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Assam down town University

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CIRCULAR

Standard Operating Procedure (SOP) for Faculty Research Committee (FRC)/Board of Doctoral Studies and PSRAC

Standard Operating Procedure (SOP) for Faculty Research Committee (FRC)/Board of Doctoral Studies

(This SOP is applicable for the PhD Scholar's admitted till April 2024)

Faculty Research Committee (FRC)/Board of Doctoral Studies

1. Objective

The Faculty Research Committee (FRC)/Board of Doctoral Studies serves as primary body to monitor the Ph.D. related activities under concern Faculty of Study (FoS). Its primary objective is to ensure systematic evaluation, coordination, and approval of all activities related to Ph.D. research under concern FoS. FRC/Board of Doctoral Studies will serve as administrative body in FoS level. Its primary objectives include reviewing the scholar's research proposal to finalize the topic of research and providing necessary guidance in developing the study design, research methodology, and identifying any additional courses required. FRC/Board of Doctoral Studies should periodically evaluate the progress of the research work, offering constructive feedback and recommendations to ensure timely and meaningful outcomes. Furthermore, it is responsible for monitoring the ethical conduct of the research process, thereby ensuring academic integrity and adherence to institutional and regulatory standards. Overall, the FRC/Board of Doctoral Studies serves as a primary body for the comprehensive monitoring and evaluation of all research-related activities throughout the scholar's Ph.D. journey.

2. Functions of the FRC/Board of Doctoral Studies

The FRC/Board of Doctoral Studies shall perform the following key functions:

- i. Maintain individual scholar files with all documents in chronological order including admission, progress, ethics clearance, publications, pre-submission seminar, and final submission records.
- ii. Determine vacancy positions supervisor-wise before Ph.D. admissions.
- iii. Conduct interviews/personal interactions for AdtU-RET admissions for the Faculty of Study.
- iv. Recommend the allocation, reallocation, or change of supervisors for Ph.D. scholars whenever necessary as per AdtU Ph.D. regulation.
- v. Scrutinize research proposals and recommend approvals to ADRAC.
- vi. Evaluate and recommend six-monthly progress reports for acceptance by ADRAC based on the report /observation after review and presentation by scholars.
- vii. Organize pre-submission seminars, and forward recommendations to ADRAC.



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- viii. Verify and ensure that all documents—including forms, synopsis, progress reports, and pre-submission seminar reports—are error-free and submitted to ADRAC in the prescribed format.
- ix. Recommend changes in research title when necessary. Review and approve any changes to research title or scope if recommended by Supervisor.
- x. Ensure strict compliance with publication requirements, minimum residency period, and ethical/animal ethical clearance norms before thesis submission.
- xi. To take decision on cancellation of Ph.D. of a scholar as per the norms of AdtU Ph.D. regulation and forward its recommendation to ADRAC.
- xii. Provide guidance and support to the scholars as and when required.
- xiii. Maintain confidentiality and academic integrity in all deliberations.
- xiv. Evaluate all the recommendations received from Supervisor and take necessary measures.
- xv. Forward all approvals and recommendations to ADRAC for final decision-making.

Workflow / Work to be Carried Out by FRC/Board of Doctoral Studies

(This is applicable for the PhD Scholar's admitted till April 2024)

Stage	Action by FRC/Board of Doctoral Studies	Output/ Recommendation
Synopsis Proposal & Ph.D. registration	<ol style="list-style-type: none">1. Provide necessary suggestion, supervise and review research proposal.2. Finalize the research proposal and the topic of research.3. Review of Ph.D. synopsis and all after required documents submitted by scholar.4. Conduct the seminar of Ph.D. registration.	<p>On unsatisfactory presentation suggest the corrective measures to the scholar and conduct the Ph.D. registration seminar again, after the scholar complies with suggested corrections.</p> <p>On satisfactory presentation recommendation for registration to ADRAC.</p>
Research Progress (6-monthly)	<ol style="list-style-type: none">1. Evaluate and guide the research activities of the scholar2. Conduct the six-monthly progress seminar	<p>On unsatisfactory presentation suggest the corrective measures and after the scholar complies with suggested corrections conduct the seminar again.</p> <p>On satisfactory presentation recommendation to ADRAC</p>
Ethical Clearance from Ethics Committee, Institutional Animal Ethics Committee, Institutional Biosafety Committee (IBSC), etc.	<ol style="list-style-type: none">1. Guiding the scholar.2. Verify compliance.	<p>Forward the details to ADRAC along with six monthly progress report</p>



