

*** ACADEMIC REGULATIONS FOR DOCTORAL PROGRAMME IN MANAGEMENT (EXTERNAL)**

PREAMBLE

The programme aims to provide an opportunity to researchers, teachers and industry professionals to excel their career in teaching, research and consultancy. The Programme is designed specially for working professionals while continuing their jobs. The programme will be offered under the Faculty of Management, ^ANirma University.

R.DPM (Ext.)-1 Registration of Research Scholars:

1.1 **Eligibility:**

- (a) A Master's degree or equivalent with a minimum of ^D **55%** marks or equivalent grade recognized by the ^A Nirma University. In addition, the candidate should have at least three years full-time teaching experience in management or related discipline or five years of relevant industrial work experience at managerial level.
- (b) Notwithstanding anything contained above, the ^B Director General may make relaxation in the above criteria in individual case based on the genuineness and the merit of the case.

- 1.2 **Procedure for Registration:** ^C The University will invite applications from the candidates through advertisement in the press or in the website. The candidates who intend to register for the study will have to apply in the prescribed Proforma along with a preliminary research proposal ^D **with tentative title, the final title would be decided , in consultation with his/her guide later at time of submitting the comprehensive research proposal** on which they intend to work. If more number of applications are received than available seats then, entrance test will be conducted followed by an interview before a committee consisting of the Dean of the Faculty of Doctoral Studies and Research, the Dean of the Faculty of Management, DPM Chairperson, the Faculty Guide and one faculty from the area in which the research scholar is interested to pursue his research work. The Committee will also assign the guide On the recommendations of this Committee the candidates will be registered for the Doctoral Programme in Management. ^D **Provided, however that while considering the applications the preference will be given to the candidates who have passed the National Level Test like UGC/ SLET / teacher fellowship holder, M.Phil etc or its equivalent, such candidates will not be required to appear in the test conducted by the university**

* Published vide Notification No. NU-1864K dated 8.11.2007, BoG mtg.-30.10.07, resolution No.-8

A - Amended by substitution vide Notification No. NU-267 dated 14.10.2009, resolution No.-9 (a)

B - Amended by substitution vide Notification No. NU-267 dated 14.10.2009, resolution No.-9 (b)

C – Amended by substitution vide Notification No. NU. 85 dated 11.05.2010, resolution No. 5-I (h)

D– Amended by substitution vide Notification No. NU110 dated14/10/2010, resolution No.5 A(ii)(b).

- 1.3 Notwithstanding anything contained above, the Faculty of Doctoral Studies and Research may consider the cases of the students who are registered under any other statutory or recognized university to cancel their existing registration there and have registered under NU with the work carried out so far by such students provided the recognized guide of the earlier University is available in any of the institutions of this university and provided further that such guide is also recognized by the NU subject to following conditions:
- i. The existing University under which the student is working gives Certificate of cancellation of his registration.
 - ii. The student concerned has not completed the duration of 4 years from the date of his registration under the existing University as prescribed under provision of R-2.6.
 - iii. The student prepares to pay the fees for the remaining period to this University.
 - iv. The student completes the course work as prescribed under the R-1.5 of this University.
 - v. The case is recommended by the committee constituted for the purpose of registration under R-1.2.
 - vi. The work completed in previous University should be certified by a committee to be constituted with two outside experts by the ^B Director General.
 - vii. The overall period of getting Doctorate Degree should not be less than minimum 4 years including the period of Registration in the previous University.

1.4 **The DPM Committee:** The Dean, Faculty of Management will appoint the DPM Committee, which will generally have one member from each Academic Area including the Chairperson (DPM). The Committee will monitor the overall conduct of the course work of the programme. All the issues related to the course work of the programme will be discussed and resolved by the DPM Committee.

1.5 **Course-work requirement:**

Course Structure:

The Course work for the External Doctoral Programme will be of 18 credit hours. All research scholars are required to acquire prescribed credits, as applicable, through course-work, which shall normally be completed within one year from the date of joining by the research scholars. The research scholar who is not in a position to complete the course work in the prescribed time limit as above, due to genuine reason, may file an appeal and on the recommendation of the DPM Committee, Dean of the Faculty of Management, and the Dean of the Doctoral Studies and Research, the ^B Director General may grant extension up to one additional year.

