

Ph.D. Thesis Submission Process – IIT Kanpur



Preparation of List of Suggested Examinees

Thesis supervisor prepares a list as per PG Manual who will review the thesis



Approval by Department Authorities

Suggested examiner list reviewed and approved by the DPGC and signed by HOD



Submission to PG Section (DOAA Office)

List of Suggested Examiners and Synopsis submitted in hard copy for further approval from Chairman Senate and SPGC



Plagiarism Check via Thesis Processing Cell (TPC)

Students submit pre-thesis draft and PPF Form. TPC performs plagiarism screening



Verification & Approval Process of Examiner List

List reviewed by SPGC Chairman and sent for approval by Chairman Senate



Thesis Submission via IIT Kanpur Student Thesis Portal

Final thesis, signed declaration form, synopsis, and PPD Form update



Thesis Sent to Approved Examiners

PG Section (DOAA Office) issues thesis submission certificate and sends document



Proceeding for Viva

All reports in Category I and II or at least 2 positive External Examiner and Supervisor(s) reports required for proceeding to viva.

Oral Board Formation

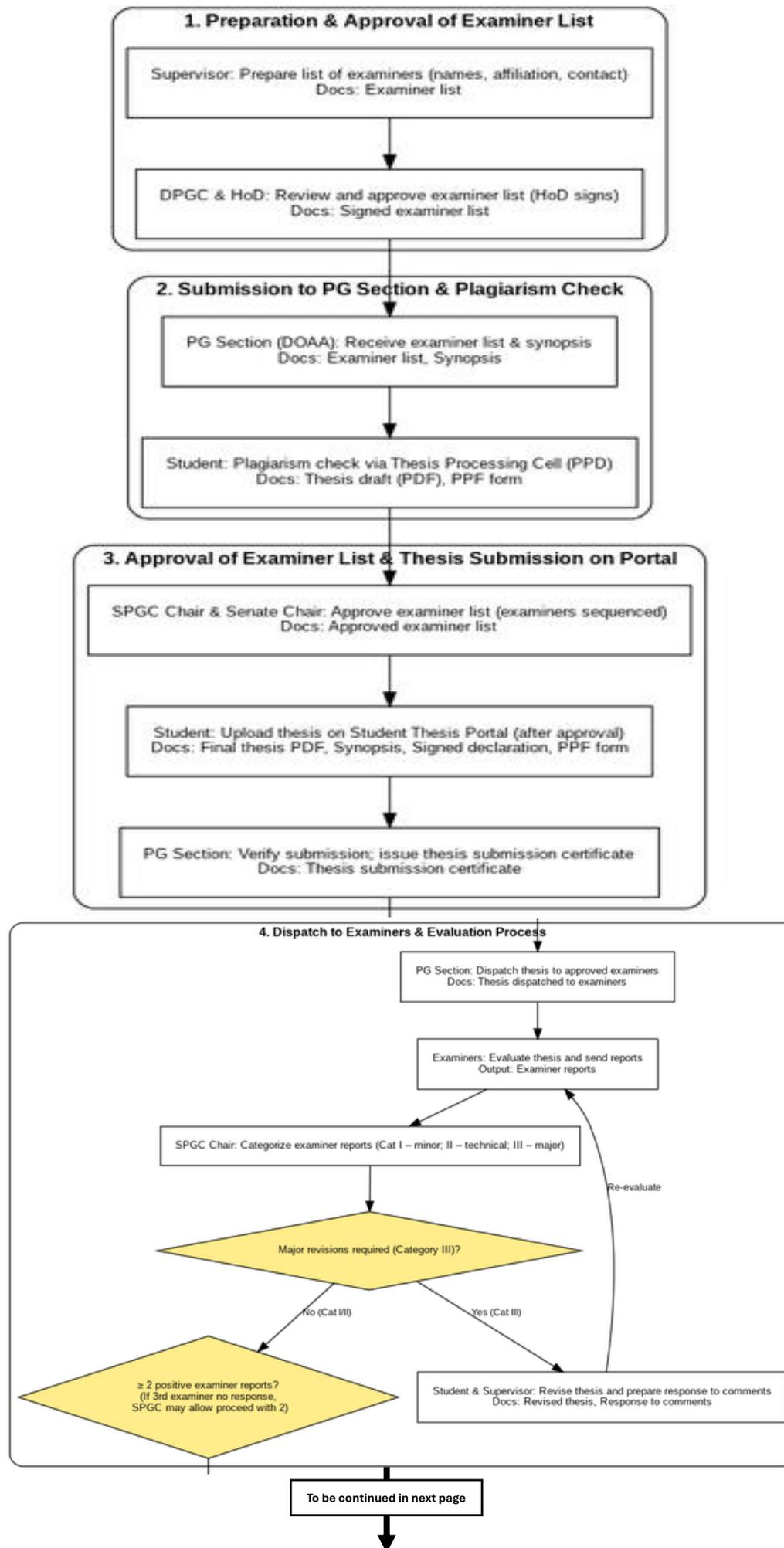
Thesis supervisor forms oral board including 1 external examiner and IITK faculty members



