

### **Guidelines for PhD thesis-submission-approval meeting**

(1) Once the thesis is ready for submission, the scholar shall send a mail to Head of the Department of Civil Engineering (cehod@iitm.ac.in), with a copy to CE office (ceoffice@iitm.ac.in), and guide, requesting to suggest the sectional observer.

(2) Head of the Department will request the sectional observer to be part of the thesis submission approval committee.

(3) The scholar will circulate the thesis as per the guidelines given in the circular from the academic section (No.F/ARU/Circular5/2022 dated 11.07.2022, given in the following pages).

(4) Before circulating the thesis, the scholar should verify the following checklist:

- (a) The thesis is prepared as per the IIT Madras format (Yes/No)
- (b) All the equations are typeset correctly (images of equations taken from other sources and pasting in the thesis is not accepted) (Yes/No)
- (c) All the figures are neat and legible (Yes/No)
- (d) The font type and sizes in the figures are appropriate and consistent (Yes/No)
- (e) The symbols are of appropriate size (Yes/No)
- (f) If different connecting lines are used to represent the trend, make sure that they are clearly distinguishable. (Yes/No)
- (g) If works from other authors are presented in the thesis, the required permission should be obtained, and it should be listed in the certificate page. (Yes/No)
- (h) Have you verified that your own papers are not cited in the literature review? (Yes/No)
- (i) Have you written your thesis in the passive voice? (Yes/No)
- (j) Have you referred to all the references inside the text? (Yes/No)
- (k) Have you referred to all the tables/figures inside the text? (Yes/No)

### **Also please note the following:**

1. Ensure that you have completed the required course work.
2. Ensure that the certificate format used (given below) in the Thesis is approved by the Senate.
3. Strictly adhere to make presentation for 20 minutes with a maximum slide of 20 slides in the Thesis Approval Meeting
4. If your registration is cancelled, submit a request for revocation of cancellation addressed to Dean (AR) with the approval of Guide and HoD.
5. **Submit the following documents (*in google drive link*) to CE OFFICE for arranging Thesis approval meeting:**
  - (a) Forwarding note duly signed by your guide (Available in academic.iitm.ac.in under download).
  - (b) Thesis and Publication details
  - (c) Comprehensive clearance letter or minutes (if you have otherwise CE office will provide the copy)
  - (d) Seminar-I and Seminar-II announcement details.



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No.F/ARU/Circular5/2022

Date: 11.07.2022

## CIRCULAR

### **Sub: Process flow for PhD thesis-submission-approval meeting**

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<b>SCHOLAR:</b>	
1.	As soon as the scholar is ready with the final version of the thesis, (s)he will circulate the thesis by email to the DC members and the sectional observer. The guide should be in Ccon the email. The thesis-submission-approval meeting can only be held if at least seven days have elapsed after the thesis has been circulated.
2.	Immediately after circulating the thesis to the DC members and sectional observer, the scholar should submit the <b>forwarding note</b> which is available in the <a href="https://academic.iitm.ac.in">https://academic.iitm.ac.in</a> to the department office, duly certified and signed by the guide.
3.	The thesis-submission-approval meeting will be scheduled by the department office basedon the availability of the DC members and sectional observer.
4.	The scholar will make a presentation to the DC at the thesis-submission-approval meeting.The presentation should be planned for a duration of about 20 minutes.
5.	The scholar will incorporate corrections (if any) suggested in the thesis-submission-approval meeting and upload the thesis in Workflow.

<b>DEPARTMENT OFFICE</b>	
1.	When the scholar submits the <b>forwarding note</b> ( <a href="https://academic.iitm.ac.in/getpdf.php?id=539">https://academic.iitm.ac.in/getpdf.php?id=539</a> ) to the department, duly certified and signed by the guide, the department office will first confirm that the minutes of the comprehensive-viva meeting, seminar-1 and seminar-2 are uploaded in Workflow. If not, these minutes need to be uploaded. Academic section is notin a position to approve the conduct of the meeting without these minutes on Workflow.
2.	The department office will then get the forwarding note certified by the Head of the Department and send it by email to <a href="mailto:resprocess@iitm.ac.in">resprocess@iitm.ac.in</a> only. Please <b>do not</b> mark a copy to Dean (Academic Research).
3.	Upon receiving confirmation from the academic section, the department office will schedulethe thesis-submission-approval meeting in consultation with the guide, DC members, sectional observer and Head of the Department.
4.	The office will upload the minutes of the thesis-submission-approval meeting in Workflowimmediately after the meeting.