The details of course work are as follows:

1. **Bridge Courses:** The research scholar is required to take the courses equivalent to **9 credit** hours as detailed below:

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Sr. No.	Course	Credit Hours
1	Management Thought	3.0
2	Strategy Management	3.0
3	Course from the area of research	3.0

These courses will be covered mainly through counselling and seminar modes:

2. **DPM Specialisation Courses:** The research scholars are required to take **6** credit hours of research-orientated courses specially designed for the Research scholar. The course details are as follows:

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Sr. No.	Course	Credit Hours
1	Research Methodology	3.0
2	Statistical Methods for research	3.0

^c In addition, the candidate will also undergo a seminar of **3 credits**.

3. **Course Outline:** The faculty, identified by the DPM Committee in consultation with the concerned Area(s) will design the course outline, and if recommended by the Committee, the same will be forwarded to the Dean, Faculty of Management for its approval.
4. **Attendance:** The course work requires regular attendance in all the classes. Any issues related to absenteeism in any of the courses will be discussed and resolved by the DPM Committee. However, registrant for such Programme shall be required to be present on the campus for the course work at least for 60 days.
5. **Course Assessment:** A system of continuous assessment using multiple methods of assessment tools will be followed to monitor research scholar's academic performance during the course work. The assessment of research scholar will be done to measure the knowledge, skills, and application ability, identified as intended learning outcomes. The course faculty will assess understanding of theories, business practices and applications illustrated and discussed in respective courses.

C – Amended by substitution vide Notification No. NU. 85 dated 11.05.2010, resolution No. 5

Assessment Tools

Research scholars will be assessed on the following components:

- Quizzes/tests/exercises
- Case study analysis
- Library/web assignment
- Field project
- Term paper
- Written examination
- Any other technique (As specified by the concerned faculty)

Assignment of weightage to different components

The concerned faculty will have the freedom of deciding the assessment components as well as their weightages based on the nature of the course.

Grading system

The research scholar will be awarded letter grades for each component and the grading scale is as prescribed under:

A	=	Excellent
B	=	Good
C	=	Average
D	=	Adequate
F	=	Fail

There will also be 'I' grade i.e., Incomplete. The research scholar should satisfy all the requirements of the course to achieve an appropriate grade otherwise the letter grade 'I' will be awarded. In order to remove the 'I' and receive a desirable letter grade the research scholar will be required to meet the specified course requirement.

The programme shall use plus and minus grades.

Steps in grading

1. The faculty will award letter grades for each component of assessment.
2. Component Grade and their Grade Values/Quality Point:

Grade	Grade Value/Quality Point
A+	4.333
A	4.000
A-	3.666
B+	3.333

Grade	Grade Value/Quality Point
B	3.000
B-	2.666
C+	2.333
C	2.000
C-	1.666
D+	1.333
D	1.000
D-	0.666
F	0.000

3. Grades will be converted into Quality Points and multiplied by decimal values of weightage. Thus, Weighted Component Point will be computed. (See Para-2)
4. All Weighted Component Points will be added to compute Weighted Component Point Total.
5. Course Grade will be computed on the basis of Weighted Component Point Total, using Para 6.
6. Conversion from weighted component point total to course grade

Range of Grade Points	Course Grade
4.167 and Above	A+
3.833 to 4.166	A
3.500 to 3.832	A-
3.167 to 3.499	B+
2.833 to 3.166	B
2.500 to 2.832	B-
2.167 to 2.499	C+
1.833 to 2.166	C
1.500 to 1.832	C-
1.167 to 1.499	D+
0.833 to 1.166	D
0.500 to 0.832	D-
Less than .499	F

7. Weighted Component Point Total for courses will be multiplied by their Credit Hours and resultant values will be added. Then they will be divided by total Credit Hours that a research scholar has earned. Thus, Grade Point Average (GPA) will be computed.