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Residency Period	<ol style="list-style-type: none">1. Check the Residency period attendance register maintained by supervisor.2. Verify compliance.	Verify compliance and the same to ADRAC along with successful recommendation of Pre-submission seminar.
Publication Compliance	<ol style="list-style-type: none">1. Provide necessary guidance, support and suggestions for publication.2. Verify the publications including the journal in which it is published.3. Ensure that the scholar fulfil publication criteria before pre-submission seminar.	Verify compliance and the same to ADRAC along with six-monthly progress report and successful recommendation of Pre-submission seminar.
Pre-submission Seminar	<ol style="list-style-type: none">1. Review the research activity completed and provide necessary suggestion and guidance if required.2. Collection of Ph.D. research work abstract and all after required documents from scholar.3. Conduct the open – pre-submission seminar.	<p>On unsatisfactory presentation suggest the corrective measures and after the scholar complies with suggested corrections conduct the seminar again.</p> <p>On satisfactory presentation recommendation for thesis submission to ADRAC</p>
Thesis Submission	<ol style="list-style-type: none">1. Ensure and confirm requirements met and Thesis written correctly	Forward for the thesis for submission
Flow starting from Admission to final Award of Degree	<ol style="list-style-type: none">1. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to take if required.2. To periodically review and assist in the progress of the research work of the Ph.D. scholar.3. Advise on conferences/seminars for scholar's presentations if required.	RAC must forward its recommendation to ADRAC



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	<ol style="list-style-type: none">4. Advise on journals for scholar's Ph.D. research-related publication if required.5. Suggest modifications in title or scope if needed.6. Final check before submission of thesis.7. Guide the scholar and supervisor in case of any correction/revision suggested by External Examiner and ensure that suggested modifications have been made.8. Unsatisfactory Progress: Recommend corrective measures or cancellation9. Recommendation of cancellation: FRC may recommend the cancellation of Ph.D. in any stage as per the rules mentioned under AdtU Ph.D. regulation.10. FRC may recommend the change of supervisor if required with proper justification.	
<p>Note:</p> <ol style="list-style-type: none">1. FRC should record all its activities, meetings, and communications to the scholar.2. FRC should ensure that all documents forwarded to the Ph.D. Cell/ADRAC should be error free.3. Supervisor should maintain individual scholar files with all documents in chronological order including admission, progress, ethics clearance, publications, pre-submission seminar, and final submission records.4. Supervisor is responsible for maintaining the Attendance register for Ph.D. scholar		



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Standard Operating Procedure (SOP) for Faculty Research Committee (FRC)/Board of Doctoral Studies

(Guideline is applicable for the PhD Scholar's admitted since August 2024)

Faculty Research Committee (FRC)/Board of Doctoral Studies

1. Objective

The Faculty Research Committee (FRC)/Board of Doctoral Studies serves as an intermediate body between the PhD Scholar's Research Advisory Committee (PSRAC) and the Assam down town University Doctoral Research Administration Committee (ADRAC). Its primary objective is to ensure systematic evaluation, coordination, and approval of all activities related to Ph.D. research under its Faculty of Study (FoS). FRC/Board of Doctoral Studies will serve as the administrative body in FoS level

2. Functions of the FRC/Board of Doctoral Studies

The FRC/Board of Doctoral Studies shall perform the following key functions:

