



ALLIANCE
UNIVERSITY

*Private University established in Karnataka State by Act No. 34 of year 2010
Recognized by the University Grants Commission (UGC), New Delhi*

Alliance School of Business

Doctoral Program 2018

Course Catalogue

Welcome

Welcome to the Doctoral Degree Program (Ph. D.) in Management at Alliance School of Business, Alliance University.

Alliance School of Business, Alliance University is a premier institute of higher learning committed to creating, conveying and applying knowledge to continuously provide opportunities for professional and personal growth. Alliance School of Business, Alliance University is dedicated to building a strong future for its students. It aims to provide an opportunity for an education and professional experience of a student's life that is the most exciting and rewarding.

Alliance University has taken great efforts to create a world-class research program at Alliance School of Business. We have a team of faculty members with outstanding credentials in research and a very strong publishing record. Our team of in-house faculty is complemented by a panel of distinguished international visiting faculty who are able to serve as research mentors to our doctoral students. Our Library has assembled electronic and printed resources that provide access to almost all the research literature in management. Our doctoral program has been designed to help develop scholars who will be world-class in their research and writing.

This Course Catalogue will provide you with an overview of the details of the doctoral program at Alliance School of Business, Alliance University and the subjects that you will study as well as other relevant academic details.

The doctoral degree program consists of coursework in two areas. A doctoral student is required to choose an area of specialization from among Marketing, Finance, Organization, Leadership and Human Resources, and Systems and Operations. In addition, all students study subjects in Management Science irrespective of their specialization choice. You will, through this curriculum develop the foundation in both your specialization area as well as in research methods. Based on this foundation, you will be able to conduct your dissertation research with world-class academic standards, and be able to publish new knowledge in the journals of record in your chosen areas. In our opinion, the differentiating factor of the doctoral program at Alliance University lies in the rigor and comprehensiveness of the coursework. We have no doubt that earning a Ph. D. in Management from the Alliance University will prepare you for a fruitful career in research and business academia.

We are confident that you will find your time at Alliance School of Business, Alliance University intellectually satisfying and professionally fulfilling.

What We Expect from Our Students

The Doctoral Program at the Alliance School of Business, Alliance University is intended to develop world class researchers whose work will stand up to peer review at the highest levels.

The objectives for the Doctoral Programs are as follows:

1. Develop researchers who are trained in the highest standards of academic enquiry
2. Develop future academicians in Management who will take their place as faculty members in Management institutions in India and abroad.
3. Develop researchers who will hold the highest standards of Integrity in their research pursuits.

The Doctoral Degree Program (Ph.D.) in Management is uniquely oriented toward the application of theory and knowledge derived from research. The program delivers high quality instruction and prepares the doctoral students for rewarding careers through its program of study, research, field study and continuing dialogue with faculty, practitioners, and colleagues.

Taking these points into account, we expect students to advance their professional careers imbued with important qualities: genuine respect for others; thoughtful points of view that will make people seek them out for guidance; the ability to face setbacks without fear and overcome them. When you graduate from Alliance School of Business, Alliance University understanding the importance of these qualities, we are confident that you will be on the right track throughout your professional life.

An inspirational thought by JK Rowling in her Commencement Address at Harvard in 2008 sums it all: “If you choose to use your status and influence to raise your voice on behalf of those who have no voice; if you choose to identify not only with the powerful, but with the powerless; if you retain the ability to imagine yourself into the lives of those who do not have your advantages, then it will not only be your proud families who celebrate your existence, but thousands and millions of people whose reality you have helped change. We do not need magic to change the world; we carry all the power we need inside ourselves already: we have the power to imagine better.”

1. Overview of the Program

a. Admissions

- i. Admission to the Doctoral Program in Management is open to applicants who possess a Master's Degree in a Management Discipline or an equivalent qualification.

b. Coursework

- i. The minimum requirement for the coursework is 48 credits — eight subjects of six credits each. Each credit is equivalent to 16 hours of coursework. The pass percentage is 60 percent for each subject.

c. Publication

- i. As per the norms set by the University Grants Commission (UGC), each doctoral student is expected to have a research article accepted for publication in a peer-reviewed journal deemed appropriate by the Doctoral Committee prior to the award of the Doctoral Degree.

d. Comprehensive Examinations

- i. On the successful completion of the coursework, the doctoral student is required to appear for the Comprehensive Examinations. The Comprehensive Examination is conducted by an Examination panel appointed for each specialization area by the Doctoral Committee. The Doctoral Committee administers the Comprehensive Examination and reports the results.

e. Dissertation Research: Guidance and Evaluation

- i. On the successful completion of the Comprehensive Examination, a Research Guide will be assigned for each candidate by the Area Chair of the Specialization in which the Candidate is registered. The Research Guide will be a faculty member of the Alliance School of Business and will chair the Dissertation Committee.
- ii. The Research Guide will advise the student on the research work and formation of the Dissertation Committee.
- iii. The Candidate will work under the advice of the Research Guide supported by the Dissertation Committee on his/her Dissertation Research Project.
- iv. On completing the dissertation work, the doctoral candidate is required to submit the draft thesis to the Dissertation Committee. The Dissertation Committee will make the decision whether the thesis may proceed for final review.
- v. The final review is conducted by the Final Review Committee which will comprise of the Research Guide and at least two other members. Both of the members will be external to Alliance University. One will be an international expert who has conducted similar or connected areas of research. The other external reviewer may be based in India. The external reviewers are not required to be present at the Doctoral Dissertation Defense.

