

LM Thapar School of Management

THAPAR INSTITUTE OF ENGINEERING AND TECHNOLOGY

Handbook for Ph.D. (for Executives)-2021

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1. Guidelines for course structure

These guidelines will be admissible for the students admitted for Ph.D. (Executive) since July 2019.

The student needs to complete 48 credit hours course work which shall comprise,

- 30 credit hours of core courses
- 12 credit hours of electives and/or independent study in the area of research
- 6 credit hours of practice teaching to MBA student (second year) spread over a period of two to four years

The detailed course structure will be

Semester I: August- December

| S.No. | Course | Course code | Credits |
|-------|--|-------------|-----------|
| 1 | Introductory Seminar in OB/OT | OB8201 | 2 |
| 2 | Introductory Seminar in Strategic Management | SM8201 | 2 |
| 3 | Introductory Seminar in Operations & Information Systems | OP8201 | 2 |
| 4 | Introductory Seminar in Finance | FN8201 | 2 |
| 5 | Introductory Seminar in Marketing | MK8201 | 2 |
| 6 | Introductory Seminar in Quantitative Research Methods | RM8201 | 2 |
| 7 | Introductory Seminar in Qualitative Research Methods | RM8202 | 2 |
| 8 | Logical thinking and Structuring for Case & research paper writing-I | RM8203 | 2 |
| | Total Credits | | 16 |

Semester II: January-May

| S.No. | Course | Course code | Credits |
|-------|---|-------------|-----------|
| 1 | Advanced Seminar in OB/OT | OB8304 | 3 |
| 2 | Advanced Seminar in Strategic Management | SM7301 | 3 |
| 3 | Advanced Seminar in Social and Commercial Entrepreneurship | ET8301 | 3 |
| 4 | Advanced Seminar in Sustainability | SM8310 | 3 |
| 5 | Logical thinking and Structuring for Case & research paper writing-II | RM8204 | 2 |
| 6 | Elective I: | | 3 |
| | Advanced Seminar in Quantitative Research Methods | RM8304 | |
| | Advanced Seminar in Qualitative Research Methods | RM8302 | |
| | Total Credits | | 17 |

Semester III: June-July

| S.No. | Course | Credits |
|-------|----------------------|----------|
| 1 | Independent Study-I | 3 |
| | Total Credits | 3 |

Semester IV: August-December

| S.No. | Course | Credits |
|-------|------------------------------------|----------|
| 1 | Elective-II/Independent study-II | 3 |
| 2 | Elective-III/ Independent study-II | 3 |
| | Total Credits | 6 |

(1 credit hour = 15 Hours equivalent)

The candidate is expected to pursue independent study/elective in their area of research in consultation with supervisor.

2. Submission of Ph.D. Research Proposal

2.1 Every candidate will be required to submit a research proposal to Institute Research Board (IRB) within 36 months from the date of admission, duly recommended by the supervisor(s), after successful completion of 18 credits with a minimum CGPA of 7.0. The candidate with less than 7.0 CGPA will not be allowed to continue the PhD program. However, an extension of six months may be granted by the competent authority. If the candidate fails to submit the proposal during this period including the extension period, her/his admission may be cancelled. In case the proposal is rejected by the Institute Research Board (IRB), he/she may resubmit it within next six months starting the date of meeting of IRB, failing which her/his admission will be cancelled.

2.2 Checklist for submitting Research Proposal

- Candidate is required to submit the Supervisor Acceptance Form first (SAF), duly signed by your supervisor(s) (Refer Appendix-A for the Form).
- Candidate is required to give the presentation of the research proposal to the faculty members and the research scholars before the final IRB.
- Candidate have to submit 8 (including those required by your supervisor and doctoral committee members) hard copies of research proposal, duly signed by your supervisor(s).
- An IRB constitution form, an approved list of panel of examiners, and the SAF shall then be sent to the academic section in TIET, Patiala where they will see if any documents are pending from candidate side. Candidate will have to provide the pending documents, if any, and then a clearance certificate is issued by the Assistant Registrar for the IRB.

3. Research Progress Monitoring

3.1 The DRP Committee will monitor the research progress of the Ph.D. candidates through their participation in Research Progress Meetings.

3.2 The research progress monitoring meeting must be held at least once in two months which is attended by the members of research advisory committee. The research advisory committee may include an external faculty or industry expert as associate member. The meeting is convened by the supervisor.

3.3 Dropping of Semester: A PhD candidate can drop maximum of two semesters. Such candidates will have to pay fee for the dropped semesters.

3.4 Minimum Stay in Campus: The Ph.D. executive scholars need to stay at least five days (maximum in two visits) every semester on campus

4. Submission of Ph.D. Thesis:

4.1 The following requirements are to be treated as necessary (but not sufficient) conditions for submission of PhD thesis for examination.