- i. Maintain individual scholar files with all documents in chronological order including admission, progress, ethics clearance, publications, pre-submission seminar, and final submission records.
- ii. Determine vacancy positions supervisor-wise before Ph.D. admissions.
- iii. Conduct interviews/personal interactions for AdtU-RET admissions for the Faculty of Study.
- iv. Recommend the allocation, reallocation, or change of supervisors for Ph.D. scholars whenever necessary as per AdtU Ph.D. regulation.
- v. Scrutinize research proposals forwarded by the PSRAC and recommend approvals to ADRAC.
- vi. Recommend the six-monthly progress reports for acceptance by ADRAC based on the report /observation submitted by PSRAC after review and presentation by scholars in front of PSRAC.
- vii. Ensure conduction of pre-submission seminars by PSRAC, and forward recommendations to ADRAC.
- viii. Verify and ensure that all documents—including forms, synopsis, progress reports, and pre-submission seminar reports—are error-free and submitted to ADRAC in the prescribed format.
- ix. Recommend changes in research title when necessary. Review and approve any changes to the research title or scope if recommended by PSRAC.
- x. Ensure strict compliance with publication requirements, minimum residency period, and clearance from all regulatory committees like Ethics Committee, IBSC etc. as applicable before thesis submission.
- xi. To recommend to ADRAC cancellation of Ph.D. admission of a scholar as per the norms of AdtU Ph.D. regulation, as and when required.
- xii. Provide guidance and support to the PSRAC as and when required.
- xiii. Maintain confidentiality and academic integrity in all deliberations.
- xiv. Evaluate all the recommendation received from PSRAC and take necessary measures.
- xv. Forward all approvals and recommendations to ADRAC for final decision-making.



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Standard Operating Procedure (SOP) for PhD Scholar's Research Advisory Committee (PSRAC)

(This SOP is applicable for the PhD Scholar's admitted since August 2024)

PhD Scholar's Research Advisory Committee (PSRAC)

1. Objective

There shall be a PhD Scholar's Research Advisory Committee (PSRAC) for each Ph.D. scholar. The PSRAC shall be formed upon the due recommendation of the Supervisor and the Chairman of the concerned FRC/ Board of Doctoral Studies with the approval of the Hon'ble Vice Chancellor. Its primary objectives include reviewing the scholar's research proposal to finalize the topic of research and providing necessary guidance in developing the study design, research methodology, and identifying any additional courses required. The PSRAC periodically evaluates the progress of the research work, offering constructive feedback and recommendations to ensure timely and meaningful outcomes. Furthermore, it is responsible for monitoring the ethical conduct of the research process, thereby ensuring academic integrity and adherence to institutional and regulatory standards. Overall, the PSRAC serves as a primary body for the comprehensive monitoring and evaluation of all research-related activities throughout the scholar's Ph.D. journey.

Workflow / Work to be Carried Out by PSRAC

Stage	Action by PSRAC	Output/ Recommendation
Synopsis Proposal & Ph.D. registration	<ol style="list-style-type: none">1. Make necessary suggestions, supervise and review research proposal.2. Finalize the research proposal and the topic of research.3. Review of Ph.D. synopsis and all after required documents submitted by scholar.4. Conduct the seminar of Ph.D. registration.	<p>On unsatisfactory presentation suggest the corrective measures and after the scholar complies with suggested corrections conduct the seminar again.</p> <p>On satisfactory presentation recommendation for registration to concern FRC/Board of Doctoral Studies.</p>
Research Progress (6-monthly)	<ol style="list-style-type: none">1. Evaluate the research activities of the scholar and suggest improvements, if any2. Conduct the six-monthly progress seminar	<p>On unsatisfactory presentation suggest the corrective measures and after the scholar complies with suggested corrections</p>



