



Approved by BOS.....05/09/2011

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Approved by Academic Council.....07/09/2011

# **SunRise University**

## **Alwar**

**Ordinance Governing the Award of the  
Degree of Doctor of Philosophy**

**2011**



# SunRise UNIVERSITY-ALWAR

Regular University Established by Govt. of Rajasthan vide SunRise University Act, 2011  
and Recognized by Govt. of India u/s 2(f) of UGC Act, 1956

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## **Doctor of Philosophy (Ph.D.) Process**

**Advertisement**

**Applications**

**Research Entrance Test & Interview**

**Broad Research Areas**

**Pre-Ph.D. Course Work**

**Proposal of Research Plan**

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**Evaluation Reports**

**Viva-Voce**

**Award of Ph.D. Degree**

## ORDINANCE

### DOCTOR OF PHILOSOPHY (Ph.D) PROGRAMME

#### **Admission and Eligibility**

The University shall decide, on an annual basis, the maximum number of candidates to be admitted to the programme, which shall be announced in advance in a notification and on the website. Admission to the Ph.D. programme will be made twice a year, preferably in the beginning of each semester. The candidates with at least 55% marks for Gen & OBC category and 50% marks for SC/ST category in their Master's Degree in the subject concerned / allied / cognate subjects shall appear for a written test conducted by the University to be followed by an interview to be conducted by the concerned Department.

After assessing the appropriateness of the subject in which the candidate has a master's degree to the field of proposed study, the candidates will be selected according to the merit as determined after giving suitable weightage to the following

**(a)** Performance in the entrance test and interview (weightage- 60% for entrance test and 40% for interview). Candidates securing 50% or more marks in entrance test shall qualify for the interview. The President shall constitute appropriate Committees, at the University and Departmental levels for conducting the test and interview.

The candidates who have qualified in any of the National Level Ph.D. eligibility test such as UGC/CSIR (JRF) or SLET/Teacher Fellowship holders or have passed M. Phil programme recognised by the U.G.C., shall be exempted from appearing at the written test.

#### **Pre-Ph.D Course Work**

There shall be a compulsory pre- Ph.D course work. A candidate must secure at least 55% marks for Gen & OBC category and 50% marks for SC/ST category in the pre-Ph.D course work in order to become eligible for Ph.D registration. The course work shall include a paper each on "Research Methodology with Quantitative methods" and "Computer Application", and one paper shall be as prescribed by the concerned department

#### **Provision for Exemption to Pre-Ph.D. Course work.**

Candidates possessing an M. Phil may be exempted from the course work. This provision must be applied only if

- (i)** The broad area of proposed research at the Ph.D level matches with the one chosen at the M. Phil level, and
- (ii)** The M.Phil. degree obtained by the candidate included course work as stipulated by the UGC regulations for Ph.D.: 2009.

The Dean of the concerned Faculty, based on the recommendation of the Supervisor and the Head of the Department will decide on the exemption taking into account the above stipulations.

#### **Supervisor**

- (a)** The Faculty/Department shall allocate a supervisor for each candidate, duly approved by the university. A candidate may also have one co-supervisor, if necessary.

**(b)** The following persons may act as supervisors/co-supervisors:

- i) Any regular teacher of the university (Professor/Associate Professor/ Assistant Professor) who holds a Ph.D. degree and has a teaching/research/industrial experience of not less than three years in supervisory capacity shall be eligible to be a supervisor or a co-supervisor.
- ii) A recognized teacher from the university from the university teaching departments with a Ph.D degree and experience of teaching/research of less than 3 years in supervisory capacity will be eligible to become a co-supervisor. A person from the industry with a minimum of 15 years experience with post graduate and 20 years of experience with graduate degree can also become a co-supervisor, subject to his research/work experience being approved by the recommendation of the DRC.
- iii) A recognized teacher working in reputed teaching/ research institution in india or abroad who holds a Ph.D degree with a teaching experience of not less than five years and has an established record of independent research; shall be eligible for the appointment either as a supervisor or a co-supervisor. Any other person from approved research centre/ Public Sector Undertaking/ Advance Study Centre/ Other reputed established industry or institutions conducting research programs shall be eligible to be appointed either as a Supervisor or a Co-supervisor provided he/she holds a Ph.D degree and has established record of research evidenced through publications in standard refereed journals.
- iv) On the recommendation of the DRC, shall consider the names of the Supervisor/co-supervisor, and if it approves of the same, these shall be appointed after obtaining approval of the President (VC). If the names proposed by the applicant are not approved, the candidate may be asked to suggest other names, or, in exceptional circumstances assigned by the Director/ Principal/Head of the college, with the concurrence of the candidate and the supervisor (if any), and approval of the President (VC).
- v) At any given time, the faculty of SunRise University shall not have more than Eight (8) research scholars in case of a Professor, Six (6) research scholars in case of an Associate Professor and not more than Four (4) research scholars in case of an Assistant Professor. The numbers shall be three (3), two (2) and one (1), respectively in case of the supervisor being from other university/college/industry.
- vi) A change of supervisor shall be permitted in case of inability or non-availability of the supervisor. On the recommendation of the DRC, shall seek approval from the President for appointment of a Caretaker supervisor.

