

## Procedure for Submission of PhD thesis at IIT Indore

**1. ELIGIBILITY FOR PHD THESIS SUBMISSION:** A PhD student will be eligible to submit the PhD thesis ONLY after meeting the requirements mentioned in (1A) **AND** 1(B),

**(1A) MEETS THE MINIMUM RESEARCH PUBLICATION REQUIREMENTS:**

At least **TWO publications** in the **peer reviewed Journals/International Conferences**

**OR**

Granted **ONE Patent** for the research work done at IIT Indore under the PhD thesis programme.

**AND**

**(1B) MEETS THE MINIMUM TIME REQUIREMENT CRITERIA:** Minimum time period for submission of PhD thesis from the date of **Confirmation of Registration to the PhD degree (i.e. from the first working day of the semester following the one in which they have successfully completed the required course work)** is

(i) **TWO years** under **Category-I** (PhD students with **M.Tech./M.Phil. Or equivalent qualification**),

(ii) **TWO and HALF years** under **Category-II** (PhD students having **M.Sc./M.A/M.Com./M.B.A. or equivalent qualification** admitted to a **Science or HSS discipline**) and **Category-III (B.Tech. /M.Sc. or equivalent qualification** admitted to Ph.D. programme in an **Engineering discipline**)

**2. OPEN SEMINAR:** Before submitting the PhD thesis, an **OPEN SEMINAR** to be given by the concerned PhD student about his/her PhD thesis work and in the presence of the PhD Student's Progress Committee (PSPC). This seminar will be **OPEN** to the entire IIT Indore Community and notice of this will be sent the by Thesis Supervisor(s) in one week advance. ***Before the OPEN SEMINAR, the PhD student will send the draft of synopsis of his/her PhD thesis to ALL the PSPC members.***

The PSPC may suggest the PhD student to incorporate all those feasible comments/suggestions received during the OPEN SEMINAR which can improve the quality of the PhD Thesis. The report of the successful Open Seminar must be submitted by the Thesis Supervisor(s) in the **prescribed form (Form-PTS 1)** well in advance before the student proceeds to submit his/her PhD Synopsis and the PhD Thesis.

**3. SUBMISSION OF PhD SYNOPSIS and THESIS:** After conduct of **SUCCESSFUL OPEN SEMINAR**, the PhD student through his/her thesis supervisor(s) has to submit following

(a) **FIVE copies of synopsis of his/her PhD thesis (both in softcopy and printout form)** within **maximum 15 days** from the date of the Open Seminar along with the **required**

**Certificates (Form-PTS 2).** The synopsis should be a **concise summary** (including the figures, tables, few references, and list of publications) of the PhD thesis. It should not contain more than **8-12 pages** of A4 size with the text typed in **12 pt Times News Roman font having 1.5 spacing.**

The **primary objective** of the synopsis is to enable the reader to judge whether a prima facie there exists a case for accepting the proposed PhD thesis for the award of the PhD degree. The synopsis should therefore, clearly list the contributions resulting from the investigations carried out by the candidate, which have led to advancement of knowledge in the field of investigation.

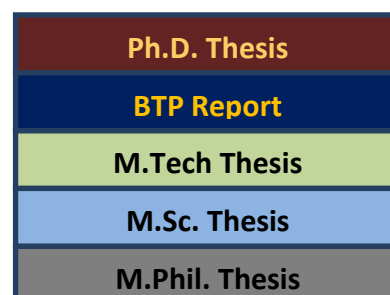
In order to fully appreciate the candidate’s contribution, it is necessary to put it in a proper context. Therefore, it is **recommended that the synopsis** should contain a brief account of the existing knowledge and the inadequacy or gaps in this knowledge that led the candidate to the formulation of the problem of his / her investigation. A few references, needed in this respect should be included but their number should normally, not exceed ten. List of publications (including published, accepted, submitted in the refereed journals and conferences) or Patents (granted or applied) from the PhD work should be included.

