

THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)

In the Faculty of Business Administration

(With effect from. 30-06-2006)

PBA 1 SHORT TITLE AND COMMENCEMENT

PBA 1.1 These Regulations shall be called Visvesvaraya Technological University Degree of Doctor of Philosophy (Ph.D.) of the Faculty of Business Administration Regulations.

PBA 1.2 These shall come into force from the date of their notification by the University and be applicable to the students who seek registration for Ph.D.

PBA 2 DEFINITIONS

In these Regulations unless the context otherwise requires:

- i. Ph.D. Registration Committee means the specialist body appointed by the Vice Chancellor in the disciplines concerned.
- ii. Degree means the Degree of Doctor of Philosophy (abbreviated as Ph.D.)
- iii. University or VTU means Visvesvaraya Technological University.
- iv. NRI/FN/PIO (Non Resident Indians/Foreign Nationals/ Persons of Indian Origin) means a candidate under these categories as defined by AICTE/UGC/MHRD.

PBA 3 ELIGIBILITY FOR REGISTRATION

PBA 3.1 There shall be provision for three categories of registration to the candidates for Ph.D.

- i. **Full Time:** Students who are desirous to pursue research studies on Full Time basis
- ii. **Part Time:** In-service candidates, either faculty members working in any Engineering College, Polytechnic / University in India (recognized / accredited by appropriate bodies) or candidates working in any public / private / Govt. sector organizations who are desirous to pursue research on Part Time basis.
- iii. **Full Time/Part Time (Special) NRI /FN/PIO:** Candidates under these groups shall be eligible for either Full Time as indicated in 3.1(i) or on Part Time (as indicated in 3.1 (ii)) basis. However, the Candidates shall have passed UG or PG programmes with the medium of instruction in English or qualified in TOFEL/ELTS. The Candidates shall be able to Communicate and submit the thesis in English language only.

PBA 3.2 The candidate shall possess Master's Degree in Management Studies or any other Master's Degree, which is recognized and considered equivalent by VTU, Belgaum (two year full-time PGDBA / PGDBM / PGDM which are approved by AICTE, New Delhi) (Approval of Equivalence Committee is needed).
(66th EC resolution no. S1, dated 07.04.2007)

- PBA 3.3**
- i. The Candidate shall have obtained minimum of 60% or equivalent Grade marks in Master's Degree examinations as considered for the declaration of Class / Grade by the concerned University. However, a relaxation to the extent of 10% shall be allowed for
 - a) Candidates belonging to SC/ST and any other category as notified by Government of Karnataka from time to time.
 - b) Candidates with Five years experience either in teaching or research, subject to the provisions of these Regulations.

ii In addition to the above, the candidate shall have qualified in the University Level Research Aptitude test, the results of which shall be valid for a period two years.
(Amended and approved in 83rd EC resolution no. 2.3.1, dated 08.12.2009)

PBA 4 REGISTRATION

PBA 4.1 The candidate satisfying regulation PBA 3.3 shall submit his/her application for registration to the University in the prescribed format along with other necessary documents; viz, *degree certificate, marks cards of all examinations, employers no objection certificate if employed, consent of the Guide, and such other documents prescribed*, through the Head of the Institution where candidate intends to do research. The Head of the institution shall forward the application of the candidate along with the Bio-data of the Guide, his/her degree certificates, and list of Research Publications. In case of employed candidates, no objection certificate from the employers for pursuing research shall be necessary. In case of Full Time/Part time (Special) Candidates he/she shall possess valid passport & MHRD clearance letter.

PBA 4.2 At the time of registration, the candidate shall indicate the topic of research, scope of research and the related field of specialization. The candidate can register in only such department, which is recognized as a Research Centre by VTU.

PBA 4.3 There shall be a Ph.D. Registration Committee constituted by the Vice-Chancellor for the faculty of Management consisting of:

- i) One of the members and Chairman of the Board of Studies in Management
- ii) Two subject experts
- iii) Registrar as Member and Convener

The Vice-Chancellor shall nominate one of the Members of the committee as the Chairman of the Committee.

