viva-Voce Board with regard to the award of the Ph.D. degree, the majority decision shall prevail.

22.02.06. Provided that in case of rejection by the majority, the candidate shall be required to appear again for the Viva-Voce after three months but preferably not later than six months.

23.0. Result

- (i) The Academic Council on the recommendation of the Board of Examiners of the Viva-Voce Test shall confer the degree of Doctor of Philosophy (PhD) and shall cause the candidate's name to be published immediately with the title of the thesis, name of the Supervisor and the subject to which the thesis belongs.
- (ii) The scholar shall submit one hard bound copy of the thesis along with two soft copies (in CD form) to the Registrar/Academic Registrar after incorporating corrections, modifications, etc. as suggested by the experts within one month from the viva-voce examination, which to be duly certified by the supervisor concerned.

24.0. Issue of Certificates

- (i) A Provisional Certificate shall be issued to the successful scholars certifying that the Degree has been awarded in accordance with the provision to the Regulations of UGC, 2009 after submission of one hard bound copy of the thesis along with the two soft copies (in CD form) to the Registrar/Academic Registrar.
- (ii) Original Certificate shall be issued to the successful candidates only after the Convocation.

25.0. (i) After the award of the degree, one copy of the thesis shall be preserved in the University Library duly corrected if necessary, by the candidate in the light of the reports of the Examiners and certified as such by the Supervisor and Chairperson of the DRC/MDRC concerned.

- (ii) After the award of the Degree, the Registrar/Academic Registrar shall submit a soft copy of the thesis to the UGC within a period of thirty days for hosting the same in the INFLIBNET.

26.0. Publication of the Thesis

Thesis accepted by the University must not be published without prior permission of the Chancellor through the Vice Chancellor and Registrar/Academic Registrar of the University. The scholar shall get the permission from the University for publication of the thesis, provided at least two of the examiners recommended for publication.

27.0. Candidates Access to the Report

Copy of the Reports of the Examiners will be made available to the candidates on request and on payment of a prescribed fee.

28.0. General

28.01.0 Matters not covered by the above clauses, shall be decided as and when necessary by the Research Council/Academic Council/ Governing Body.

28.02.0 As a private university, all research related decisions are subject to approval by the sponsoring body. Furthermore, the implementation of all university rules and regulations is contingent upon the approval of the Chairperson of the sponsoring body and the Chancellor of the university.



Annexure I

আউনীআটী বিশ্ববিদ্যালয়

AUNIATI UNIVERSITY

GUIDELINES FOR

AUNIATI UNIVERSITY RESEARCH ADMISSION TEST (AURAT)

1. The Auniati University Research Admission Test (AURAT) shall be conducted by a Board, to be called AURAT Board, constituted by the Vice-Chancellor for a period of three years. The Vice Chancellor and the Registrar/Academic Registrar shall be the Chairperson and Member Secretary respectively.
2. The AURAT will be conducted twice annually, in the months of December and June. The Registrar/Academic Registrar will issue a formal notification in due course, specifying the exact date of the examination, as well as the rules and regulations governing the test.
3. The Application procedure of the AURAT including the Schedule is prescribed in the Detailed Notification.
4. AURAT shall be conducted to select eligible candidates for admission to the Ph.D. programmes of Auniati University. The number of seats available in the Subject concerned shall be ascertained by the Departmental Research Committee concerned.
5. A candidate intending to appear in the AURAT shall be required to obtain at least **55% marks OR equivalent grade point in the Masters degree**, in which he/she intends to appear in the AURAT.
6. Candidates belonging to the reserved categories of SC/ST/ OBC (Non-Creamy Layer), Economically Weaker Section (EWS) and the Differently Abled Persons, shall have 5% relaxation in the marks or an equivalent relaxation of grade in the qualifying degree.
7. The AURAT shall be conducted in a single paper which shall comprise of three parts- (a) 45 marks on Research Methodology/ Research Aptitude (Group A), (b) 35 marks from Core Course Components of the subject concerned (Group B) and (c) 20 marks on Computer Application, Statistics and Current Affairs (Group C). **In response to subject-specific questions, scholars are required to prepare a research proposal outlining the potential research topic they intend to investigate.**
The paper shall carry 100 marks and the duration of examination shall be of two and half hours.
The pattern of the Question Papers shall be as below-
 - i. Descriptive Type = 80% from Group A and Group B.
 - ii. Type Objective Multiple Choice = 20% from Group C.
8. Students who have secured 50% marks in the entrance test are eligible to be called for interview.
9. Provided that for the selection of candidates based on the entrance test conducted by the AU, a weightage of 70% for the entrance test and 30% for the performance in the interview/viva-voce shall be given..
10. The AURAT score shall be valid for the current academic session only.
11. Any matter not covered above shall be considered in compliance with the Auniati University Examination Ordinance (amended upto date).



আউনীআটী বিশ্ববিদ্যালয়

AUNIATI UNIVERSITY

COURSE STRUCTURE & EXAMINATION PATTERN OF THE Ph.D. PROGRAMMES

- There shall be four Courses in One-Semester Course work for the Ph.D. programmes conducted in AU comprising with the following components:
 - Course I : Research Methodology (Core/ 4 credits)
 - Course II : Understanding India's North East (Core/ 2 credits)
 - Course III : Optional (Intra/ Inter-Departmental/ 4 credits)
 - Course IV : Research and Publication Ethics (Core/ 2 credits)
 - Course V : Term Paper/Preparation of Research Proposal (2 credits)
(under guidance of the prospective Supervisor concerned)
 - Course VI : Value Education and Auniati Studies (Non Credit
Compulsory Course/ 1 credit)

Provided that, the total credit of the Ph.D. Pre-Registration Course Work should be within the range of 14(+1) Credit.

