OFFICE OF THE REGISTRAR :: ASSAM AGRICULTURAL UNIVERSITY :: JORHAT = 785 013.

No. AAU/RG/ACAD(BoM)/2021-22/ 3897 Dated 30/10 /2021

NOTIFICATION

The 256th meeting of the Board of Management of Assam Agricultural University held on September 24, 2021, on recommendation of the 237th meeting of the Academic Council held on August 07, 2021, has approved the **AAU Policy 2021 for Academic Integrity and Prevention of Plagiarism** for compliance, with immediate effect. The Policy Document is appended at **Appendix I**.

Sd/- Registrar Assam Agricultural University Jorhat - 785 013

No. AAU/RG/ACAD(BoM)/2021-22/ 3898-914 Dated 30/10/2021
Copy forwarded for information and necessary action to:

- 1. The Secretary to the Hon'ble Vice Chancellor, AAU, Jorhat.
- The Dean, Faculty of Agriculture/Community Science/Veterinary Science/ Fisheries Science, AAU, Jorhat/Khanapara/Raha.
- 3. The Director of Post Graduate Studies, AAU, Jorhat.
- 4. The Director of Research (Agri./Vety.), AAU, Jorhat/Khanapara.
- 5. The Director of Extension Education, AAU, Jorhat.
- The Associate Dean, BNCA, Biswanath Chariali/SCSCA, Dhubri/Lakhimpur College of Veterinary Science, North Lakhimpur/CHFSR, Nalbari.
- 7. The Joint Registrar, AAU, Jorhat/Khanapara.
- 8. The Webmaster, AAU, Jorhat. He is requested to upload the Policy Document in AAU-Website.

Assam Agricultural University



Assam Agricultural University Promotion of Academic Integrity and Prevention of Plagiarism Policy, 2021

Preamble

Whereas, assessment of academic and research work done leading to the partial fulfillment for the award of degrees at Masters and Research level, by a student or a faculty or a researcher or a staff, in the form of thesis, dissertation and publication of research papers, chapters in books, full-fledged books and any other similar work, reflects the extent to which elements of academic integrity and originality are observed in various relevant processes adopted by Higher Educational Institutions;

And whereas, in exercise of the powers conferred by clause (j) of Section 12 read with clauses (f) and (g) of sub-section (1) of Section 26 of the University Grants Commission Act, 1956, the University Grants Commission promulgates the "University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018".

Therefore, as per the guidelines and rules set forth in the "University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018", the Assam Agricultural University promulgates the following policy:

1. Short title, application and commencement

- a) This policy shall be called the "Assam Agricultural University (Promotion of Academic Integrity and Prevention of Plagiarism) Policy or Regulations, 2021".
- b) This shall apply to the students, faculty, researchers and staff of the Assam Agricultural University in any capacity as regular, ad-hoc, guest, temporary, visiting faculties etc.

c) These regulations shall come into force from the date of their notification from the Competent Authority of the Assam Agricultural University.

2. Definitions

- a) "AAU" is the Assam Agricultural University
- b) "Academic Integrity" is the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property;
- c) "Author" includes a student or a faculty or a researcher or staff of AAU who claims to be the creator of the work under consideration;
- d) "Common Knowledge" means a well-known fact, quote, figure or information that is known to most of the people (examples historical dates, 'Kaziranga is a wildlife sanctuary in Assam', 'The Amazon is the world's largest tropical rainforest', proverbs & idioms);
- e) "Degree" means any such degree specified/recognized/offered by AAU;
- f) "Departmental Academic Integrity Panel" shall mean the body constituted at the departmental level to investigate allegations of plagiarism;
- g) "Faculty" refers to a person who is teaching and/or guiding students enrolled in AAU in any capacity whatsoever, i.e., regular, ad-hoc, guest, temporary, visiting etc.;
- h) "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer-generated microfiche;
- i) "Notification" means a notification published by AAU and the expression "notify" with its cognate meanings and grammatical variation shall be construed accordingly;
- j) "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.
- k) "Programme" means a programme of study leading to the award of a masters and doctoral degree;
- l) "Research Publication" means books, book chapter, original articles based on research findings and articles based on review of earlier workers in a particular field.
- m) "Researcher" refers to a person conducting academic / scientific research in AAU;
- n) "Script" includes research paper, thesis, dissertation, chapters in books, full-

fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and doctoral degrees or publication in print or electronic media by students or faculty or researcher or staff of AAU; however, this shall exclude assignments / term papers / project reports / course work / essays and answer scripts etc.;

