

Sri Ramajayam

**SASTRA UNIVERSITY**  
**(SHANMUGHA ARTS, SCIENCE, TECHNOLOGY & RESEARCH ACADEMY)**

(A University established under section 3 of the UGC Act, 1956)

TIRUMALAISAMUDRAM  
THANJAVUR – 613 401, INDIA



Ph.D. degree programme

**Rules and Regulations**

(For candidates admitted on or after 01 JANUARY 2010)

## **1. PROGRAMME DESCRIPTION**

The Doctor of Philosophy (Ph.D.) degree programme at SASTRA UNIVERSITY is designed to provide a candidate an opportunity to obtain the greatest possible expertise in the chosen field of interest through extensive course work and intensive research. The main components of the doctoral programme at SASTRA UNIVERSITY include a combination of specialized courses and a research thesis under the supervision of an experienced researcher.

The objective of Ph.D. degree programme is to promote highly qualified researchers required for the expansion of fundamental knowledge and innovation through research & development.

SASTRA UNIVERSITY shall offer Ph.D. programmes in the following fields of research:

- i) Engineering / Technology .
- ii) Arts and Sciences .
- iii) Management, Education and Law .

## **2. ADMISSION REQUIREMENTS**

2.1 A minimum of 55% marks or equivalent grade in the qualifying degree .

2.2 A candidate who has any one of the following degrees from SASTRA UNIVERSITY or any other qualification recognized as equivalent thereto in the discipline of study notified from time to time by SASTRA UNIVERSITY shall be eligible for admissions to Ph.D. Programme :

2.2.1 Master's degree in Engineering / Technology / Management / Pharmacy / Science / Arts / Computer Applications .

2.2.2 Chartered Accountancy (CA) with a minimum of two years of work experience .

2.3 A candidate who has Bachelor's degree with a minimum of 60% and / or with an industrial sponsorship shall be considered for direct Ph.D. programme.

## **3. CATEGORIES OF Ph.D. CANDIDATES**

There shall be two categories of Ph.D. candidates: Internal (full-time / part-time) and External (full-time / part-time).

3.1 Internal candidates are those who pursue doctoral work at SASTRA UNIVERSITY.

3.2 External candidates are those who pursue doctoral work in a recognized university / laboratory / research centre / industry / organization / government department provided they are approved by the Academic Council of SASTRA UNIVERSITY .

#### **4. REGISTRATION PROCEDURE**

4.1 A candidate desirous of registering for Ph.D. programme shall submit the application in the prescribed form .

4.2 The candidate must mention the name of the School in which admission is required.

4.3 Admission is subject to not only upon academic record, but also on the availability of a research advisor and facilities in the area of research .

4.4 The candidate shall be called for a presentation before a selection committee of the University. The candidate will be asked to present a technical paper from a refereed journal.

4.5 Full-time candidates who are selected based on written test and interview shall be exempted from clause 4.4.

4.6 Based on the recommendations of the selection committee, the candidate shall be provisionally registered to the Ph.D. programme on payment of fees.

4.7 Provisional registration for the Ph.D. programme will be done quarterly (on the first week of January / April / July / October) .

#### **5. RESEARCH SUPERVISOR**

5.1 The Ph.D. candidate is required to work under a recognized research supervisor who has been approved as research supervisor by the Academic Council of SASTRA UNIVERSITY .

5.2 SASTRA UNIVERSITY may accept a recognized joint research supervisor for internal and external candidates .

5.3 External candidates shall have a faculty member of SASTRA UNIVERSITY as a research supervisor or as a joint research supervisor .

5.4 When a research supervisor is not available to the candidate for more than a year, the Ph.D. Board may officially nominate an interim research supervisor who will be a SASTRA UNIVERSITY faculty. However, the first research supervisor may continue to supervise and offer guidance to the candidate .

5.5 The Ph.D. Board may permit a change of the research supervisor based on valid reasons reported and this shall have the approval of the Vice-Chancellor .

## **6. RECOGNITION OF RESEARCH SUPERVISORS**

6.1 Faculty members of SASTRA University / other recognized universities / colleges / research laboratories / research centres / industries / organizations / government departments shall be recognized by SASTRA as research supervisors subject to 6.2 .