- The syllabus for the PhD Course Work shall be prepared by the Research Council through the MDRC or DRC.

- The PhD coursework examination will be conducted under the direct supervision of the Research Council. To oversee the examination process, an Examination Committee will be formed, comprising the Vice-Chancellor as Chairperson and the Registrar/Academic Registrar as Member Secretary. The Controller of Examinations will conduct the examination under the supervision of the Examination Committee. As per the PhD program structure, **the coursework is a mandatory component to be completed within the first semester.** Consequently, **the Course Work Examination must be held within the first six months of the PhD program.**

- The distribution of marks of the course work shall be as below :

Courses	Weightage	Internal Assessment	End Semester examination	Total Weightage
Course I	40+60	40%	60%	100 100%
Course II	20+30	40%	60%	50 100%
Course III	40+60	40%	60%	100 100%
Course IV	20+30	40%	60%	50 100%
Course V	50	100%	-	50 100%
Course VI	20+30	-	100%	50 100%
Total Credit 14(+1)				

- Candidates shall have to secure a minimum of 55% marks in aggregate to pass a paper individually.
- The Internal Assessment component, carrying a weightage of 40 marks, will be evaluated based on a four-part distribution, comprising Class Attendance in the Course Work Program (10 marks), Course Seminar (10 marks), Group Discussion (10 marks), and Written Assignment (10 marks).

The concerned Course teacher will evaluate and award the Internal Assessment marks in the format prescribed by the University, and subsequently submit these

marks to the Controller of Examinations through the Office of the Registrar/ Academic Registrar prior to the submission of the Course Work examination.

7. A grade sheet will be issued for the course work done. In course work for PhD , (i) required attendance is 75% and (ii) the pass percentage is 55%.
8. In the PhD course work, the Results and Grade sheets will only carry Grades.
Grading for PhD courses is as follows :

80 < 100	A+
75 < 80	A
65 < 75	B+
60 < 65	B
55 < 60	C
Below 55	F

A student obtaining Grade F shall be considered failed and will be required to reappear in the examination.

9. Every candidate shall be given a maximum of two consecutive chances (including the first regular chance) for passing the examination. Not appearing in an examination after becoming eligible to appear in the same amounts to losing a chance.
10. Transferred scholars who have not completed their coursework prior to admission must complete this requirement within six months. They are required to sit for and pass the coursework examination within this timeframe.
11. **The candidates who have failed the examination in the first chance shall have to clear the same in the second and last chance, which shall be held within three months from the date of declaration of results. A candidate shall have to appear in the second chance only in the failed paper(s) to pass the examination.**
12. The candidates passed in the PhD Pre-registration Course Work with not below the Latter Grade C shall be eligible to go for PhD registration.
13. Matters not covered by the above Regulations shall be decided as per the other statutory provisions of the University.



আউনীআটী বিশ্ববিদ্যালয়

AUNIATI UNIVERSITY

GUIDELINES FOR PREPARING THE Ph.D. THESIS

Objective :

These guidelines are provided for the formal exposure of the various ethical and technical issues involved in writing up your work and the format you are required to adhere to while submitting your work as PhD thesis.

Ethics Involved :

Knowing the difference between ethical and unethical practices in technical writing requires an understanding of plagiarism, paraphrasing, and quotation. These concepts are defined below.

Plagiarism :

To use someone else's exact words without quotation marks and appropriate credit, or to use the unique ideas of someone else without acknowledgment, is known as plagiarism. In publishing, plagiarism is illegal; in other circumstances, it is, at the least, unethical. You may quote or paraphrase the words or ideas of another if you document your source. Although you need not enclose the paraphrased material in quotation marks, you must document the source. Paraphrased ideas are taken from someone else whether or not the words are identical. Paraphrasing a passage without citing the source is permissible only when the information paraphrased is common knowledge in a field.

Paraphrasing :

When you paraphrase a written passage, you rewrite it to state the essential ideas in your own words. Because you do not quote your source word for word when paraphrasing, it is unnecessary to enclose the paraphrased material in quotation marks. However, the paraphrased material must be properly referenced because the ideas are taken from someone else whether or not the words are identical. Ordinarily, the majority of the notes you take during the research phase of writing your report will paraphrase the original material. Paraphrase only the essential ideas. Strive to put original ideas into your own words without distorting them.

Quotations :

When you have borrowed words, facts, or idea of any kind from someone else's work, acknowledge your debt by giving your source credit in footnote (or in running text as cited reference). Otherwise you will be guilty of plagiarism. Also be sure you have represented the original material honestly and accurately. Direct word to word quotations are enclosed in quotation marks. When you use programs written by others with or without modifications, the report/thesis must clearly bring this out with proper references, and must also reflect the extent of modification introduced by you, if any. A modified program is not entirely yours. Only a program, which you write from scratch, does not require source to be identified. Identification of source in all other cases is must. Standard subroutines (even if public domain) used in your programs must be properly referenced. Although programs need not be appended to the thesis, they must be submitted to your research supervisor in hard copy and other media. Inclusion of a computational flow chart in your thesis is highly recommended, however.

