

Bengaluru Dr. B.R. Ambedkar School of Economics University

Ph.D. Regulations 2020-2021

1. Preamble

Bengaluru Dr. B. R. Ambedkar School of Economics (BASE) University aims to become a globally recognized institution of excellence in the field of Economics and allied academic disciplines. BASE University offers a full-time Ph.D. program for candidates who are motivated, have a distinguished academic record and intellectual curiosity. The main goal of the Doctoral program is to facilitate and nurture students to carry out academic research on complex issues in Economics and Developmental Studies. The University has a quantitative orientation and encourages interdisciplinary studies. This program is designed to create academic, corporate and policy researchers equipped in researching in areas of national and global economic issues.

The University has formulated the Ph. D. Regulations 2020-21 after taking cognizance of University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 and the subsequent UGC regulations.

2. Areas of specialization

The program is open for areas in both theoretical as well as applied economics and allied disciplines, subject to the availability of faculty with required specialization.

3. Eligibility Criteria for the Ph. D. program

Consistent academic record and a Master's degree (M.A./M.Sc.) in Economics or Developmental Studies or related disciplines from a recognized Indian University/Institution with a minimum of 55% marks or its equivalent grade 'B' in the UGC 7-point scale or an equivalent degree from a foreign educational institution subject to the criteria laid down by UGC.

A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade shall be permitted for candidates from OBC (Non-creamy layer) /SC/ST/ differently-abled and other categories as per the decision of the UGC from time to time. This relaxation shall not include any grace marks awarded.

Apart from the above criteria, the candidate should have qualified for any one of the following

i. Qualified for Junior Research Fellowship (JRF) through National Eligibility Test (NET) conducted by UGC

or

ii. Qualified for UGC-NET for Lectureship.

4. Duration of the program

- a) The duration of the Doctoral program shall be for a maximum period of four years (including course work).
- b) An extension of one more year may be permitted upon recommendation by the Doctoral Committee and subject to the approval of Vice-Chancellor
- c) Women candidates and persons with disabilities may be allowed an additional one year for completing the Ph.D. degree.
- d) Subject to the approval of the Doctoral Committee, candidates shall be allowed to submit their thesis after the completion of 3 years (from the date of provisional registration).

5. Admission procedure

- a) The admission procedure for the Ph. D. program shall be advertised widely and on the University's website.
- b) The candidates seeking admission needs to fill and submit the application form in the format prescribed in the admission notification, along with the application fee within the date specified in the admission notification.
- c) All eligible applicants shall be called for an interview/presentation on the proposed topic of research.

6. Admission committee

- a) The Ph.D. program coordinator shall constitute an Admission Committee comprising of faculty members from BASE University and/or experts from outside the University
- b) The Admission Committee shall prepare an evaluation criterion based on domain knowledge of the candidate, research capability and prospective contribution to new/additional insights.
- c) The decision of the Admission Committee shall be final.
- d) The selected candidates shall be duly intimated by the University.

7. Registration for Ph. D.

- a) A candidate selected for the Doctoral program shall be provisionally registered for the program by applying to the University in the prescribed registration form and payment of prescribed fee within the period recommended by the Admission Committee.
- b) The Ph.D. program coordinator shall issue a letter of provisional registration to the candidate.

- c) The confirmation of the registration to the Doctoral program shall be given after the successful completion of the course work. The Research supervisor shall forward a letter to the University through the Ph.D. program coordinator asking for confirmation of registration. This shall be accompanied by the report of the Doctoral Committee on the progress of the candidate during course work and grades/marks obtained.

8. Research Supervisor

- a) A full-time faculty member of the BASE University, meeting all the conditions laid out by UGC would be allotted to each Doctoral candidate as a Research Supervisor within six months from the date of provisional registration.
- b) The allocation of Research Supervisor for the Doctoral candidate shall be decided by the Ph.D. program coordinator as per prevailing UGC norms, number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars.
- c) In case of non-availability of the allotted Supervisor for more than six months and up to one year, a Supervisor in-charge shall be allotted from the University with approval from the Doctoral Committee.
- d) If the Research Supervisor is leaving the University permanently or on deputation for more than one year, the candidate may be permitted to continue with the same supervisor and a newly appointed co-supervisor from BASE University.

9. Doctoral Committee

- a) The Ph.D. program coordinator shall constitute the Doctoral Committee for the candidate within six months from provisional registration.
- b) Research Supervisor of the candidate shall be the convener of this committee. Doctoral Committee shall consist of the Research Supervisor and two experts from the field.
- c) Among the two experts in the Doctoral Committee, one/both shall be from the BASE University or one may be from outside the University, who is specializing in a related field.
- d) The Doctoral Committee shall have the following responsibilities:
 - i. Review the research proposal and finalize the topic of research.
 - ii. Guide the Doctoral candidate to develop the research design and methodology.
 - iii. Review and assess the progress of the research work.
- e) The Doctoral candidate should appear before the Doctoral Committee once in six months and present the progress of the work for evaluation and guidance. This session shall be open to faculty members and other research scholars from the University.

