

STANDARD OPERATING PROCEDURE (SOP)

(Pre-Thesis Permission and Thesis Submission)

The purpose of this SOP is to provide a clear and consistent procedure for granting Pre-Thesis Permission, conducting the Pre-Thesis Presentation/Review, and submitting the corrected thesis for evaluation.

- **Pre-Thesis Permission:** Pre-Thesis permission shall be granted only in the RAC/RDC meeting after the scholar fulfils all prescribed Pre-Thesis submission criteria as per Ph.D. ordinance.
- **Pre-Thesis Submission:** After obtaining permission, the scholar must submit the Pre-Thesis with related documents within **three months** from the date of permission. For Pre-thesis, fee must be submitted upto latest (previous) RAC. The detailed Pre-Thesis submission criteria and guidelines are provided in **Annexure-I**.
- **Thesis Submission after Pre-Thesis:** After the conduction of Pre-Thesis, the scholar must incorporate the suggested corrections and submit the corrected thesis for evaluation within **one month**. The detailed final Thesis submission criteria and guidelines are provided in **Annexure-II**.
- **Delay in Submission:** If the scholar does not submit the corrected thesis within the prescribed one-month period after Pre-thesis and overall if thesis is not submitted for evaluation before next RAC then the semester will be extended, and the applicable semester/extension fee will be charged.
- **No dues:** Final no dues certificate from account will be required at the time of submission of final thesis for evaluation.

(Dean-Research & Studies)

GUIDELINES FOR PRE-THESIS SUBMISSION**(A) Conditions for Pre-thesis Submission: -**

- A(i)** Minimum duration as per UU Ph.D. Ordinance (3 years for full-time & 3.5 years for Part-time Ph.D.).
- A(ii)** Minimum **five** RAC to be attended with successful submission of all Progress Reports.
- A(iii)** Minimum **two** Research papers from thesis work in Scopus/SCI/WOS Journals with indexing in Scopus/WOS database or as permitted by RDC. At least one research paper required from thesis or one patent from thesis.
- A(iv)** No extra author is permitted in research publication of scholar.
- A(v)** Minimum **two** Conference Certificate with paper presentation (Presented papers must be different from full length paper submitted for Pre-Thesis).

(B) Document Required for Pre-Thesis Submission: -

- B(i)** Pre-Thesis application form.
- B(ii)** **Two** spiral-bound copies of the thesis draft (printed on both sides)
- B(iii)** **One** photocopy of the approved synopsis.
- B(iv)** Latest/Current semester fee receipt.
- B(v)** Published Papers with indexing proof as mentioned in **A (iii)**.
- B(vi)** Conference Certificates as mentioned in **A (v)**.
- B(vii)** Chapter-wise Plagiarism and AI Report, including a summary verified by the Supervisor. Plagiarism/similarity should not exceed **10%**, and AI-generated content should be **0%**.

Note: *Pre-thesis approval will be provided after verification of documents & fulfillment of requirements.*

GUIDELINES FOR FINAL THESIS SUBMISSION

(C) DOCUMENT REQUIRED FOR THESIS SUBMISSION FOR EVALUATION (AFTER PRE-THESIS): -

- C(i)** Thesis submission form.
- C(ii)** **Three** spiral-bound copies of the final thesis per standard UU format.
- C(iii)** **Three** spiral-bound copies of Abstract.
- C(iv)** **One** photocopy of the approved synopsis.
- C(v)** Thesis submission fee receipt.
- C(vi)** Final Thesis submission **NO dues** form (Fee required upto latest RAC conducted).
- C(vii)** Proof of incorporation of Pre-Thesis suggestions, duly verified by the Supervisor.
- C(viii)** Soft copy of Ph.D. Thesis, all thesis Chapters, Abstract and approved Synopsis.
- C(ix)** Plagiarism Report and Certificate issued by the Central Library. Similarity must be below **10%** and AI-generated content must be **0%**. Exclusion may be up to **14** words.
- C(x)** Affidavit on **Rs. 100** Stamp-paper regarding plagiarism and co-authorship in research paper.

(D) FORMAT & GUIDELINES FOR THESIS PREPARATION: -

- D(i)** Thesis Cover/ Title page (Front Page) should be as per prescribed format.
- D(ii)** Thesis shall be written in English but as a very special case with due permission of URDC in Hindi or any other language with specified instructions may be used in thesis.
- D(iii)** Thesis should be printed both side on bond papers A4 size. (*Printing may be done both side from Introduction onwards only. Preliminary pages like Certificates, Declaration, Copyright should be single side only.)
- D(iv)** The text to be typed on both sides leaving a margin of 4 cm on left hand side and 3 cm on right hand side as well as 3 cm at the top and 3 cm at the bottom.
- D(v)** The text should be typed in Times New Roman/ Arial with font size 12 and spacing of 1.5 may. Major headings including chapter name to be written in bold fonts in 18 size and Sub headings written in bold 14 size.
- D(vi)** Supervisor/ Co-Supervisor names to be added with designation of Assistant/ Associate/ Professor.