The material presented in the thesis/report must be self-contained. A reader must be able to comprehend your experimental, theoretical, computational, and simulation results based on the information presented in the thesis. You must mention the names of the suppliers whose chemicals/instruments were used in the work to allow a reader to setup an experiment. While discussing issues related to computation time, the hardware used must be specified accurately, using process or speed, etc.

Quotation and Reference to Earlier Work :

If reproduction of some text material available in a published work can enhance the value to your thesis, you can add it to your thesis in the form of quoted material or a quotation. Such material should be indented on both sides over and above the indentation used for the regular text. It should preferably be single spaced, and appear as a separate paragraph(s), whether short or long. The idea is to make such material stand out from the rest of the text that you have written. Clearly, too many quotations or quoted paragraphs are not desirable in a thesis which is an original piece of work. Not quoting a material taken verbatim from another source is however plagiarism. Paraphrasing and giving credit to the author(s) is more accepted way of referring to earlier works.

References :

Names of all the authors with their initials, title of the article, names of editors for edited books or proceedings, and the range of pages that contain the referenced material must appear in the bibliography. You should not mix citation styles of several journals and create your own style.

Format for Thesis :

The thesis has to be prepared keeping in view that the copies submitted to the libraries or to your supervisor could be the only surviving copies containing your valuable results. Readability and longevity of the copy you prepare for library, and your supervisor and other students are therefore of paramount importance. Good readability requires that there are no grammatical mistakes in the text. Even minor grammatical mistakes are annoying irritants and distract a reader from progressing with the text without losing focus. Unnecessary use of italicized, underlined, and bold faced words in the text is also irk some; such usage must be kept to a bare minimum. The font size and font type used for headings should be just big enough to indicate a break in continuity; the heading should not dominate the layout of a page.

It is advised that research students may contact office of the Director of Research regarding that format requirements and submit a print copy of the thesis before they take a final print out.

The following guidelines are being laid down to ensure that the theses submitted hence forth meet certain minimum standards with respect to the format.

Format for Preparation of Ph.D. thesis

1. Sequencing :

The sequence in which the thesis should be arranged and bound should be as follows:

1. Front Page /Cover Page /Title Page
2. Declaration By the Candidate
3. Certificate of the Supervisor
4. Forwarding Letter of Head of Institution
5. Acknowledgement (Maximum 3 pages)
6. Table of Content
7. List of Figures /Exhibits /Charts
8. List of Tables
9. List of Symbols /Notations /Abbreviations
10. Abstract (Minimum 2 Pages)
11. Chapters (Minimum Four)

12. Appendices
13. References (At the End of Every Chapter)
14. List of publications Journal and Conferences
15. Reprints of publications Journal and Conferences Certificates
16. Plagiarism Report
17. Affidavit of Plagiarism

2. Page Dimensions & Binding Specifications :

The dimension of the Thesis should be in Bond Sheet (A 4 Size).

Page Specification :

Left Margin : 1.5 inch

Right Margin : 1 inch

Top Margin : 1 inch Bottom Margin : 1inch

The thesis should be bound using flexible cover (Hard Binding) with below mentioned colored art paper. **The cover should be printed in Golden letters and the text for printing should be identical.** The guidelines total number of pages in the report for Ph.D. program is shown below:

Faculty	Colour of Cover	Total Number of Pages in the Thesis
Arts & Commerce	Brown	Min. of 150 Pages (Excluding Publications, Plagiarism Report and Appendix)
Science, Engineering & Medical	Grey	

3. Page numbers:

All text pages as well as programs our cecode listings should be numbered using Arabic numerals (i. e. 1, 2, 3...) at the **bottom Right** of the pages.

Font :

- i. In the case of English Thesis Times New Roman, 12 pt font should be used consistently throughout the text. Captions for tables and figures should be used Times New Roman, 10 pt.
- ii. In the case of Assamese Thesis Ramdhenu Geetanjali-14 pt font should be used consistently through out the text. Captions for tables and figures should be used Ramdhenu Geetanjali-13pt.

4. Paragraphs :

No paragraph should have its opening line at the bottom of a page. A clear, consistent, but not too large a separation must be provided between the paragraphs through out the thesis.

- i. Headings (English Thesis)
Chapter Heading – Font Size: 16, Bold, Times New Roman, CAPS Section Heading Font Size: 14, Bold, Times New Roman, CAPS Subsection Heading– Font Size: 12, Times New Roman, CAPS
- ii. Headings (Assamese Thesis)
Chapter Heading – Font Size : 18, Bold, Ramdhenu Geetanjali
Section Heading – Font Size: 16, Bold, Ramdhenu Geetanjali
Subsection Heading–Font Size: 14, Ramdhenu Geetanjali

5. Line spacing

The line spacing used should be the same throughout the text, and can be chosen to be between one and a half (1.5).The lines in captions for figures and tables, Table of Contents, List of Figures, and List of Tables can be single spaced (1.0), if desired.