### **Joint Supervisor**

- a) A department may, with the approval of the BOS and the Academic Council, appoint one or two joint supervisors, from outside the department, in addition to the Supervisor in which case the Supervisor shall be in overall charge of the supervision. A Joint Supervisor need not necessarily be a teacher of the University but shall be a person recognized as Supervisor as per the University Regulations.
- b) The recognition of a teacher from another University / Researcher from a recognized Research Organization as a Ph.D. Supervisor will be accorded, taking into consideration the relevant Ordinances, on the basis of a written application through the Head of the University / Organization where he/she is working, along-with bio-data and other supporting documents.

## Laboratories Recognition of Research Institutions

- a) Recognition to a Research Laboratory / Institution, as a Centre for pursuing research leading to the Ph.D. Degree of this University, may be granted in response to a written request by the Research Laboratory / Institution and on the basis of a specific recommendation of a Regular Inspection Committee.
- b) While granting such recognition, the Academic Council, if it considers desirable, may refer the matter to the concerned Boards of Studies for their considered opinion on the suitability of the Institution for research in the given field of study.

## Ph.D Registration

- a) The application for registration for Ph.D. shall be made to the Research Department in the prescribed Performa along with a detailed research proposal including the proposed title, introduction, scope of the study, review of literature, objectives, research methodology including sampling and design, wherever necessary, and references. The Research Department shall forward the research proposal to the RDC.
- b) In case a candidate wishes to change the topic of research or supervisor, he/she may be permitted to do so within one year from the date of his/her registration. The modified research proposal shall be submitted to the Department of Research for its consideration and approval.

## Duration

- a) The minimum period of registration after which a research scholar can submit his thesis shall be two years from the date of registration for full time and three year for part time.
- b) A research scholar shall normally be allowed to submit his thesis within a maximum period of five (5) years. However, in exceptional cases, this limit may be extended by the President by a maximum period of one year.
- c) Fee will be charged after prescribe duration as applicable.

## Research Committees

Subject to the general superintendence of the Academic Council, the following Committees shall deal with all matters connected with the Ph.D. programme of the University in accordance with these ordinances:

- a. The Research Degree Committee (RDC)
- b. The Departmental Research Committee (DRC)

### (a) RDC shall consist of the following

- (i) President (VC).....Chairman
- (ii) Director of the institute (in the case where the faculty is associated with an institute).....Member
- (iii) Director of Research..... Member
- (iv) Dean of Research .....Member
- (v) Dean of faculty .....Member
- (vi) HOD and coordinator.....Members
- (vii) Members of the concerned DRC.....Member
- (viii) Supervisor and Co-supervisor (if any).....Members
- (ix) Emeritus Scientist / Emeritus Professors/ Visiting Professors/  
Honorary Professors/ Adjunct Faculty (if any) in the concerned  
Faculty.....Special Invitees

in the case of Faculties consisting of a single department, at least two Heads of the Departments from sister faculties, as recommended by the Dean of the concerned faculty, shall also be the members of the RDC.

**(B) The DRC shall consist of the following**

- (i) HOD.....Chairman
- (II) All professors & Research scientist “C” of the department+ all professors of the concerned discipline .....Members
- (III) One Associate professor + One assistant professor of the Department, according to seniority by rotation every two years and senior most research scientist “B and A” of the department + a senior most faculty member (Asso. Prof. / Ass. Prof.) of the concerned discipline.....Members
- (IV) Supervisor & Co-Supervisor (if any).....Member (s)
- (V) Emeritus Scientist / Emeritus Professors/ Visiting Professors/ Honorary Professors/ Adjunct Faculty (if any) in the concerned Faculty.....Special Invitees

Where there are three or less than three teachers in the Department/ School/ Centre, the DRC shall consist of the following:

- (i) Dean of the corresponding faculty.....Chairman
- (ii) All teachers of the department.....Members
- (iii) A senior teacher of sister department, Nominated by the dean in consultation with the HOD.....Member

The DRC shall have powers to co-opt such members of the teaching staff of the concerned/sister Department/School as may be helpful to them in their deliberations. In the case of faculties consisting of a single department, a senior teacher of a sister faculty recommended by the Dean of the concerned faculty shall also be a member of the DRC.

**Review of Progress**

The supervisor(s) shall regularly monitor the progress of the research work of the scholar. A Scholar shall submit 6-monthly progress reports to his Supervisor and also give an annual presentation outlining his research work during the year. Non-submission of two consecutive reports or failure to give the annual presentation can be basis for possible cancellation of registration. If the Supervisor finds that the progress of the work is not satisfactory, a report to that effect shall be submitted to the Department of Research.