PBA 4.4 The University shall call for Applications for registration during January and July every year. The Ph. D. Registration Committee shall meet in February & August and consider:

- a) Applications for Registration by the candidates
- b) Eligibility and recognition of the Guide/s.

The Committee can invite the Guide/s for the meeting if required. In special cases, subject to the approval of the Vice-Chancellor, it shall be open for the Chairman of the Committee to invite other specialists, if required, by justifying in writing for such an invitation. The Committee shall send its recommendations regarding the provisional registration to the University immediately after the meeting. The process shall normally be completed by March and September respectively and soon thereafter, the University shall communicate the decision to the candidate, the Guide and the concerned Head of the Institution.

PBA 4.5 The provisional Registration of the candidate shall be confirmed on successful completion of the course work and comprehensive viva.

PBA 5 PART-I: COURSE WORK

PBA 5.1 The Guide shall prescribe four courses of study; three of them out of the subjects listed by the University and one by himself relating to the area of research proposed by the candidate and forward it along with the candidate's application for registration. The Ph.D. Registration Committee shall scrutinize and approve the courses proposed by the Guide and modify, if necessary.

New courses shall be added to or obsolete courses deleted from the existing list on the recommendations of the Board of Studies from time to time.

- PBA 5.2** All candidates whose provisional registration has been approved shall submit the application for the examination in the subjects of course work (PART-I) in response to the notification issued by the University in this respect along with prescribed fees. The written examinations for the subjects of the course work (PART-I) shall be conducted normally along with the MBA examinations of VTU.
- PBA 5.3** The candidates shall be permitted to apply and appear for one or more subjects at a time in a given examination.
- PBA 5.4** The question paper shall be set jointly by the examiners appointed for the purpose by the University from the panel recommended by the Board of Studies in Management.
- PBA 5.5** The two examiners shall independently value the answer papers.
- PBA 5.6** If the difference between the marks awarded by the two examiners is not more than 15, the marks awarded to the candidate shall be the average of the two evaluations.
- PBA 5.7** If the difference between the marks awarded by the two examiners is more than 15, a third examiner shall evaluate the script. The average of the marks of the nearest two evaluations shall be considered as marks secured by the candidate. However, if one of the three marks falls exactly midway between the other two, then the higher two marks shall be taken for averaging.
- PBA 5.8**
- For Part-I courses the candidate shall obtain a minimum of 50% of the maximum marks in the University Examination for each subject.
 - Letter Grades shall be allotted to the candidates declared eligible as follows:
76-100Marks: A
61-75Marks: B
50-60Marks: C
- PBA 5.9** A candidate can take a maximum of two attempts to pass in a subject of Part-I. However, the course shall be completed within two years of provisional registration. In case the candidate does not fulfill this, the registration shall get cancelled. However, the candidate may apply for fresh registration.
- PBA 6** **PART- II: COMPREHENSIVE VIVA-VOCE**
- PBA 6.1**
- Such of the candidates who have successfully completed Part-I shall have to take a comprehensive viva-voce within one year of completing Part-I. However, the University may allow a further period of six months, on receipt of request from the candidate with recommendations from the Guide and the Head of the Institution.
 - Comprehensive viva-voce shall be a closed room viva-voce consisting of only the examiners and the candidate.
- PBA 6.2** Comprehensive viva-voce shall consist of a presentation by the candidate on the topic of his/her research, which shall include the work done by him/her till date and the work proposed. Viva-voce shall be conducted by a Committee consisting of Guide/s and two experts in the field appointed by the University from amongst a panel of six examiners recommended by the Chairman of concerned Board of Studies in consultation with the Guide. The Vice-Chancellor shall appoint one of the experts as the Chairman of the Committee.
- PBA 6.3** The University shall fix the date of comprehensive viva-voce normally within 8 weeks of intimation from the Guide on readiness of the candidate.
- PBA 6.4** The Committee shall send a recommendation regarding the outcome of the viva-

voce. The recommended candidates shall continue their research. In case a candidate is not recommended, the Committee shall indicate the specific areas in which the candidate needs strengthening of his/her knowledge and he/she shall appear for the comprehensive viva-voce once again before the same Committee within six months of his/her taking the first viva-voce. In the event of the Committee not recommending even at the second attempt, the provisional registration of the candidate shall stand cancelled.