ORAL EXAM

Oral Exam Report received from department for SPGC Approval

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5. Viva Permission & Oral Board Formation

Student: Prepare revised thesis & response (if required)
Supervisor: Submit to PG Office for Viva Permission
Docs: Revised thesis, Response

SPGC Chair & Senate Chair: Approve Viva Permission
Docs: Viva Permission approval

PG Office: Disclose external examiner name to supervisor

Supervisor: Form Oral Board
(External examiner, 2 faculty same dept, 1 other dept, Supervisor(s))

SPGC Chair & Senate Chair: Approve Oral Board

Schedule Viva Voce (≥ 1 week after approval)

6. Oral Examination & Final Approval

Oral Board: Conduct PhD Oral Examination (Viva Voce)
(Supervisor acts as convener)

Outcome: Thesis approved if all members (at most one dissent) agree

Supervisor: Submit final oral exam report to SPGC

Student: Incorporate required thesis corrections (if any)

Student: Obtain DOAA stamp on thesis certificate page
Docs: Thesis certificate (signed & stamped)

7. Final Thesis Submission & Archival (Library)

Student: Upload final thesis & abstract to ETD repository (Library)
Docs: Final thesis PDF, Abstract PDF

Student: Submit signed Thesis Authentication Form (MD5/SHA) via PG Office & upload
Docs: Thesis Authentication Form

Library: Verify submission and archive thesis in repository

PG Office: Issue No Dues Certificate (after archival)
Docs: No Dues Certificate

Ph.D. Thesis Submission Process – IIT Kanpur

The Ph.D. thesis submission at IIT Kanpur follows a structured workflow to ensure rigorous academic evaluation, plagiarism checks, and final archival. Below are the essential steps involved.

Preparation of List of Suggested Examiners

Before submitting a thesis, the **thesis supervisor** must prepare a list as per [PG Manual](#) who will review the thesis.

- The list must include:
- Examiner's **full name**
- **Institutional affiliation** (University/Research Institute)
- **Official contact details** (Email and phone number)

 **Examiner List Format & Guidelines:** [Ph.D. Examiner List Format](#)

Approval by Department Authorities

- The **Department Postgraduate Committee (DPGC)** reviews and approves the suggested examiner list based on academic suitability.
- The **Head of Department (HoD)** must sign the finalized list before submission.

Submission to PG Section (DOAA Office)

- The **List of Suggested Examiners** and **Synopsis of the examiner list** are submitted in **hard copy** to the **PG Section, DOAA Office** for further approval.

Plagiarism Check via Thesis Processing Cell (TPC)

Before submission, Ph.D. theses undergo a **plagiarism check** via the **Thesis Processing Cell (TPC)**, specifically the **Plagiarism Prevention Desk (PPD)**.

Plagiarism Check Process

Submission of Pre-Thesis Draft

- Students submit a **soft copy (PDF) of their thesis** and **PPF Form** to ppd_doaa@iitk.ac.in.
- The **Thesis Processing Form** must be attached.
-  For more details please refer to **TPC Guidelines:** [Thesis Processing Cell](#)

Processing Time

- **TPC requires at least 2-3 working days** for plagiarism screening.