**Modification of Title**

If there is any need for minor modification of the title of research work the candidate shall submit an application to his supervisor(s) who should forward it with his (their) recommendation to the BOS through the Department at least 6 months before the date of submission of the thesis.

**Pre Submission Seminar**

- a) When the research is in the final stage of completion in the opinion of the Supervisor(s), the scholar shall be required to give a pre-submission presentation on



his/her research findings at least two months prior to the submission. This presentation will be given in the presence of an Evaluation Committee.

- b)** The Evaluation Committee (referred to as the Committee hereafter) shall consist of the following three members related to the specialization of research:
  - (i)** Supervisor of the candidate as the Convener of the Committee and the Chairman of the Seminar;
  - (ii)** One faculty member from the department as the nominee of the Head where the candidate is registered;
  - (iii)** One faculty member nominated by the Dean from an allied department in the faculty:  
Provided that the Committee shall be notified by the Dean of the concerned Faculty.

**Explanation:** The faculty member mentioned in (ii) and (iii) shall be recognized supervisors of the University.

- (c)** After the notification of the Committee, the supervisor shall fix the date and time of the evaluation seminar through mutual consent of the other two members. The Director of research shall issue the seminar notice.
- (d)** The evaluation seminar shall be open to all the faculty members and students of the departments in the Faculty concerned  
Any person other than the members of the committee will be allowed to participate in the discussion only after the members of the committee complete their discussion.
- (e)** The recommendations shall be unanimous and clearly and specifically recorded on a standard format and shall be duly signed by all members of the committee. However, the committee shall not recommend any modification in the registered title of the thesis. The candidate shall suitably incorporate the recommendations of the Committee in his/her thesis.

### **Submission of thesis**

- a)** Before the submission of his/her thesis for evaluation and assessment, a Ph.D. candidate shall publish at least one research paper related to his research topic in a refereed Journal and produce evidence for the same in the form of a reprint or a letter of acceptance of the paper.
- (b)** A scholar shall submit four soft-bound copies, typed on one/both sides of the page, of his/her thesis along with one in electronic form. The thesis must be prepared and bound as per the templates which will be available on the University's website.
- (c)** A Ph.D. thesis must contain original contribution by the scholar; it may incorporate the text of any work which the candidate may have published on the subject. A scholar will not be allowed to submit in his/her thesis any work for which a Degree / Diploma has already been conferred on him/her by this or any other University.
- (d)** The supervisor shall satisfy himself/herself before submission of the thesis that it is a piece of research work characterized either by discovery of new facts or by fresh interpretation of facts or theories. In either case, it should provide evidence of the candidate's capacity for critical examination, original thinking and judgment. The thesis shall also be satisfactory in respect of clarity and correctness of language.
- (e)** The thesis shall include a certificate from the Supervisor to the effect, *inter alia*, that the recommendations made by the evaluation committee have suitably been incorporated and a declaration that the thesis incorporates the student's *bonafide*

research and that thesis have not been submitted for award of any degree / diploma in this or any other University or Institute of learning.

- (f) In the case of a teacher or researcher in a Research Institute or a candidate who is not pursuing research on a full time basis, submission of the thesis shall be permitted only:
- (i) If the candidate has stayed in the University for not less than 30 days in each year including vacation and has participated in such academic programmes as may be decided by the Department for a total period of six months; and
  - (ii) A registered candidate shall be required to submit a six-monthly progress report to the Head through the concerned Supervisor to be reviewed by the Department and forwarded to the Dean of the concerned faculty.

#### **Panel of Examiners for Evaluation**

A Supervisor shall submit a panel of six names of examiners from the concerned area of Research along with their specialisations (and lists of publications wherever possible) including his/her own name in the prescribed performa to the Director of Research for approval. At least two Examiners out of the six names shall be from outside of the Rajasthan state. After approval of Director of Research, the list of panel will be approved by Dean of Research. The approved list of panel of examiners shall be submitted to the President (VC). The President, while appointing two examiners out of three may ensure that at least one examiner for thesis is from outside the Rajasthan state. The Third Examiner shall be the concerned Supervisor. The thesis shall, thus, be evaluated by three Examiners.