PBA 7 ELIGIBILITY FOR SUBMISSION OF THE THESIS

- PBA 7.1** a) A Full Time candidate shall be eligible for submission of the thesis after a minimum period of three years from the date of provisional registration, subject to completion of all other prescribed requirements.
- PBA 7.2** b) The candidate shall present two open seminars in all, at the research centre where he/she is registered related to his/her research and also prepare a research paper for each seminar in standard research paper format to be evaluated by a Departmental Committee consisting of senior faculty and approved as qualified / not qualified. If not qualified, one more seminar shall be given within 15 days and the Candidate may be deemed to have been qualified.
- PBA 7.3** The maximum period for submission of the thesis for Full Time students shall be six years from the date of provisional registration.
- PBA 7.4** A Part Time candidate shall put in a minimum of six months of residential requirements in not more than 3 phases at the Institute through which he/she has registered before submitting the thesis.
- PBA 7.5** A Part Time candidate shall be eligible for submission of the thesis after a minimum period of three years from the date of provisional registration at the University.
- PBA 7.6** The maximum period for the submission of the thesis for Part Time candidates shall be six years.
- PBA 7.7** The maximum period may be extended by a period of one year, in both the above cases, on the specific recommendations of the Guide/s, Head of the Department and Head of the Institution, by the Vice-Chancellor whose decision on this shall be final. The candidate shall submit a request for such extension to the University at least one month prior to the completion of the stipulated maximum period, through the Institution.
- PBA 7.8** Each Candidate shall submit the progress report of his/her work to the University through the concerned Guide/s and the Head of the Institution at the end of every six months which shall be reviewed by the Ph.D. Registration Committee and if two consecutive reports are not satisfactory or the candidate has failed to submit two consecutive progress reports, the registration shall stand cancelled. However, the candidate can appeal to the Vice-Chancellor for revoking the cancellation order through the Guide and the Head of the Institution with valid reasons. The decision of the Vice-Chancellor on this shall be final.
- PBA 7.9** A candidate may apply for a change in the topic of Research for consideration to the Ph.D. Registration Committee at least nine months before the submission of the synopsis as per regulation PBA 8.1, through the Guide/s and Head of the Institution.
- PBA 7.10** Change of the Guide/s may be sought by the candidate under exceptional circumstances by giving reasons for the same and endorse by the Head of the Department which shall be permitted on the recommendation of the Ph. D.

Registration Committee in consultation with the

- a) Present Guide and
- b) Proposed Guide/s

The decision of the Ph. D. Registration Committee on this matter shall be final.

PBA 8

PART-III: EVALUATION OF THE THESIS

PBA 8.1

Prior to the submission of the thesis, the candidate shall submit a synopsis of the thesis.

The candidate shall submit six copies of the synopsis in the approved format to the Head of the Institution along with:

- a) Application for adjudication of the thesis.
- b) Certificate from Guide/s stating that (i) Seminar/Comprehensive viva-voce and all other academic requirements are fulfilled and (ii) there is prima-facie case for consideration of the thesis and the thesis does not contain any work, which has been previously, submitted for the award of any degree anywhere.
- c) Certificate from the Head of the Institution that there are no arrears of dues up to the date of submission of synopsis.

PBA 8.2

The Head of the Institution shall arrange to send four copies of the synopsis to the Registrar (Evaluation).

- a) A copy of the synopsis shall be sent by the institution to the concerned Chairman of the Board of Studies and the Chairman in turn shall propose a panel of twelve names of experts for adjudication of the thesis, in consultation with the Guide, which shall include six from abroad, to the Registrar (Evaluation).
- b) The University shall arrange to send the synopsis to the referees identified as per PBA 8.4 and obtain their concurrence to evaluate the thesis. This shall be obtained by the time the thesis is submitted.

PBA 8.3

The candidate shall submit six hard copies of the thesis of the research work along with a soft copy to the Head of the Institution within three months from submission of the synopsis. The Head of the institution shall make arrangements to send five of these copies to the Registrar (Evaluation). In case the candidate fails to submit his/her thesis within three months from the date of submission of synopsis, he/she may seek extension of time accordingly from the Registrar (Evaluation), supported by the recommendations of the Guide and the Head of the Institution.

