



भारतीय समुद्री विश्वविद्यालय
INDIAN MARITIME UNIVERSITY
(Central University, Govt. of India)

IMU/AS/EC 2017-40-16/2017

24.10.2017

CIRCULAR No.1741

Sub: Revised Ordinance prescribing the Ph.D Regulations – reg.

Ref: 1. 19th AC Agenda No AC 2017-19-15 dated 11.09.2017

2. 40th EC Agenda No EC 2017-40-16 dated 15.09.2017

3. IMU's Circular No. 1709 dated: 13.01.2017

4. IMU's Circular No.1722 dated 25.04.2017

The Executive Council in its 40th meeting vide Agenda No EC 2017-40-16 dated 15.09.2017 had resolved to approve the revised Ordinance prescribing the Ph.D Regulations as recommended to it by the Academic Council in its 19th meeting vide Agenda No AC 2017-19-15 dated 11.09.2017 as below:

"Ordinance prescribing the Ph.D Regulations

1. Preamble

The Degree of Doctor of Philosophy (Ph.D) shall be awarded to a candidate who, as per the regulations of the Indian Maritime University set out hereunder, has submitted a thesis based on original and independent research in any particular discipline or more than one discipline (inter-disciplinary), that makes a contribution to the advancement of knowledge in maritime sector, and which is approved by a constituted Board of Examiners.

2. Areas of Research

The University shall provide facilities for research in the following areas:

- a) Marine Engineering
- b) Nautical Science
- c) Naval Architecture and Ship Building
- d) Dredging and Harbour Engineering
- e) Off-shore Support Services
- f) Inland Waterways, Coastal Shipping and River-Sea Shipping
- g) Port and Shipping Management
- h) Logistics and Supply Chain Management
- i) Maritime Security and Piracy
- j) Maritime related areas
- k) Inter-disciplinary areas

The above list is only illustrative and not exhaustive.

3. Eligibility

- a. The eligibility criteria for admission to the Ph.D programme shall be:
 - (i) A Post Graduate (P.G) degree in the respective 'areas of research' as listed out in para 2 above or a relevant discipline with at least 55% marks or equivalent Cumulative Grade Point Average (CGPA). For SC/ST candidates, the minimum marks shall be 50% (or equivalent CGPA).

- (ii) A M.S (By Research) or M.Phil degree in the respective 'areas of research' as listed out in para 2 above or a relevant discipline.
 - (iii) To encourage Faculty members of IMU, Affiliated Institutes and DG (S) approved institutes to enhance their Qualifications, Mariners with Master/ MEO Class I Certificates of Competencies or PGDMOM qualifications with 2 years of teaching experience at degree level shall be eligible.
- b. The Board of Research Studies shall decide whether a particular discipline is relevant to the particular 'area of research' or not.

4. Admissions Process

- a. Admissions to the Ph.D programme shall be done twice in a year i.e. in January and July.
- b. A candidate can submit his application for admission to the Ph.D programme anytime during the year through online mode on payment of prescribed fee for the admission test.
- c. A candidate submitting his application between 1st July and 31st October shall be considered for admission to the January batch of the following year. A candidate submitting his application between 1st January and 30th April shall be considered for admission to the July batch of the same year.

- d. Admission of students to the Ph.D programme shall be based on the performance in:
- (i) 'Written Test' to be administered in Multiple Choice Questions (MCQ) format which would test a candidate's General Mental Ability, his knowledge of the Maritime sector, and his knowledge of the relevant discipline/'area of research' in which he proposes to do his Ph.D. The 'Written Test' shall have 50% weightage,
 - (ii) 'Essay Writing Test' on a general topic having 35% weightage, and
 - (iii) Personal Interview which shall have a 15% weightage.
- e. Candidate who is shortlisted based on the 'Written Test', will be administered the 'Essay Writing Test' on the date of his interview.
- f. The Controller of Examinations, IMU shall administer the 'Written Test' and the 'Essay Writing Test'.
- g. The Interview shall be conducted by the 'Departmental Committee', which shall be constituted by the Vice Chancellor.

5. Application for Registration

- a. Within two weeks from the date of selection of a candidate, the 'Departmental Committee' shall identify the Guide for the selected candidate from the list of Guides empanelled by the Board of Research

Studies. For inter-disciplinary research, the Departmental Committee shall identify the two co-Guides. Occasionally, a co-Guide may be necessary even where the research is not inter-disciplinary.

- b. Within a month thereafter, the candidates should submit their application for Registration to the Ph.D programme on payment of the prescribed course fee/semester fee. The letter of Registration shall be issued by the Controller of Examinations.
- c. A proposal under inter-disciplinary research should be submitted as per the prescribed format which must be duly approved by the Departmental Committee.

