

## **Thesis Submission and Evaluation**

(see Section 11 of PG Manual)

### **Thesis Submission and Evaluation by the Thesis Board**

Bound copies of the Ph.D. thesis must be prepared for examination by the Ph.D Thesis Board. The formatting of the Ph.D thesis shall be as prescribed in the pamphlet entitled: Specification and Information Regarding the Preparation of Thesis. Sufficient copies must be prepared for each examiner of the Ph.D Thesis Board and the Ph.D Oral Board to be constituted thereafter.

Ph.D thesis can be submitted only after the Ph.D Thesis Board has been duly approved. The Thesis Board is finalized at the most 4 weeks before the submission of the thesis. For this purpose, the thesis supervisor(s), in consultation with the Head of the Department shall propose a list of examiners (in addition to the thesis supervisor(s)) consisting of at least three extra names over and above the required number of members for the Thesis Board using a prescribed form [Form-10 (SPGC), appended].

The list, along with sufficient number of copies of synopsis (prepared according to the format prescribed in “Specification and Information Regarding the Preparation of Thesis”) for each member of the Thesis Board shall be forwarded by the DPGC to Chairperson, SPGC.

Thesis Board shall consist of three members in addition to the thesis supervisor(s) approved by the Chairman, Senate. Two members of the Thesis Board must be from outside the Institute and at least one of these two must be from within the country. The Chairman, Senate in consultation with Chairperson, SPGC will select the members of the thesis board from the supplied list. If considered necessary, the Chairman, Senate may require additional names of experts to be submitted.

The Dean of Academic Affairs will send a letter by e-mail/fax to each member of the thesis board enclosing a copy of the synopsis and requesting him/her to serve as an examiner for the thesis. If the examiner refuses or no response is received from the examiner in four weeks, with a reminder being sent after two weeks, then steps will be taken to appoint another examiner.

On receipt of an examiner’s consent, a copy of the thesis along with a thesis evaluation form will be sent to the examiner. When an examiner's report is received, the Chairperson, SPGC will place it in one of the following three categories:

- i) Category I: If an examiner suggests corrections regarding punctuation, grammar, spelling or language, the supervisor(s) can use their discretion regarding incorporation of such suggestions.
- ii) Category II: If an examiner points out typographical errors other than those in (i) above, or minor technical mistakes, raises some queries or suggests modifications but does not imply that the acceptance of the thesis is subject to removal of these defects to the examiner's satisfaction, the supervisor will communicate to the Chairperson, SPGC the student's response to the above and the same will be incorporated in the thesis to the satisfaction of the oral board, and examiner(s) concerned should be informed of the changes made on the basis of his/her suggestions.

iii) Category III: If an examiner outright rejects the thesis or raises technical points or suggests modifications which must be answered/carried out to the examiner's satisfaction before the thesis is accepted, the supervisor will communicate to the Chairperson, SPGC the changes made in the thesis, if any, in response to the examiner's comments along with an explanatory note which will be sent to the examiner with a request to respond within six weeks; if the examiner's response is not received within this period, a reminder will be sent and if no reply is received within six weeks time, further action will be initiated.

Copies of the categorized report (without the identity of the examiner) will be sent to the thesis supervisor(s) and the Head of the Department. On completion of the process detailed above, the Chairperson, SPGC will intimate the supervisor the concurrence of the Chairman, Senate, if given, to initiate the constitution of the oral board. This concurrence of Chairman, Senate will be given if all the examiners recommend acceptance of the thesis. If one of the examiners rejects the thesis, the matter will be referred to Chairman, Senate for deciding further course of action. If two or more examiners reject the thesis, the thesis will be rejected.

The names of the members of the Thesis Board shall be kept confidential till successful completion of the Ph.D Oral examination. However, on completion of Ph.D. thesis evaluation by the Thesis Board, the Academic Section will send to the thesis supervisor(s) the name of that member who is from outside the institute but is from within the country so that this examiner can be included in the proposed list of the members of Oral Board to be constituted for the oral examination of the thesis.

The process of thesis evaluation by the Thesis Board may take 3-4 months.

#### **Examination by Ph.D. Oral Board**

The Oral Board shall consist of four members in addition to the thesis supervisor(s). Of the four, three shall be from among the faculty members of the institute and one shall be from among the members of the thesis board within the country but outside the institute. Of the three members from IIT Kanpur at least one shall be from a department which is different from the student's own.

The thesis supervisor(s) in consultation with the Head of the Department shall propose the constitution of the oral board using a prescribed form [Form-11 (SPGC, appended)] (forwarded through the Convener, DPGC) to the Chairperson, SPGC who will forward it to the Chairman, Senate for approval.

The Ph.D. oral examination will be an open examination. The thesis supervisor(s) will be the convener of the oral board and will fix the date of the oral examination and intimate the date to the Academic Section. If a member of the oral board communicates his/her inability to be present in advance or fails to be present on the specified date and time, the Chairman, Senate may appoint a substitute in consultation with the thesis supervisor(s), Head of the department and Chairperson, SPGC.