PBA 8.4

The University shall arrange for the thesis to be evaluated by three referees, namely, the Guide, and two other experts appointed by the Vice-Chancellor from the panel as per PBA 8.2.

PBA 8.5

The University shall send a copy of the thesis for evaluation to each referee.

PBA 8.6

All the referees shall evaluate the thesis normally within a period of three months from the date of receipt and send their Reports independently to the Registrar (Evaluation). The Report shall include:

- a) A critical analysis of the work of the candidate as embodied in the thesis.
- b) List of questions to be asked or points to be clarified at the viva- voce.
- c) A definite recommendation as to whether the thesis attains the standard for the award of Ph. D. or not.

The referee shall indicate one of the following recommendations:

- i) Recommended for the award of Ph. D. degree
- ii) Recommended for the award of Ph. D. degree with clarification at the time of

- viva-voce
- iii) Recommended for the award of Ph.D. degree with modification /additional work (to be clearly specified by the examiner) and specifying whether re-submission of the thesis is required or not.
 - iv) Not recommended for the award of Ph.D. degree (reasons to be clearly mentioned).
- PBA 8.7** When favorable recommendations are received from all the referees, the Registrar (Evaluation) shall convey the same to the Guide along with copies of the adjudication reports of the thesis, with a request to conduct the final *viva voce* of the candidate. The Committee for the final viva-voce shall consist of the Guide as the Chairman, Co-Guide, if any, and the Indian examiner. In case the Indian examiner informs in writing his/her inability to be present at viva-voce, the Guide shall intimate the same to the Registrar (Evaluation), who in turn shall appoint another Indian examiner from the panel of examiners. The candidate shall provide suitable clarifications for all the queries, if any, at the time of viva-voce.
- PBA 8.8** If two of the referees have not recommended for the award of the degree, the thesis shall be rejected. However, it shall be open for the candidate to seek registration afresh with the University.
- PBA 8.9** If any one of the referees finds that the research work is not up to the expected standard, the referee shall give detailed reasons for the same. In such a case, it shall be sent to a fourth referee appointed by the University from the panel. If the fourth referee gives a favorable report, the Registrar (Evaluation) shall initiate further steps as in PBA 8.7. On the other hand, if the fourth referee also does not approve, then the thesis shall be rejected. However, it shall be open for the candidate to seek registration afresh with the University.
- PBA 8.10** The final viva-voce shall be conducted at a centre approved by the University, which shall, normally be the institution in which the research work was carried out/ the regional centre of VTU/ the institution where the Guide is working. The procedure for the conduct of the final viva- voce shall be as follows:
The Guide shall fix the date of viva-voce in consultation with the referee selected by Vice-Chancellor and shall inform the date to the candidate and the Registrar (Evaluation) in advance.
The Guide shall invite the Registrar (Evaluation), the Head of the institution, members of the teaching staff and research scholars to attend the viva-voce as observers.
The candidate shall make the presentation of the research work carried out, highlighting the important findings / conclusions in about 30 to 45 minutes. After the presentation, the committee shall examine the candidate to test the understanding of the candidate on the subject matter of the thesis and also replies to the written queries of the referees in their thesis evaluation reports. The candidate shall produce all documents, data and analysis in support of the research work presented in the thesis. After the completion of the viva- voce, the Guide shall give opportunity to the invitees to seek clarifications from the candidate.
On completing the viva-voce, the Committee shall submit a Report to the Registrar (Evaluation) indicating clearly whether the performance of the candidate was satisfactory and if so, giving specific recommendation for the award of Ph. D. degree by the University.
In case the performance of the candidate is not satisfactory, the Committee may

PBA 8.11

report accordingly, recommending another viva-voce to be conducted after three months. The University shall arrange another viva-voce with the same Committee.

After successful completion of the viva-voce, the Guide shall send the consolidated Report to the University and the University with the approval of the Executive Council of VTU shall award the Ph.D. degree to the Candidate.

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