6.2 Recognition of a research supervisor / joint research supervisor will be approved by the Vice-Chancellor and will be confirmed by the Academic Council provided the member possesses:

6.2.1 A Ph.D. degree in the relevant or allied areas of research in which he / she proposes to supervise the candidate .

6.2.2 A minimum of three technical publications in the relevant or allied areas of research in National / International peer-reviewed journals out of which at least one publication in the last two years .

6.3 A research supervisor shall not normally supervise more than five doctoral candidates at any time unless the Vice-Chancellor specifically permits more than five doctoral candidates under extraordinary circumstances .

6.4 If a recognized research supervisor does not supervise any Ph.D. candidate even after two years from the date of recognition, the recognition shall be automatically withdrawn .

## **7. DOCTORAL COMMITTEE**

7.1 The Doctoral Committee for the Ph.D. candidate shall consist of minimum of five members including the research supervisor. The research supervisor / joint research supervisor shall be the convener of the doctoral committee. Dean, Research will be ex-officio Chairman of the Doctoral Committee. If the Dean Research is the research supervisor or member of the Doctoral Committee, the Vice-Chancellor may nominate any other person to be the Chairman of the Doctoral Committee .

7.2 The doctoral committee for the Ph.D. candidate shall be constituted within a month from the date of provisional registration .

7.3 For forming the Doctoral Committee the research supervisor of the candidate shall furnish a panel of six experts (three faculty members from SASTRA UNIVERSITY and

three members from outside, preferably from IITs / NITs / IIMs / Reputed Research Labs / Reputed Research Groups / Industries) in the field of proposed research. Any four members will be nominated by the Vice-Chancellor.

7.4 The research supervisor may request for a change in the Doctoral Committee members during the course of the candidate's Ph.D. programme which should have the recommendations of Ph.D. Board and approval by the Vice-Chancellor .

7.5 In the event of the research supervisor leaving SASTRA temporarily or permanently, the Vice-Chancellor shall nominate a joint research supervisor from SASTRA who shall be the convener of the Doctoral Committee .

## **8. PROGRAMME REQUIREMENTS**

On grant of provisional registration to the Ph.D. programme, the candidate must successfully complete the following requirements:

### **8.1 COURSE WORK**

8.1.1. The candidate shall take a minimum of 4 courses and obtain a minimum grade of C (60% or above) in each course .

8.1.2 The candidate in consultation with the research supervisor shall take courses relevant to the field of research offered at SASTRA UNIVERSITY .

8.1.3 If the courses are not offered at SASTRA UNIVERSITY, the candidate may attend the courses in an institute / research lab (recognized by SASTRA) or register for self-study courses subject to the approval of the Doctoral Committee. In such cases, the research supervisor shall obtain prior approval from the Dean, Research and submit the grades obtained at the end of the course .

8.1.4. Only courses taken after the date of provisional registration shall count towards the course requirements. The courses already passed by the candidate shall not be counted for this purpose .

8.1.5 Notwithstanding the above subsection 8.1.4 the Doctoral Committee in rare cases may give credit to courses already undergone by a Ph.D. candidate within one year before the provisional admission into the Ph.D. degree programme and the same has to be ratified by the Dean, Research .

8.1.6 Candidates who have joined for Ph.D. programme directly after Bachelor's degree (direct Ph.D. programme) have to undergo 6 PG level theory courses as specified by the research supervisor. The candidate has to satisfy the requirements of attendance

and continuous evaluation as applicable to PG students of SASTRA. The candidate should appear for the end semester examination conducted by the Controller of Examinations and obtain a grade not less than C (60% or above) in each course. The candidate's subsequent research work will be governed by rules applicable to regular Ph.D. candidates of SASTRA including 8.1.1

8.1.7 Candidates provisionally registered for Ph.D. programme should complete a minimum of four courses within 1½ years from the date of provisional registration. Direct Ph.D. candidates shall complete the ten courses within 2½ years from the date of provisional registration .