In case the PhD student gets employment and wants to submit the synopsis and PhD thesis from outside the institute after successful open seminar then the request can be made in the prescribed format (**form-PTS 2a**)

- (b) List of **EIGHT** (four within India and four from outside India) proposed **PhD thesis examiners** in the *prescribed format* (**Form-PTS 3**).
- (c) Required number (= 5 + number of thesis supervisor(s)) of **soft or spiral bound** copies of the **PhD thesis** along with the *required form* (**Form-PTS 4**) within **maximum ONE month** from the date of the Open Seminar along with its editable softcopy in the CD/DVD. The PhD thesis must be written in the prescribed format as mentioned below:

**Printing Format: BOTH SIDE PRINTING**

Paper:	Executive Bond	
Font:	Times New Roman	
Line Spacing:	1.5	
<b>Programme</b>	<b>Colour of Front</b>	<b>Cover Font on cover</b>
<b>Ph.D.</b>	<b>Maroon</b>	<b>Golden</b>
<i>BTP</i>	<i>Navy Blue</i>	<i>Golden</i>
<i>M. Tech</i>	<i>Pista Green</i>	<i>Black</i>
<i>M.Sc.</i>	<i>Sky Blue</i>	<i>Black</i>
<i>M.Phil.</i>	<i>Light Gray</i>	<i>Black</i>



4. **PHD THESIS EXAMINERS:** The PhD thesis supervisor(s) will be the Thesis Examiner(s) also. In addition to this the PhD thesis supervisor(s) will suggest details of FOUR *examiners within India* and FOUR *examiners from outside India* in the *prescribed format (Form-PTS 3)* for evaluating the PhD thesis. The proposed PhD thesis examiners should have PhD qualification and should be

- (a) Professor or Associate Professor in an Institute/University of international/national repute, OR
- (b) Professor Emeritus of international/national repute but active his/her research field, OR
- (c) Scientist-F or above in a recognized research organization, OR
- (d) An individual having minimum 10 years of post-PhD industrial experience.

From the list of suggested examiners, the Chairman, Senate<sup>@</sup> in consultation with the Dean, Academic Affairs\* will give order of preference to these examiners. The **PhD synopsis** will be sent to the PhD thesis examiners in the order of preference for getting their consent to evaluate the PhD thesis within SEVEN days of receipt of such request. If NO consent or reply is received within SEVEN days from the first two examiners then the PhD synopsis will be sent to the next two examiners and so on.

From the list of suggested examiners, if NO examiner agrees to evaluate the PhD thesis then the concerned PhD thesis supervisor(s) will be asked to suggest new examiners.

\* (a) If Dean, Academic Affairs (DOAA) is the PhD thesis supervisor then the Director may consult the Dean R & D (DORD).

(b) If both DOAA and DORD are the PhD thesis supervisors then the Director may consult DOFA .

@ If the Director is the PhD thesis supervisor then the DOFA in consultation with DOAA may select the PhD thesis examiners.

The names of the selected examiners will be kept confidential till the PhD Oral Examination is conducted successfully.

5. **EVALUATION OF THE PHD THESIS BY THE EXAMINERS:** The PhD thesis examination board will consists of the Thesis Supervisor(s) and the thesis examiners selected as mentioned in (4). The softcopy and hardcopy of the PhD thesis will be sent to ALL the examiners.

The examiners will be requested to send the evaluation report of the PhD thesis **within TWO months** from receipt of the PhD thesis in the prescribed format (**Form-PTS 5**).

If the evaluation report is **not** received within two months period then a reminder will be sent to the examiner(s) for sending the evaluation report within **next two weeks**. In exceptional cases, the examiner(s) can be given **maximum one month additional time** for the PhD thesis evaluation i.e. maximum within three months the evaluation report should be received.

*In unfortunate case of death of an examiner, a new examiner will be selected and the process of evaluation of the PhD thesis will started afresh.*

The PhD examiner will be asked to recommend ONLY one of the following four options along with the detailed report/feedback justifying his/her recommendation.

**(A)** The thesis in its present form is satisfactory for the award of the PhD Degree.

**(B)** The thesis is recommended for the award of the PhD degree subject to the clarification of the queries/comments before the PhD Oral Examination Board. If the PhD Oral Examination Board deems it appropriate, the same may be incorporated in the thesis based on the discussions during the viva-voce examination. The revised thesis need not be sent to the examiner.