#### **Examiner's Reports & Viva-Voce**

- a) Each examiner shall, after carefully examining the thesis will submit a report in the prescribed performa to the University containing a clear recommendation that in his/her opinion the thesis (i) is recommended for the award of Ph.D. Degree, or (ii) should be modified / revised; or (iii) may be rejected on receipt of satisfactory evaluation reports of all the examiners, the candidate shall undergo a viva-voce Examination and defend his thesis openly. A Board consisting of the Supervisor and one of the External Examiners shall be constituted by the President for the viva-voce examination. The University shall ensure that as far as possible and practicable the viva-voce examination shall be held within a period of six months from the receipt of the examiners reports. The Convener (Supervisor) shall submit a report of viva-voce examination to the Controller of Examinations.
- b) In the case of inability of the Supervisor or Co-Supervisor to conduct the Viva-Voce due to any reason, the nominee of the RDC/DRC shall arrange to conduct the Viva-Voce. In such cases, the Ph.D. work shall be deemed to have been carried out under the guidance of the original supervisor/Co-Supervisor only. The Viva-Voce shall be provided with the reports of all the examiners before the Viva-Voce.
- c) In case an examiner suggests some modification/improvements in the thesis on certain specific lines or points out certain lacunae in the thesis, the candidate shall be asked to reply or modify the thesis, within one year from the date of intimation of the requirement of modification by the University, as suggested, and resubmit the thesis to be forwarded to the concerned examiner. If the candidate decides not to accept the suggested modifications or reply to the queries, or when he replies to the points/observations raised by an examiner but the reply is not accepted by the examiner, the matter shall be further referred to the Committee of experts to be appointed by the President.
- d) A thesis shall be accepted for the award of the Degree of Doctor of Philosophy on the unanimous recommendation of the examiners.

- e) In case both the external examiners reject the thesis, no degree shall be awarded. If there is a difference of opinion between the external examiners, it shall be referred to a fourth examiner to be nominated by the President out of the panel already approved by the Academic Council and the Board of Studies. The opinion of the fourth examiner shall be final.

#### **Re-submission of Thesis**

- a) A candidate whose thesis has been referred back for revision shall re-submit it for the award of the Ph.D. Degree within one year of the intimation of the decision of the University.
- b) A thesis which has been re-submitted shall be examined by the same external examiner(s). In case any examiner(s) is/are unwilling to act as such, another examiner(s) may be appointed by the President from the approved panel of examiners.

#### **Declaration of Result and Award of Degree**

- a) On the basis of the reports of the examiners and the viva-voce committee the Director of Research shall recommend to the Registrar through COE for the declaration of result and the awards of the degree or otherwise. However, as an interim measure, the President may grant permission for the declaration of the result and the award of the degree on receipt of the viva-voce examination report.
- b) Along with the award of the Degree, the University shall also issue a certificate stating that the Degree has been awarded in accordance with the provisions of the UGC (Minimum Standards and Procedure for the award of Ph.D. degree) Regulations, 2009.
- c) After announcement of the award of the PhD degree, the University will submit an electronic copy of the PhD thesis to the UGC within a period of thirty days for uploading it to INFLIBNET, accessible to all Universities/Institutes.
- d) The date of notification by the Controller of Examinations shall be deemed to be the date of award of the degree, subject to satisfying other conditions.

#### **Cancellation of Registration**

- 1 The registration of a Ph.D Research scholar shall be cancelled by the President on the recommendation of Director of Research, in any one of the following eventualities:
  - (i) If the Research Scholar is absent for a continuous period of four weeks without prior information/sanction
  - (ii) If the Research Scholar fails to renew his/her registration in any semester by paying the prescribed fees.
  - (iii) If three consecutive progress reports of the Research Scholar are unsatisfactory.
  - (iv) If the candidate's research plan proposal and/or research plan proposal seminar are not approved by the DRC even after the submission of revised proposal of the revised seminar by the candidate.
  - (v) If the Research scholar fails to submit within the maximum stipulated time for submission of the thesis.

- (vi) If the Research Scholar resigns from the Ph.D Programme and the resignation is duly recommended by the Supervisor and the Co-Supervisor (if any).
- (vii) If the Research Scholar is found involved in an act of misconduct or indiscipline or plagiarism and his/her termination has been recommended by the Research Committee.

### **Temporary Withdrawal from the Programme**

1. A Research Scholar registered for the Ph.D Degree may be permitted by the President, on the recommendation of his/her supervisor(s) and the DRC to temporary withdraw from the programme for some specific reasons, and later allowed to join back to complete the research and submit the thesis, without exceeding the maximum prescribed time limit for the thesis submission
2. The withdrawal may be granted during the period of the coursework of the candidate. The temporary withdrawal may be permitted for any one of the following reasons:
  - (i) If the Research Scholar is suffering due to prolonged illness, supported by medical certificates.
  - (ii) In the event of illness/death of any of the scholar's parents/guardians/spouse.
  - (iii) If the scholar gets a professional employment.  
In such a case the scholar may be allowed to take up the job after he/she has successfully completed the course work and research plan proposal seminar, provided that the scholar assures in written to join back by taking leaves or otherwise to complete the research work without exceeding the maximum time limit for submission of thesis.
  - (iv) Any other event in which the President is convinced that the situation faced by the research scholar warrants his/her temporary withdrawal from programme without exceeding the maximum time-limit for submission of thesis.
2. During the period of withdrawal, the research scholar shall be required to pay the fees, as prescribed.