6. Tables & Figures Caption and Numbering :

English Thesis :

Font Size : 12, Times New Roman, Numbering of table and figure should be in chapter wise (Example : for chapter 1 table1, it written as Table1.1 :.....)

chapter1 figure1, It written as Figure 1.1: for chapter 2 table1, it written as

Table 2.1 :..... Chapter 2 figure1, it written as Figure 2.1:

Assamese Thesis :

Font Size : 14, Ramdhenu Geetanjali, Numbering of table and figure should be in chapter wise (Example : for chapter 1 table1, it written as Table 1.1 : chapter1 figure 1, it written as Figure1.1 : For chapter 2 table 1, it written as Table 2.1 : Chapter 2 figure 1, it written as Figure 2.1:)

7. Preparation Format :

Cover Page & Title Page [Thesis] : As per the format given in Appendix A.
Cover Page & Title Page [Summary] : As per the format given in Appendix B.
Declaration by the Student : As per the format given in Appendix C.
Certificate of Supervisor /Forwarding letter : As per the format given in Appendix D.
The certificate shall be followed by the Guide’s signature and academic designation

8. Header and Footer Options :

Header: Should contain the respective chapter title in right hand side and subject, faculty in left hand side.

Footer : Should contain University name in left hand side and page no. in right hand side.

9. Longitudinal View of the Thesis :

Year of Submission and title of thesis should be mentioned in longitudinal view of the Thesis.

10. Acknowledgement (Maximum of 3 Pages) :

In the “Acknowledgement” page, the student acknowledges the guidance and assistance of the Research advisor and other members. Courtesy demands that he/she also recognizes specific contributions by other persons or institutions such as libraries and research foundations. Sometimes the nature of the contribution is described (For example, permission for the use of equipment, facilities and documents). Acknowledgement should be expressed simply, tastefully, and tactfully.

11. Abstract (Maximum of 4 Pages) :

Abstract should be minimum of 02 pages and maximum of 04 pages is required, abstract of the thesis typed one and a half line spacing (1.5), Font Style: Times New Roman and Font Size :12.The abstract is a very brief summary of the thesis contents. Abstract statement should describe the problem addressed by your thesis, a description of the work completed and a summary of any findings or lessons learned.

12. References : All references should be in MLA format.

English Thesis : Font Size :11 Times New Roman.
Assamese Thesis : Font Size : 13, Ramdhenu Geetanjali

For Journal Paper

Auththor Name | *Title name research* | Journal Name | Vol. No. | Issue, Year | Page No.

Example

Pervan, Maja and Josipa Višić | "Influence of firm size on its business success" | Croatian Operational Research Review 3.1 (2012) : 213-223.

For Book

Auththor Name | *Title of Book* | Place of Publication : Publisher name | Edition No., Year | Page No.

Example

Bull, Richard | Financial Ratios: How to use financial ratios to maximise value and success for your business | London : Elsevier | 2nd Ed., 2007 | page 159-163.

For Conference Paper

Author Name | “Title name research” | Conference Name (City, , Month Year) | Page No.

Example

K. S. Chiang and Q. Liu | “Long-period gratings for application in optical Communications” | 5th International Conference on Optical Communications and Networks and 2nd International Symposium on Advances and Trends in Fiber Optics and Applications (ICOON/ATFO 2006) (Chengdu, China, Sept. 2006) | pp.128-133.

13. List of publications along with Conferences Certificates

For submission of final Ph.D. thesis required the following number of Journal papers and conferences certificates as

- i. **For Journal Publications** : Minimum 02 published research papers are required UGC CARE list of Journals.
- ii. **For Conference Certificates/ Publications** : Minimum 04 Conference/ Seminar/ Symposium certificates (research paper presented certificate only considered) are required in which 02 certificates are from National Conference/ Seminar/ Symposium and 01 certificates are from International Conference/ Seminar/ Symposium.

14. Plagiarism of the thesis :

The Ph.D. research work carried out by the student shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or co-incidental terms, up to fourteen (14) consecutive words.

Plagiarism should be kept below the 10% and check on the Plagiarism software of TURNITIN/ ORKUND and attached the report in Ph.D. thesis.

For more details kindly refer the UGC Plagiarism policy published in The Gazette of India, REGD. NO. D.L. – 33004/9, published on date 31 July 2018.

15. Submission of Summary & Thesis :

1. Summary Submission :

Summary of the Ph.D. Thesis should be submitted before Three months of final Ph.D. thesis submission at the office of the Registrar/Academic Registrar.

Requirements for Submitting Ph.D. Thesis Summary as :

- i. No Dues from University.
- ii. Covering letter (through proper channel signature by the Supervisor)
- iii. Hard copy of Summary in Tap Binding in prescribed University format (8 copies)
- iv. Hard copy of Corrected Synopsis after correction of RDC (if not submitted previously) in Tap Binding in prescribed University format (10 copies)
- v. 240 days Attendance Sheet.
- vi. Six month progress report (if not submitted previously).
- vii. One set photocopies of all documents /05 passport size photo/ Original TC & Migration (if not submitted previously).

2. Ph.D. Thesis Submission :

Requirements for Submitting Ph.D. Thesis as

- i. Covering letter (through proper channel signature by the Supervisor)
- ii. No Dues from the University.
- iii. Hard copy of the thesis 06 copies [Including 03 for University/ 01 for Scholar/ 01 for Supervisor/ 01 for Co-supervisor (if any).]

16. Student Attendance with Supervisor:

Candidates are expected to exclusively devote minimum 240 days with the supervisor for the Ph.D. research work which may include experimental or theoretical analysis, lab works etc



আউনীআটী বিশ্ববিদ্যালয়

AUNIATI UNIVERSITY

Kaliapani, Teok, Jorhat-785112, Assam

Application for Synopsis Submission

To,
The Registrar,
Auniati University.