4.2 After the candidate successfully completes 48 credits of PhD course work and meets minimum publishing requirements as per PhD academic regulations, then he/she can proceed for the approval of Doctoral Quality Committee. Once all necessary conditions are met, the Doctoral Quality committee, after examining all the documents will approve the application for submission of thesis.

4.3 The candidate can submit his/her thesis to the Registrar within seven years, but not earlier than *three* years from the date of his/her admission. However, two further extensions of one year each may be granted by the competent authority.

4.4 Doctoral students are expected to achieve one of the following as a minimum requirement for submitting their Ph.D. Thesis:

4.4.1 The candidates are required to consider the following three lists of journals for research publications:

- **UT Dallas 24 (UTD - 24) Journal list**
<https://jindal.utdallas.edu/the-utd-top-100-business-school-research-rankings/list-of-journals>
- **Financial Times 50 (FT - 50) Journal list**
<https://www.ft.com/content/3405a512-5cbb-11e1-8f1f-00144feabdc0>
- **Australian Business Deans Council (ABDC) Journal list 2019**
<https://abdc.edu.au/2019-review/>

4.4.2 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**). This rule will be for PhD students admitted from 2019.

OR

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

OR

- Two conference full papers (only the major conferences listed in LMTSM Conference List). (Refer Appendix-B) **AND** one B in ABDC list /SSCI Journal. 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. This rule will be applicable for PhD students admitted from academic year 2019.

OR

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

4.5 It should be noted that simply meeting the criteria 4.2, 4.3 and 4.4 will not guarantee candidate's right to submission of the thesis synopsis. The candidate has to go through process detailed in para 4.6 and 4.7

4.6 A thesis / 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.

4.7 Final decision to allow a Ph.D. candidate to submit their thesis synopsis rests with the IRB Committee.

5. Ph.D. Thesis Evaluation/Examination:

5.1 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 DEC Members:

- Supervisor(s) 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 (instead of one external expert)
- DRP Chair (Chairperson of the committee)

5.3 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 University.

5.4 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.

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

5.6 Candidate required to resubmit the thesis after revision will be charged full fee as prescribed for submitting the original thesis.

5.7 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.

5.8 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. programme can either be done through traditional paper documents or through electronic media or a combination of

both.

8. General Guidelines for Course Work

- PhD (Exe) students must attend all the classes regularly for receiving credit for courses. Though regular attendance is essential but not necessary. The students can access the online recording of sessions. In that case it will be responsibility of student to timely submit the assignments/any other work assigned by Faculty-in-Charge of course.
- All PhD (Exe) students must maintain academic integrity and ethics while submitting the assignments/publishing the papers/pursuing research. Plagiarism in any form will not be acceptable (zero plagiarism tolerance). If any doctoral student found his/her work plagiarized the candidate will be summarily dismissed from the programme.
- The zero tolerance for plagiarism applies to in-class/take home examinations, ideas for research, proposal, presentation of results, words.
- A student may audit a course with permission of Academic Coordinator and Faculty-In-Charge for that course. But audited courses may not be used for credit.
- A student may add or drop from any course/elective within stipulated time period. In general circumstances, stipulated time period will be one week from the first class of course or three sessions of the course (whichever is lesser). No request for the same will be entertained after stipulated time. Withdrawal from the course after that will be considered as 'F' grade in that course.
- A student collecting the primary data need to take prior approval of Institutional Review Board in LMTSM.
- The cost of data collection shall be borne by PhD (Exe) student.
- A student withdrawing from PhD (Exe) programme due to any reason must inform to DRP Chair/Academic Coordinator for their intention to withdraw. All the facilities to the student will be immediately withdrawn upon the receipt of withdrawal application.

9. General Guidelines for Proposal Submission

- In general, number of pages for proposal should range from 10-15 pages
- APA 6th Edition guidelines should be followed for style, line spacing, font size, paper quality, pagination, margins, spellings, quotations, endnotes, Tables, and Figures.
- The generally accepted format for Proposal will be
 - i) Introduction: This section should include brief historical review, recent advancements, and context of present research.
 - ii) Problem Statement: Discuss research questions that you wish to address
 - iii) Objectives: list of goals that will be achieved through proposed research
 - iv) Preliminary Review of Literature: summary of previous related research, its strength and weakness, and justification for your research. Why your research is still necessary in that context.
 - v) Methodology: research methods, and research design
 - vi) Reference: APA style

10. Guidelines for Independent Study

- The independent study can be taken by scholar in the area or allied area of research for Ph.D./ M.Phil.
- The study can be undertaken under the supervision of supervisor/other faculty in that area.

- The modality of the study, that is, readings/scope will be decided by the supervisor/ faculty.
- The outcome of the study needs to be publishable research article/working paper.
- The proposal of independent study (maximum two pages) will be submitted by scholar within two weeks of undertaking the study. The proposal must include broader scope and outcome of study.
- The evaluation of the independent study will be done by two-member committee, concerned faculty and any other member suggested by faculty. The scholar needs to present the work in front of wider audience.