### **Fee Payable**

- (a) Fees payable by a candidate admitted to the Ph.D programme shall be as prescribed by the University as according to academic year wise, will mention on university website
- (b) Full fee, as applicable, shall be payable by the Ph.D scholars for all the periods for which extension is granted.
- (c) Fees once paid to the University shall not be refunded

### **Unfair Means and Plagiarism**

In case a Ph.D candidate is found adopting or suspected of adopting unfair means or lifting of other's work and inserting it in his/her work without proper acknowledgement, credit and reference, such penal action shall be taken by the University as may be

necessary to uphold the sanctity and the integrity of the examination system/research work, and the credibility of the University.

### **Financial Assistance**

- (a) Subject to the availability of fellowships, the Ph. D. candidates, who are admitted as full-time research scholars through Entrance Test would be entitled to SRU Research fellowship of such amount as may be decided by the Institute/Faculty/University and/or directed by the UGC/MHRD/Government of India from time to time. This award shall be strictly subject to the fulfilment of all the conditions governing such awards.
- (b) In addition to the SRU Research Fellowship, such candidates may also be entitled for contingency grant in accordance with the decisions of the University.
- (c) The maximum duration for which the SRU Research Fellowship can be awarded to any Ph. D. student is three years. The award shall be on year-to-year basis subject to the satisfactory academic and research performance and satisfactory performance in the discharge of responsibilities assigned to him/her under the scheme.
- (d) Sun Rise University will promote research scholars to associate with doctoral and Post Doctorate Research works of the Universities and against that it would be scholarship/stipend to scholar as per norms decided by RDC after the recommendation of Dean of faculty/college.

### **Leave & attendance**

- (a) A Ph.D scholar shall be eligible to avail a leave of 30 days in an academic year. He/she shall not be entitled for any inter-semester breaks, winter and summer vacations. However, he/she is entitled for an additional leave of up to 10 days on medical grounds in an academic year. The aforesaid leave provisions are cumulative. Further, male/female candidates shall be eligible for paternity/maternity leaves as per University rules once during their entire tenure as research scholars.
- (b) The leave shall be granted by the Director of Research.
- (c) A candidate, who is pursuing course work as a part of his/her Ph. D. programme, is expected to have 70% attendance in each course. However, a maximum of 30% attendance may be condoned by the Director of Research/Dean of Research for cogent reasons as per university rules.
- (d) The attendance requirements and leave rules shall be applicable to the external part-time research scholars also during their stay in the University

### **GUIDELINES FOR SUBMISSION OF THE THESIS**

- (a) A research scholar will be required to submit his/her thesis within six months from the date of his/ her pre- submission seminar (without exceeding the maximum time limit for the submission of the thesis failing which he/she shall be required to deliver a fresh pre-submission seminar.
- (b) The Research scholar shall submit the thesis to the research department duly forwarded by the his/her supervisor.

While submitting the thesis, the scholar shall submit the following:

- i. Four soft bound hard copies and four soft copies (on CD) of the synopsis of the thesis written in about 600 words describing the salient features of his/ her investigation and contents of the thesis.
- ii. Four soft bound hard copies and four soft copies (on CD) of the thesis in English or any other language approved by the concerned DRC as per the format given.

(c) Preparation of Thesis

**The thesis shall be prepared as per the following format:**

- Paper Quality- Good quality white bond paper of 70 to100 gsm:
- Paper Size –A4;
- Font- Times New Roman, Font Size12 for text;
- Chapter heading 16
- Subheading/Section heading 14.
- Spacing- 1.5 line spacing shall be used in the type script except for indented quotations or foot notes, where single spacing may be used;
- Printing- Both side printing;
- Margins- 40mm on the left hand side and at least 15mm on the top, bottom and right hand side;
- Diagrams- Suitable reproduction of Indian ink diagrams should be used;
- Photographs- Photographs should be suitably mounted on the same quality paper as the thesis;
- Tissue/ transparent sheets should not be used;
- The thesis should not be dedicated;
- The title page should contain the name and logo of the University;
- Pages shall be numbered consecutively through the main text, including tables , diagrams, photographs, references etc;
- The colour of thesis binding shall be faculty specific, viz.

Pink.....Faculty of Arts & Education.

Violet.....Faculty of Sciences

Yellow.....Faculty of Commerce& Management

Green.....Faculty of Pharmacy

Light Blue.....Faculty of Engineering and Technology

Black.....Law (Faculty of Legal Studies)

(d) The thesis shall include:

- (i) A declaration by the Research Scholar as per the format given in Annexure-1.
- (ii) Supervisors' Certificate as per format given in Annexure-2.
- (iii) A course qualifying/ pre- submission completion certificate, by the Head of the Department, as per the format given in Annexure-3.
- (iv) A copy right transfer certificate as per the format given in Annexure-4.

The research scholar may submit the copies of the synopsis two months before the submission of the thesis in order to begin the process of evaluation.