6. Doctoral Committee

- a. Within one month from the date of 'Provisional Registration', a Doctoral Committee shall be constituted by the Vice Chancellor to aid and monitor the academic progress of the Ph.D scholar on a periodic basis.
- b. The Doctoral Committee shall consist of (i) a Guide, (ii) co-Guide (where applicable) and (iii) at least two experts to be nominated by the Vice Chancellor from a panel of six experts submitted by the Guide. There shall be at least one external expert and at least one member with Ph.D qualification on the Doctoral Committee.
- c. The Doctoral Committee shall have the following functions:

- (i) To discuss, advise and recommend on all matters connected with the Ph.D scholar from provisional registration till award of the degree.
- (ii) To suggest a suitable subject [in the 'relevant area of research'] to be taken up by the Ph.D scholar as part of his course work.
- (iii) To monitor the work of the Ph.D scholar periodically and to submit progress reports, once in six months, in prescribed format.
- (iv) To supervise the submission of synopsis and thesis by the Ph.D scholar to the University.

7. Registration and Duration of Research: A candidate can register for the Ph.D programme either as a Full-time scholar or a Part-time scholar.

Full-time Scholar

- a. A Full-time Ph.D scholar will have to be a resident within the city limits of the IMU Campus to which he has been admitted and should not be working full-time anywhere during the period of his Ph.D candidature unless he has prior sanction of leave. He will have to follow the attendance rules as applicable.

- b. A Full-time Ph.D scholar will have to submit the thesis on completion of three years from the date of 'Provisional Registration'. The Doctoral Committee may extend the tenure for a further period of two years, granting the extension for not more than one year at a time, under intimation to the Controller of Examinations. The Vice Chancellor, at his discretion, may give a further extension of one year. In case a Full-time Ph.D scholar fails to submit his thesis within the maximum period of six years, his registration shall stand cancelled, and he will have to re-register as a fresh candidate but without having to go through the admission process again.
- c. The Doctoral Committee shall review the progress of Full-time Ph.D scholar every six months and intimate the same to the Controller of Examinations. In case of unsatisfactory performance, the Doctoral Committee shall issue a 'warning notice' at the time of review. If three such warning notices are issued to a Full-time Ph.D scholar, his registration shall be liable to be cancelled by the Controller of Examinations and he will have to re-register as a fresh candidate but without having to go through the admission process again.

Part-time Scholar

- a. A Part-time Ph.D scholar can be a resident of any place in India and can be working full-time. He will have to follow the attendance rules as applicable.

- b. A Part-time Ph.D scholar will have to be present in the Campus [where he had registered for the programme] for a period of at least one month every year for face-to-face interaction in person with his Guide. However, during the first semester when he is required to do 'course work', there shall be face-to-face interaction in person for a minimum period of at least one month on continuous basis. Thereafter, the one month period of face-to-face interaction in person can be in several intervals, but the minimum duration of each interval has to be five continuous working days. Subject to the above, interaction by way of video-conference between the Ph.D scholar and the Guide/Co-Guide is permissible.
- c. A Part-time scholar will have to submit the thesis on completion of four years from the date of 'Provisional Registration'. The Doctoral Committee may extend the tenure for a further period of two years, granting the extension for not more than one year at a time, under intimation to the Controller of Examinations. The Vice Chancellor, at his discretion, may give a further extension of one year. In case a Part-time Ph.D scholar fails to submit his thesis within the maximum period of seven years, his registration shall stand cancelled, and he will have to re-register as a fresh candidate but without having to go through the admission process again.
- d. The Doctoral Committee shall review the progress of Part-time Ph.D scholar every year and intimate the same to the Controller of Examinations. In case of unsatisfactory performance, the Doctoral

Committee shall issue a 'warning notice' at the time of review. If three such notices are issued to a Part-time Ph.D scholar, his registration shall be liable to be cancelled by the Controller of Examinations and he will have to re-register as a fresh candidate but without having to go through the admission process again.

Internal Candidates

- a. Internal Candidates (regular Faculty/Staff of IMU) can also register as Part-time Ph.D scholar.
- b. All fees relating to the Ph.D programme will be waived off for Internal Candidates provided they give an undertaking to serve IMU for 3 years after obtaining the Ph.D degree else will have to pay back the entire fee which was waived off.
- c. Internal candidates who fail to complete the Ph.D degree within the stipulated time will also have to pay back the entire fee which was waived off.

Conversion of Full-time Registration into Part-time and Vice-Versa

- a. Notwithstanding anything prescribed in these regulations, the Vice Chancellor may permit conversion from Full-time research to Part-time research and vice-versa for valid reasons and subject to satisfying the norms in force.

- b. The period put in by a Ph.D scholar shall be worked out in the ratio of 2:3 for research put in before and after such conversion. For example, a Full-time Ph.D scholar seeking conversion after two years shall be deemed to have completed three years on Part-time basis.

8. Supervision of Research

- a. Every Ph.D. scholar shall work under the continuous supervision of recognized Guide(s).
- b. The empanelment of Guides shall be done by the 'Board of Research Studies'.
- c. There shall be three categories of Guides:
 - (i) IMU Faculty with Ph.D degree who have published at least one paper, article or book of repute.
 - (ii) Faculty from other Central/State University, Autonomous Educational/Research institution, IIT, NIT, IIM or IMU's Affiliated Institutes, having a Ph.D degree who have published at least one paper, article or book of repute. Such Faculty shall necessarily be resident within the city limits of the particular IMU Campus with which they are associated.
 - (iii) Industry professionals with a Ph.D degree. The requirement of Ph.D degree may be waived in case of an eminent Industry

professional who has published papers, articles or books of repute. They shall be empanelled with due care by the 'Board of Research Studies' and designated as 'Adjunct Faculty' members. The 'Adjunct Faculty' shall necessarily be resident within the city limits of the particular IMU Campus with which they are associated. The decision regarding the renewal/termination of 'Adjunct Faculty' shall be reviewed after every five years.