Verification & Approval Process of Examiner List

✓ Review by Chairman SPGC

- The **Chairman of the Senate Postgraduate Committee (SPGC)** forwarded list of examiners to Senate Chairman for approval.

✓ Approval Chairman Senate

- Once verified by the Chairman SPGC, the list is sent to the **Chairman Senate of IIT Kanpur** for **final approval**.
- The Chairman Senate **approves and marks the sequencing of the Examiners**.

✓ After approval, the same is informed to the student and thesis supervisor to submit the thesis on portal

✦ Thesis Submission via IIT Kanpur Student Thesis Portal

Students upload their **final Ph.D. thesis documents** at the **Student Thesis Portal**:

 [Thesis Submission Portal](#)

 [Thesis Preparation Guidelines – IIT Kanpur](#)

Required Documents (PDF Format):

- ✓ Final Thesis Document
 - ✓ Signed Declaration Form
 - ✓ Synopsis
 - ✓ PPD Form
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✓ Thesis Send to Approved Examiners

- After verifying all the documents and thesis, the **PG Section (DOAA Office)** issue a thesis submission certificate to the student.
 - **PG Section (DOAA Office)** send to the listed examiner for evaluation.
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✦ Examiner Evaluation Process ([Link](#))

Examiner Report Categorization:

The **Chairperson, Senate Postgraduate Committee (SPGC)** categorizes reports into:

- **Category I:** Minor corrections (language, formatting).
- **Category II:** Typographical/technical errors, minor queries.
- **Category III:** Major revisions or outright rejection.

(If a student's thesis falls under Category III, they must submit a detailed response addressing the reviewer's comments, along with a revised thesis incorporating the required changes. The thesis supervisor then forwards both the response and the updated thesis to the same reviewer for re-evaluation. Upon review, the examiner assesses the revisions and provides a new evaluation report. Only after receiving approval from the reviewer can the thesis proceed to the next stage in the submission and evaluation process.)

✦ Proceeding for Viva

- ✓ All reports received in category I and II (3 external and thesis supervisor(s))

✓ If at least 2 reports (Category I/II) are positive:

- A final reminder is sent to the **third examiner**.
- If no response, **SPGC Chairperson** may approve **proceeding to the Viva Permission**.

✦ **For approval of Viva Permission**

If revisions are required, the **student prepares**:

- ✓ **Response to Referee Comments** (point-by-point).
- ✓ **Revised Thesis** (with changes clearly highlighted).

✦ **Submission Process:**

- The **supervisor submits** the revised thesis and response to SPGC. (Soft copy of documents Mail to desk according to department details given below for Viva permission)
- PG Office then prepare Viva Permission and get it approved by Chairman SPGC and Chairman Senate.
- After approval PG Office disclose the external examiner name to the supervisor.

✦ **Oral Board Formation**

✦ The **thesis supervisor formed** the Oral Board.

✦ Must include

- ✓ **1 external examiner (Name disclosed by PG Office)**.
- ✓ **2 IITK faculty** (from same department).
- ✓ **1 IITK faculty** (from another department).
- ✓ Thesis supervisor(s).

✦ **Approval Required:**

- **Chairperson, SPGC and Chairman, Senate** approve the oral board.

✦ **Ph.D. Oral Examination (Defense)**

✦ **Supervisor acts as Convener.**

✦ Viva can be scheduled **at least one week** after approval of Oral Board.

✦ **Post-Viva Submission:**

- **Supervisor submits the final oral exam report to SPGC** for further evaluation.

✦ **Oral Exam Outcome**

✓ **Pass Criteria:**

- Thesis **approved by all members**, except **at most one dissenting vote**.

✦ Final thesis must include:

- ✓ **Signed Declaration** (Originality and Plagiarism-Free).
- ✓ **Signed Certificate** (Authenticity, endorsed by Supervisor).

