

## LM Thapar School of Management

### Thapar Institute of Engineering & Technology (TIET) (Deemed-to-be-University) Patiala

#### **Doctoral Program at LM TSM:**

The Doctor of Philosophy (Ph.D.) program offered by the LM Thapar School of Management (LM TSM) at Dera Bassi campus shall be governed by the Academic Regulations made by TSM Senate and approved by Board of Governors (BoG).

#### **ACADEMIC REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)**

##### **1. General:**

- 1.1. The provisions contained in this set of regulations govern the policies and procedures with respect to the admission of students, evaluation and award of Doctor of Philosophy (Ph.D.) degree at LMTSM.
- 1.2. This set of Regulations, on approval by the Board of Governors, TIET, shall supersede all the corresponding Regulations currently in effect and all the amendments thereto, and shall be binding on all the students who are admitted 2013 onwards. However, the effect of year-to-year (periodic) refinements in the Academic Regulations, on the students admitted in earlier years, shall be dealt with appropriately and carefully, so as to ensure that those students are not subjected to any unfair situation whatsoever, although they are required to conform to the revised set of Regulations, without any undue favor or considerations.
- 1.3. The **Doctoral and Research Program (DRP) Chair** will coordinate the doctoral and research programmes at LM TSM.
- 1.4. Admission to Doctoral programme will be based on the recommendation of the **Doctoral Admissions Committee (DAC)**.
  - 1.4.1. **DAC Members:**
    - DRP Chair
    - Three faculty members with strong research experience (To be nominated by Director, LMTSM)
    - DRP Chair will be the chairman of this committee
- 1.5. In case of non- availability of Director, LMTSM, and the functions of Director LMTSM shall be performed by Director, TIET.
- 1.6 Any legal dispute arising from this set of Regulations shall be limited to the legal jurisdiction determined by the location of the University and not that of any other party.

1.7 The PhD program will be offered in two modes. The full-time PhD program is referred to as the PhD (Residential) program and the part-time program for working executives is referred to as the PhD (Executive) program.

## 2. Ph.D. Admission

### 2.1. Eligibility:

2.1.1. A candidate seeking admission to the degree of Doctor of Philosophy (Ph.D.) must have obtained a Post-graduate degree or equivalent or four-year professional degree or equivalent or CA, ICWA / ACS or an M. Phil. degree.

2.1.2. Part-time studies leading to a PhD degree are permitted for professionally employed candidates. Such a candidate must be in employment at the time of admission and be engaged in professional work in the area to which admission is sought.

2.1.3 The candidates admitted under 2.1.1. will be admitted under PhD (Residential) program and those candidates admitted under 2.1.2 will be admitted under PhD (Executive) program.

### 2.2. Admission Process:

2.2.1. Candidate seeking admission to LM TSM's PhD program is required to take **Research Aptitude Test** and/or 'writing ability' test of LM TSM followed by an Interview.

2.2.2. CAT/GMAT/GRE/GATE/UGC-NET (JRF)/ NMAT/ XAT scores of preceding five years may also be considered in lieu of LMTSM's **Research Aptitude Test**. However, candidates with post-graduate qualifications, a minimum age of 40 years and demonstrating at least 15 years of senior management experience shall be exempt from the qualifying test. Their selection shall be based on their performance in the 'writing ability' test and personal interview.

2.2.3. UGC/CSIR (JRF) qualified candidates and candidates with research potential demonstrated through publications or relevant research experience are exempt (on the recommendation of Doctoral Admissions Committee) from the entrance test.

2.3. Ph.D. candidates may be admitted three times every academic year.

2.4. Supervisors can also be taken from outside the LM TSM/TIET provided they are affiliated to LM TSM/TIET in a meaningful way as a visiting faculty, adjunct faculty etc. Each faculty member can be allowed to register a maximum of 6 candidates.

2.5 A candidate can change the status of his registration from full time to part time (or vice versa) only once with the approval of Director, LMTSM on the recommendation of DRP Committee.

2.6. The number of students admitted to the PhD program every year shall be decided by the Doctoral Admissions Committee.