- (e) The research scholar shall be required to have research paper published or accepted in peer reviewed journal(s) of repute as adjudged by the DRC based on the standing of the journals in subject concerned, at least two research paper based on his/ her research work before submitting the thesis .The reprint (s)/acceptance letter (s) along with pre- print(s) of the research paper(s) shall be attached at the end of the thesis. A copy of which shall also be submitted separately to the research department at the time of submission of thesis.
- (f) The Research Scholar shall also submit one copy each of the thesis and the synopsis to the supervisor and Co- Supervisor(if any)
- (g) No part of the thesis shall have been submitted for the award of any other degree or diploma of any university.
- (h) The thesis shall contain a copyright certificate at the beginning of the thesis on a separate page. A sample copyright format is given below:

“Copyright © Faculty of \_\_\_\_\_,  
SunRise University, Alwar \_\_\_\_\_ (year).  
All right reserved”

- (i) A thesis once submitted cannot be re- submitted except when the examiner recommends for the revision of the thesis.
- (j) The Registrar shall examine whether all the requirements for submission of thesis, as laid down have been fulfilled. If any deficiency is found, the research scholar will be asked to fulfill the same. After satisfying himself/ herself regarding compliance of all the requirements by the scholar, the Registrar shall take action for evaluation of the same.
- (k) The thesis and its synopsis shall be submitted in English unless permission for submission in some other language has been accorded by the respective DRC , If the thesis and its synopsis are submitted in some other language, four hard copies and four soft copies (on CD) of the synopsis and abstract of the thesis shall also be provided

## **FORMAT OF THE Ph.D. THESIS & ITS COVER PAGE**

### **(a) Format of Thesis:**

The following format may normally be adopted for the thesis:

1. Cover page
2. Inner cover page
3. Self declaration certificate by the Research Scholar and Certificate from the Supervisor /Co- Supervisor /External Supervisor and Head of the Department/ Head of Research centre(Annexure-1)
4. Supervisors Certificate (Annexure-2)
5. Certificate for the completion of course work/Research Plan Proposal Seminar/Pre-Submission Seminar (Annexure-3)
6. A copyright transfer certificate (Annexure-4)
7. Acknowledgments

8. Contents
9. List of symbols , figures and tables, if any
10. Preface
11. Abstract of the thesis
12. Introduction
13. Literature review
14. Chapters covering the work of the Scholar
15. Conclusion
16. References
17. Appendices, if any
18. List of papers published / accepted/ presented /communicated.
19. Copies of acknowledgment /acceptance letter in case the papers are accepted/ communicated.
20. Copies of manuscripts/reprints of the papers published/ communicated.
21. A personal profile not exceeding one page with photograph of the candidate.

**(b) References:**

References should be arranged chronologically in alphabetical order. Typical style of writing the references is given below.

**(i) For single author:**

Binge, R.R. (1986), "Two photon spectroscopy of protein – bound chromospheres".. *Acc Chimera* **19**,106-138 i.e. Surname, Initials(Year) Title of article, Journal's name correctly abbreviated and set in italics Volume No. set in bold font, pages(start page-end page).

**(ii) For two authors:**

Jones, R.D. and P.R. Callis (1989), "Two –photon spectra of inductively perturbed naphthalene's" *Chem. Phys. Lett.*, **144**,158.- 164. i.e., Surname initials of 1<sup>st</sup> author followed by initials and surname of 2<sup>nd</sup> author (year) Title of article. Journal's name correctly abbreviated and set in italics. Volume No, set in bold font, pages (start page- end page)

**(iii) For more than two authors:** Hirschfield, M.S.S. C. L. K. Johnson, A Mary, A.A. Smith and S. A. Short (1991), " Use of site – directed mutagenesis to enhance –shielding effect of covalent modification of proteins with polyethylene glycol". . *Proc. Nat, Acad. Sci, USA*, **88**, 7185-7189.

i.e., Surname, initials of 1<sup>st</sup> author followed by initials and surnames of 2<sup>nd</sup>, 3<sup>rd</sup>, 4<sup>th</sup> ..... authors followed by and initials and surname of last author (year) Title of article . Journal's name correctly abbreviated and set in italics. Volume No, set in bold font, pages (start page-end page)

**(iii) For Books:**

Metzger D. E. (1977), "Biochemistry .The Chemical Reactions of Living Cells", p.931. Academic Press. New York i.e. Name(a) of authors as in journal references( Year) Name of the Book set in italics with all major words starting with capital letter, page number(s), Name of publisher, place of publication.



**(iv) For Book Chapters:**

Leegood, R .C. and R. Malkin (1970),” Isolation of sub cellular photosynthetic systems, In Photosynthesis: Energy Transduction (Edited by M. F. Hipkins and N.R. Baker) pp. 9-26. IRL Press, Oxford.

i.e. Name(s) of chapter author(s) as in journal references(Year) Chapter title set in normal font with only the 1<sup>st</sup> word starting with capital letter. Followed by: In Book title set in italics with all major words starting with capital letters followed by (name(s) editor(s) of the book),page number(s), Name of publisher, place of publication.