Academic Standard:

The research scholar will be required to obtain letter grade of minimum 'B-' for satisfactory completion of a course and an overall CGPA of 2.666 for satisfactory completion of course work.

R.DPM (Ext.)-2

2.1 Regular registration

The research scholar will be allowed to have Regular registration for conducting research once he earns the minimum CGPA as mentioned above, by the Dean, Faculty of Doctoral Studies & Research.

2.2 Monitoring mechanism

The Research Progress Committee (RPC) consisting of Dean-Faculty of Management, DPM Chairperson, Guide, Co-guide, if any, and two experts to be nominated by the ^B Director General, one of whom will be from outside the University will meet at least once in a term and monitor the progress of the research scholar and, based on the suggestions of the committee, the research scholar will take follow-up actions.

2.3 The Dissertation Proposal

After successfully completing the course work, within three months, the Research scholar will be required to develop a comprehensive dissertation proposal under the guidance of his/her guide. The purpose of the dissertation proposal is to determine whether the research scholar has identified a researchable topic and designed an acceptable research approach (i.e., whether the research scholar's proposal is likely to result in a dissertation that makes a contribution to the body of knowledge). DPM Chairperson will schedule a proposal examination to judge whether the dissertation proposal can be defended and developed into a complete dissertation.

The copies of the proposal will be distributed to all RPC members and other faculty members in the concerned Academic Area at least two weeks prior to the defence. A copy will also be kept in the research scholar's file. Following the research scholar's defence, all the RPC members will decide whether or not the research scholar has successfully defended the proposal and on the recommendation of RPC, submitted to the ^B Director General through Dean, Faculty of Doctoral Studies & Research, the ^B Director General will finally approve the same. The research scholar will be informed that his or her proposal has been (1) accepted, (2) rejected, or (3) modifications are required.

B - Amended by substitution vide Notification No. NU-267 dated 14.10.2009, resolution No.-9

In the case of (3), the research scholar will be given a list of required changes/ suggestions. If they are minor in nature in the opinion of RPC members, then research scholar will have to incorporate those changes in the proposal and with the approval of his guide, he/ she will be required to submit the revised proposal to the DPM office. In the case of major changes, the candidate will have to defend his/her proposal in open seminar and the above-mentioned process will be repeated once again without any exception.

2.4 **Change of Topic of Research:**

Normally the research scholars who are so registered shall not be permitted to change topic of research. The Faculty of Doctoral Studies and Research may waive this, provided the problem of research remains substantially the same, with the approval of ^B Director General.

2.5 **Cancellation of Registration:**

The Faculty of Doctoral Studies & Research shall be competent to cancel the registration of a research scholar in the event of his not showing satisfactory progress and on the RPC reporting the same to the Executive Registrar through Dean, Faculty of Doctoral Studies & Research and Executive Registrar recommending to the ^B Director General for cancellation of the registration.

2.6 **Time limit for submission of Thesis:**

Normally, the time limit for submission of Ph. D. thesis shall be minimum of 4 years and maximum of 6 years from the date of registration. Provided, however, that the ^B Director General on the recommendation of the RPC and Dean, Faculty of Doctoral Studies & Research may after 6 years, permit the research scholar to work for one more year to complete the work in a genuine and justified case. In that case, the research scholar will be required to renew the registration on the payment of prescribed fees.

2.7 **Payment of Tuition & other fees:**

The research scholar registered for the Ph. D. degree shall be required to pay the tuition and other fees as prescribed from time to time for all the terms from the registration to the date of submission of thesis.

2.8 **Renewal of registration:**

The research scholar who after completing 6 (six) years from the date of his **first registration**, intends to continue his work for Ph. D. degree shall be required to renew his registration by paying the tuition fees for each additional term of extension under intimation to the Executive Registrar through the Dean, Faculty of Doctoral Studies & Research. Such extension will be given by the ^B Director General on the recommendation of the RPC. The research scholar who has so renewed his Ph. D. registration shall submit the thesis normally within a period of not more than seven years from the date of his original registration.