- 2.7 In case of the Ph.D. applicants with foreign nationality/ NRI status, the following admission guidelines will be followed:
- 2.7.1 The candidate should have passed the qualifying exam with 60% marks or CGPA of 6.00 on a 10 point scale. However, the marks/ CGPA criteria may be relaxed on case to case basis depending on experience of the candidate and/or University/Academic Institute from where the candidate has passed the qualifying exam. Doctoral Admissions Committee (DAC) is authorized to take a final decision in this regard.
- 2.7.2 The candidate will be exempted to appear in the Entrance Test and admission will be made on the basis of his/her aggregate marks, evaluation of statement of purpose and personal interview.
- 2.7.3 The candidate is required to submit copies of the following documents at the time of application:
- Application Form
  - Latest copy of CV
  - Statement of Purpose
  - Post-graduation Degree & DMCs/ Transcript
  - Passport copy to confirm residency status & DOB
  - One Letter of Recommendation from a previous teacher/supervisor certifying academic/ professional capabilities & citizenship behavior of the candidate
- 2.7.4 Post-graduation Degree & DMCs/ Transcript and Passport have to be shown in original by the candidate at the time of admission.

### 3. **Ph.D. Coursework and Research Progress Monitoring:**

- 3.1. Recommending coursework, periodic evaluation and progress monitoring of doctoral candidates (research scholars) are the responsibility of the **Doctoral & Research Program Committee (DRPC)**.

#### 3.1.1. **DRPC Members:**

- DRP Chair
- Supervisor of the doctoral student
- Two faculty members from LMTSM with strong research experience.
- A faculty member from LM TSM or from any other department/school of TIET in the cognate area or a faculty member from outside TIET
- DRP Chair will be the chairman of this committee.

#### 3.2. **Ph.D. Course work:**

- 3.2.1. To nurture and develop world class researchers, the major focus areas for doctoral research at LM TSM, besides the functional areas of organization theory, marketing, finance, human resource management, operations, information systems, energy, international business, higher education, are as follows:
- a. Strategy, Sustainability & Society
  - b. Behavioral Decision Science

- c. Quantitative Culture Studies
- d. Academic and Corporate Leadership

**3.2.2.** A comprehensive and rigorous foundation course work has been established at the school. As a part of this course work, the students enrolled for Ph.D. program at the school are required to undertake courses prior to formally initiating their research work. These courses shall be imparted over a period of two years comprising of four semesters.

**3.2.3** PhD candidates are required to complete the coursework within the first three years after joining the program. Each candidate has to complete minimum 48 credits of course work. However the candidates admitted on the basis of four-year qualifying degree have to take additional master level courses of 21 credits which they select from the courses offered in Year 1 of MBA Program.

**3.2.4.** The candidate must score a CGPA of minimum 7. Candidates will be given one more opportunity to improve his/her grades to reach the minimum CGPA.

### **3.3. Credit Requirements for M. Phil. Degree:**

**3.3.1.** On completion of 36 credits of coursework, including 13 credits of core courses, 5 hours of elective courses, and 18 credits of dissertation work qualifies a candidate for an M. Phil. Degree. One credit equivalent means 60 hours of research, reading, data analysis and writing including face time with faculty members and research supervisor/ supervisors. Dissertation should be submitted within 12-24 months of date of admission. An extension of 6-months can be granted by Director-LMTSM on the recommendation of the research advisory committee and the DRP-chair. Further extension may also be granted in exceptional circumstances.

**3.3.2.** An M.Phil. Student can apply for direct admission to the PhD program after successful completion of the first semester with CGPA of 8.0, and a clearance by a committee consisting of 3 members who will examine the research aptitude of the student. Application to the program and meeting the CGPA criteria do not qualify the student automatically for admission. The student can be admitted only after clearance by the admission committee, and the approval of Director-LMTSM.

**3.3.3.** For doctoral students who have joined the program in 2012 or before, while availing this opportunity to exit the Ph.D. program with an M. Phil. degree, coursework requirement can be substituted with equivalent research work as evaluated by the DRP Committee.

**3.3.4** For the doctoral students who have been pursuing or have joined the program on and after 2020, the provisions provided in para 3.3.1, 3.3.2, and 3.3.3 shall not be applicable. The MPhil degree is not offered by LMTSM