**(vi) For thesis citation:**

Name as in single author case(Year) Thesis title set in italics with all major words starting with capital letters, page number(s).Name of University/Institute, place.

**(v) For thesis chapter citation:**

Name as in single author case (Year) Chapter title set in normal font with only the 1<sup>st</sup> word starting with capital letter. Followed by: In Thesis title set in italics, with all major words starting with capital letters, followed by: page number(s), Name of University/ Institute , place.

**(viii) For patents:**

Name (s) as in journal references (Year) patents authority name set italics with all major words starting with capital letters , patent Number, followed by Chemical Abstract citation set as: Chem. Abstr. Vol.(Year) page nos.

**(ix) Citation of reference in the text:**

While citing the references in the text, the following format should be followed: Surname (Year) or Surname et. al.(Year). The names of the Journals should be typed as per the style followed by standard international organization/abstracting Journal such as IEEE/ Chemical Abstracts/ Current Contents/ Physics Abstracts, etc.

**(x) Format of Cover- page& Inner Cover page:**

The cover page and Inner cover page should have the following matter printed on mainly block letters:

## TITLE OF THE THESIS

Submitted

In partial fulfilment of the requirement of the degree of

Doctor of Philosophy

In the Faculty of

SCIENCE/ARTS & SOCIAL SCIENCES / COMMERCE / Law & MANAGEMENT

to



SunRise University

Alwar

BY:

NAME OF THE RESEARCH SCHOLAR

UNDER THE SUPERVISION OF:

NAME(S) OF THE SUPERVISOR(S)

NAME OF THE DEPARTMENT/

RESEARCH CENTRE & NODAL DEPARTMENT

Months, Year

## **Copyrights**

SunRise University, Alwar reserves the copyright in respect of all Theses based on which the University has awarded the Ph.D. degrees.

## **Removal of Difficulties**

Notwithstanding anything contained in this Ordinance, the President may take such measures as may be necessary for removal of doubts/difficulties and to resolve any other extraordinary issue.

## **Conclusion**

- a) Notwithstanding anything contained in these Ordinances all categories of the candidates shall be governed by the rules and procedures framed by the Academic Council, and are in force at that point of time.
- b) From the date when these Ordinances come into operation all previous Ordinances on the subject shall cease to have effect.

Provided that this revocation shall not affect the previous Ordinances so revoked or anything done or suffered under any previous Ordinances so revoked or affect any right, privilege, obligation or liability acquired, arrived or incurred under any Ordinances so revoked.

- c) Any doubt or dispute about the interpretation of these Ordinances shall be referred to the President, whose decision, in his capacity as the Chairman, Academic Council, shall be final.

The President has been authorized to,

- (1) Modify, amend and/or delete any of the clauses given in the Ordinances or add any clause(s) to these Ordinances, which shall be reported to the Academic Council at its next meeting for approval.
- (2) Order a special procedure for the evaluation of a Ph. D. thesis to protect the work of classified nature involving national security and sovereignty and/or to protect the intellectual property rights of the candidate, the supervisor and the University.
- (3) Relax any of the provisions laid in these Ordinances for handling circumstances not covered by these Ordinances.

## **ANNEXURE – A**

### **DISCIPLINES IN WHICH UNIVERSITY SHALL UNDERTAKE STUDY AND RESEARCH**

1. Engineering & Technology
2. Science & Health Science
3. Management
4. Computer Application
5. Legal Studies
6. Education
7. Commerce & Arts
8. Vocational Studies
9. Media & Mass Communication

## ANNEXURE – B

### FORMAT OF THE Ph. D. THESIS

The following format may be normally adopted for the Ph. D. thesis:

1. Cover page
  2. Inner cover page
  3. Undertaking from the candidate
  4. Self declaration certificate from the candidate and Certificate from the Supervisor/Co-Supervisor/Head of the Department (*Annexure – 1*)
  5. Certificate for the completion of course work/comprehensive examination in cases where the course work is a part of Ph. D. programme (*Annexure – 2*)
  6. Certificate for the successful completion of the pre-submission seminar (*Annexure – 3*)
  7. A copyright transfer certificate (*Annexure – 4*)
  8. Acknowledgments
  9. Contents
  10. List of symbols, figures and tables, if any
  11. Preface of the thesis
  12. Introduction
  13. Literature review
  14. Chapters covering the work of the candidate
  15. Conclusion
  16. References
  17. Appendices
  18. List of papers communicated/accepted/published/presented.
  19. Copies of acknowledgment/acceptance letter in case the papers are communicated/ accepted.
  20. Copies of manuscripts/reprints of the papers communicated/accepted/published.
  21. A personal profile not exceeding one page with photograph of the candidate.
- References should be arranged chronologically in alphabetical order. Typical style of writing the references is given below:

- (a) For single author  
Surname, Initials, Title of the Article, Journal Name, Volume, Pages, Year.
- (a) For two authors  
Surname, Initials and Surname, Initials, Title of the Article, Journal Name, Volume, Pages, Year.
- (b) For more than two authors  
Surname, Initials, Surname, Initials, ..... and Surname, Initials, Title of the Article, Journal Name, Volume, Pages, Year.