(E) GENERAL CONTENT AND SEQUENCE OF THESIS

General content and sequence of thesis should be as per the following points:-

- 1) Front Page (As per format)
- 2) Certificate from Supervisor
- 3) Declaration by Candidate
- 4) Copyright
- 5) Acknowledgements
- 6) Preface/Brief Abstract (Max. 2048 Characters)
- 7) Table of Contents
- 8) List of Tables
- 9) List of Figures
- 10) Abbreviations
- 11) Chapters 1, 2, 3...all
- 12) References
- 13) Plagiarism Report (Turnitin)
- 14) List of Published Papers
- 15) Published printed copy of Research Papers.
- 16) Minimum 2 Conference/Seminar Certificates.

Note: -

- *From above (1-10 Content) Numbering should be done in Roman Numbers & Arabic numerals should start from Introduction/ Chapter. Page number will be written at the center bottom of the page.*
- *Soft copy of thesis, abstract and synopsis to be submitted through Email or Pen drive.*

(F) ABSTRACT OF THESIS: -

Content included in abstract-

- 1) Front Page
- 2) Certificate from Supervisor (Copy)
- 3) Declaration by Candidate
- 4) Summary of Chapters of Thesis
- 5) Reference List

“Cover & Title Page Format”

“TITLE OF THE RESEARCH”

(Font size:- 18, Times New Roman, Bold)

A THESIS

(Font size:- 14, Times New Roman, Bold)

Submitted for the award of

DOCTOR OF PHILOSOPHY

in (Discipline name.....)

(Font size:- 12, Times New Roman)

Submitted by

Research Scholar Name

(Enrollment No.:-----)

(Font size:- 14, Times New Roman, Bold)

Under the Supervision of

Supervisor Name with Designation

(Asst Prof/ Associate / Professor)

Faculty/ College Name-----

(Font size:- 16, Times New Roman, Bold)



UTTARANCHAL UNIVERSITY, DEHRADUN

(Year)

(Font size:- 18, Times New Roman, Bold)

UTTARANCHAL UNIVERSITY

(Established vide Uttaranchal University Act, 2012, Uttarakhand Act No. 11 of 2013)

Premnagar-248007, Dehradun, Uttarakhand, INDIA

CERTIFICATE

It gives me immense pleasure in certifying that the thesis entitled “.....” submitted by Name of Scholar....., (Enrollment No.....) is based on the research work carried out under my guidance and supervision. He/She has fulfilled all the following requirements as per Ph.D. regulations of the University.

- (i) Course work as per the University rules.
- (ii) Residential requirements of University.
- (iii) Regularly submitted the Half Yearly Progress Report.
- (iv) Published minimum two research papers in a referred research journal.
- (v) Participated & Presented Paper in minimum 2 Seminar/ Conferences.

I recommend the submission of the thesis for evaluation and conducting of Viva-voce.

Place:

Date:

(Supervisor's name & Sign)

DECLARATION BY CANDIDATE

I,Enrollment No. hereby state that the research work entitled “.....” carried out by me for the award of Ph.D. degree from Uttarakhand University, Dehradun during the year fromto..... is the record of my own work and embodies the results of original research work and that the thesis has not formed the basis for the award of any degree, diploma, associateship, fellowship or any other similar title previously.

Date:

Place:

Name-

Enrollment No.

COPY RIGHT

I,Enrollment No. hereby declare that the Uttaranchal University, Dehradun (U.K.) shall have the rights to preserve, use and disseminate this thesis entitled “.....” in print or electronic format for academic/research purpose.

Copy right to be transferred to Uttaranchal University, Dehradun

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**Arcadia Grant, P.O. Chandanwari, Premnagar,
Dehradun, Uttarakhand-248007 INDIA.**

All rights reserved.

Date:

Name of Scholar:-

Place:

Enrollment No:-

ACKNOWLEDGEMENT

*(*Candidate has to acknowledge the persons/Supervisor/Institutes, who have supported in Thesis & research work.)*

Scholar's Name

(Signature)

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**If Chapter's names are different then all those must be indexed in table of content properly.*

List of Tables

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List of Figures

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