- o) "Source" means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text; Information being given the same meaning as defined under Section 2 (1) (v) of the Information Technology Act, 2000;
- p) "Staff" refers to all non-teaching staff working in AAU in any capacity whatsoever, *i.e*, regular, temporary, contractual, outsourced etc.;
- q) "**Student**" means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time);
- r) "University Academic Integrity Panel" shall mean the body constituted at Institutional level for AAU to consider recommendations of the DAIP and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;
- s) "Year" means the academic session in which a proven offence has been committed.

3. Objectives

- 3.1 To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff.
- 3.2 To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.
- 3.3 To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of AAU committing the act of plagiarism.

4. Duties of AAU

AAU shall establish the mechanism as prescribed in these regulations, to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism.

5. Awareness Programs and Trainings:

- 5.1AAU shall instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source.
- 5.2AAU shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.
 - 5.2.1 A "Central Anti-Plagiarism Awareness Cell (CAPAC)" shall be created for conducting sensitization seminars/ awareness programs with the following members:
 - a) Chairman: The Chief Librarian, Rev. B M Pugh library, AAU, Jorhat
 - b) **Member**: An academic faculty nominated by the Vice-Chancellor, AAU
 - c) **Member**: A person well versed with anti plagiarism tools, to be nominated by the the Chief Librarian, AAU

The Chief Librarian, Rev. B M Pugh library, AAU, Jorhat shall hold the position of chairman permanently. Tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

5.3AAU shall:

- 5.3.1 Include the cardinal principles of academic integrity in the curricula of Undergraduate (UG)/Master's degree etc. as a compulsory coursework/module.
- 5.3.2 Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for Master's and Doctoral Scholars.

Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of AAU.

- 5.3.3 Train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.
- 5.3.4 Establish facility equipped with modern technologies for detection of plagiarism.
- 5.3.5 Encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

6. Curbing Plagiarism

- 6.1AAU shall declare and implement the technology-based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.
- 6.2The mechanism as defined at 6.1 above shall be made accessible to all engaged in research work including student, faculty, researcher and staff etc.
- 6.3 Every student submitting a thesis, dissertation, or any other such documents to AAU shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.
- 6.4The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by AAU.
- 6.5 AAU shall develop a policy on plagiarism and get it approved by its relevant statutory bodies/authorities. The approved policy shall be placed on the homepage of AAU's official website.
- 6.6Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free.
- 6.7AAU shall submit to INFLIBNET soft copies of all Masters, Research program's dissertations and thesis within a month after the award of degrees for hosting in the digital repository under the "Shodh Ganga e-repository".
- 6.8AAU shall create Institutional Repository on official website which shall include dissertation / thesis / paper / publication and other in-house publications.

7. Publications Subject to Plagiarism Check

- 7.1 The following types of publications shall be subject to plagiarism check:
 - 7.1.1 Thesis/dissertation submitted by Master's and Doctoral students

- 7.1.2 Research articles
- 7.1.3 Books/book chapters, popular articles, and technical bulletins
- 7.1.4 Newspaper articles

8. Similarity Checks for Exclusion from Plagiarism in a Manuscript

The similarity checks for plagiarism shall exclude the following:

- a) All quoted work reproduced with all necessary permission and/or attribution.
- b) All references, bibliography, table of content, preface and acknowledgements.
- c) All generic terms, laws, standard symbols and standard equations.