Subject : Application for Synopsis Submission.

Sir/Madam,

I,....., bearing Enrolment No....., a PhD scholar in the Department of, hereby submit my application for synopsis submission.

I have successfully completed my coursework requirements and have received my Coursework Completion Certificate on I am now ready to submit my synopsis as per the PhD regulations of the university.

Therefore, I kindly request you to allow me to submit my synopsis. I shall be grateful if you could provide me with the necessary guidelines and approval for the submission of my synopsis.

Thanking you,

Sincerely,

Name & Signature of Scholar
Enrolment No.
PhD Scholar
Department of
Auniati University.

Approved and Forwarded by
Name & Signature of Supervisor
Date :



আউনীআটী বিশ্ববিদ্যালয়

AUNIATI UNIVERSITY

Kaliapani, Teok, Jorhat-785112, Assam

[Cover Page of Synopsis]

Ph.D. Synopsis

Title of the Synopsis

Submitted To

Faculty/ Department of

Auniati University

Academic Session :

Name of the Scholar :

Enrolment :

Under the Supervision of

Name of Supervisor :

Name of Co-Supervisor (if any) :

[Ph.D. Synopsis Format]



আউনীআটী বিশ্ববিদ্যালয়

AUNIATI UNIVERSITY

Kaliapani, Teok, Jorhat-785112, Assam

Name of the Scholar :
 Enrolment No :
 Department :
 Name of Supervisor :
 Name of Co-Supervisor (if any) :

Proposed Content of Synopsis :

Abstract (approx. 250-300 words)

- # Brief overview of the research topic
- # Research questions and objectives
- # Methodology and research design
- # Expected outcomes and contributions to the field

Introduction (approx. 1,000-1,200 words)

- # Background and context of the research topic
- # Review of existing literature and research gaps
- # Statement of the research problem and objectives
- # Significance and scope of the study

Literature Review (approx. 2,000-2,500 words)

- # Comprehensive review of existing literature on the research topic
- # Analysis and synthesis of the literature to identify patterns, themes, and research gaps

Methodology (approx. 1,000-1,200 words)

- # Description of the research design and methodology
- # Explanation of the data collection and analysis methods
- # Discussion of the research instruments and tools

Expected Outcomes and Contributions (approx. 500-700 words)

- # Description of the expected outcomes of the research
- # Discussion of the potential contributions of the research to the field
- # Explanation of the implications of the research findings

References

List of sources cited in the synopsis, formatted according to the chosen citation style

Appendices (if necessary)

Additional materials that support the research, such as raw data, extra figures or tables, or detailed descriptions of methodologies.

Signature of Supervisor :

Signature of Scholar :

Date :

Date :

Signature of Co-Supervisor (if any) :

Signature of Chairperson, DRC :

Date :

Date :

[Note : The word count and content may vary depending on the specific requirements of the department.]



আউনীআটী বিশ্ববিদ্যালয়

AUNIATI UNIVERSITY

(Recognized Under Section 2(f) of UGC Act. 1956)
KALIAPANI, TEOK, JORHAT – 786112 (ASSAM)

SYNOPSIS EVALUATION REPORT

1	Name of the Student	:	
2	Enrolment Number	:	
3	Date of the Synopsis Seminar	:	
4	Topic of Research	:	
5	Department		
6	Literature Review/ Survey	:	Satisfactory / Not Satisfactory
7	Research Problem Formulated	:	Yes / No
8	Brief Comments regarding the main content & structure of the Synopsis : (If space is not sufficient, please write it on a separate sheet & attach)		
9	Overall Performance of the Student in the Synopsis Seminar		Satisfactory / Not Satisfactory*
	*Note : If the overall performance is not satisfactory, then the student has to present Synopsis Seminar again within a month		
	Name & Signature of Research Advisory Committee Members :		
Signature & Name	Member		Member
Signature & Name	Invited Member/Expert (if any)		Supervisor & Coordinator, RAC
Remarks, if any			Approved
Date :			Registrar



আউনীআটী বিশ্ববিদ্যালয়

AUNIATI UNIVERSITY

(Recognized Under Section 2(f) of UGC Act. 1956)

KALIAPANI, TEOK, JORHAT – 786112 (ASSAM)

APPLICATION FORM FOR PROVISIONAL REGISTRATION FOR PhD DEGREE

A] Tick (✓) the box whichever is applicable for you.

- Qualified NET/ JRF/ SLET/ GATE/ M.Phil.
 Teacher of AU Department/School/Institute
 Teacher in College/ P.G. Department in any university other than KAV
 Professional/ Scientist.
 Candidate not falling in any of the above categories.

B] Department in which you intend to get registered :

C] Do you belong to Scheduled Caste (SC) or Scheduled Tribe (ST), OBC or Person with Specially Abled (SA) category (Enclose documentary evidence in support of your claim)

SC ST OBC SA

D] Auniati University Registration No. : Year

1. Name of the Candidate :

(in BLOCK letters)

2. Mother's Name :

3. Father's Name :

4. Date of Birth :

5. Sex Male Female

6. Permananet Address (in full) :

With PIN Code, Phone (Mobile No) and Email id.

7. Present Address (in full) :

.....