- vi. On the approval of the Final Review Committee, the Doctoral Candidate will present their research at the Dissertation Defense. The Defense will be open to the University Community.
- vii. The Final Review Committee will recommend the award of the Ph. D. degree in Management to the doctoral candidate after the successful completion of the Dissertation Defense.
- viii. The duration of the Dissertation research is expected to be between 12 – 24 months from the time of the Comprehensive Examinations.

f. Program Administration

- i. The Doctoral Committee of the Alliance School of Business holds primary responsibility for the administration of the Doctoral Program in Management.
- ii. The Doctoral Committee falls under the purview of the Office of the Dean within the Alliance School of Business.
- iii. The Doctoral Committee falls under the purview of the Faculty of Doctoral Studies and Research at the University Level.
- iv. The Doctoral Committee and the Office of the Dean (ASOB) works with the Area Chairs in the Alliance School of Business in the conduct of the coursework and dissertation research guidance.

2. Conduct of Research and Research Integrity

a. Academic Freedom

All members of the University enjoy certain rights and privileges essential to the fulfillment of its primary functions, such as instruction and the pursuit of knowledge. Central among these rights is the freedom, within the law, to pursue fruitful avenues of inquiry, to teach and to learn unhindered by external or non-academic constraints and to engage in full and unrestricted consideration of any opinion.

Behavior that obstructs the free and full discussion, not only of ideas that are safe and accepted, but of those which may be unpopular or even abhorrent and thus vitally threatening this privilege, is discouraged.

b. Academic Honesty and Standards

Academic honesty is essential to the continued functioning of the University as an institution of higher learning and research. Breach of those expectations or failure to follow the appropriate policies, principles, rules and guidelines of the University with respect to academic honesty may result in disciplinary action against the doctoral student.

If an allegation is made against a doctoral student, then the Director of the Doctoral Committee may place the doctoral student on academic hold — pending the decision of higher authorities. When a doctoral student is placed on academic hold, then the student is blocked from all activity inclusive of privileges as a doctoral student.

c. Intellectual Property Policy

The policy generally applies to scholarly work conducted while the doctoral student is enrolled at or employed by the University. Copyright and other intellectual property rights to scholarly and literary work — including books, lecture notes, laboratory manuals, artifacts, visual art and music — produced by those connected with the University belong to the individuals involved. Publishers of these works may acquire copyright as a condition of publication.

The purpose of this policy is:

- To promote scholarly integrity among scholars
- To proscribe activities which breach generally acceptable standards of scholarly conduct
- To provide a process for dealing with allegations of scholarly misconduct in a timely manner

d. Student Conduct and Discipline

- The Vice Chancellor, Alliance University has the authority to deal summarily with any matter of student discipline and to take disciplinary action as warranted by a doctoral student's academic misconduct
- A doctoral student who has a criminal proceeding initiated against the student will not be permitted to continue as a doctoral student in the University

e. Anti-Plagiarism Policy

- i. Plagiarism is intellectual theft. It occurs when an individual submits or presents the oral or written work of another person as his or her own. Failing to properly cite the work of another also constitutes plagiarism, even if it is accidental.
- ii. Plagiarism constitutes serious academic misconduct. Every case of plagiarism, whether in coursework, a thesis or a dissertation, is deemed as illegal and the doctoral student loses the chance to continue with the work. The Doctoral Committee will in effect cancel the registration of the doctoral student in case of plagiarism.

3. Admissions

a. Eligibility

- i. As per UGC norms, candidates with a Master's Degree in a Management discipline are eligible to apply.
- ii. In addition, candidates with the following qualifications are also be eligible to apply:
 1. PGDM or PGP in a Management Discipline that has been deemed equivalent to an MBA by the Association of Indian Universities (AIU).
 2. PGDM from an institution that has been accredited by the AICTE. The criteria for minimum duration and course load (credits) of AICTE PGDM programs will be decided by the Doctoral Committee and ratified by the Equivalence Committee and Research Council.
 3. PGDM or PGP from an institution that has been accredited by a recognized international accrediting agency including AACSB, ACBSP, IACBE, AMBA and EQUIS. The criteria for minimum duration and course load (credits) of internationally accredited PGDM and PGP programs will be decided by the Doctoral Committee and ratified by the Equivalence Committee and Research Council.
 4. Junior Research Fellows (awarded by the UGC) who have a strong motivation to do research.
- iii. The minimum work experience criteria of three years will be waived if the applicant possesses an excellent GMAT score along with an excellent academic record. The cut offs for the GMAT and academic record will be decided by the Doctoral Committee and ratified by the Equivalence Committee and Research Council.
- iv. The research motivation of the prospective doctoral candidate should be emphasized in the admissions selection process.
- v. Student Status
 1. Doctoral students, who are classified as 'Internal', are required to pursue coursework on a regular basis. Internal students are eligible for doctoral scholarships and fellowships. In normal course, teaching assistantships and research assistantships are limited to internal students. Internal students are required to complete the doctoral program within four years from the date of admission to the course.
 2. Doctoral students, who are classified as 'External', are required to complete the doctoral program within five years from the date of admission to the course.
 3. Students who are making progress on their dissertation work can apply to the Doctoral Committee for an extension to their student status for one year.
 4. Students are allowed to apply twice for extensions to their student status.
 5. The maximum time allowed for a student to complete the Doctoral Program is six year for internal students and seven years for external students.

b. Selection Process

- i. The applicant will submit an application for admission to the Doctoral Program in Management, accompanied by copies of all academic credentials, a brief research project description and the requisite application fee, to the Office of Admissions.
- ii. The Doctoral Committee will review the applications and short-list the applicants for the Admissions Selection Process.
- iii. The Admissions Selection Process will consist of the Alliance Aptitude Test and the Personal Interview.
- iv. The Office of Admissions will announce the selection of students following the approval of the admissions decision by the Academic Administrators of the Alliance School of Business and the University.
- v. The selected student will have to confirm their attendance by paying the requisite fee as instructed by the Office of Admissions.

c. Document Verification

- i. The Doctoral Student will present original documents of all academic credentials to the Office of the Registrar (Administration) at the commencement of the Doctoral Program coursework.
- ii. The Office of the Registrar (Administration) will announce the deadline by which original documents have to be presented.
- iii. Only after the academic credentials have been verified will the student be allocated a Registration Number.