#### **4. Submission of Ph.D. Research Proposal and Research Progress Monitoring:**

- 4.1. Doctoral Research Program (DRP) Committee is entrusted with the responsibility of evaluating the research proposal and research progress monitoring.
- 4.2. Candidates of PhD (full-time program) must defend their research proposal within 36 (instead of 24) months from the date of admission. A further extension of 6 months may be granted. The candidates can start preparing their research proposal after taking admission and will be allowed to defend it as and when they earn 18 credits (instead of 12) of the Ph.D. course work with a minimum CGPA of 7.0. If the proposal is rejected by the Institute Research Board (IRB), it should be resubmitted within 6 months of date of rejection.
- 4.3. Candidates of PhD (part-time program) program must defend their research proposal within 36 months from the date of admission. A further extension of 6 months may be granted. The candidates can start preparing their research proposal after taking admission and will be allowed to defend it as and when they earn 18 credits (instead of 12) of the Ph.D. course work with a minimum CGPA of 7.0. If the proposal is rejected by the Institute Research Board (IRB), it should be resubmitted within 6 months of date of rejection.
- 4.4. December 31 is the date of completion of the odd semester and June 30 is the date of completion for even semester. However, the timings and duration of the semester can be changed with the approval of the Director, LMTSM.
- 4.5. The candidate shall be required to make a presentation on Research Proposal. The research proposal should have broad objectives, scope and approach of the proposed investigation, facilities required for successful implementation and the significant contribution/advancement likely to be made. The DRP Committee will consider the proposal and decide the viability of the proposal. The exact title, objectives and scope of the research work can be finalized by the DRP Committee at the time of Pre-Ph.D. presentation and before submission of the Ph.D. thesis synopsis.
- 4.6. If research proposal is rejected by the DRP Committee, the candidate will get two more opportunities to resubmit their revised research proposal within a period of one year.
- 4.7. DRP Committee will be responsible for reviewing the progress of the doctoral candidate. It is recommended that the supervisor should monitor the progress at least once in two months with the help of members of the research advisory committee. The research advisory committee may include an external faculty or industry expert as associate member.
- 4.8. Dropping of Semester: A PhD candidate can drop maximum of two semesters. Such candidates will have to pay fee for the dropped semesters.

4.9. Leave rules: The PhD student getting Research/Teaching Associate ship through the Institute shall abide by the leave rules as applicable to University employees.

4.10 The Ph.D. (part-time) scholars need to stay at least *five* days (maximum in two visits) on the campus in every semester.

## 5. **Submission of Thesis Synopsis and Ph.D. Thesis Evaluation/Examination:**

### 5.1. **Submission of Thesis Synopsis:**

5.1.1. The doctoral candidate can start the process of submitting the thesis synopsis after a minimum period of 36 months from the date of admission. Maximum time allowable to complete the PhD program is 7 years from the date of admission. Two further extensions of one year each may be granted by the competent authority.

5.1.2 The candidate can proceed for submission of the thesis after completing 48 credit hours of course-work with a CGPA of 8.0 and after having met the publication requirements. If the CGPA requirement is not met, the candidate can take an additional independent study, or take a course again. Approval of the Doctoral Committee on Quality is required.

5.1.3. The candidate needs to fulfill the criteria for number of publications provided in para 5.1.5 and must consider the list of journals in para 5.1.4 .

5.1.4. **The candidates are required to consider the following four lists of journals for research publications:**

5.1.4.1. **UT Dallas 24 (UTD - 24) Journal list:**

[http://jindal.utdallas.edu/the-utd-top-100-business-school-research\\_rankings/journals](http://jindal.utdallas.edu/the-utd-top-100-business-school-research_rankings/journals)

5.1.4.2. **Financial Times 45 (FT - 45) Journal list:**

<http://www.ft.com/cms/s/2/3405a512-5cbb-11e1-8f1f-00144feabdc0.html>

5.1.4.3. **Australian Business Deans Council (ABDC) Journal list:**

<https://abdc.edu.au/2019-review/>

**(Only A\*, A and B journals from this list will be considered)**

5.1.4.4. **SSCI journal list 2019**

[https://clarivate.com/webofsciencegroup/wp-content/uploads/sites/2/dlm\\_uploads/2019/08/JCR\\_Full\\_Journal\\_list140619.pdf](https://clarivate.com/webofsciencegroup/wp-content/uploads/sites/2/dlm_uploads/2019/08/JCR_Full_Journal_list140619.pdf)

### 5.1.5. **Publication requirements for students admitted before 2019**

5.1.5.1 One paper published/accepted in a journal from any one of the lists mentioned in clause 5.1.4 Journal list of any year starting from the year of admission of the candidate will be considered

**OR**

5.1.5.2 Two Revise and Resubmit (R&R) (only FT-45 and A\* and A of ABDC) papers with thorough review and detailed comments

**OR**

**5.1.5.3** Two full papers in conferences (only the major conferences listed in LMTSM Conference List).

**OR**

**5.1.5.4** Two cases in HBS (Harvard Business School), Ivey or ACRC (Asia Case Research Centre) or ACRJ (Asian Case Research Journal)

**5.1.5.5** The sub-clause 5.1.5.4 is applicable only for students admitted under PhD (Executive) programme.

**5.1.6.** Publication Requirements for the candidates admitted from the year 2019 onward:

**5.1.6.1** One paper accepted in one of the above listed journals (In the case of Australian Business Deans Council (ABDC) journal list ONLY A\*, and A journals are considered) (journal list of any year starting from the year of joining of the doctoral candidate will be considered).

