No.F/ARU/Circular5/2022   Date: 11.07.2022

<u>**CIRCULAR**</u>

Sub: Process flow for PhD thesis-submission-approval meeting
……

	SCHOLAR:
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 Cc on 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 **forwarding note** which is available in the https://academic.iitm.ac.in to the department office, duly certified and signed by the guide.
3.	The thesis-submission-approval meeting will be scheduled by the department office based on 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.

	DEPARTMENT OFFICE
1.	When the scholar submits the **forwarding note** (https://academic.iitm.ac.in/getpdf.php?id=539) 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 not in 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 resprocess@iitm.ac.in only. Please **do not** mark a copy to Dean (Academic Research).
3.	Upon receiving confirmation from the academic section, the department office will schedule the 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 Workflow immediately 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.

	GUIDE:
1.	The guide must certify and sign the **forwarding note,** 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.	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. 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. For reference, the details of track-1 and track-A are given below. **Track-1 evaluation:** 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 **two examiners** 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. **Track-A evaluation:** For scholars who have published work which is considered normal for the research area. Track-A evaluation will be by **three examiners** 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.
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.

	DOCTORAL COMMITTEE
1.	The scholar will circulate the thesis to the DC members at least one week before the thesis-submisison-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.

SECTIONAL OBSERVER	
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)