4. Coursework Details

a. Objectives

- i. The objectives of the coursework in the Doctoral program are to develop the ability in the doctoral student to critically evaluate prior research, and,
- ii. To develop the ability in the doctoral student to design robust research studies.

b. Structure

- i. The coursework in the doctoral program is intended to help the doctoral student understand the theoretical foundations of academic subjects in management, and to develop a thorough knowledge of the research literature in their specialization area. In addition, the coursework will strengthen the subject-matter expertise of the doctoral students in research methods, and prepare them to lead and manage academic research projects.

c. Specializations and Subjects

- i. Doctoral students enrolled in the doctoral program are required to study four subjects in their specialization area, and, additionally, four other subjects in Management Science. The specialization areas offered for research in the program are:

1. Marketing
2. Finance
3. Organization, Leadership and Human Resources
4. Systems and Operations

The doctoral program at the Alliance School of Business also allows for a doctoral student to carry out research work in an interdisciplinary area.

Management Science (Common for students from all specializations)		
Subject Code	Subject Title	Credits
MGT 901	Research Methods I	3
MGT 902	Research Methods II	3
MGT 903	Statistical Methods I	3
MGT 905	Statistical Methods II	3
Marketing		
Subject Code	Subject Title	Credits
MGT 911	Advanced Marketing Theory and Models	3
MGT 912	Consumer Behavior and Constructs	3
MGT 913	Elective – 3	3
MGT 914	Elective - 4	3
Finance		
Subject Code	Subject Title	Credits
MGT 921	Advanced Corporate Finance	3
MGT 923	Management of Banking	3
MGT 926	Elective – 3	3
MGT 925	Elective - 4	3
Organization, Behavior and Human Resources		
Subject Code	Subject Title	Credits
MGT 935	Introduction to work, Personnel, and Organizational Psychology	3
MGT 936	Advanced Studies on Human Resource Management	3
MGT 933	Elective – 3	3
MGT 934	Elective - 4	3
Systems and Operations		
Subject Code	Subject Title	Credits
MGT 941	Advanced Production Management	3
MGT 942	Information Systems Foundations and Theory	3
MGT 943	Elective – 3	3
MGT 945	Elective - 4	3

Please see Appendix 1 for the description of the above listed subjects.

d. Grading and Assessment

i. Grading Practices for Coursework

1. This is not standardized as the delivery of some subjects is based on theory and some on numerical methods. Each subject has a subject outline and a grading pattern for during semester assessment. The Semester End Examination is an academically useful tool of the highest academic standard. In order to maintain the academic rigor, the grading system followed is:

During Semester Assessment (DSA)	50 marks
Semester End Examination (SEE)	50 marks
Total	100 marks

2. The during semester assessment (DSA) is conducted by the subject faculty.

ii. Grading System

1. The following grading system is used:

Percentage Range	Letter Grade	Honor Points	Grading
90 – 100%	A	4.3	Outstanding
80 – 89.9%	B	3.8	Excellent
70 – 79.9%	C	3.3	Very Good
60 – 69.9%	D	2.8	Good
<60%	E	0.0	Fail

iii. Calculation of Grade Point Average

1. There are two types of Grade Point Averages: Semester Grade Point Average (SGPA) and Cumulative Grade Point Average (CGPA).
2. The SGPA is calculated in the following manner. The total marks for a given subject, that is the combined DSA and SEE performances, are given as a percentage. For instance, assume that a student score 93 percent in a subject, then this percentage is converted into a letter grade using the scale shown under 4.d.2; continuing the example above, 93 percent is assigned the letter grade 'A'. This letter grade is then converted into honor points, for example letter grade 'A' is equivalent to 4.3 honor points.
3. SGPA is then calculated as follows:

$$\frac{\sum(\text{Subject honor points earned X Subject credit})}{\text{Total semester credits}}$$

4. CGPA is calculated as follows:

$$\frac{\sum(\text{Subject honor points earned X Subject credits})}{\text{Total credits completed}}$$

iv. Attendance

1. Classroom attendance is a compulsory component of the program, and doctoral students are expected to attend all scheduled classes.
2. A doctoral student failing to obtain a minimum of 60 percent attendance in any subject will be required to retake that subject and will not be able to take the semester end examinations for that subject.

v. Semester End Examinations

1. A doctoral student is eligible to appear for the Semester End Examination for a subject if they have the minimum prescribed attendance for that subject and they have a minimum of 60% marks in the During Semester Assessment of that subject.
2. If a student fails the subject after taking the Semester End Examination, they have the right to apply for a re-evaluation of their exam script. The results of the re-evaluation will be the final result for that examination.
3. If a student fails a subject, he/she is eligible to reappear for the semester end examination for that subject when the semester end examination is next scheduled. The student may reappear for a subject's semester end examination multiple times but must pass all subjects within three years of joining the program.