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Assam down town University

Established Vide The Assam Act. No. VIII of 2010, Gazette No. LGL.9/2010/11

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		conduct the seminar again. On satisfactory presentation recommendation to concern FRC/Board of Doctoral Studies.
Ethical Clearance from Ethics Committee, Institutional Animal Ethics Committee, Institutional Biosafety Committee (IBSC), etc.	<ol style="list-style-type: none">1. Guiding the scholar.2. Verify compliance	Forward the details to FRC/Board of Doctoral Studies along with six monthly progress report
Residency Period	<ol style="list-style-type: none">1. Check the Residency period attendance register maintained by supervisor.2. Verify compliance	Verify compliance and the same to FRC/Board of Doctoral Studies along with successful recommendation of Pre-submission seminar.
Publication Compliance	<ol style="list-style-type: none">1. Provide necessary guidance, support and suggestion for publication.2. Verify the publications including the journal in which it is published3. Ensure that the scholar fulfil publication criteria before pre-submission seminar.	Verify compliance and the same to FRC/Board of Doctoral Studies along with six-monthly progress report and successful recommendation of Pre-submission seminar.
Pre-submission Seminar	<ol style="list-style-type: none">1. Review the research activity completed and provide necessary suggestions and guidance if required.2. Review abstract of Ph.D. research work and all other required documents by scholar.	On unsatisfactory presentation suggest the corrective measures and after the scholar complies with suggested corrections conduct the seminar again. On satisfactory presentation recommendation for thesis



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Assam down town University

Established Vide The Assam Act. No. VIII of 2010, Gazette No. LGL.9/2010/11

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	3. Conduct the open – pre-submission seminar jointly with FRC/Board of Doctoral Studies	submission to concern FRC/Board of Doctoral Studies
Thesis Submission	1. Ensure and confirm requirements met and Thesis written correctly	Forward the thesis for submission
From Admission to Final Award of Degree	<ol style="list-style-type: none">1. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to take.2. To periodically review and assist in the progress of the research work of the Ph.D. scholar.3. Advise on conferences/seminars for scholar's presentations.4. Advise on journals for scholar's Ph.D. research related publication5. Suggest modifications in the title or scope if needed6. Final check before submission of thesis,7. Guide the scholar and supervisor in case of any correction/revision suggested by External Examiner and ensure that suggested modifications have been made.8. Unsatisfactory Progress: Recommend corrective measures or cancellation9. Recommendation of cancellation: RAC may recommend the cancellation of Ph.D. in any stage as per the rules mentioned under AdtU Ph.D. regulation.10. PSRAC may recommend the change of supervisor if required with proper justification.	PSRAC must forward its recommendation to concern FRC/Board of Doctoral Studies
Note: <ol style="list-style-type: none">5. PSRAC should record all its activities, meetings, and communication to the scholar.6. PSRAC should ensure that all documents forwarded to the FRC/Board of Doctoral Studies are error-free.		



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NAAC A+ Accredited & UGC 12(B) Status Holder

Assam down town University

Established Vide The Assam Act. No. VIII of 2010, Gazette No. LGL.9/2010/11

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7. Supervisor should maintain individual scholar files with all documents in chronological order including admission, progress, ethics clearance, publications, pre-submission seminar, and final submission records.
8. Supervisor is responsible for maintaining the Attendance register for Ph.D. scholar

Ph.D. Activities Flowchart

(This is applicable for the PhD Scholar's admitted till April 2024)

1. Admission Process

- Ph.D. Cell will ask FRC to submit the vacancy list (Supervisor-wise and Discipline-wise) → Submission of information by FRC → Verification by Ph.D. cell → Approval from Vice Chancellor → AdtU-RET Notification
- Advertisement → Opening of online application link → Applications submitted by the candidates
- Written (Online) Test (Exemption for NET, GATE etc. qualified candidates) → Declaration of list of candidates eligible for Interview/ Interaction by Exam Cell
- Interview/Interaction (schedule will released by Ph.D. cell and interview will be conducted by concern FRC) → Eligibility Check (by concern FRC) → Submission of marksheet/result after confirming eligibility along with name of supervisor to be allocated (based on vacancies) to Ph.D. Cell → Compilation of Result → Approval from Vice Chancellor → Declaration of Result
- Document Verification + Completion of Payment → Admission Confirmation

2. Course Work

- Mandatory Coursework as applicable [Ph.D. will notify the Time Table]
- Attendance Requirement (≥75%)
- Internal + End Semester Exam → Course Work Result Declaration

3. Registration Process

- Synopsis Preparation → Submission of Synopsis and requisite documents by the scholars successfully completed Course Work → Synopsis evaluation and Document verification → Suggest modification if required → Synopsis Presentation before FRC → Forward the Recommendation of FRC to ADRAC/Ph.D. Cell along with all the requisite documents (including fee payment receipt).
- Verification of documents by Ph.D. Cell → Approval of ADRAC → Issue of Registration Certificate