- f) The six-monthly progress report shall be submitted to the University by the Research Supervisor duly endorsed by the Doctoral Committee.
- g) In case of non-availability of a Doctoral Committee member for a long period, the Supervisor can request the Ph. D. program coordinator for a replacement of the member.

10. Course work

- a) The course work is a prerequisite for Ph.D. preparation. The candidate needs to complete the coursework within the first year.
- b) The credits for the program and the assessment pattern would be as per the University norms.
- c) **Credit requirement:** The candidate needs to earn a minimum of 16 credits to successfully complete the course work. The credits can be earned from the courses provided by the University in conformity to the research requirement
- d) All candidates shall take up the four core courses offered as a part of the Ph.D. program, which are 1. Research methodology, 2. Recent Advancements in Economic Theory, 3. Applied Quantitative Techniques and 4. A paper specific to the research area of the candidate. As mandated by UGC, a 2 credit course titled 'Research and Publication Ethics' is compulsory for all.
- e) All core courses offered shall carry 4 credits.
- f) The syllabus for the course specific to the research area shall be approved by the Doctoral Committee.
- g) Candidates coming with less skills in quantitative methods shall take up courses offered in the University related to quantitative methods and computer programming.
- h) During the course work, the candidate is expected to meet the attendance requirements as mandated by the University.
- i) The candidate shall take the examination in the format followed by the University which involves mid-term exams, internal assessments and a final exam. The evaluation of the papers shall be conducted by the faculty who is offering the course.
- j) The candidate has to obtain a minimum of 55% marks or its equivalent CGPA system followed by the University to be eligible to continue in the program.
- k) If the candidate fails to secure the marks/grades above, he/she may be permitted to appear for the supplementary exam within three months. Registration shall stand cancelled if the student fails to clear the supplementary examination.
- l) The performance and grades during course work and research methodology shall be assessed by the Doctoral Committee.

- m) The candidate shall present a research proposal within six months of the final registration to the Doctoral Committee, faculty and research scholars in the University
- n) Upon satisfactory completion of course work and obtaining the marks/grade, the Doctoral candidate shall undertake research work and produce a draft thesis within the time limit prescribed by the university (Refer Section 4).

11. Synopsis

- a) The candidate shall make a pre-submission presentation of the thesis at the University which shall be attended by the Doctoral Committee members and open to all faculty members and other research scholars. The feedback and comments obtained may be suitably incorporated into the Synopsis in consultation with the Research Supervisor and Doctoral Committee
- b) The synopsis of the thesis is an abridged form of the thesis which explains the objectives, the methodology adopted, work done, results and main findings. The University shall prescribe a format for the Synopsis from time to time.
- c) Three hardbound copies and a soft copy of the Synopsis duly endorsed by Research Supervisor and Doctoral Committee shall be submitted to the University along with the prescribed fees to the University, no later than six months from the pre-submission presentation.
- d) A panel of 6 prospective examiners for the evaluation of final thesis (Indian and/or Foreigner) shall be prepared by the Research Supervisor in consultation with the Doctoral Committee and the same shall be forwarded to the Ph.D. Program coordinator along with the Synopsis copy.
- e) Any person related to the candidate or Supervisor should not appear in the panel of the examiners.
- f) After the submission of the Synopsis and on the nomination of the examiners by the Vice-Chancellor, the Ph.D. program coordinator shall send the Synopsis and obtain the consent from the examiners.

12. Publication/Presentation requirement

- a) The Doctoral candidates must publish (or accepted) at least two research papers in peer-reviewed journals rated as A*, A, or B in ABDC rankings and preferably indexed in SCOPUS.
- b) The candidate should make two paper presentations in reputed national/international conferences/seminars before the submission of the thesis, for which evidence shall be provided (Certificate).

13. Teaching Assistance/ Research Assistance

- a) The Doctoral candidate shall work under the Research Supervisor as Teaching Assistant or Research Assistant after the successful completion of the coursework.
- b) The Research Supervisor shall assign academic tasks from time to time to help the candidate to gain adequate experience in teaching and research.

14. Submission of Thesis

- a) The Ph.D. thesis of the Doctoral candidate is expected to meet high academic standards and stand peer review.
- b) The Doctoral thesis (3 hardbound copies and a soft copy) shall be submitted to the University through Ph.D. program coordinator after one month and not later than six months from the date of Synopsis submission
- c) A candidate who is unable to submit the Thesis within six months from the date of the submission of the Synopsis may seek a three-month extension, given a valid reason, and based on the recommendation of the Doctoral Committee and subject to the approval of the Vice-Chancellor.
- d) Once the thesis is approved by the examiners and stand the scrutiny of the viva-voce exam, the candidate shall incorporate all suggestions/recommendations. This version of the thesis shall be submitted in the hardbound form (3 copies) and a soft copy to the University. The Supervisor shall certify that the corrections/suggestions were incorporated.