5. Comprehensive Examinations

a. Objective

- i. A Comprehensive Examination is held after the successful completion of all required coursework. It is intended to test the doctoral student's grasp of the chosen field of study as a whole, and the ability to communicate an understanding of the domain as well as research issues. All students in the doctoral program are required to successfully complete the Comprehensive Examination before being admitted to candidacy.

b. Structure

- i. The Doctoral Committee makes available to doctoral students a written statement of examination policy and procedures. The Comprehensive Examination is separate and distinct from the evaluation of the doctoral dissertation proposal. The nature of the examination may vary significantly from specialization to specialization.
- ii. The following list provides some of the common examination formats used in achieving the purpose of the exam.
 - The doctoral student appears for written examinations
 - An examination of the doctoral student's knowledge orally of the field of study
 - An oral examination of the doctoral student's knowledge of a series of previously assigned research papers or research topic(s)

- The doctoral student prepares a research proposal which forms the basis of an oral examination (this proposal must not be the dissertation research proposal)
 - The doctoral student submits a take-home assignment
 - The doctoral student prepares an extended research paper(s)
- iii. The Doctoral Committee will appoint a Comprehensive Examination Committee for each Specialization. The Program Director will work with the Examination Committees to conduct the Comprehensive Examination.

c. Evaluation

- i. The Comprehensive Examination Committee shall evaluate each candidate on a Pass/Fail basis. No marks are assigned as such.

d. Announcement of Results

- i. The Doctoral Committee will finalize the results and provide the information to the Registrar (Examination and Evaluation) who will announce the results to each student.

e. Reappearing for the Comprehensive Examination

- i. If a student does not pass any part of the Comprehensive Examination, they are allowed to reappear for that part of the Comprehensive Examination when it is next scheduled.
- ii. A student is allowed multiple attempts at the Comprehensive Examination but must successfully pass all parts within five years of joining the program.

f. Advancement to Candidature

- i. Candidates who have successfully completed the Comprehensive Examination advanced to the status of Doctoral Candidates. The Registrar (Administration) will be notified of those doctoral students who have advanced to become Doctoral Candidates.

g. Administration of the Comprehensive Examinations

- i. The Office of the Registrar (Examination and Evaluation) will make the announcement of the examinations to the eligible students.
- ii. The Office of the Registrar (Examination and Evaluation) will also announce the results of the Comprehensive Examinations to the students.

6. Dissertation Research: Guidance and Evaluation

- a. A First Year Mentor will be assigned by the Doctoral Committee, in consultation with the Area Chair of each specialization, to each doctoral student on their entry into the program. The first year mentor will help the student adjust to the process of academic research. It is strongly recommended that the student

develop a research paper under the guidance of the first year mentor and submit the same for review at a peer-reviewed journal by the end of the second semester. The first year mentor need not be assigned as the primary research guide.

- b. The Research Guide serves as the Chair of the Dissertation Committee and takes the lead in guiding the candidate in their dissertation project.
- c. The Dissertation Committee will be comprised of the Research Guide and 4 other members of the Dissertation Committee. The Research Guide is the ultimate authority on the Dissertation Committee. At least one member of the Dissertation Committee will be external to the Alliance School of Business. The remaining members of the Dissertation Committee may be internal or external to the Alliance School of Business.
- d. When the candidate has developed their Research proposal (See Appendix 2) and the Dissertation Committee has given their approval, the Research Guide will request the Doctoral Committee that the Dissertation Proposal Defense for the candidate be conducted. The Proposal Defense will be a seminar open to the University Committee, Dissertation Committee members and other invitees. It is expected that all internal Committee Members will be in attendance during the Proposal Defense. The Dissertation Committee members may use input from all attendees to guide the candidate on any changes required in the proposal. The Research Guide will inform the Doctoral Committee once the Dissertation Committee is satisfied that the Candidate is ready to proceed with the dissertation research.
- e. It is recommended that the doctoral candidate conduct ongoing research seminars in the Alliance School of Business under the guidance of the Research Guide and Dissertation Committee. It is intended that these seminars will provide the candidate with feedback that will help in their dissertation research.
- f. The Final Review of the dissertation takes place when the Dissertation Committee indicates their approval. The draft dissertation document incorporating all instructions from the Dissertation Committee is sent for evaluation as per the process detailed in Section 8.e below.
- g. Modifications to the draft dissertation document shall be made by the candidate on instructions provided by the Final Review Committee. The Final Review Committee will change the decision to “pass without modification” once all the required changes have been verified by the Research Guide.
- h. On the approval of the Doctoral Committee following the “pass without modification” decision of the Final Review Committee, the Doctoral Committee will approve the scheduling of the Doctoral Dissertation Defense.
- i. The Program Director will request the Registrar (Examination and Evaluation) to conduct the Doctoral Dissertation Defense of the candidate.
- j. The Doctoral Dissertation Defense will be a seminar open to the University Committee. The internal members of the Final Review Committee are expected to be in attendance at this Dissertation Defense. The Chair of the Dissertation Committee will inform the Doctoral Committee and the Registrar (Examination and Evaluation) that the Dissertation Defense has been successfully completed.
- k. The final Dissertation Document will be submitted in the prescribed format to the Registrar (Examination and Evaluation). The detailed instructions for the preparation and submission of the final Dissertation Document are provided in Appendix 3.