Each member of the Oral Board will be given a copy of the thesis along with the entire technical correspondence with the thesis examiners at least one week before the date of the oral examination.

The Oral Board shall i) examine the thesis reports, ii) examine if necessary modifications suggested by the Thesis Board have been incorporated, iii) elicit the candidate's replies to the questions raised by the Thesis Board, iv) authenticate the work as the student's own, v) judge if the presentation of the work by the student and the answers to the questions asked have been satisfactory, and vi) give a report of the examination in a prescribed form [Form-12 (SPGC, appended)], which will be communicated by the thesis supervisor(s) to the Chairperson, SPGC through the Convener, DPGC.

If all, except at most one member of the Oral Board declare the student as passed, the student shall be deemed to have passed. If a candidate has not passed, the Oral Board will specify whether

- i) the candidate may be given another chance to appear in the oral examination and will specify the approximate date for re-examination. The original Oral Board will conduct the re-examination unless a different Oral Board is approved by the Chairman, Senate. In the re-examination, the Oral Board will declare whether the student has passed or failed as per the criteria laid down above but will not recommend holding a third oral examination.
- ii) the candidate is declared to have failed.

On receipt of the report that the student has passed the oral examination, the Chairperson, SPGC will recommend to the Senate for award of the Ph.D. degree. If the candidate has failed, the matter will be brought to the attention of the Senate for further action.

**Form-10 (SPGC)**

PG/THESIS/2

**List of Suggested Examiners for Ph.D. Thesis Board**

Name of Student \_\_\_\_\_

Roll No. \_\_\_\_\_

Department/IDP \_\_\_\_\_

Date of Registration in the Ph.D. Programme: \_\_\_\_\_

Date of Candidacy (Comp. Exam): \_\_\_\_\_ Date of Open Seminar \_\_\_\_\_

Thesis Title: \_\_\_\_\_  
(in capitals)

\_\_\_\_\_  
\_\_\_\_\_

Name of Examiners with Affiliations (use additional sheet for address/fax/phone/e-mail)

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

6. \_\_\_\_\_

7. \_\_\_\_\_

8. \_\_\_\_\_

9. \_\_\_\_\_

10. \_\_\_\_\_

11. \_\_\_\_\_

12. \_\_\_\_\_

13. \_\_\_\_\_

The student will submit the thesis by \_\_\_\_\_ (date), i.e., within four weeks from today.

Thesis Supervisor(s)  
Date:

FORWARDED

Convener, DPGC  
Date:

Head of Department  
Date:

Chairman, SPGC  
Date:

**Approved**

Chairman, Senate  
Date:

**Form-11 (SPGC)**

PG/THESIS/3

**List of Suggested Examiners for Ph.D. Oral Board**

Name of Student: \_\_\_\_\_ Roll No. \_\_\_\_\_

Department/IDP: \_\_\_\_\_

Thesis Title: \_\_\_\_\_

(in capitals) \_\_\_\_\_

Thesis Supervisor(s): \_\_\_\_\_

Name of Examiners	Dept./Disc./Affiliation
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____
6. _____	_____

Thesis Supervisor(s)/Programme Coordinator

Date:

Forwarded

Convener, DPGC  
Date:

Head of Department  
Date:

Chairperson, SPGC  
Date:

Approved

Chairman, Senate  
Date:

Note: Each member of the oral board will be given a copy of the thesis along with the entire technical correspondence with the thesis examiners after the approval of the oral board and at least one week before the date of the oral examination.

**Form-12 (SPGC)**

PG/THESIS/5

**Report of Ph.D. Thesis Oral Examination**

Name of Student: \_\_\_\_\_ Roll No.: \_\_\_\_\_

Department/IDP: \_\_\_\_\_

Date of first Registration: \_\_\_\_\_

Date of Oral Examination\*: \_\_\_\_\_

Thesis Title: \_\_\_\_\_

Thesis Supervisor(s): \_\_\_\_\_

**Report of the Board:**

1. Necessary modifications suggested by the thesis examiners have been incorporated.  Yes  No
2. Authenticate the work as the students' own:  Yes  No
3. Comments (elicit the candidate's replies to the questions raised by the thesis examiners and judge if the presentation of the work by the student and the answers to the questions asked have been satisfactory):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(Continue on reverse, if necessary)

4. The candidate has PASSED/FAILED.

**Oral Examination Committee**

Name of Examiners	Dept./IDP/Disci./Affiliation	Signature
1. _____		
2. _____		
3. _____		
4. _____		
5. _____		
6. _____		

Convener, DPGC  
Date:

Chairperson, SPGC  
Date:

*\* Oral examination be scheduled only one week after thesis is sent to the members of the oral board.*

Office Use Only: Course Units =

Thesis Units =

CPI =