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Late Dr. (Col.) Prof. A. Balasubramanian  
Founder President & Chancellor  
Sri Balaji University, Pune (SBUP)



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UNIVERSITY FOR OPPORTUNITIES

Founder President & Chancellor - Late Dr. (Col.) Prof. A. Balasubramanian

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Brochure for  
**DOCTOR OF PHYLOSOPHY (PH.D)**  
Programme in Management Science - 2022

# Rules, Regulations, and Guidelines of Ph. D Programme in Management Sciences

Sri Balaji University, Pune provides Ph.D. programmes in the faculty of management sciences in the domain areas of Marketing, Finance, Human Resource, International Business, Systems and IT, Business Analytics, Supply Chain & Operations.

“Sri Balaji University, Pune “hereby makes the following Guidelines:

## 1. Short title, Application and Commencement:

- 1.1. These Regulations may be called 'Sri Balaji University, Pune' (Minimum Standards and Procedure for Award of Ph. D. Degree) Regulations, 2022.
- 1.2. They shall apply to every constituent Institutes/ Departments of Sri Balaji University, Pune.
- 1.3. They shall come into force from the date of their publication in Sri Balaji University, Pune regulations.
- 1.4. Sri Balaji University, Pune herein after referred as 'SBUP'

## 2. Categories of Ph. D. Candidates

### 2.1. Full-time

This program is for the young, fresh Management graduates having Post – Graduate degree (MBA / MMS or equivalent) or Diploma (PGDM) holders having their Post – Graduation approved by the Association of Indian Universities (AIU), New Delhi. This program is normally to be completed in 3 (three) years. After clearing the PhD Entrance Test (SBUP PET), which will be conducted by SBUP, the successful candidates will be offered a fellowship. This fellowship would be ₹ 25,000/- (Rs. Twenty Five Thousand) per month, besides an annual contingency grant of ₹ 30,000/- (Rs. Thirty Thousand) will be granted for attending conferences etc. These scholars will be working full time for their research program. During this period, they will assist the Senior faculty in conducting their regular lectures at SBUP, beside continuing their research. These scholars may be offered suitable positions in the University after completing their Doctoral degree (PhD). The candidates who are already Post Graduates with some Industrial or Academic experience or the candidates who are expected to complete their Post-Graduation by August 2020, can also apply.

### 2.2. Part-time

2.2.1. Industry sponsored Ph.D. scholars: It is imperative that the corporate leaders who have to deal/delve and resolve the practical problem of the industry should be encouraged and provided opportunities to undertake Ph.D. studies on major issues comforting them professionally. It will automatically promote industry academia collaboration which is the need of the hour. Flexibility, where necessary will be catered for, without compromising the cardinal principles of Ph.D. studies. This will also directly contribute the delivery of post doctorate deliberations thereby increasing the richness/validity/relevance to academics as well as problem solving exercise in the industry globally. However, making a separate group for industry sponsored Ph.D. scholars does not mean any compromise on rules and regulations studying under SBUP.

2.2.2. Scholars from educational institutes: Research scholars who hold full time jobs in educational institutes and are permitted by their respective organizations to pursue their Ph.D. with SBUP may join as part-time research scholars. These candidates will pursue research under the supervision of SBUP's Ph.D. supervisor and complete the mandatory credit requirements as laid down for course work. These candidates will follow all the rules and the regulations of the Ph.D. programme in letter and spirit. However, the employer of such candidates should ensure to relieve the candidate to complete the course work. Also a no objection certificate must be submitted from his/her employer.

### **3. Eligibility criteria for admission to Ph.D. programme:**

Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. programme:

- 3.1 Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 3.1 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those applicants belonging to SC/ST/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per the policy of Government of Maharashtra from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
- 3.2 In order to ensure that the utility based research undertaken by experienced corporate managers with minimum service of 15 years in the various domain areas/specializations in management, like Marketing, Human Resource, Finance, Business Economics, International Business, Information Technology etc, a new batch of corporate researchers will be formed. The co-supervisors for these corporate researchers may also be from Industries. This will be a unique and novel experience in the corporate research field. The mode of conduct of doctoral research program and the related course work will also be modified wherever necessary, for example, the corporate leaders need not frequently come to the college but our faculties may be visiting cities where the number of registered corporate researchers is more.
- 3.3 For the candidates working in organisations and applying as part time external candidate will have to submit a consent letter from the respective organization.
- 3.4 The candidates who are members of Institute of Chartered Accountants of India (ICAI), Institute of Company Secretaries of India (ICSI), and The institute Of cost Accountants Of India (Erstwhile Institute of Cost and Works Accountants of India (ICWAI). These Qualifications will be considered as equivalent to Post Graduate Qualifications.