B - Amended by substitution vide Notification No. NU-267 dated 14.10.2009, resolution No.-9

R.DPM (Ext.)-3

Recognizing a teacher as qualified for guiding the research scholar for Doctoral Research:

- 3.1 All Professors working in the University and having Ph. D degree shall be considered deemed to be recognized as Ph.D. guides.
- 3.2 For teachers other than professors, the guidelines will be as follows:
 - (a) The teacher who is recognized as Ph.D. guide by any other recognized University before joining this University shall be considered deemed to be recognized Ph.D. guide irrespective of the facts as to whether he has completed three years of experience.
 - (b) A teacher must have a Ph.D. Degree of a recognized University and a minimum of three years experience of teaching/research.
 - (c) Notwithstanding anything contained above, the ^B Director General will consider the case of an eminent expert who is associated with any of the institutions or departments under the ^A Nirma University by way of Visiting Faculty/ Part -Time Faculty/ Adjunct Professor, having long standing experience of teaching and research and meeting with the minimum requirement to become recognised Ph.D. guide i.e., he is having Ph.D degree of a recognised university and 10 years experience so also the recognition as PhD guide by any other statutory university in past or present, subject to the other provisions of the regulations made applicable to other recognised PhD guide.
 - (d) Co-guide: If the recognized guide of the Recognized Institution desires to have Co-guide for the purpose of coordination between the student, the guide and the concerned department of the University, he/ she may request for the same and on the request, the co-guide will be appointed by the ^B Director General; provided the co-guide meets with the requirements for recognition as Ph.D. guide in the concerned subject.

Provided further that, if the co-guide in the concerned field is not available from within the University, then the same be appointed from the concerned Research Organization.

A - Amended by substitution vide Notification No. NU-267 dated 14.10.2009, resolution No.-9

B - Amended by substitution vide Notification No. NU-267 dated 14.10.2009, resolution No.-9

- 3.3 No teacher in the University shall be permitted to guide more than ^D **Eight** Ph.D. students at a given time. Maximum ^D **Two** students may be registered in the first year after recognition and thereafter ^D **three** each in subsequent years.

Notwithstanding anything contained, the Director General in exceptional cases where the teacher concerned has the experience of long standing for guiding students in other universities in the concerned field, may grant the permission to register the students for Doctoral Studies beyond ^D **2 (two)** in the first year of recognition, but limited to ^D **8 (Eight)**.

- 3.4 Normally no teacher or the recognized Ph.D. guide shall register a Ph.D. student on completion of 64 years of age. However, in exceptional cases on the recommendations of the Dean, Faculty of Doctoral Studies and Research, the ^B Director General may consider to allow such guide to register the students even after the age of 64 years.
- 3.5 A student desirous to change his guide shall apply to the Executive Registrar through both the old and the new guiding teachers, DPM Chairperson, Dean of the Faculty of Management and the Dean of Doctoral Studies and Research. The decision will be taken by the ^B Director General on the recommendation of the Dean, Faculty of Doctoral Studies and Research. Provided that in the case of death of a guide or long leave or prolonged sickness of a guide or the cases of similar nature, a candidate may apply to the Executive Registrar for changing his guide and such application shall be forwarded by the Executive Registrar to the ^B Director General through the Dean, Faculty of Doctoral Studies and Research.

R.DPM (Ext.)-4

Procedure for submission of Thesis and follow-up action:

- 4.1 On completion of the research work for the Ph.D. by a research scholar, the guide shall organize a pre-synopsis seminar in consultation with the DPM Chairperson to appraise the researchers and other research scholars of the Institute, the research scholar's work and receive suggestions for improvement of the research work. The RPC shall assess the work of research scholar through this seminar. If the RPC is not satisfied with the quality of the work of the research scholar then the research scholar shall do further work and deliver a fresh seminar after a definite period specified by the RPC.
- 4.2 If the RPC is satisfied with the pre-synopsis seminar of the research scholar, the Guide shall forward the application along with synopsis of the research scholar including a certificate about the completion of the pre-synopsis seminar to the Executive Registrar through the Dean, Faculty of Management and the Dean, Faculty of Doctoral Studies & Research.

