

CALIFORNIA INSTITUTE OF TECHNOLOGY

PH.D. EXAMINATION FORM INSTRUCTIONS

A copy of the regulations for thesis preparation should be obtained from the Graduate Office website (http://www.gradoffice.caltech.edu/documents_default.htm) or in person (Room 230 - Center for Student Services) before you begin work on your thesis. In addition to the examination form, you should also obtain the following forms from the Graduate Office before your exam:

- University Microfilms, Inc. Agreement
- Survey of Earned Doctorates
- Proofreader Agreement
- Athenaeum Termination
- Forwarding Address Form
- Instructions for submitting an ETD

The Institute requirements state that an examining committee must consist of a minimum of four voting members, three of which must be Caltech faculty. When your examining committee has been selected, arrange for a convenient date and time and make the necessary room reservations. Distribute copies of the thesis to your committee members, as well as the Graduate Office for proofreading, at least two weeks before your exam giving everyone ample time to read and comment on the thesis. For specific departmental and divisional deadlines and requirements, check with your option secretary.

NOTE: If you are defending in the summer term, please be aware that your insurance coverage will end on August 31.

Petition for Examination- Complete first page in its entirety and sign on page one at the bottom. On page two, have Section I completed and signed by the Registrar and Section II reviewed and signed by the Option Representative. Return the signed form to the Graduate Office **no later than** the Monday two weeks before the week of your exam, for the Dean's approval. Also at this time you are required to submit a complete version of your thesis for proofreading by the Graduate Office. The corrections need not be made until after your examination. (Please note: The last date for submission of the final, corrected thesis to the Institute's Electronic Thesis Database (ETD) is the fifth week of the succeeding term if the candidate defended his or her thesis during the previous summer or the first or second terms; or two weeks before the degree is to be conferred if the candidate defended his or her thesis during the month of May. Any outstanding theses or forms may result in the delay of the awarding of the degree.)

A day or two before your examination, pick up the petition along with the corrected copy of the thesis from the Graduate Office. Take the petition form to your exam to be signed by each member of your committee, including the result of the exam.

If you have a subject minor, a faculty representative of the minor option must sign Section VII on page four. Following your exam, submit the petition form along with a final copy of your thesis to your Division Chair for approval. Return this signed and completed form to the Graduate Office where it will be kept on file until commencement.

CALIFORNIA INSTITUTE OF TECHNOLOGY

PETITION FOR EXAMINATION FOR THE DEGREE OF DOCTOR OF PHILOSOPHY

I. Candidate Information (please print or type)

1. Full name as it should appear on diploma _____

2. Major Option _____

3. Minor Field (if any) _____

4. Full Thesis Title _____

5. Your Major Option is entered on your diploma followed by "... and by investigations (in/on/of)..." *Circle* the appropriate preposition and give below a short version of your thesis title, not exceeding 50 characters and spaces.

... and by investigations in/on/of _____

I hereby petition to be examined for the degree of Doctor of Philosophy on the date of

_____, 20__ at _____ A.M./P.M. in Room _____

Dated _____ Signed _____

II. Registrar's Office Certification

1. The student was admitted to candidacy on _____
2. The student has completed three years (nine academic terms) of graduate residence, one year (three academic terms) of which was at this Institute, since receiving the baccalaureate degree.

Date _____

Signed _____

Registrar's Office

III. Approval by Major Option

Please check one of the following:

1. The candidate has passed the courses prescribed by the major option and has no minor.
2. The candidate has a minor, and the minor requirements have been fulfilled at candidacy.
3. The candidate has a minor, and will be examined in the minor at the final examination.

The petition of the candidate is hereby approved, and the following Examining Committee is suggested:

(Committee Chair) _____

(Committee Members) _____

Signed _____

Option Representative

IV. Action of the Dean of Graduate Studies

1. The petition of the candidate is granted.
2. The Examining Committee has been approved as listed above.

Signed _____

Dean of Graduate Studies

(The candidate should present this form with all necessary signatures to the Chair of the Examining Committee at the time of the examination. The candidate should arrange for the presence of the members of the Examining Committee.)

V. Result of Examination

1. The candidate was examined in the following manner: _____

2. The result was (*check one*): Pass Fail Pass with conditions: _____

Signed _____
Committee Chair

Signed _____

Examining Committee

Date _____

(Immediately after the examination this petition is to be submitted to the Division Chair for approval then returned directly to the Graduate Office.)