Program Administration

I. Administrative Oversight

- i. The Doctoral Committee of the Alliance School of Business has primary administrative oversight of the Doctoral Program in Management.
- ii. The Doctoral Committee may designate the Program Director, Deputy Director or other faculty members to carry out tasks as deemed necessary.
- iii. The Doctoral Committee is composed of the Dean/Asst. Dean of the Alliance School of Business (ex-officio), the Program Director, the Deputy Director (if assigned) and 4-5 doctoral faculty members from the Alliance School of Business.
- iv. The Faculty of Doctoral Studies and Research has oversight of the Doctoral Program in Management at the University Level. The Doctoral Committee will periodically inform the Faculty of Doctoral Studies and Research about the Doctoral Program and on request from the Chair of the Faculty of Doctoral Studies and Research.
- v. The Doctoral Committee will inform the Academic Administrators of the University periodically about the status of the program.

m. Doctoral Program Director (and Deputy Director)

- i. The Program Director of the Doctoral Program will be appointed by the Academic Administrators of the University.
- ii. A Deputy Director of the Doctoral Program may be appointed by the Academic Administrators of the University.
- iii. All administrative responsibilities are carried out by the Program Director and/or Deputy Director as designated by the Doctoral Committee.

n. Student/Candidate Status

- i. An applicant receives Provisional Admission into the Doctoral Program once the academic credentials have been verified by the Office of the Registrar (Administration).
- ii. The doctoral student is confirmation as a Doctoral Candidate once they have successfully completed the Comprehensive Examinations.
- iii. The student/candidate has to maintain their eligibility both during the coursework and dissertation stages as detailed in Section 8.c.
- iv. If the student knows that they will not be able to maintain eligibility they may apply for a Leave of Absence from the Doctoral Program.
 1. The application for leave of absence explaining the reasons is made to the Program Director for consideration by the Doctoral Committee.
 2. If the Doctoral Committee feels it appropriate to approve the request, the Doctoral Committee will forward the request with their recommendation to the Dean, Alliance School of Business for further action.
 3. The Academic Administrators of the University will inform the student/candidate of the decision that has been taken and the steps the student/candidate has to take next.

4. The student/candidate may apply for a leave of absence only once during the course of their tenure in the Doctoral Program.
 5. The leave of absence may be granted for a maximum of two semesters from the date of application for the leave of absence.
 6. If the student is unable to complete the coursework requirements during a particular semester, they will have to repeat that semester when they return after the leave of absence.
 7. During the leave of absence, the student or candidate status is kept in abeyance by the appropriate authority of the University.
- v. A student who has been deemed ineligible to continue will have to re-registration into the program. Re-registration will require the student to restart the program from the beginning of coursework.

7. Policies and Procedures

a. Admissions

- i. The announcement of admissions will be made by the Office of Admissions in consultation with the Academic administrators of the University.
- ii. The announcement of admissions will contain the number of seats available in each specialization that are open for admission.
- iii. Applicants are shortlisted by the Doctoral Committee based on their having fulfilled the eligibility criteria described in Section 3.a and if their records indicate their suitability for the Doctoral Program.
- iv. Applicants will appear for the Alliance Aptitude Test unless they possess a high GMAT score or have cleared the JRF examination and possess a valid score for the same.
- v. Applicants will also appear for a Personal Interview with a panel of faculty nominated by the Doctoral Committee.
- vi. The admissions decision will be finalized by the Doctoral Committee based on the results of the aptitude test and personal interviews.
- vii. The admissions decisions are announced by the Office of Admissions following the approval of the admissions by the Academic Administrators of the University.

b. Coursework

- i. The student is expected to complete all the coursework specified for the Doctoral Program in Management as specified in Section 4 of this document.

c. Student Attendance Requirements

i. Maintaining Eligibility

1. Coursework Stage

- a. The student has to maintain minimum attendance in all subjects and pass all subjects in the first attempt to maintain their eligibility in the Doctoral Program.
- b. In case of the student not maintaining the required minimum attendance or if the student fails in any subject in the coursework, the Office of the Dean, Alliance School of Business will recommend cancellation of the registration of the Doctoral Student to the appropriate Academic Administrators and Registrar(s) of the University.

ii. Comprehensive Examination

1. The doctoral student must successfully pass both parts of the Comprehensive examination within five years of joining the Doctoral Program.
2. In the event that a student fails a part of the Comprehensive Examination, they are allowed a second attempt of that part of the Comprehensive Examination.
3. In case that doctoral student fails both attempts at the Comprehensive Examination, including a second failure in one part of the Comprehensive Examination, the Doctoral Committee will report the same to the Office of the Dean, Alliance School of Business for action on the cancellation of registration of the student.

iii. Dissertation Stage

1. Each Research Candidate (Research Scholar) is expected to complete the dissertation in a period of two years from the date of the Dissertation Committee's approval to proceed with the research work. This may be reviewed every six months by the Dissertation Committee and approve of continuation based on sufficient progress.
2. Reporting Academic Progress
 - a. The progress of all doctoral candidates working toward the doctoral program will be reviewed once every six months.
 - b. Each candidate's Dissertation Committee must provide a recommendation and rationale to the Doctoral Committee for either keeping a doctoral student in the program or requesting for the student's withdrawal.
3. In case that the doctoral student fails to make sufficient progress during the dissertation stage and the Doctoral Committee has made a determination that further progress is unlikely in a reasonable time, then the Doctoral Committee will report the same to the Office of the Dean, Alliance School of Business for action on the cancellation of registration of the student.