### **4 Duration of the Programme:**

- 4.1 A researcher registered for the Ph.D. programme can submit his/her thesis after three years including course work after the completion of course work. The registration will remain valid for a maximum period of 5 years. Ph.D. program shall be for a minimum duration of three years, including course work and a maximum of five years.
- 4.2 Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statutes/ Ordinances of Sri Balaji University, Pune.
- 4.3 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of one year for Ph.D. in the maximum duration.

#### 4.4 Time line of the Course/Course Schedule

Detail	Full - Time Internal Ph.D. Students	Part - Time External Ph.D. Students
Course work	1 Semester	1 Semester
Submission of research proposal	2 Months after completion of course work	3 Months after completion of course work
Extension for submission of research proposal	Additional 1 Month	Additional 3 Month
Duration for submitting thesis	2 Years from the date of registration which is given upon completion of course work and approval to research proposal by Research Advisory Committee	2 Years from the date of registration which is given upon completion of course work and approval to research proposal by Research Advisory Committee
Maximum Duration for submitting thesis	5 Years from the date of registration which is given upon completion of course work and approval to research proposal by Research Advisory Committee	5 Years from the date of registration which is given upon completion of course work and approval to research proposal by Research Advisory Committee

### 5 Procedure for admission:

- 5.1 Sri Balaji University, Pune shall admit Ph.D. students through an Entrance Test (SBUP - PET) to be conducted at the level of the University.
- 5.2 The constituent Institutions/ Departments referred to in sub-clause 1.2 above which are allowed to conduct Ph.D. programmes, shall:
  - 5.2.1 Decide on an annual basis through their academic bodies a predetermined and manageable number of Ph.D. scholars to be admitted depending on the number of available Research supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio (as indicated in Para 6.5).
  - 5.2.2 Notify well in advance on the University website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates;
  - 5.2.3 Adhere to the State-level reservation policy, as applicable.
- 5.3 The admission shall be based on the criteria notified by Sri Balaji University, Pune keeping in view the guidelines/ norms in this regard issued by the UGC and other statutory bodies concerned from time to time.
- 5.4 Institutions as mentioned in Clause 1.2 shall admit candidates by a two stage process through:



- 5.4.1 An Entrance Test shall be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The Entrance Test shall be conducted at the Centre(s) notified in advance (changes of Centres, if any, also will be notified well in advance) at the level of the University as mentioned in clause 1.2; and
- 5.4.2 An interview/viva-voce to be organized by the constituent Institutes/ Departments of SBPU as mentioned in clause 1.2 when the candidates are required to discuss their research interest/area through a presentation before a duly constituted Research Advisory Committee at the departmental level.
- 5.4.3 Exemption from entrance examination:  
Candidates who have cleared NET/SET/SLET/GATE/JRF/M.Phil. shall be exempted from the entrance examination during the period of the validity of the concern test. However, they will have to appear for the personal interview
- 5.5 The interview/viva voce shall also consider the following aspects, viz. whether:
- 5.5.1 The candidate possesses the competence for the proposed research;
- 5.5.2 The research work can be suitably undertaken at the constituent Institution/ Departments.
- 5.5.3 The proposed area of research can contribute to new/additional knowledge.
- 5.6 The University shall maintain the list of all the Ph.D. registered students on its website on year- wise basis. The list shall include the names of the registered candidates, topic of his/her research, name of his/ her supervisor/ co-supervisor, date of enrolment/ registration.