**OR**

**5.1.6.2** Two Revise and Resubmit (R&R) (only FT-50, A\*, and A of ABDC) papers with thorough review and detailed comments.

**OR**

**5.1.6.3** Two conference full papers AND one B in ABDC list /SSCI Journal list (OR) One conference full paper AND two B papers in ABDC list/SSCI journal list. Only the major conferences listed in LMTSM Conference List are permitted. If the conference paper acceptance is based on extended abstract and not based on full paper, the paper will not be considered even if it is presented in a conference from the approved list.

**5.1.6.4** Two cases in HBS (Harvard Business School), and/or Ivey

**5.1.6.5** The Director, LMTSM can grant permission for any other research paper publication criteria based on requirement.

**5.1.7** PhD candidates admitted before December 31, 2011 have to publish at least one paper in a journal indexed in SSCI/SCI/ABDC lists as a pre-requisite for submission of thesis.

**5.1.8** Director, LMTSM and Chairperson, TSM, Senate can modify the publication criteria.

**5.1.9.** It should be noted that simply meeting the criteria under various sub-clauses of 5.1 will not guarantee candidate's right to submission of the thesis synopsis.

**5.1.10.** The final decision to allow a Ph.D. candidate to submit their thesis synopsis rests with the DRP Committee.

**5.1.11** A thesis synopsis/ draft dissertation submitted by the Ph.D. candidate will be evaluated by the Doctoral & Research Program Committee (DRPC). If this committee is satisfied with the draft, then a **Doctoral Evaluation Committee (DEC)** is constituted for further evaluation of the dissertation.



## **5.2. Ph.D. Thesis Evaluation/Examination:**

**5.2.1. A Doctoral Evaluation Committee (DEC)** is always constituted for the purpose of evaluating a specific Ph.D. candidate. This committee comprises of experienced scholars specific to the research area of the candidate. The members of the DEC will be nominated by the Director LMTSM.

### **5.2.1.1. DEC Members:**

- Up to two Members from outside LM TSM specific to the research area
- A faculty member from LM TSM
- A faculty member from TIET-Patiala
- Supervisor (and co/joint supervisor)

**5.2.2.** The DEC will have minimum five members and will be chaired by the DRP Chair. Agreement/recommendation of majority of the DEC members is required for recommending for the award of the Ph.D. degree to the candidate by the Institute.

**5.2.3.** Three copies of the thesis, printed on both sides of the paper and softbound (spiral), be submitted by the candidate to DEC accompanied with a fee, as approved by Board of Governors (BOG), and a certificate from the supervisor(s) in the prescribed format.

**5.2.4.** The candidate is required to undergo a viva-voce examination (thesis defense) before DEC.

**5.2.5.** Candidates required resubmitting their theses after revision will be charged full fee as prescribed for submitting the original thesis.

**5.2.6.** After successful defense of the Viva-Voce Examination and before the notification of the result by the Registrar (TIET, Patiala). The candidate is required to submit one copy of Ph.D. thesis duly corrected in electronic form and two hardbound copies duly corrected and printed on both sides of the paper.

### **5.2.7. Depository with UGC:**

After the successful completion of evaluation process, the candidate shall submit the final thesis to the University Library for hosting the same in **INFLIBNET**.

## **6. Award of Doctorate (Ph.D.) Degree:**

**6.1.** The **Doctoral & Research Program Committee** under the Chairpersonship of DRP Chair shall communicate the final recommendation of DEC to the Registrar (TIET) for the award of Ph.D. degree to the candidate on the basis of examiners' reports along with the gist of reports prepared by the Doctoral Evaluation Committee. The decision will be reported to the Senate of LMTSM.



6.2. The Registrar, TIET shall publish the result and issue a provisional degree in accordance with the decision of the Chairperson, Senate of LMTSM.

6.3. The reports of the examiners may, on request, be supplied to the students after the award of degree.

7. **Communication:**

All the official communications with respect to doctoral research and Ph.D. program can either be done through traditional paper documents or through electronic media or a combination of both.

-----