**(C)** The thesis needs to be revised as per suggestions enclosed and the thesis be sent for re-evaluation.

**(D)** The thesis be rejected.

<b>Recommendation of the Thesis Examiners including the Thesis Supervisor(s)</b>	<b>Action to be taken</b>
1. A and/or B	(A) Oral Examination can be conducted and the required action to be taken if any recommendation is of 'B' category.
2. Any one examiner recommending option 'C'	(A) The thesis to REVISED as per the suggestions of the that examiner who has recommended 'C' option. The Revised thesis to be resubmitted and will be sent only to that examiner ONLY. (B) The Oral examination to be conducted only when there is change in the recommendation.
3. Examiner(s) recommending option 'D'	(A) The thesis to be REWORKED and REVISED in consultation with the Thesis Supervisor(s) incorporating the comments/feedback of the Examiner(s) who has/have given 'D' category recommendation in such a way it improves the overall quality of the PhD work. (B) The Thesis to be resubmitted and will be sent to a different Examiner(s) for the evaluation.
4. The Thesis supervisor(s) recommending option 'D'	(A) In the rarest of the rare, the request of the PhD student for changing the supervisor may considered. (B) The PhD thesis to be reworked as per the guidance of the new Thesis supervisor. (C) The OPEN seminar to be given again and after the successful OPEN Seminar, the thesis to be submitted as new thesis. (D) The procedure of the thesis evaluation to be followed considering it as new thesis.

## 6. ORAL EXAMINATION OF THE PHD THESIS and the ORAL EXAMINATION BOARD: The

PhD oral Examination Board will consists of following:

1. Thesis supervisor(s): In case of more than one thesis supervisor, one thesis supervisor (which will be recommended by the concerned discipline and will be notified by the Academic Office) will be the *Chairman of the Board*
2. Thesis Examiner (within India) as External Examiner
3. Other PSPC members
5. Convener, DPGC (*ex-officio*)
5. Head of the Discipline (*ex-officio*)

The date and time of the oral examination will be decided by the thesis supervisor(s) depending upon the availability of the Thesis Examiner (within India). It will be open to the IIT Indore community. A notice for same must be circulated by the Thesis Supervisor(s) to all the students and faculty in the institute well in advance.

The **report of the Oral Examination** must be submitted to the Academic Office in the prescribed format (**form PTS 6**).

After the successful Oral Examination or PhD Viva the student has to submit the **hardbound copies** of the PhD thesis incorporating all the corrections of the PhD Oral Examination Board along with the required form (**form PTS 7**) for the same.

### NOTES

1. A PhD student admitted under TA category will get the scholarship for the maximum duration as defined in either 1(a) **OR** 1(b), whichever is earlier.
  - a. From the date of joining the PhD program till the date of submission of PhD thesis **OR** till the date of PhD Oral Examination (only if the student is registered and does not leave the institute till the date of his/her PhD oral examination),

**OR**

  - b. For a maximum duration of FOUR years (for MTech/ME/MPhil qualified candidates) or FIVE years (for BTech/BE/MA/MSc/MCom/MBA qualified candidates) from the date of joining the PhD program.
2. A PhD student can leave the institute to join an employment or Post-doc fellowship after submitting his/her PhD thesis and the No Dues certificate. In such cases, the PhD scholarship of the student, if he/she getting it, will be stopped w.e.f. from date of PhD thesis submission.
3. The PhD scholarship of last of month of entitled duration will be released only after submission of the No Dues Certificate by the Student.

4. For any issues related to PhD, the student should move his/her application through Convener of DPGC of his/her discipline.

**7. HONORARIUM to the PhD THESIS EXAMINERS:** Following honorarium will be paid to the PhD thesis examiners. The Head of Discipline or DPGC Convener must ensure that the payment of honorarium to Thesis examiner is made at the earliest and preferably on the day of PhD Oral Examination itself. Advance may be drawn for on the spot payment.

	<b>Examiner (with India)</b>	<b>Examiner (outside India)</b>
Evaluation of the PhD Thesis	INR 8,000/-	US \$ 200
Conducting the PhD Oral	INR 4,000/- + Travelling expenses from the workplace to IIT Indore and local hospitality	---