Note: The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, materials & methods, review of literatures, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

9. Levels of Plagiarism

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- a) Level 0: Similarities upto 10% Minor similarities, no penalty
- b) Level 1: Similarities above 10% to 40%
- c) Level 2: Similarities above 40% to 60%
- d) Level 3: Similarities above 60%

10. Detection/Reporting/Handling of Plagiarism

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the University Academic Integrity Panel (UAIP) of AAU.

The authorities of AAU can also take *suo motu* notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated

by AAU on the basis of findings of an examiner. All such cases will be investigated by the UAIP.

11. Procedure for Plagiarism Check in Master's or Doctoral Theses

- 11.1 Only those Students/Scholars who have fulfilled the requirement for submission of thesis as per rules of AAU shall be allowed to submit the same. It should have declarations of the Student/Scholar as well as the Major Adviser, as per formats provided by the Regulations on Academic Matters of Assam Agricultural University in force and modified to fit the requirement of the "University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018" to indicate that the document has been prepared by him/her and that the document is his/her original work and free of any plagiarism (Annexure-I).
- 11.2 The Professor & Head of the Department, after verification of the certificates (Para 11.1 above), shall forward the thesis in both softcopy and printed formats as per the Academic Regulations of AAU to the following officials:
 - 11.2.1 The Chief Librarian, Rev. B M Pugh library, AAU, Jorhat for the Departments of College of Agriculture and College of Community Science
 - 11.2.2 The Assistant Librarian or an academic faculty nominated by the Associate Dean for the Biswanath College of Agriculture, BiswanathChariali
 - 11.2.3 The Deputy Librarian, College of Veterinary Science, Khanapara
 - 11.2.4 The Assistant Librarian or an academic faculty nominated by the Dean for the College of Fisheries Science, Raha
- 11.3 The concerned College Librarian or the nominated faculty shall check plagiarism in the submitted thesis using the University provided plagiarism detection software made available to all faculties, researchers, students and staffs; and generate the report. Based on the report, subsequent course of action of the concerned College Librarian or the nominated faculty shall be:
 - 11.3.1 **For thesis with plagiarism up to 10%** shall forward the thesis to the DPGS or his representative for normal processing and evaluation.
 - 11.3.2 For thesis with plagiarism above 10 to 40% shall return the thesis to the Chairman of the concerned DAIP who shall direct the student to submit a revised script within a stipulated time period not exceeding 6 months to his/her office.If contended, the DAIP shall forward the

- thesis to UAIP for subsequent action. (Ref: Annexure-IV)
- 11.3.3 **For thesis with plagiarism above 40 to 60%** shall forward the thesis to the concerned DAIP for subsequent action
- 11.3.4 For thesis with plagiarism above 60% shall forward the thesis to the concerned DAIP for subsequent action

12. Procedure for Plagiarism Check in Research Publications

- 12.1 A student, faculty, researcher or staff shall check for plagiarism in their research publication before submission to a journal or publication agency for publication using the University provided plagiarism detection software.
- 12.2 The corresponding author shall submit a soft copy of the publication along with a self-certification (Annexure III) declaring his/her publication to be free of any plagiarism including the software generated report to the Chief Librarian, Rev. B. M. Pugh Library, Jorhat for keeping in the central repository after publication.
- 12.3 Failure to fulfil the requirement set in Para 12.2, shall forfeit the right of the author(s) to cite in annual appraisal report and/or derive any benefit for career promotion. This shall be applicable to publications after notification of the Policy. However, publications prior to the Notification should also be submitted to the central repository.

13. Departmental Academic Integrity Panel (DAIP)

- 13.1 All Establishments/Departments in AAU shall notify a DAIP whose composition shall be as given below:
 - a) **Chairman** Head of the Department/Establishment
 - b) **Member** Senior academician from outside the department/establishment, to be nominated by the Vice-Chancellor of AAU.
 - c) **Member** A person well versed with antiplagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

- 13.2 The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- 13.3 The DAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.

13.4 The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the UAIP within a period of 45 days from the date of receipt of complaint /initiation of the proceedings.