8. (a) Nationality : (b) Religion :

(Visa should be enclosed in case of foreign candidate)

9. Details of the Examination passed : (Enclose documentary evidence)

Name of the Examination	Board/ University	Year of Passing	Subject(s)	Result		
				% of Marks	Division /Class	Grade Point
HSLC/ Equivalent Examination of 10 th level						
HS/ Equivalent Exam of 10+2 level						
Bachelor degree/ Equivalent degree						
Master degree/ Equivalent degree						
Any other Degree						
Ph.D Course Work						

10. If there is any gap/ discontinuity in studies, state the reason(s) along with relevant documentary evidence. :
11. Name and address of institution from where you have passed qualifying examination :
.....
12. Whether previously/ presently employed ? Yes No
If yes, Name of the Employer
(No Objection Certificate should be enclosed)
13. Subject and field of specialization at Post-Graduate :
14. If M.Phil. degree is already awarded, the title of the dissertation :
15. Publication (if any) :
16. Title of the proposed research work (in block letters)
17. Synopsis on proposed research work (Approx 1000 words to to be enclosed) :.....
18. a) Name and designation of the Supervisor (proposed) :.....
b) Name and designation of the Co-supervisor (proposed) if any :.....
19. Admission fee paid vide receipt NoDt.....
20. Whether previously or currently registered in any PhD programme in KAV or any other University
Yes No
If so, give the details

Date :

Signature of the Scholar

RECOMMENDATION OF THE SUPERVISOR

Certified that Shri/Smt. proposes to do research work under my supervision on the title stated in the application. I recommend his/ her name for Provisional Registration for PhD programme.

Date :

Signature of Supervisor

RECOMMENDATION OF THE DRC/MDRC

The Provisional Registration of Shri/ Smt.
For PhD programme is recommended vide DRC resolution No.....Dtd.....

Date :

Chairman, DRC/Member Secretary MDRC
Faculty/Department of

FOR OFFICE OF THE REGISTRAR/ACADEMIC REGISTRAR

1. Name of the Scholar :
2. Department :
3. Title of the proposed research work :
4. Name and designation of the Expert who examined the proposal :
(i)
(ii)
5. Date of approval :
6. Condition(s) if any, attached at the time of approval :
.....
7. Result of Course Work Exam :

Date :

Signature of the Registrar



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APPLICATION FORM FOR FINAL REGISTRATION FOR PhD DEGREE

1. Name of the Candidate :
(in BLOCK letters)
2. University Registration No & Year :
3. Permanent Address (in full) :
With PIN Code, Phone (Mobile No) and Email id.
.....
.....
4. Present Address (in full) :
.....
.....
5. Provisional Title Registration No & Date
6. Length of time completed from provisional registration :
7. Title of Research Work :
.....
8. Modified title of research work, if any :
.....
9. Probable date of Submission of the Thesis :
(Progress Report is enclosed)
10. Name and Designation of the Guide :
.....

Date :

Signature of the Scholar

Place :

Encl. :

1. A brief outline of the proposed investigation.
2. A tentative bibliography and a copy of each of the publications, if any to be enclosed
3. Recommendation of Supervisor
4. Recommendation of DRC
5. Upto date fee receipt for the PhD Course.
6. Progress/ Seminar report of the scholar.
7. This form is to be submitted at the time of final registration.

RECOMMENDATION OF THE SUPERVISOR

Certified that Shri/Smt. who was provisionally registered under my supervision has made satisfactory progress in his/ her research. He/she has put in the requisite work and attend at the prescribed classes. I recommend the final registration of his/her name for the PhD Programme. Further, he/she may be allowed to change their title of the research as prayed for.

Signature of Co-Supervisor, if any
Supervisor

Signature of

RECOMMENDATION OF THE DRC/MDRC

Certified that Shri/ Smt. has made satisfactory progress (copy enclosed) and was approved vide DRC resolution No.....Dtd.....

Date :

Chairman, DRC/Member Secretary MDRC
Department of

FOR OFFICE OF THE REGISTRAR/ACADEMIC REGISTRAR

- 1. Name of the Scholar :
.....
- 2. Department :
- 3. Title of the research work :
- 4. Modified Title (if any)
:.....
- 5. Name and designation of the Expert who examined the proposal :
 - i.
 - ii.
- 6. Date of approval of the Research Council :
- 7. Condition(s) if any, attached at the time of approval :
.....

Date :

Signature of the Registrar



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REPORT ON SEMI-ANNUAL ACADEMIC PROGRESS

Name of Scholar	:		
Enrollment No	:		
Date of Admission	:		
Academic Department	:		
Name of Supervisor	:		
Topic of Research :			
Date of Completion of the Synopsis Seminar :			
Date of Last Academic Progress Review Submission			
Assessment Period of Academic Progress	From : Month & Year	To : Month & Year	
Date of Registration :			
Date of Re-Registration (if applicable) :			
During the Assessment Period, Number of Seminars / Conferences / Workshop attended : (Enclose the list and attach supporting documents)			
During the Assessment Period, Number of Research Articles Published / Submitted for Publication from the Ph.D Research Work undertaken : (Enclose the list)			
Brief comments on the Academic Progress of the Student during Assessment Period: (If the space is not sufficient, please write it in a separate sheet & attach)			
Date :		Signature of the PhD Scholar	
Opinion of the Supervisor on the progress made by the scholar :			
Date :		Signature of the Supervisor	