VI. Approval of Thesis

I have examined the candidate's thesis, and recommend its acceptance.

Date _____

Signed _____
Member of Examining Committee

Date _____

Signed _____
Member of Examining Committee

Date _____

Signed _____
Member of Examining Committee

Date _____

Signed _____
Member of Examining Committee

Date _____

Signed _____
Member of Examining Committee

Date _____

Signed _____
Chair of Examining Committee

Date _____

Signed _____
Division Chair

The candidate's thesis, having been examined and approved by the Division Chair and the above members of the Examining Committee, is hereby accepted.

Date _____

Signed _____
Dean of Graduate Studies

(Following approval of the examining committee and the Division Chair, a final version of the thesis must be uploaded to the Institute's Electronic Thesis Database (ETD) not less than two weeks before the degree is to be conferred.)

VII. Certificate of Option of Minor Field

The candidate has fulfilled all the requirements for a Minor in _____

Signed _____
Representative of Option

VIII. Division Certification

1. The candidate had fulfilled all the special requirements of the Major Division for the Doctorate.
2. The thesis is accepted by the Major Division.
3. The work of the candidate has been satisfactorily completed.
4. The candidate is recommended for the degree of Doctor of Philosophy, with the major subject of _____ and minor subject (if any) of _____

Date _____ Signed _____
Division Chair

IX. Action of the Committee of Graduate Study

1. All Institute requirements have been met.
2. The candidate is hereby recommended to the Faculty for the degree of Doctor of Philosophy in accordance with the recommendation of the Major Division as stated above.

Date _____ Signed _____
Dean of Graduate Studies

X. Action of the Faculty

By vote of the Faculty the candidate is hereby recommended to the Trustees for the degree of Doctor of Philosophy in accordance with the recommendation of the Major Division as stated above.

Date _____ Signed _____
Secretary of the Faculty

XI. Action of the Institute

Date degree conferred _____

Signed _____
Registrar

Electronic Thesis Approval

Name: _____

Student UID#: _____

Division/Option: _____

Thesis Title: _____

Student Agreement

I hereby certify that, if appropriate, I have obtained and attached hereto a written permission statement from the owner(s) of each third party copyrighted matter to be included in my thesis, allowing distribution as specified below.

I certify that the version I have submitted is the same as that approved by my advisory committee. I hereby grant to the California Institute of Technology (Caltech) and its agents the irrevocable, non-exclusive royalty free right to reproduce, distribute, and display, this thesis in whole or in part in any form including electronic formats now or hereafter known throughout the world for educational, research and scientific non-profit uses during the full term of copyright via the Digital Collections mechanisms maintained by the Caltech Library System. I retain all other ownership rights to the copyright including the right to use in future works (such as articles or books) all or part of this thesis. I warrant that I have the right to make this grant to Caltech unencumbered and complete.

Student and Committee Agreement

Part A

My advisory committee and I agree that the above mentioned document be placed in the Caltech ETD Digital Archive, Caltech's electronic thesis archive, with the following status: (choose one)

1. Release the entire work immediately for access worldwide.
2. Release the entire work for Caltech access only for 1 year. Extensions may be requested at 1-year intervals. After this time release the work for access worldwide. Extensions beyond 3 years require approval by the Office of Graduate Studies of a written request describing the reason for delayed release.
3. Secure the entire work for patent and/or proprietary purposes.
4. Release the entire work for Caltech access only, while at the same time releasing parts of the work for worldwide access. Parts of the work may also be completely withheld from access.

Part B (optional proxy for distribution options 2, 3, or 4)

To cover cases such as when one or more of the student and committee signing this form becomes inaccessible, each of the following persons are named as proxies. It is suggested that the committee chair be a proxy. The student or any proxy may send email to etd@library.caltech.edu to communicate a change in desired distribution at any time.

Printed name of proxy: _____

Printed name of proxy: _____

Review and Acceptance

The above-mentioned thesis has been reviewed and accepted by the student's advisory committee. The undersigned agree to abide by the statements above, and agree that this Approval Form updates any and all previous Approval Forms submitted heretofore.

Student _____ Student _____ Date _____
Signature Printed Name

Committee _____ Committee _____
Chair _____ Chair _____ Date _____
Signature Printed Name