8.1.8. If any candidate wishes to withdraw from the Ph.D. programme at the end of the second year or later, the candidate may opt for M.S. degree in the appropriate discipline. This will be considered by Ph.D. Board on specific recommendations of the Doctoral Committee, provided the candidate has published a minimum of one technical paper in a refereed journal / conference proceeding and has completed six courses. The candidate may submit a thesis for M.S. degree. A viva-voce examination will be conducted by examiners appointed by SASTRA and on successful completion the candidate may be awarded the M.S. degree in the relevant discipline

8.1.9. After completion of the course work, the candidate shall appear for a comprehensive viva-voce examination. The comprehensive viva-voce examination will be conducted by a committee of not less than three members, constituted by the Dean (Research) and the Associate Dean (Research) of the School shall be the convener. If the supervisor of Ph.D. candidate appearing for comprehensive viva-voce is the Associate Dean (Research) , Dean (Research) shall nominate any other suitable faculty member as convener. If the candidate fails in the viva-voce examination, the candidate shall be given one more chance after six months but within one year. If the candidate fails in the second attempt also, the candidature shall be cancelled and the candidate may have an option to obtain M.S. degree subject to satisfying clause 8.1.8 .

8.1.10 The Ph.D. registration of the candidate is confirmed once the candidate successfully completes the comprehensive viva-voce examination .

## **8.2 PROPOSAL PRESENTATION**

8.2.1 After successfully completing the comprehensive viva-voce examination, the candidate shall present the research proposal to the Doctoral Committee and defend the same .

8.2.2 The research proposal shall have the problem(s) clearly defined and the research methodology explained properly with sufficient background .

8.2.3 After proposal presentation, the Doctoral Committee shall meet at least once in a year during the course of study and at least one external member shall be present .

### **8.3 SYNOPSIS PRESENTATION**

8.3.1 The candidate is eligible to submit the synopsis subject to the fulfillment of the following:

- a. The candidate should have passed the comprehensive viva-voce examination .
- b. The candidate should have published at least one paper or the manuscript must have been accepted for publication in a peer-reviewed international journal .
- c. The candidate should have presented the research work in a public seminar at SASTRA UNIVERSITY .

8.3.2 The doctoral committee shall evaluate the research work carried out by the candidate. If approved, the candidate shall submit two hard copies and a soft copy of the synopsis in the prescribed format to the Dean (Research)

8.3.3 If the doctoral committee suggests additional work, the candidate shall carry out the same and present to the Doctoral Committee again .

### **8.4 THESIS SUBMISSION & EVALUATION**

8.4.1 The candidate must have published two papers or manuscripts must have been accepted for publication in peer-reviewed international journals before the submission of the thesis .

8.4.2 The thesis should be prepared as per the format of 'SASTRA UNIVERSITY Ph.D. Thesis Manual' .

8.4.3 Two CDs containing a copy of the thesis each in PDF and three hard copies shall be submitted to the Dean (Research) .

8.4.4 The research supervisor shall submit to the Dean (Research) at the time of thesis submission, a list of four International experts and four National experts along with postal and e-mail addresses. The Vice-Chancellor will appoint two examiners (one National and one International) to evaluate the thesis .

8.4.5 The National and International examiners shall evaluate the thesis and return their comments. The final defense shall be conducted only after receiving positive recommendations from both the examiners.

8.4.6 If one of the examiners recommends and the other does not recommend the thesis, the Vice-Chancellor may refer the thesis to a third examiner for evaluation. If the third examiner recommends the thesis, the final defense shall be conducted.

## **8.5 FINAL DEFENSE**

8.5.1 The final examination shall be conducted as “Open Defense” .

8.5.2 The chairperson for the final defense shall be one of the examiners who evaluated the thesis.

8.5.3 After successful completion of final defense and after carrying out corrections (if any) the candidate shall submit six unbound copies of the thesis along with a soft copy to the Dean (Research) .

8.5.4 If the candidate does not successfully defend the thesis, the candidate may opt to reappear at a later date to be fixed by the Dean (Research) .

## **9 PUBLICATIONS**

9.1 The candidate may publish papers arising out of the thesis and in such publications the candidate must mention the affiliation with SASTRA UNIVERSITY in addition to other affiliations, if any.

9.2 The candidate without specific written approval from the University shall not publish the thesis as a whole.

## **10 AWARD OF Ph.D. DEGREE**

On recommendation of the Ph.D. Board, the Board of Management shall approve the award of Ph.D. degree to the candidate.

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