d. Research Guidance and Teaching of Doctoral Subjects

i. Faculty Eligibility

1. The Research Guide (also referred to as the Supervisor or the Advisor) should have a post Ph. D. teaching experience of at least 5 years, must be active in research, and has a good publishing record. The Supervision should also satisfy the Academic Qualification guidelines as per the norms of the Alliance School of Business (Please refer to the guidelines on Maintenance of Academic Qualification).
2. Alliance School of Business Faculty members who hold a Ph. D. but do not have all the qualifications listed in 8.d.1 can serve on the Supervision Committee as a member of the Dissertation Committee.
3. Five years of Post-Doctoral Research with research publications will be considered as post Ph. D. experience.
4. Only Alliance School of Business faculty members can serve as the Research Guide and Chair of a Dissertation Committee. Faculty members external to the Alliance School of Business may serve on the Dissertation and Review Committees but not as the Guide of any Research Scholar.
5. Any individual can serve as the Research Guide (Chair of Dissertation Committee) of a maximum of Five Research Scholars at any given time.
6. Holders of Doctoral degrees (or its equivalent) in a field connected to the area of research, who have a good publishing record may serve as a Member of the Dissertation Committee.
7. Only those faculty who are qualified to serve as a Member or Chair of a Dissertation Committee may be permitted to teach a Doctoral level subject unless expressly permitted by the Dean, Alliance School of Business, Pro Vice Chancellor (Academics) of Alliance University or Vice Chancellor of Alliance University.

ii. Assignment of Primary Research Guide

1. The Area Chair of the specialization in which the student is registered will assign the Research Guide in consultation with that faculty member and the doctoral candidate.
2. The Research Guide will be a faculty member of the Alliance School of Business.
3. The Area Chair will notify the Doctoral Committee about the assignment of the Research Guide through a written communication to the Program Director.

iii. Selection of Dissertation Committee Members

1. The Research Guide will select the members of the Dissertation Committee in consultation with the Doctoral Candidate and those proposed committee members.

2. The Research Guide will notify the Doctoral Committee about the membership of the Dissertation Committee through a written communication to the Program Director.
3. The members of the Dissertation Committee are selected to provide research guidance complementary to the other members of the Dissertation Committee.

e. Final Evaluation

i. Selection of External Reviewers

1. The Doctoral Committee (or a sub-committee thereof) will select two external reviewers for a candidate's thesis in consultation with the Research Guide of that candidate.
2. The External Reviewers will hold Doctoral Degrees (or its equivalent) in an area related to the research of the candidate and will also possess a strong publication record in the area of research of the candidate.
3. Both reviewers are expected to have conducted research and published papers in areas related to the dissertation.
4. One reviewer must be employed outside India and will hold an academic rank of Associate Professor or higher. Typically, this reviewer will be a tenured faculty member at an international university.
5. The second reviewer may be from within India or outside India.
6. The external reviewers may not be directly affiliated with Alliance University. It is suggested that the external reviewers be affiliated with an international University or Institutes of Higher Learning.

ii. Selection of other Reviewers

1. The Research Guide will serve as Chair of the Final Review Committee.
2. The Doctoral Committee (or a sub-committee thereof) will select the two external reviewers in consultation with the Research Guide of that candidate.

iii. Process of Final Evaluation

1. The Doctoral Committee (or a sub-committee thereof) will be responsible for administering the final evaluation.
2. The Research Guide serves as the Chair of the Final Review Committee.
3. A copy of the candidate's dissertation draft that has been approved by the Dissertation Committee will be forwarded to the External Reviewers.
4. The review of the dissertation will be double-blind, neither the reviewers nor the candidates are supposed to know the identities of the others.

5. Each external reviewer submits their evaluation to the Chair of the Final Review Committee.
6. The evaluation can be in the form of:
 - a. Pass without modifications
 - i. The dissertation is accepted as such and does not require any modifications.
 - b. Pass with minor modifications
 - i. The dissertation requires minor modifications. The Chair of the Final Review Committee is empowered to verify that the modifications have been completed and inform the Doctoral Committee of the same.
 - ii. Once the Doctoral Committee also verifies that the modifications have been completed, the result may be changed to a Pass.
 - c. Major Revisions are required
 - i. The dissertation requires major modifications.
 - ii. The Chair of the Final Review Committee, in consultation with the Dissertation Committee, may choose to send the revised document for a second evaluation to the two external reviewers.
 - d. Fail
 - i. The Final Review Committee makes a determination that any modifications will not be sufficient to bring the dissertation to an appropriate standard. Therefore the work cannot proceed any further and the candidate is deemed to have failed the dissertation defense.
7. The Chair of the Final Review Committee will receive the evaluation reports and communicate the content to the doctoral candidate and to the rest of the Dissertation Committee.
8. The candidate needs to incorporate any feedback from the reviewers into the document draft.
9. The Chair of the Final Review Committee will notify the Doctoral Committee (or a sub-committee thereof) of the evaluation for further action.

iv. Doctoral Dissertation Defense

1. The Program Director will request the Registrar (Examination and Evaluation) to conduct the Doctoral Dissertation Defense.
2. The doctoral candidate has to provide the final title of the dissertation and the abstract of the dissertation prior to the announcement of the defense.
3. The Doctoral Dissertation Defense is a research seminar that is open to the Alliance University Committee and any invitees.
4. All internal members of the Dissertation Committee are expected to be present.