14. University Academic Integrity Panel (UAIP)

- 14.1 AAU shall notify a UAIP whose composition shall be as given below:
 - a) **Chairman**–Vice-Chancellor or his/her nominee
 - b) **Member** Senior Academician other than Chairman, to be nominated by the Vice-Chancellor of AAU
 - c) **Member** One member nominated by the Vice-Chancellor of AAU from outside AAU
 - d) **Member** A person well versed with anti-plagiarism tools, to be nominated by the Vice-Chancellor of AAU.

The Chairman of DAIP and UAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

- 14.2 The UAIP shall consider the recommendations of DAIP.
- 14.3 The UAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
- 14.4 The UAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of AAU.
- 14.5 The UAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- 14.6 The UAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Vice-Chancellor of AAU within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of the proceedings.
- 14.7 The UAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

15. Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty &

staff of AAU only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

- 15.1 Penalties in case of plagiarism in submission of thesis and dissertations UAIP shall impose penalty considering the severity of the Plagiarism.
 - a) Level 0: Similarities up to 10% Minor Similarities, nopenalty.
 - b) Level 1: Similarities above 10% to 40% Such student shall be asked by DAIP to submit a revised script within a stipulated time period not exceeding 6months (Ref:Para 11.3.2). In that case, the student does not require to take admission in the next semester.
 - c) Level2:Similaritiesabove40%to60%Suchstudentshallbedebarredfromsubmittingarevisedscriptfora period of oneyear. In that case, the student does not require to take further admission. All the members of advisory committee shall not be allowed to be a Major Adviser/member of advisory committee to any new Master's orPh.Dstudent/scholar for a period of twoyears
 - d) Level 3: Similarities above 60% -Such student's registration for that programme shall becancelled. All the members of the advisory committee shall not be allowed to be a Major Adviser/member of advisory committee to any new Master's or Ph.D Student/scholar for a period of three years.
 - **Note 1: Penalty on repeated plagiarism** Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.
 - Note 2: Penalty in case where the degree/credit has already been obtained If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then his/her degree or credit shall be put in abeyance for a period recommended by the UAIP and approved by the Head of the Institution.
- 15.2 Penalties in case of plagiarism in research publications (including books/book chapters, popular articles, technical bulletins)
 - a) Level 0: Similarities up to 10% Minor similarities, nopenalty
 - b) Level 1: Similarities above 10% to 40%
 - a) Shall be asked to withdrawthe manuscript
 - c) Level 2: Similarities above 40% to60%

- a) Shall be asked to withdrawthe manuscript
- b) Shall be denied a right to one annualincrement to all the authors of the manuscript
- c) All the authors shall not be allowed to be a Major Adviser/member of advisory committee to any new Master's, Ph.Dstudent/scholar for a period of twoyears

d) Level 3: Similarities above 60%

- a) Shall be asked to withdrawthe manuscript
- b) Shall be denied a right to two successive annual increments to all the authors of the manuscript
- c) All the authors shall not be allowed to be a Major Adviser/member of advisory committee to any new Master's, Ph.Dstudent/scholar for a period of three years

Note 1:Penalty on repeated plagiarism - Shall be asked to withdraw the manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken by the AAU.

Note 2:Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period recommended by UAIP and approved by the Vice-Chancellor of AAU.

Note 3: AAU shall create a mechanism so as to ensure that each of the paper publication/thesis/dissertation by the student, faculty, researcher or staff of AAU is checked for plagiarism at the time of forwarding/submission.

Note 4: If there is any complaint of plagiarism against the Vice-Chancellor of AAU, a suitable action, in line with these regulations, shall be taken by the Controlling Authority of AAU.

Note5: If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the UAIP and approved by the Competent Authority.

Note 6: If there is any complaint of plagiarism against any member of DAIP or UAIP, then such member shall excuse himself / herself from the meeting(s) where his/her case is being discussed/investigated.