15. Plagiarism

- a) BASE University considers plagiarism as an act of academic dishonesty and offense. To maintain academic integrity and to promote original work, BASE University discourages students and academicians from any form of plagiarism or copyright violations.
- b) The current policies on plagiarism adhere to UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018 and any changes given by UGC from time to time.
- c) While submitting the thesis, the candidate shall ensure that a plagiarism checking certificate obtained from the plagiarism detection tool recommended by the University, duly endorsed by the Research Supervisor is attached.
- d) The Thesis shall have an undertaking confirming the originality of the work, meeting the standards set by the University on plagiarism and that the work has not been submitted for the award of any other degree/diploma in any University /Institution.

16. Evaluation of Doctoral thesis

- a) The Ph.D. thesis submitted by a research scholar shall be evaluated by the Research Supervisor and two external examiners, who are not employed at the BASE University.
- b) If the reports by all three examiners are satisfactory and recommend a viva-voce examination, the Doctoral candidate shall be eligible to proceed with the public viva-voce exam.
- c) If any of the examiners recommend a revision and resubmission, the candidate shall make necessary changes. The revised version of the thesis shall be sent to the reviewers after taking approval from the Doctoral Committee.
- d) If the report of one or more of the external examiner/s is unsatisfactory and does not recommend viva-voce, the University shall send the 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.
- e) If the latest examiner's report is also unsatisfactory, the registration of the candidate shall stand cancelled

17. Public Viva-Voce Examination

- a) The public viva-voce of the Doctoral candidate shall be conducted within three months upon receiving satisfactory reports from all examiners
- b) The Supervisor shall consolidate all the questions raised by the examiners in a sealed cover that shall be opened only at the time of the viva voce exam by the external examiner.
- c) The Ph.D. program coordinator shall organize the viva-voce examination after ensuring the availability of one of the external examiners, who shall be appointed as the convener of the viva-voce examination upon the approval by the Vice-Chancellor.
- d) The Ph.D. program coordinator shall ensure that the notification of the viva-voce examination is circulated at least 10 working days before the examination.
- e) In case the external examiner is not able to be physically present, the Ph.D. program coordinator can make arrangements for the examiner's participation through video-conferencing.
- f) The viva-voce examination shall be open to Doctoral Committee members, faculty, research scholars of the University and open to the public
- g) During the viva-voce examination, the candidate shall make a presentation on the Thesis. Post presentation, the external examiner shall raise the questions including the ones in the sealed cover. The floor shall be opened for other participants also to raise questions.

- h) A candidate who is successful in the public viva-voce examination shall be declared to have qualified for the Ph.D. Degree. The convener shall declare the result of the viva of the exam.
- i) Post successful completion of the viva-voce examination, the Research Supervisor shall present a report mentioning the viva-voce examination result and attendance list of participants to the Ph.D. program coordinator duly endorsed by the external examiner.
- j) A candidate who is not successful in the public viva-voce examination, may be permitted to undergo the viva-voce examination a second time, within a period of three months.
- k) In the event of the candidate failing again, the Doctoral Committee may recommend revision and resubmission of the thesis and the submission process start afresh from submission of Synopsis.

18. Award of Degree

- a) The University shall award the Degree of Doctor of Philosophy based on the report of the external examiners and evaluation of the candidate during the viva-voce examination.
- b) Candidates who qualify for the Ph.D. Degree, shall be awarded the Ph.D. in Economics

19. Fee Structure

The Doctoral candidate shall pay tuition fee per semester stipulated by the University from time to time.

20. Financial assistance

- a) Doctoral candidates are encouraged to obtain fellowships from various agencies like UGC, ICSSR, RGNF, MANF, JNMF, or any other research fellowships or the fellowships that the University may offer in the future, backed by funding availability.
- b) University may provide directions on contingency grant and conference support for both national and international events in due course of time subject to funding availability.
- c) Doctoral candidates who are not receiving any research fellowship/grant may apply for paid teaching assistance facility.

21. Infrastructure and accommodation

- a) Working space with basic research infrastructure will be provided by the University.
- b) Students can avail the hostel facility on campus for accommodation and student mess services at prevailing rates.

22. Vacation and Casual Leave:

The policy regarding vacation and leaves shall be notified by the University from time to time.

23. Redressal mechanism

- a) Any disputes/difficulties in the conduct of the Ph.D. program may be resolved by the Ph.D. program coordinator in consultation with the Doctoral candidate, Research Supervisor and Doctoral Committee members. If required, the Ph.D. program coordinator shall constitute a committee to address the concern/complaint raised by the candidate or supervisor.
- b) The Vice-Chancellor has powers to remove any difficulty while implementing this program, notwithstanding whatever said above.

These guidelines shall apply to the Doctoral candidates seeking admission in the year 2020-2021. In case of any disputes, the University will follow the relevant and prevailing guidelines issued by the UGC from time to time.

Suitable amendments shall be made to this regulation from time to time to ensure the smooth conduct of the Ph.D. program.