🔗 **Templates available:** [Thesis Preparation Guidelines – IIT Kanpur](#)

✦ DOAA Stamp Requirement

- **Mandatory** before submitting thesis at P.K. Kelkar Library
- **Contact relevant desk for DOAA Stamp:**

Email ID	Departments
phd1@iitk.ac.in	PHY, CHM, MTH, HSS, BSBE, CGS, ME, ECO
phd2@iitk.ac.in	AE, CHE, CE, CSE, DES, ES, EE, IME, MSE, MSP, NET, PSE, SPASE, SEE

Do not email other IDs for DOAA stamp queries.

✦ Ph.D. Thesis Submission & Archival at P.K. Kelkar Library ([Link](#))

✦ Login to the Thesis Submission Portal

- **Registered Users:** Log in using your **CC User ID**.
🔗 **Login Portal:** [Click Here](#)
- **Remote Access:** Use **VPN authentication** if accessing from outside campus.
🔗 **VPN Details:** [Click Here](#)
- **Login Issues?** Contact the **Library Circulation Desk** at 📞 **0512-259-7671 / 7331**.

✦ Mandatory Certificate Page Inclusion

- The **softcopy of the full thesis** must include the **certificate page** signed by the **supervisor(s)** and bearing the **DOAA stamp**.

✦ Acceptable File Formats (PDF Only)

- **Abstract** → RollNumber_abstract.pdf
- **Full Thesis** → RollNumber.pdf
- **Thesis Authentication Form** → RollNumber_authentication.pdf
🔗 **Download Thesis Authentication Form:** [Click Here](#)
- **Follow File Naming Convention:** RollNumber_authentication

✦ Generating MD5 and SHA512 Hash Values

- **MD5 & SHA512 hash generation** is required for thesis authentication.
🔗 **Hash Generation Instructions:** [Click Here](#)

✦ Authentication & Upload Process

- **Email the filled authentication form** to **PG Office relevant desk** for signature.
- Once signed, **upload the form** in the **Theses Repository**.
🔗 **ETD Repository:** <https://etd.iitk.ac.in>

✦ Final Submission Verification

- ✓ A **soft copy of the abstract and full thesis (PDF)** must be uploaded.
- ✓ Ensure the **thesis document is fully formatted** with **serial page numbering** and **no encryption**.
- ✓ **Library staff** will **verify the submission** before moving the thesis to the repository.

Issuance of No Dues Certificate

- ✓ **No Dues Certificate** will be issued **only after the thesis is archived** in the repository.

Contact for Assistance

 **Library Circulation Desk: 0512-259 7671 / 7331**

 **Library Homepage:** [Library Website](#)

No Dues Certificate

- Issued only after thesis is archived in the repository
 -  For DOAA No-Dues: pg_office@iitk.ac.in

Email IDs Based on Department

For Queries:

- **phd1@iitk.ac.in** → PHY, CHM, MTH, HSS, BSBE, CGS, ME, ECO
 - **phd2@iitk.ac.in** → AE, CHE, CE, CSE, DES, ES, EE, IME, MSE, MSP, NET, PSE, SPASE, SEE
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Ph.D. Thesis Submission & Oral Examination – FAQs (IIT Kanpur)

A. Examiner List Preparation & Approval

- 1. Who prepares the list of suggested examiners?**
The thesis supervisor prepares the list as per PG Manual guidelines.
- 2. What details must be included in the examiner list?**
Full name, institutional affiliation, official email, and phone number.
- 3. Can the examiner be from a non-academic institution?**
No, examiners must be affiliated with recognized universities or research institutes.
- 4. How many examiners should be suggested?**
As per PG Manual, typically 6–8 names are suggested.
- 5. Who approves the examiner list?**
The DPGC reviews it, and the HoD signs the final version.
- 6. Where is the examiner list submitted?**
To the PG Section (DOAA Office) in hard copy along with the synopsis.
- 7. Is there a specific format for the examiner list?**
Yes, follow the Ph.D. Examiner List Format.
- 8. Can I suggest examiners from IIT Kanpur?**
No, external examiners must be from outside IIT Kanpur.
- 9. Can I change the examiner list after submission?**
Only under exceptional circumstances, with approval from SPGC and Senate Chairman.
- 10. What happens after the examiner list is approved?**
The student and supervisor are notified to proceed with thesis submission.