Assam Agricultural University

Department of _____

College: _____

	Declaration by the student/scholar		
1.	Name of student/scholar	:	
2.	Degree programme	:	
3.	Roll No.	:	
4.	Email address	:	
5.	Mobile No.	:	
6.	Name of Major Adviser	:	
	Designation	:	
	Address	:	
	Email	:	
	Mobile	:	
7.	Title of thesis	:	
The	above thesis/ dissertation wa	s scanned for similarity detection by $___$ software † and is	
plagi	arism free/with plagiarism be	low AAU's accepted norms which does not affect the originality of my	
resea	arch work.		
Date:		(Signature of the student/researcher)	

[†]Name of the University provided plagiarism detection software

Academic Regulation Form No. PG-22

Vide Clause: 3.17.05



ASSAM AGRICULTURAL UNIVERSITY

Faculty_____

College		
	CERTIFICATE-I	
This is to certify that thesis/	lissertation entitled (Title of the thesis) submitte	
	, Assam Agricultural University, in partial fulfilment for th	
degree of	(Name of the degree programme)	in
(Name of the	major discipline) is a record of research work carried out b	Эу
	student) under my personal supervision and guidance. All kind	
	acknowledged. No part of this thesis has been reproduce	
elsewhere for any degree. The thesis is plagia	ism free/with similarity content below the accepted norms	of
AAU which does not affect the originality of res	earch work.	
Dated	(Signature of the Major Adviser)	
	Designation	
	Department	
	College	
	Assam Agricultural University,	



Assam Agricultural University

Self-Declaration for Research Publication

1. 7	Γitle of the publicatio	n :	
2. F	Publication type	:	
3. 1	Name of the Journal/	Book :	
4. [Detailed citation	:	
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			by software and is <u>plagiarism</u> oes not affect the originality of my/our research
[†] Name of t	the University provided plagiar	ism detection software	
Date: Place:	1	Name of Authors [‡]	Signatures
Flace.			
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 $^{^{\}ddagger}$ All authors of the manuscript should sign this declaration



Assam Agricultural University

Formatfor Returning Thesis/Dissertation to DAIP

[Ref: Para 11.3.2, 11.3.3, 11.3.4& 15.1(b),(c),(d)]

The Chairman	
Departmental Academic Integrity Panel	
Dear Sir/Madam,	
The thesis/dissertation entitled "	
	the Department of College of
	en checked by (Name of the plagiarism detection
	m of%. You are requested to initiate action as per Para15.1
, -	pmotion of Academic Integrity and Prevention of Plagiarism Policy,
2021".	motion of Academic integrity and Frevention of Flagiansin Folicy,
Date:	(Signature) Plagiarism Checking Authority (Ref: Para 11.2)
Place:	
	(Office Seal)

(Office Seal)



Assam Agricultural University

Format for forwarding a Thesis/Dissertation to DPGS for Evaluation

(to be used by Chief Librarian, Deputy Librarian, Assistant Librarian and nominated academic faculty)

[Ref: Para 11.2.1, 11.2.2, 11.2.3 & 11.2.4]

The Director, Post Graduate Studies Assam Agricultural University	
,	
Jorhat 785013	
Dear Sir/Madam,	
The digital copy of the thesis/dissertation entitled "	
, Roll No of	•
checked by (Name of the plagiarism detection software) and found	d similarity within the
acceptable limit as defined in the 'Assam Agricultural University Promotion of Academic Int	tegrity and Prevention
of Plagiarism Policy, 2021'. All quoted works reproduced with all necessary permission	and/or attribution, all
references, bibliography, table of content, preface, acknowledgements, generic terms, laws,	standard symbols and
standards equations were excluded during the assessment. The details of the assessment are	furnished below:
Heads	Result
Result of similarity check by the software (%)	
Word counts in the thesis (nos.)	
[include Abstract, Introduction, Review of Literature, Materials and Methods, Experimental Findings, Discussion (or Results and Discussion), Summary and Conclusion and Bibliography chapters)	
Action may be initiated for the evaluation of the thesis/dissertation as per the set prod Agricultural University.	cedure of the Assam