Verified and recommended by the <i>Research Advisory Committee (RAC)</i> in in its meeting held on _____	
Opinion of the Research Advisory Committee :	
Overall Academic Progress during the Assessment Period :	Satisfactory / Unsatisfactory
Name & Signature of Research Advisory Committee Members :	
Name & Signature	Member
	Member
	Co-Supervisor (if any)
	Supervisor/Coordinator
Total fees paid till date: (Mandatory)*	Approved
Date : Accounts Branch	Date : Registrar



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Date : _____

Certificate of Originality

The research work embodied in this thesis entitled “ _____ ” has been carried out by me at the Department of _____, Auniati University, Teok, Jorhat, Assam, India. The manuscript has been subjected to plagiarism check by _____ software. The work submitted for consideration of award of Ph.D. is original.

**Name and Signature
of the Candidate**



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Department of.....

Date: _____

Scholar Approval Form

Name of the Author:

Department :

Degree :

University :

Guide :

Thesis Title :

Year of Submission :

Agreement

1. I hereby certify that, if appropriate, I have obtained and attached hereto a written permission/statement from the owner(s) of each third party copyrighted matter to be included in my thesis/dissertation.
2. I hereby grant to Auniati University and its agents the non-exclusive license to archive and make accessible my thesis/dissertation, in whole or in part in all forms of media, now or hereafter known. I retain all other ownership rights to the copyright of the thesis/dissertation. I also retain the right to use in future works (such as articles or books) all or part of this thesis, dissertation, or project report.

Signature of the Scholar

Place: _____

Date: _____

Signature and seal of the Guide

Place: _____

Date: _____



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Date: _____

Self-Plagiarism Exclusion Certificate from Supervisor

The content of the chapters of the thesis entitled.....have been published as mentioned below:

Sl. No. | Title of the Article/Chapter | Name of the Journal/Book | Publisher | Vol. & Issue No./ISSN/ISBN

- 1
- 2
- 3
- 4
- 5

These published works have been included in the thesis and have not been submitted for any degree to any University/Institute.

Signature of the Candidate
Place: _____
Date: _____

Signature of Supervisor
Place: _____
Date: _____



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Date: _____

Self Plagiarism Co-authors Certificate

We have published the following articles/chapters jointly:

Sl. No. | Title of the Article/Chapter | Name of the Journal/Book | Publisher | Vol. & Issue No./ISSN/ISBN

- 1
- 2
- 3
- 4
- 5

We give our consent to Mr./Ms.to make use of these articles for his / her Ph. D. research.

The above research paper (s) has not been used by any of us for any Degree / Diploma in any other University. We shall be responsible for any legal dispute/ case(s) for violation of any provisions of the Copy Right Act.

Signature of Co-author

Name

Address.....

.....

Phone.....

Signature of Candidate

Name

Registration No.

Signature of Co-author

Name

Address

.....

Phone.....

Signature of Co-author

Name

Address

.....

Phone.....



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Auniati University Central Library, AU, Kaliapani, Teok

Date: _____

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Title of the Thesis.....
.....Total Page.....
Researcher.....
Supervisor.....
Department.....
Institution.....

This is to report that the above thesis was scanned for similarity detection. Process and outcome is given below:

Software used.....Date.....
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Checked by

Date:

Place:

Signature

Librarian & University Coordinator

The complete report of the above thesis has been reviewed by the undersigned. (Tick Check Box)

The similarity index is below accepted norms.

The similarity index is above accepted norms, because of the following reasons:

- 1.....
- 2.....
- 3.....
- 4.....
- 5.....

The thesis may be considered for the award of degree. (Relevant documents attached).

Signature of the Student

Signature of the Supervisor



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APPLICATION FOR MODIFICATION OF REGISTERED TITLE

1. Name of the Candidate :.....
2. Unique Enrolment No with Date:.....
3. Name of the Department :.....
4. Supervisor's Name :.....
5. Co-supervisor (if any) :.....
6. Registered Title :.....
7. Title Registration, give reference of DRC/MDRC approval:
(Notification No. & Date)
8. New title proposed :.....
9. Expected date of Pre-submission :.....
10. Date of recommendation of RAC:.....
(Copy of RAC resolution needs to be attached)

Date.....

Supervisor

Authorised Signatory
With Seal &
Date



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APPLICATION FOR EXTENSION OF TIME

(General/Women Candidate/Person with more than 40% disability
Certificate needs to be attached)

1. Name of the Candidate :.....
2. Unique Enrolment No with Date:.....
3. Name of the Department :.....
4. Supervisor's Name :.....
5. Co-supervisor (if any) :.....
6. Registered Title :.....
7. Date of Expiry of Course period:.....
8. Extension requested till :.....
9. Reason of extension :.....
10. Date of recommendation of RAC:.....
(Copy of RAC resolution needs to be attached)

Date.....