5. The External Members may provide any questions they wish to ask the candidate to the Chair of the Dissertation Committee.
6. The Defense will have two portions. An open session where all members of the University community and attendees may be present. And a closed session with only the candidate and the members of their dissertation committee.
7. The Candidate will make a presentation about their dissertation research during the defense. The candidate can be asked questions by any attendee during the open portion of the defense.
8. During the closed portion of the defense, the Dissertation Committee will be able to ask their questions and provide direction on any further revisions required to the document.
9. The Chair of the Dissertation Committee will inform the Registrar (Examination and Evaluation) the outcome of the Doctoral Dissertation Defense.

f. Award of the Degree

- i. Following the Doctoral Dissertation Defense, the candidate needs to submit their final document incorporating all necessary revisions, to the Chair of their Dissertation Committee.
- ii. The Chair of the Dissertation Committee certifies that all changes have been incorporated and the document is in its final form.
- iii. The final document is prepared as per University requirements, is signed by the Chair of the Dissertation Committee.
- iv. The Doctoral Committee will submit the final signed document to the Registrar (Examination and Evaluation) notifying that the Doctoral Degree may be awarded to the candidate.
- v. The Registrar (Examination and Evaluation) will notify the candidate of the award of the degree following the appropriate procedures laid out by the University.
- vi. In the case of candidates who have failed the dissertation defense, the Doctoral Committee will notify the Registrar (Examination and Evaluation) of the candidate's disqualification from the program.

g. Problem Resolution

- i. During the Coursework Stage, the points of contact for problem resolution are as follows:
 1. The faculty member assigned as instructor for a subject
 2. The Area Chair of the specialization in which the student is registered
 3. The Program Director or another faculty member designated by the Doctoral Committee
 4. The Dean of the Alliance School of Business
 5. A designate of the Faculty of Doctoral Studies and Research
 6. A designate of the University Research Council
 7. The Pro Vice Chancellor (Academics) or Vice Chancellor, Alliance University

8. The Chancellor, Alliance University will be the final point of contact in the case of any problems faced by the Doctoral Candidate.
- ii. During the Dissertation Stage, the points of contact for problem resolution are as follows:
 1. The Research Guide or another member of the Dissertation Committee assigned by the Research Guide
 2. The Program Director or another faculty member designated by the Doctoral Committee
 3. The Dean of the Alliance School of Business
 4. A designate of the Faculty of Doctoral Studies and Research
 5. A designate of the University Research Council
 6. The Pro Vice Chancellor (Academics) or Vice Chancellor, Alliance University
 7. The Chancellor, Alliance University will be the final point of contact in the case of any problems faced by the Doctoral Candidate.

8. Roles and Responsibilities

- a. Doctoral Students are expected to follow the academic standards set by the University during the coursework stage. They are expected to maintain steady progress in their coursework. They are expected to maintain regular contact with their instructors and faculty mentor(s).
- b. Doctoral Candidates are expected to follow the academic standards set by the University in the dissertation research stage. They are expected to consult with their Research Guide and the members of their Dissertation Committee on a regular basis. They are expected to maintain academic integrity in all of their research efforts. They are expected to accord a high level of respect to the faculty members with whom they interact.
- c. The Research Guide serves as the champion for the Doctoral student/candidate. They are expected to provide the best level of support to maintain the progress of the candidate's work and to complete the dissertation research. The Research Guide is expected to guide the students in resolving differences of opinion among the members of the Dissertation Committee and members of the Final Review Committee. The Research Guide has the primary responsibility to ensure that the student/candidate upholds the academic standards of the University.
- d. The Members of the Dissertation Committee are secondary to the Research Guide in the guidance of the candidate's research. They are however, expected to help the candidate uphold the academic standards of the University. Recognizing that the members of the Doctoral Committee provide complementary guidance, the members are expected to be collegial in their discussions and allow the candidate to understand which path to take when faced with conflicting guidance from the Dissertation Committee.
- e. The Area/Department Chair's role in the Doctoral Program administration is confined only to estimating availability of guidance potential in-house as well as in the extended network within the field and to accordingly advise on the number of students to be admitted and replacement of guides when required. Under no

circumstances should the academic autonomy of the Research Guide be constrained by the intervention of the Area/Department Chair.

- f. The Final Review Committee is expected to be fair and provide constructive feedback that will enable the doctoral candidate to fix any problems with the draft dissertation document that has been submitted for evaluation. They are expected to provide clear instructions which the Research Guide can use to verify that the changes have been incorporated into the final document by the candidate. If the Final Review Committee feels that the dissertation is beyond redemption, they are expected to uphold the academic standards of the University and not pass the candidate.
- g. The Doctoral Program Director and Deputy Director (if assigned) have the responsibility to carry out the policies and procedures of the Doctoral Program under the oversight of the Doctoral Committee. They are expected to be fair with all doctoral students and candidates and seek to find solutions for problems. If the Program Director serves as Research Guide, they are expected to recuse themselves from actions typically taken by the Program Director unless instructed otherwise by the Doctoral Committee or Academic Administrators of the University.

Appendix 1:

Subject Descriptions

Research Methods

Research Methods discusses social science inquiry, including experiments, surveys and qualitative field methods, while also furthering learning on conceptualizing problems, designing research, collecting data and interpreting data. The subject also examines the implications and consequences of choices among alternative approaches.

Statistical Analysis

Statistical Analysis discusses social science research methods, and covers formal measurement theory, measures of association, multivariate statistics and the use of a set of techniques for collecting and analyzing data. Doctoral students in the subject will learn the basic concepts of social science research methodology and design their own research study.

Advanced Marketing Theory and Models

Advanced Marketing Theory and Models discusses marketing models, which include: models of consumer behavior; industrial buying and firm behavior; aggregate market models (for example, competition and market entry); strategic marketing models; forecasting methods; new product models; marketing response models, (for example, channels, pricing, advertising and promotion); forecasting models; and decision support systems.

The subject also covers planning, designing, conducting and interpreting research in marketing, while also covering the applications of marketing models in customer relationship management and pricing as well as issues in developing and evaluating marketing models such as model specification, construct definitions, estimation and calibration, validity issues and the role of statistical inference.

Consumer Behavior and Constructs

Consumer Behavior and Constructs discusses consumption and behavior related to the use of products, self-definition, attention, perception, motivation to buy, memory for brands, product and advertising awareness, brand attitudes, product judgment and choice as well as customer satisfaction and brand loyalty among consumers.