**Academic section will require a maximum of 3 working days to verify that all the requirements have been met for the conduct of the thesis-submission-approval meeting.**

<b>GUIDE:</b>	
1.	The guide must certify and sign the <b>forwarding note</b> , and ensure that the thesis circulated by the scholar to the DC members and the sectional observer is the version that is ready for submission.
2.	The guide must check the thesis for plagiarism, as per the current practice.
3.	<p>The decision of track-1 or track-A evaluation of the thesis should be self-evident, without the need for long discussions and back-and-forthing at the thesis-submission-approval meeting. The guide could consult with the DC members before the meeting to confirm his/her judgment. In case of doubt, the guide should plan assuming that it will be a track-A evaluation.</p> <p>The guide must contact examiners before the meeting and get their written concurrence that they will evaluate the thesis, which will go out to them in about a week's time. The thesis abstract, and a list of the scholar's published work might be good information to give to potential examiners to help them decide.</p> <p>For reference, the details of track-1 and track-A are given below.</p> <p><b>Track-1 evaluation:</b> For scholars who have high-quality published work which is more than the norm for the research area. The scholar must be the primary contributor to the papers, and this should be evident in terms of authorship as first author, or equally credited author. The publications must be in good venues. 70% or more of the thesis must have already been published (or accepted) for publication. Track-1 evaluation is by <b>two examiners</b> approved at the thesis-submission approval meeting. The examiners, who can be internal or external, are given six weeks to evaluate the thesis and submit their reports. The viva-voce examination can be held as soon as the first report is received.</p> <p><b>Track-A evaluation:</b> For scholars who have published work which is considered normal for the research area. Track-A evaluation will be by <b>three examiners</b> composed of two external examiners and one internal (IITM) examiner from a list of four external and two internal examiners provided. For the list of external examiners, there shall be no compulsion to include foreign examiners (outside India), but it must contain at least one Indian examiner. Dean(AR) will pick examiners from the list approved at the thesis-submission-approval meeting. The examiners are given six weeks to evaluate the thesis and submit their reports. The viva-voce examination can be held as soon as two reports are received.</p>
4.	The guide will propose a panel of examiners and present it before the thesis-submission-approval meeting along with email concurrence.
5.	After the thesis-submission-approval meeting, the guide will (on Workflow) approve the thesis uploaded by the scholar, and upload the plagiarism-check report. (S)he will check the appropriate box (track-1 or track-A) based on the decision at the thesis-submission-approval meeting, and enter the names of the examiners (approved at the meeting) into Workflow, as well as upload their Email concurrences. The guide will also choose the appropriate sectional observer from the drop-down menu in Workflow.

<b>DOCTORAL COMMITTEE</b>	
1.	The scholar will circulate the thesis to the DC members at least one week before the thesis-submission-approval meeting. The members will go through the thesis, which must be "good-to-go" when submitted. The thesis should be more than a mere collation of the papers published by the scholar, it should be a coherent document that tells a story - in the sense that a new researcher intending to go into the area should be able to learn and benefit from the thesis. The DC members are not intended to be proofreaders, but should use this opportunity to give the scholar feedback and constructive criticism on his/her thesis. The submission will not be approved only if there are glaring technical errors, or if the quality of the written thesis is very poor. In other words, if any of the DC members would tick box 3 (or lower) in the thesis evaluation (in the hypothetical situation that they are acting as examiners for the thesis), it is very likely that an examiner will do the same. In such a case, the thesis should be fixed by the scholar before sending it for examination, and another thesis-submission-approval meeting is needed.
2.	The decision to qualify for track-1 or track-A evaluation will be made by the sectional observer at the thesis-submission-approval meeting based on the feedback from the doctoral committee. If there is any disagreement, Dean (AR) will decide.
3.	After the scholar submits his/her thesis through workflow and the guide uploads the panel of examiners, the DC will approve through Workflow.

<b>SECTIONAL OBSERVER</b>	
1.	The thesis will be circulated to the sectional observer at least a week in advance of the thesis-submission-approval meeting. The decision to qualify for Track-1 will be made by the sectional observer at the thesis-submission-approval meeting based on the feedback from the doctoral committee. If there is any disagreement between the members, guide and sectional observer, Dean (AR) will decide.
2.	After the thesis-approval-meeting, the scholar will upload his/her thesis into Workflow. After the guide's approval of the thesis, (s)he will in addition populate the list of examiners as approved at the meeting, and upload a plagiarism-check report. After the DC members and the Head of the Department approve, the sectional observer should fill in the scholar feedback form in Workflow, confirm the list of examiners, and approve thesis submission.

Sd/-

Deputy Registrar (Academic Research)

Please see the following:

**ANNEXURE 2A**

**THESIS CERTIFICATE**

This is to undertake that the Thesis titled, *<thesis title (use bold print; main title all capitals and subtitle with leading capitals)>* submitted by me to the Indian Institute of Technology Madras, for the award of *<Ph.D./M.S.>* is a bonafide record of the research work done by me under the supervision of *<Name of Guide(s)>*. The contents of this Thesis, in full or in parts, have not been submitted to any other Institute or University for the award of any degree or diploma.

In order to effectively convey the idea presented in this Thesis, the following work of other authors was reprinted in the Thesis with their permission:

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**Chennai 600 036**

**Research Scholar**

**Date:**

**Research Guide**

**Note:**

Kindly check the certificate format of the senate approved thesis format. If you are using any figures that you have taken from various published sources, you need to mention it in the certificate.