Supervisor

Authorised Signatory With Seal & Date



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Ph.D.Pre-Submission Seminar by Research Scholars

REPORT OF THE RAC

1. Name of the Scholar :
2. Enrolment No :
3. Date of Admission :
4. Name of the Department :
5. Title of the Thesis :
-
-

In the light of presentation and discussions, the RAC may recommend the following points before submission of the thesis/ dissertation :

1. General language, format, style, design and substance.
2. Objective : Clarity in statement or needs change, if yes, please state.
3. Literature Review : Satisfactory, critical analytical, explicitly stated, requires further improvement.
4. Methodology : Whether clearly stated, appropriate/it needs improvement, please state.
5. Observation : Presentation of data in the form of table, graphs, histograms, etc. Correctly stated, statistically analyzed, computerized, relevance to society, policy matter, any suggestion if any.
6. Discussion : Interpretation of data in objective, analytical at estrelated published work has been/any other suggestions.
7. Future scope of the study.
8. Reference/Bibliography: Correct format is followed/needs any further correction.
9. Any other suggestion.
10. Over all suggestions/recommendations:

Name and Signature of the RAC members:

- 1.
- 2.
- 3.
- 4.
- 5.

Supervisor

Authorised Signatory

Department of..... Faculty of.....



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Ph.D. Pre-Submission Form

1. Name of the Candidate :.....
2. Enrolment No :.....
3. Date of Admission :.....
4. University Registration No. & Date :.....
5. Name of the Department :.....
6. Name of Supervisor :.....
7. Name of Co-supervisor (if any) :.....
8. Course Work qualified on :.....
9. Registered Title (as on date) :.....
10. Date of recommendation of the RAC :.....
(Attach copy of RAC report)
11. Date of RC approval of Title Registration :.....
(Attach copy of notification)
12. Extension approved (if any) till :.....
13. Re-registration approved (if any) till :.....
14. Examiner Panel submission details :.....

Date of RAC	Date of DRC	Date of RC	Date of expiry of panel

15. Details of publication out of Ph.D. thesis work (Attach reprint)
(Ph.D. Scholars must publish at least one (1) research paper in referred journal out of his/her Ph.D. research work which has not shared with another Ph.D. student)

Sl. No.	Title of the Paper	Name of Journal Book	ISSN/ISBN	Authors

16. Details of Paper Presentation (attached presentation certificate copy):
 (Scholars must present at least two (02) papers in national conferences /seminars)

Sl. No.	Title of the Paper	Name of Conference	Status	Organizer
			National or International	

17. Date of Recommendation of RAC for pre-submission:.....
 (Attach copy of RAC resolution including pre-submission seminar report)

18. Course & other fees paid :
 From.....to.....
 (Attach clearance Certificate)

Enclosure:

- i) Copy of PhD Registration Certificate
- ii) Copy of University Registration Certificate
- iii) Copy of RAC Notification
- iv) Copies of relevant RAC notification.
- v) Copy of course work mark sheet
- vi) Copy of title registration notification
- vii) Copy of extension notification, if any.
- viii) Accounts Clearance Certificate
- ix) Library Clearance Certificate
- x) 3copies of thesis abstract (within1000 words) certified by Supervisor in soft and hard mode.
- xi) Copy of research papers as mentioned above.

Date :

Signature of the Scholar

The scholar’s research is in progress and the processes have been completed for pre-submission.

Supervisor
 Date :

Registrar/Academic Registrar
 Date :



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APPLICATION FOR SUBMISSION OF PH.D. THESIS

1. Department :.....
2. Name of Student :.....
3. Enrolment No with date :.....
4. University Registration No with date:.....
5. Name of Supervisor :.....
6. Name of Co-supervisor (if any) :.....
7. Registered Title :.....
.....
.....
8. Title Registration, give reference of DRC approval:.....
(Notification No. & Date)
9. Panel of Examiners placed in RC on:.....
10. Date of qualifying Course Work :.....
11. Date of Pre-Submission :.....
12. Date of Expiry of course period (with/without extension):.....
13. Date of Submission :.....

Counter Signature by the Supervisor

Signature of Scholar

Vide Memo No.....

Date.....

CERTIFICATE

Check List:

1. Copy of title registered notification.
2. Plagiarism verification certificate
3. Thesis authenticate certificate.
4. Student approved form for access.
5. Certificate of originality (inside thesis also).
6. Thesis meta data form.
7. Supervisor certificate for exclusive of self published work
8. Copy of research publications.
9. Evaluation fee

Certified that the above mentioned checklist has been submitted along with three soft bound copies of the thesis by the candidate hence forwarded and recommended to the Registrar/Academic Registrar.

Authorised Signatory

Authorised Signatory

Department of.....

Faculty of.....



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The research work embodied in this thesis entitled“ _____

_____” has been carried out by me at the Department
of _____ Auniati University, Teok. The manuscript has been
subjected to plagiarism check by _____ Software. The work submitted for
consideration of award of Ph.D. is original.

Counter signed by Supervisor

(Signature of Scholar)

Date: _____

Name (in block letter)_____

Department of_____

Auniati University, Teok



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Student Approval Form

Name of the Author-Scholar	
Department	
Degree	
University	
Name of Supervisor	
Name of Co-Supervisor, if any	
Thesis Title	
Year of Submission	

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1. Release the entire work for access world wide	
2. Release the entire work for 'My University' only for 1 Year 2 Year 3 Year And after this time release the work for access worldwide.	
3. Release the entire work for 'My University' only while at the same time releasing the following parts of the work (e.g. because other parts relate to publication) for worldwide access. a) Bibliographic details and Synopsis only. b) Bibliographic details, Synopsis and the following chapters only c) Preview/Table of Contents/24 page only.	
4. View Only (No Downloads)(worldwide)	

Signature of the Scholar

Signature and Seal of the Supervisor

Place: _____

Date: _____