B. Plagiarism Check via Thesis Processing Cell (TPC)

- 11. Is plagiarism check mandatory?**
Yes, all Ph.D. theses must be screened before submission.
- 12. Where do I send my thesis for plagiarism check?**
Email to ppd_doaa@iitk.ac.in with the PPF form attached.
- 13. What is the PPF form?**
The **Plagiarism Processing Form**, required for screening.
- 14. How long does the plagiarism check take?**
Typically 2–3 working days.
- 15. Can I submit a printed copy for plagiarism check?**
No, only soft copies (PDF) are accepted.
- 16. What if my thesis exceeds the plagiarism threshold?**
You'll need to revise and resubmit for re-screening.

17. Is there a fee for plagiarism check?

No, it's part of the institutional process.

18. Can I use third-party plagiarism tools instead?

No, only checks conducted by TPC are valid.

19. Will I receive a plagiarism report?

Yes, the report is shared with the supervisor and student.

20. Can I submit my thesis before receiving the plagiarism report?

No, the report must be approved before submission.

C. Thesis Submission Portal & Document Requirements

21. Where do I submit my final thesis?

On the **Student Thesis Submission Portal**.

22. What documents are required for submission?

Final thesis, signed declaration, synopsis, and PPD form.

23. What format should the documents be in?

PDF only.

24. Is there a naming convention for files?

Yes:

Abstract → RollNumber_abstract.pdf

Full Thesis → RollNumber.pdf

Authentication Form → RollNumber_authentication.pdf

25. Can I access the portal from outside campus?

Yes, via VPN authentication.

26. Where can I find VPN setup instructions?

On the VPN Details page.

27. What if I face login issues?

Contact the Library Circulation Desk at 0512-259-7671 / 7331.

28. Is the authentication form mandatory?

Yes, it must be signed and uploaded.

29. How do I generate MD5 and SHA512 hash values?

Follow the Hash Generation Instructions.

30. Can I submit encrypted or password-protected files?

No, files must be unencrypted and fully accessible.

D. Examiner Evaluation & Viva Permission

31. How are examiner reports categorized?

Into Category I (minor corrections), II (technical errors), and III (major revisions).

32. What if my thesis receives a Category III report?

You must revise the thesis and submit a detailed response for re-evaluation.

33. How many positive reports are needed to proceed to viva?

At least two Category I/II reports.

34. What if the third examiner doesn't respond?

A final reminder is sent; SPGC Chairperson may approve viva permission.

35. Who approves viva permission?

Chairman SPGC and Chairman Senate.

36. What documents are needed for viva permission?

Revised thesis and point-by-point response to reviewer comments.

37. Where do I send these documents?

To the PG Office desk corresponding to your department.

38. When is the external examiner's name disclosed?

After viva permission is approved.

39. Can I contact the external examiner directly?

No, all communication is handled by the PG Office.

40. What if I need to reschedule my viva?

Inform the PG Office and supervisor; approval may be required.

 **E. Oral Board & Viva Examination**

41. Who forms the Oral Board?

The thesis supervisor.

42. What is the composition of the Oral Board?

External Examiner

IITK faculty (same department)

IITK faculty (different department)

Supervisor(s)

43. Who approves the Oral Board?

Chairperson SPGC and Chairman Senate.

44. How soon can the viva be scheduled after approval?

At least one week later.

45. Who acts as the convener during viva?

The thesis supervisor.

46. What is the pass criteria for the oral exam?

Thesis must be approved by all members, with at most one dissenting vote.

47. What happens after the viva?

Supervisor submits the final oral exam report to SPGC.

48. Can I submit my thesis immediately after viva?

Only after receiving final approval and DOAA stamp.

 **F. Final Submission & Archival**

49. Where do I archive my thesis?

On the [ETD Repository](#).

50. When is the No Dues Certificate issued?

After the thesis is archived in the repository.