## **6. Eligibility criteria to be a Research Supervisor, Eligibility Criteria to be research Supervisor, Co- Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.**

- 6.1 Any regular Professor of the University with at least five research publications in refereed journals and any regular Associate/ Assistant Professor of the university with a Ph.D. degree and at least two research publications in refereed journals after completion of doctoral research may be recognized as Research Supervisor. (Post PhD publications?) Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 6.2 Only a full time regular teacher of SBUP can act as a supervisor. Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related Institutions/ Departments with the approval of the Research and Recognition Committee.
- 6.3 The allocation of Research Supervisor for a selected research scholar shall be decided by the Research Advisory Committee depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.
- 6.4 In case of topics which are of inter-disciplinary nature where the Research and Recognition Committee feels that the expertise in the Institutions/ Departments has to be supplemented from outside, then it may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/ School/ Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/ Departments/ Industry.

- 6.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one four (4) Ph.D. scholars.
- 6.6 Change of supervisor and transfer of students:
- 6.6.1 Transfer of Ph. D. students from one supervisor to another can be done subject to mutual willingness by both the original and new supervisor
- 6.6.2 In case of change of supervisor is proposed without consent of any supervisor the mater shall be referred to the Research and recognition of committee
- 6.7 In case of relocation of an Ph.D. scholar, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.
- 6.8 In case of any other situation that is not covered in 5.1 to 5.6 above, the decision of Research and Recognition Committee shall be final.

## **7. Course Work: Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.**

- 7.1 The credit assigned to the Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.
- 7.2 The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree.
- 7.3 All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- 7.4 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee, as stipulated under sub-Clause 7.1 above, of the research scholar.
- 7.5 All candidates admitted to the Ph.D. programmes shall be required to complete the course work and clear examination prescribed by the University during the initial one or two semesters. (However, the course work will be conducted only during the first term)
- 7.6 Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. And have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the University from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the University.
- 7.7 Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research and Recognition Committee and the Research Advisory Committee and the final grades shall be communicated to the Institutions/ Departments.

- 7.8 The coursework of 16 credits is compulsory as per the UGC norms. Ensure the requisite attendance (min 75 %) and completion of assignments as per the given time schedule communicated by the Research department of University. A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.
- 7.9 Publications' Requirement: A minimum of two Scopus/ABDC/WoS indexed papers shall be published by the Ph.D. scholar before submission of the Ph.D. thesis for formal evaluation by the external examiners.
- 7.9 Details of course work:

Section	Detail	No: of Credits
I	1. Research Methodology 2. Quantitative Techniques, Computer applications, Research Ethics, Review of published research in the relevant field	8 Credits
II	1. Advanced courses, Seminars / Workshops in related area	4 Credits
	2. Literature review / Presentation	4 Credits
	<b>Total</b>	<b>16 Credits</b>

## 8. Registration

Admission to the Ph. D. Programme will be confirmed upon successful completion of course work and approval of the research proposal by the research advisory committee

- 8.1 The Research student's successful completion of course work shall submit research proposal duly recommended by the research supervisors within stipulated time as mention in the table (4.3).
- 8.2 The Research students who have been exempted from the course work shall submit the proposal within 6 months from the date of provisional admission duly recommended by the research supervisor
- 8.3 The Research proposal to be presented before the research advisory committee should be in the following format.
- I. Introduction
  - II. Review of literature
  - III. Research gaps iv.
  - IV. Research questions
  - V. Statement of problem
  - VI. Objectives of study
  - VII. Hypotheses (if any)
  - VIII. Research methodology
  - IX. Schedule of proposed work
  - X. References

## **9. Research and Recognition Committee and its functions:**

- 9.1 There shall be Research and Recognition Committee for Ph.D. Programme. This Committee shall have the following responsibilities:
  - 9.1.1 To review the research proposal and finalize the topic of research;
  - 9.1.2 To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
  - 9.1.3 To review periodically and assist in the progress of the research work of the research scholar.
- 9.2 A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to Research and Recognition Committee.
- 9.3 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Research and Recognition Committee with specific reasons for cancellation of the registration of the research scholar, with a copy to the research scholar and the supervisor.

## **10. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:**

The overall minimum credit requirement, including credit for the course work, for the award of Ph.D. degree shall not be less than 24 credits.