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Assam down town University

Established Vide The Assam Act. No. VIII of 2010, Gazette No. LGL.9/2010/11

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4. Research Phase

- Submission and Presentation of Six-Monthly Progress Reports before FRC → Submission of documents with information of six-monthly progress report presentation to Ph.D. Cell/ADRAC → To be placed in ADRAC as information item.
- Completion of Ethics Clearance, Institutional Animal Ethical Committee Approval (If applicable), other approval/documentation as necessary
- Completion of Publication Requirement and Conference presentation as per norms
- Completion of Residency period
- Monthly payment of Ph.D. fee

5. Pre-Submission Stage

- After completion of Ph.D. Research and fulfilment of publication norms and Completion of Residency period the scholar may apply for Pre-submission seminar
- Submission of documents by scholar → Presentation before FRC → Forward the Recommendation of FRC to ADRAC/Ph.D. Cell along with all the requisite documents (including fee payment receipt).

6. Thesis Submission & Evaluation

- Abstract Submission to Ph.D Cell (forwarded by Supervisor and AI check) → Submission of abstract to Hon'ble Vice Chancellor → Modification if required → Approval from Hon'ble Vice Chancellor.
- Thesis submission (soft and hard copy - after verification of Supervisor/FRC) to Ph.D. Cell after necessary payment → Forward the thesis to Librarian for Plagiarism Check → Final Thesis submission (after successful AI/SI check by librarian) to Ph.D. Cell → Forwarding the thesis with List of Proposed External to Office of the Controller of Examination
- Office of the COE →
- Submission of file to Hon'ble Vice Chancellor by CoE → Examiners Appointed and Communicated → Receipt of Report on Thesis Evaluation → Report will be placed before Hon'ble Vice Chancellor → Processing based on comments of external examiners
 - In case of rejected by both examiners: Rejection of Thesis
 - In case of rejected by one examiner: May be communicated to 3rd examiner for his/her comment
 - In case of comments related to major modification by one or both external examiners: Office of the CoE will communicate with the supervisor/scholar and will ask to resubmit the thesis after due modification → Submission of Revised Thesis after FRC



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verification → Revaluation → Report will be placed before Hon'ble Vice Chancellor → Satisfactory comment by Examiner(s) → Approval of Hon'ble Vice Chancellor for further processing.

- In case of comments related to minor modification by one or both external examiners: Office of the CoE will communicate with the supervisor/scholar and will ask to resubmit the thesis after due modification → Submission of Revised Thesis after FRC verification → Will be placed before Hon'ble Vice Chancellor → Approval of Hon'ble Vice Chancellor for further processing.
- In case of satisfactory comment by both examiners: Approval of Hon'ble Vice Chancellor for further processing.
- Office of the COE → Mock Viva Presentation → Viva-Voce Examination → Submission of Final Thesis (hard and soft copy)
- Library → Uploading of Thesis in Sudhaganda

7. Award of Ph.D. Degree

- Submission of File to Hon'ble Vice Chancellor → Approval → Issue of Notification → approval of Academic Council and BOM → Degree Awarded in next convocation.

Ph.D. Activities Flowchart

(This is applicable for the PhD Scholar's admitted since August 2024)

1. Admission Process

- Ph.D. Cell will ask FRC to submit the vacancy list (Supervisor-wise and Discipline-wise) → Submission of information by FRC → Verification by Ph.D. cell → Approval from Vice Chancellor → AdtU-RET Notification
- Advertisement → Opening of online application link → Applications submitted by the candidates
- Written (Online) Test (Exemption for NET, GATE etc. qualified candidates) → Declaration of list of candidates eligible for Interview/ Interaction by Exam Cell
- Interview/Interaction (schedule will released by Ph.D. cell and interview will be conducted by concern FRC) → Eligibility Check (by concern FRC) → Submission of marksheet/result after confirming eligibility along with name of supervisor to be allocated (based on vacancies) to Ph.D. Cell → Compilation of Result → Approval from Vice Chancellor → Declaration of Result
- Document Verification + Completion of Payment → Admission Confirmation