B - Amended by substitution vide Notification No. NU-267 dated 14.10.2009, resolution No.-9

D- Amended by substitution vide Notification No. NU110 dated 14/10/2010, resolution No.5 A(ii)(b).

- 4.3 The research scholar shall have to submit the thesis within minimum 6 (six) months from the date of submission of synopsis.
- 4.4 Each research scholar shall submit four copies of the thesis embodying the results of his research ^C along with two CDs out of which one CD will be sent to the INFLIBNET. The thesis shall contain an account of the research work carried out by the research scholar leading to the discovery of new facts or techniques or new correlations of scientific facts already known; the work being of such quality that it makes a definite contribution to the advancement of knowledge.
- 4.5 The thesis shall be submitted through the Guide, DPM Chairperson, Dean, Faculty of Management, and Dean, Faculty of Doctoral Studies and Research to the Executive Registrar. It shall contain certificate to the effect that the thesis incorporates the results of independent investigations carried out by the Research Scholar himself, and signed by the Research Scholar and the guide.
- 4.6 The Research Scholar shall not be permitted to submit thesis for which degree has already been conferred by this or any other University. But the Research Scholar shall not be precluded for incorporating his work, which has already been submitted elsewhere for a degree, in his present thesis covering a wide field. In such a case, he shall so indicate in written statement, which shall accompany the thesis.
- 4.7 The ^B Director General, from among at least six names recommended by the Faculty of Doctoral Studies and Research giving present or past designation and complete address of each of the person on the panel, shall appoint a Board of Referees consisting of three members. One of the three referees, ordinarily the guiding teacher under whom the research scholar has worked shall be the internal referee and the other two shall be the external referees. The two external referees shall examine the thesis and submit individual reports, within the time specified for this purpose.
- 4.8 After receiving favourable reports from both the external referees, a viva-voce test by the internal referee with the help of one of the external referees to be appointed by the Dean, Faculty of Doctoral Studies shall be arranged and the two referees shall prepare a joint report on the viva-voce test.
- An open seminar chaired by the Dean, Faculty of Doctoral Studies & Research or his nominee will be held before the viva-voce test. The date & time of the seminar to be conducted will be communicated to the University by the guide through proper channel. The open seminar, however, will not be considered as part of the Ph.D. Examination.

B - Amended by substitution vide Notification No. NU-267 dated 14.10.2009, resolution No.-9

C – Amended by substitution vide Notification No. NU. 85 dated 11.05.2010, resolution No. 5-I (h)

- 4.9 If the two external referees ask for certain clarifications before giving their recommendation, the internal referee may get in touch with the research scholar to obtain the required information, and communicate the same to the external referees. In such cases, where the external referees reserve their recommendations, the internal referee may forward all the reports including that of the viva-voce, to the Executive Registrar who in turn will submit one document to the Faculty of Doctoral Studies and Research for final recommendation and on such recommendation, the Academic Council will take final decision.
- 4.10 In case of difference of opinion between the two experts / referees, the ^B Director General shall appoint from the list recommended by the Council, a third external referee. If third external referee finds the thesis unacceptable, no viva-voce will be held and the thesis be rejected. In case the third external referee considers that there is a *prima-facie* case for the award of the degree, the viva-voce test of research scholar shall be held at which the external referee who is in favour of the acceptance of thesis will be present.
- Provided further that when it is decided to appoint third external referee the copies of the reports of both the referees, favourable as well as adverse, will be sent to the third referee for his perusal, without disclosing the identity of the said both referees.
- 4.11 Where no internal referee is appointed, the Dean, Faculty of Doctoral Studies and Research will arrange the viva-voce examination with the help of at least one of the two external referees.
- 4.12 All reports of the Board of Referees and the report of the viva-voce as approved by the Academic Council shall be submitted to the Board of Governors for approval and on the approval of the Board the Degree will be awarded.

B - Amended by substitution vide Notification No. NU-267 dated 14.10.2009, resolution No.-9