While citing the references in the text, the following format should be followed:

Surname (Year) or Surname *et al.* (Year)

*The names of the Journals should be typed as per the style followed by any standard international organization/abstracting Journal such as IEEE/ Chemical Abstracts/ Current Contents/ Physics Abstracts, etc.*

**ANNEXURE – 1**

**CANDIDATE’S DECLARATION**

I, ..... , certify that the work embodied in Ph.D thesis entitled, “.....”, is my own bonafide work carried out by me under the supervision of ..... and the co-supervision of ..... for a period of ..... from ..... to ..... at SunRise  
(Name of the Institution where work has been carried out partly or fully)  
University and ..... The matter embodied in this Ph.D thesis has not been submitted for the award of any other degree/diploma to any other University/Institutes.

I declare that I have faithfully acknowledged, given credit to and referred to the research workers wherever their works have been cited in the text and the body of the thesis. I further certify that I have not willfully lifted up some other’s work, para, text, data, results, etc. reported in the journals, books, magazines, reports, dissertations, theses, etc., or available at web-sites and included them in this Ph.D thesis and cited as my own work.

Date: .....

(Signature of the candidate)

Place : Alwar

(Name of the candidate)

---

**ANNEXURE-2**

**Certificate from the Supervisor/ Co- Supervisor**

This is to certify that the work in this thesis entitled,

“.....

.....”, submitted by

.....

has been carried out under my guidance and supervision for the degree of Doctor of Philosophy in

.....of SunRise University , Alwar, Rajasthan  
India.

The thesis has not been submitted for award of any degree / diploma to any other University/ institute.

.....

(Co Supervisor signature  
Name & Designation)

.....

(Supervisor’s signature  
Name & Designation)

**ANNEXURE – 3**

**COURSE/COMPREHENSIVE EXAMINATION/PRE-  
SUBMISSION SEMINAR  
COMPLETION CERTIFICATE**

This is to certify that Sri/Km./Smt ..... ,  
a bonafide research

scholar of this department/school, has satisfactorily completed the course work/  
comprehensive examination/ pre-submission seminar requirement which is a part of  
his/her Ph. D. programme.

(Signature of the Head of the Department/  
Coordinator of the School)

Date: .....  
*Place: Alwar*



**ANNEXURE – 4**

**COPYRIGHT TRANSFER CERTIFICATE**

Title of the Thesis:

Candidate's Name:

**Copyright Transfer**

The undersigned hereby assigns to the SunRise University all rights under copyright that may exist in and for the above thesis submitted for the award of the Ph. D. degree.

**Signature of the candidate**

Note: However, the author may reproduce or authorize others to reproduce material extracted verbatim from the thesis or derivative of the thesis for author's personal use provided that the source and the University's copyright notice are indicated.

**ANNEXURE – 5**  
**FORMAT OF EXAMINER’S REPORT**  
**SunRise University, Alwar**

**Recommendation on Ph. D. Thesis**

**EXAMINER’S REPORT ON PH.D. THESIS**

Name of Candidate :

Reg. No :

Subject :

Enrolment No :

Thesis Title :

**Dissertation submitted:** For the **First Time/After Modification**

**REPORT ON THE EVALUATION OF THESIS**

- I. The thesis is satisfactory and recommended for awarded for Ph.D. degree.
- II. The thesis is not satisfactory in its present form the candidate is to re-submit the thesis with the suggested modification. (enclosed separate sheet with signature)
- III. Not satisfactory and not accepted.(enclosed separate sheet with reason & signature)

**Signature of the Examiner(s)**

(With Date & Seal)

Name of Examiner:

**\* Evaluation Report – Please attach a detailed report (Use back side if need)**

**Signature of the Examiner(s)**

(With Date & Seal)

Name of Examiner:

**Evaluation Report Continue**

**Signature of the Examiner(s)**

(With Date & Seal)

Name of Examiner:

**ANNEXURE – 6**

**FORMAT OF EXAMINER’S REPORT ON REVISED THESIS  
SunRise University**

**Bagar Rajpoot-Alwar**

**Recommendation on Revised Ph. D. Thesis**

Name of the Candidate:

Title of the Thesis

Please give your **specific recommendation** by ticking (✓) any one of the following, with signature underneath and enclose your **detailed report** on separate sheet(s) with your signature, name and address.

The thesis **be accepted** for the award of the Ph. D. degree [ ]

OR

The thesis **be rejected**. (Please enclose your comments). [ ]

Place .....

Signature of the Examiner.....

Date .....

Name and Address of the Examiner

.....  
.....  
.....

Encl: Detailed report on separate sheet(s).