- 10.1 Upon satisfactory completion of the course work, and obtaining the marks/grade prescribed in sub-clauses 6.8 above, as the case may be, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/ thesis within a reasonable time, as stipulated by the University.
- 10.2 Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee of the Institution concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/ thesis in consultation with the Research Advisory Committee.
- 10.3 Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/ thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
- 10.4 The Academic Council of the University shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.



- 10.5 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the University, of whom one examiner may be from outside the state. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers. The chairperson of viva-voce examination shall be appointed by Vice Chancellor of the University.
- 10.6 The public viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of both the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. If the evaluation report of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend viva-voce, the University shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the Ph.D. degree.
- 10.7 The University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of one year from the date of submission of the dissertation/ thesis.

## I Authorities and Bodies

### A) Board of Deans:

- |   |                  |
|---|------------------|
| 1. Vice Chancellor/ Pro-Vice Chancellor | Chairman         |
| 2. All Deans                            | Member           |
| 3. Director - Research                  | Member           |
| 4. Experts – Two                        | Member           |
| 5. Chief Finance and Accounts Officer   | Member           |
| 6. Registrar                            | Member Secretary |

### Functions/ Scope of Board of Deans:

1. Recognition of Ph.D. research supervisor.
2. Cancellation of Recognition of research supervisor.
3. Approval to Ph.D. guidelines.
4. Approval to Ph.D. entrance guidelines.
5. Punishments for Plagiarism.
6. To decide fee structure for Ph.D. Programme.

### B) Research and Recognition Committee (RRC) (for each faculty):

- |                                |                       |
|--------------------------------|-----------------------|
| 1. Dean of the Faculty         | Chairman and Convener |
| 2. Two Professors              | Members               |
| 3. Two Experts                 | Members               |
| 4. All Heads of the Department | Members               |

### Functions/ Scope of Research and Recognition Committee (RRC):

1. To recommend Ph.D. guides for approval.
2. To approve the topic of thesis or dissertation in the subject.
3. To recommend to the Vice-Chancellor a panel of referees for Ph.D. thesis.
4. To recommend extension of Ph.D. semesters of research scholars.
5. To recommend extension of Ph.D. research supervisor.
6. To undertake any other task in research and development matters to recommend to the higher authorities of the University.

### **C) Research Advisory Committee (RAC) (at department level and for each Student):**

- |                           |                       |
|---------------------------|-----------------------|
| 1. Head of the Department | Chairman and Convener |
| 2. Research Supervisor    | Member                |
| 3. Two Subject Experts    | Members               |

#### **Functions/Scope of Research Advisory Committee (RAC):**

1. To recommend to Research and Recognition Committee the proposals for Ph.D. topics for approval.
2. To finalize the dates of pre-submission viva voce for Ph.D. research scholars.
3. To encourage research activities in the department.

## **II Fee Structure**

Application fee for SBUP - PET	₹ 1,500/-
Upon confirmation of eligibility for appearing of SBUP - PET Examination fee for SBUP - PET	₹ 3,500/-
Pre Ph.D. course work fee	₹ 5,000/-
Pre Ph.D. course work exam fee	₹ 5,000/-

#### **Fees for Ph.D. Programme**

I Up to 3 years	₹ 60,000/- per year
II Year 4	₹ 65,000/-
III Year 5	₹ 70,000/-
IV Extended Year 6	₹ 75,000/-
V Extended Year 7	₹ 80,000/-

A Scholarship of 50% in fees will be offered to the serving or retired Personnel from Indian Army/ Navy/ Air force. However, they will have to pay the other fees namely Application fee, SBUP-PET fee, Course Work fee and Course Work Exam fee.

#### **Fees for NRIs & International students**

I Up to 3 Year	US\$ 2,500 (Per year)
II Year 4	US\$ 2,750
III Year 5	US\$ 3,000
IV Extended Year 6	US\$ 3,250
V Extended Year 7	US\$ 3,500

The research scholars of Ph.D. program have to pay the fees annually. However, Ph.D. candidates will have to pay ₹ 50,000/- as examination fee at the time of submitting thesis. For NRIs and international students the examination fee at the time of submitting thesis will be US\$ 2,000. This will include the cost of evaluation, viva voce examination cum open defence and the award of degree for the Ph.D. program.

Winners never quit



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