Advanced Corporate Finance:

The course focuses on extension of the basic principles of corporate finance. The course is primarily divided into two parts. The first part will focus on a vertical exploration and investigation into some important theories of finance that include agency problem, information asymmetry and some frictions between the owners and runners of the business. This would also focus on empirical investigation into corporate control, risk management and hedging and impact thereby on the goal of the firm.

The second part of the course would focus on application of the theory in corporate world with special reference to finance domain. To be precise, this part will emphasize on understanding and exploring the alternatives to the problems and challenges that a finance executives faces both in the short-term and long-term. Such problems and challenges could be capital rationing, designing capital structure, dividend payout decisions etc.

Thus Advanced Corporate Finance would take the doctoral students through an in-depth understanding and analysis of the role of finance domain in an organization. During and at the end of the course, the candidate is expected to develop an analytical and an investigative approach towards a situation or a problem and comprehend the issues from a practitioner's perspective.

Management of Banking

The course aims at discussing the types, structure and functioning of banks and banking systems in India and abroad. As we are aware, banks as financial intermediaries play an important role bridging the gap between the public and industry. It plays a kind of win-win role for both the depositors and the borrowers. Keeping in view the role and importance of banking system, an attempt would be made t

System. To be precise, the course would focus on licensing system, introduction of new schemes, lending norms, credit worthiness and robust risk management.

While the focus is on strong conceptual perspective about banking system, the emphasis will also be laid on understanding the practical aspects. The coverage the contents would also include a few celebrated research papers on the role and importance of banking system in economic development. It is expected that the course will integrate the theory with the practice through research based discussions.

Advanced Production Management

Advanced Production Management discusses the key theories in production and operations management and covers operations management in process, manufacturing and service organizations; operations strategy and policy; product and service design and development; manufacturing and service systems design; technology management for operations; multi-site operations management; capacity planning and analysis; operations planning, scheduling and control; project management; human resource management for operations; work design; and measurement and improvement. The subject also covers performance measurement and productivity, quality management, purchasing and sourcing systems, materials and inventory management, logistics, transportation, distribution and materials handling, international and comparative operations, operations information management as well as the regulatory and environmental issues in operations.

Information Systems: Foundations and Theory

Information Systems: Foundations and Theory discusses the foundations and key theories in information systems, which include theories related to cognition, systems, social aspects of systems, organizational aspects of systems, tasks, technology-related theories and behavioral theories.

Appendix 2:

Outline of Dissertation Proposal

1. **Introduction:** An overview of the area of study and its importance.
2. **Literature Review:** A comprehensive account of the literature review in the subject and identifying gaps in knowledge. It is expected that the literature review will be exhaustive and the candidate can state with confidence that all the prior literature relating to the research problem has been analyzed.
3. **Problem Definition:** Stating the scope and objectives of the work in detail.
4. **Methodology:** The proposed methodology for achieving the objectives of the project, with approximate time schedules.
5. **Work Plan:** A detailed outline of work for the subsequent six months (a component used to evaluate the doctoral student's progress at the end of each semester of study).
6. **References:** All work that has been cited must appear in the list of references immediately after the Work Plan and before any appendices.
7. **Appendix:** Please keep any material that will conflict with the logical flow of your proposal in appendices that appear immediately after the List of References.
8. **Document Format:** The formatting and style guidelines are available from the Doctoral Program Director.

Appendix 3:

Guidelines for Submission of Final Thesis Document

These instructions are intended to help the doctoral candidate prepare the final thesis document for submission to the University. The thesis document must conform to the highest academic standards in terms of clarity of writing, accuracy of spelling and grammar and the presentation of the document. Non-compliance of these instructions may lead to the rejection of the thesis document submitted and may result in the delay of the award of the degree.

Length of Document

The thesis document will usually be between 100 and 300 pages of text. Appendices and other required documentation fall outside this limit. Please print the thesis on both sides of the sheet.

Outline of the Document

1. Cover Page and Title page (as per design guidelines)
2. Copyright page
3. Abstract
4. List of Members of Dissertation Committee
5. Student's verification of the research work
6. Signature of the Research Guide (Chair of the Dissertation Committee)
7. Acknowledgements (if any)
8. Table of Contents (as per design guidelines)
9. List of Tables
10. List of Figures
11. List of Symbols and Abbreviations (as per design guidelines)
12. Chapters
13. References
14. Appendices
15. End-notes

Chapters

The Chapters are typically organized as follows:

- Introduction
- Review of Prior Literature
- Problem Statement
- Research Methodology
- Analysis and Discussion
- Conclusions and Future Work

Please adapt the outline for your specific research work. Tables and Figures in a chapter should be placed immediately before they are referred to in the text. The list of references should follow APA Style. Appendices should be numbered starting with 1. Please use end-notes for any annotations and place them after the Appendices. Foot-notes are not recommended.

Formatting Guidelines

- Please obtain the formatting guidelines from the Program Director of the Doctoral Program.

Submission Guidelines

- The candidate shall submit one hard copy of a properly formatted final dissertation document to the Program Director for the collections of the University Library. A soft-copy of the entire document shall also be submitted via email and CD/DVD to the Program Director. This soft copy is required for the electronic archives of the University and to upload to the UGC site.
- The candidate shall submit a copy to each member of the Dissertation Committee if requested by that member.



**ALLIANCE
UNIVERSITY**

Private University established in Karnataka State by Act No.34 of year 2010
Recognized by the University Grants Commission (UGC), New Delhi

Alliance School of Business