2. Course Work

- Mandatory Coursework as applicable [Ph.D. will notify the Time Table]
- Attendance Requirement (≥75%)
- Internal + End Semester Exam → Course Work Result Declaration



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- Processing of File for formation of PhD Scholar's Research Advisory Committee (PSRAC) by FRC & Submission to Ph.D. Cell → Approval from Hon'ble Vice Chancellor → Issue of notification for PSRAC

3. Registration Process

- Synopsis Preparation → Submission of Synopsis and requisite documents by the scholars successfully completed Course Work → Synopsis evaluation and Document verification → Suggest modification if required → Synopsis Presentation before PSRAC → Forward the Recommendation of PSRAC to FRC → Examining the documents by FRC and forward same to ADRAC/Ph.D. Cell along with all the requisite documents (including fee payment receipt) along with its recommendation.
- Verification of documents by Ph.D. Cell → Approval of ADRAC → Issue of Registration Certificate

4. Research Phase

- Submission and Presentation of Six-Monthly Progress Reports before PSRAC → Forward the report and recommendation to FRC → Examining the documents by FRC and forward same to ADRAC/Ph.D. Cell along with its recommendation.
- → To be placed in ADRAC as information item
- Completion of Ethics Clearance, Institutional Animal Ethical Committee Approval (If applicable), other approval/documentation as necessary
- Completion of Publication Requirement and Conference presentation as per norms
- Completion of Residency period
- Monthly payment of Ph.D. fee

5. Pre-Submission Stage

- After completion of Ph.D. Research and fulfilment of publication norms and Completion of Residency period the scholar may apply for Pre-submission seminar
- Submission of documents by scholar → Presentation before PSRAC and FRC → Forward the Recommendation of PSRAC & FRC to ADRAC/Ph.D. Cell along with all the requisite documents (including fee payment receipt).

6. Thesis Submission & Evaluation

- Abstract Submission to Ph.D Cell (forwarded by Supervisor and AI check) → Submission of abstract to Hon'ble Vice Chancellor → Modification if required → Approval from Hon'ble Vice Chancellor.



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- Thesis submission (soft and hard copy - after verification of Supervisor/RSRAC) to Ph.D. Cell after necessary payment → Forward the thesis to Librarian for Plagiarism Check → Final Thesis submission (after successful AI/SI check by librarian) to Ph.D. Cell → Forwarding the thesis with List of Proposed External to Office of the Controller of Examination
- Submission of file to Hon'ble Vice Chancellor by CoE → Examiners Appointed and Communicated → Receipt of Report on Thesis Evaluation → Report will be placed before Hon'ble Vice Chancellor → Processing based on comments of external examiners
 - In case of rejected by both examiners: Rejection of Thesis
 - In case of rejected by one examiner: May be communicated to 3rd examiner for his/her comment
 - In case of comments related to major modification by one or both external examiners: Office of the CoE will communicate with the supervisor/scholar and will ask to resubmit the thesis after due modification → Submission of Revised Thesis after FRC verification → Revaluation → Report will be placed before Hon'ble Vice Chancellor → Satisfactory comment by Examiner(s) → Approval of Hon'ble Vice Chancellor for further processing.
 - In case of comments related to minor modification by one or both external examiners: Office of the CoE will communicate with the supervisor/scholar and will ask to resubmit the thesis after due modification → Submission of Revised Thesis after FRC verification → Will be placed before Hon'ble Vice Chancellor → Approval of Hon'ble Vice Chancellor for further processing.
 - In case of satisfactory comment by both examiners: Approval of Hon'ble Vice Chancellor for further processing.
- Office of the COE → Mock Viva Presentation → Viva-Voce Examination → Submission of Final Thesis (hard and soft copy)
- Library → Uploading of Thesis in Sudhaganda

7. Award of Ph.D. Degree

- Submission of File to Hon'ble Vice Chancellor → Approval → Issue of Notification → approval of Academic Council and BOM → Degree Awarded in next convocation.

Issued with due approval of competent authority.

(Dr. Nitul Jyoti Das)
Deputy Registrar (Academic),
Assam down town University.



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