- (iv) In case of Co-Guides coming from Categories 8 c. (ii) and 8 c. (iii) above, the requirement of them being - 'a resident within the city limits of particular IMU campus with which they are associated' – shall not apply.
- d. In case of IMU Faculty members, Assistant Professors may be considered for appointment as Guides only after the completion of two years of service in IMU. However, this period may be reduced/waived by the Board of Research Studies if the Assistant Professor has published papers, articles or books of repute.
- e. The maximum number of Ph.D scholars who can work under an individual Guide shall be as below:
 - (i) Professor - 8
 - (ii) Associate Professor - 6
 - (iii) Assistant Professor - 4
 - (iv) Adjunct Faculty with Ph.D - 6

(v) Adjunct Faculty without Ph.D – 4

In case of Guides from other Central/State University, Autonomous Educational/Research institution, IIT, NIT, IIM or IMU's Affiliated Institutes these numbers shall include the Ph.D scholars outside IMU that they may be guiding.

- f. For inter-disciplinary research, a Ph.D scholar should have a co-Guide.
- g. A Guide shall not supervise his immediate or close relative and to this effect he shall furnish a declaration to this effect.
- h. If a Guide is found to have been involved in plagiarism, moral turpitude, corruption, fraudulent academic accomplishments and other such activities prejudicial to the reputation of the University, etc., his Guideship is liable to be terminated after giving a show-cause notice for at least seven days. The Vice Chancellor shall have the right to pass orders in this regard. An appeal against the Vice Chancellor's order shall lie with the Board of Research Studies whose decision shall be final.
- i. A Guide who wishes to avail himself of leave/lien/deputation for a period not exceeding six months shall nominate one of the other member of the Doctoral Committee as the Guide during the period of his absence. There shall be change of Guide if the period exceeds six months.

- j. Change of Guides for other valid reasons shall be allowed subject to the approval of the Vice Chancellor.

9. Course Work

- a. Every Ph.D scholar shall be required to undertake the following course-work:
- Paper I - Research Methodology – 4 credits
 - Minimum of 1 and Maximum of 3 papers of 4 credits each in the relevant area prescribed by the Doctoral Committee.
- b. The syllabus for Paper I (Research Methodology) paper will be framed by the Board of Research Studies. All other papers shall be picked from the courses offered in any of the P.G level programmes within IMU Campuses.
- c. All course work must be completed within 18 months from the date of Provisional Registration. If a Ph.D scholar fails to clear all the course-work related assignments and exams within the prescribed time, his Provisional Registration shall stand cancelled and he will have to re-register as a fresh candidate but without having to go through the admission process again.

10. Seminar, Synopsis and Thesis Submission

- a. A comprehensive viva voce shall be conducted by the Department with a committee comprising the members of the Doctoral Committee and the experts drawn from the Department and outside (full committee not less than 6 members). The candidate is expected to demonstrate his depth of knowledge in the topic of research. The committee after satisfying may permit the candidate to move to the next stage. Otherwise the candidate shall repeat the Comprehensive Viva-Voce after three month gap.
- b. Before submission of the synopsis, a Ph.D scholar should give at least one seminar presentation on his data/findings. The seminar presentation shall be evaluated by the Doctoral Committee. If the Doctoral Committee is not satisfied with the seminar presentation, the Ph.D scholar will be required to deliver another presentation. If the Ph.D scholar fails to deliver a satisfactory seminar presentation in three attempts his 'Provisional Registration' shall be liable to be cancelled and he will have to re-register as a fresh candidate but without having to go through the admission process again.
- c. A Ph.D scholar candidate shall submit to the University a synopsis of around 10-20 pages (5 *hard copies*) of the proposed thesis along with the title, which is approved and duly certified by the Doctoral Committee. The synopsis shall also be submitted in the soft copy form in CD. No change of title or area of research shall be permitted after the approval of the synopsis.

- d. A Ph.D scholar should publish at least one research paper in refereed journals as a first author and present a full paper in a reputed conference and should produce evidence for the same while submitting the Synopsis. The journal must be in the approved list of UGC/IMU.
- e. Thereafter, within six months from the date of submission of the synopsis, the Ph.D scholar shall submit the thesis (*5 hard copies*) which shall be checked for plagiarism and duly certified by the Guide and forwarded to the Controller of Examinations for adjudication. The thesis shall also be submitted in the form of soft copy in CD.
- f. The title page of the thesis, cover, format, etc., should strictly conform to the prescribed format and all copies of the thesis should carry a declaration by the Ph.D scholar in the prescribed format and certificate duly signed and issued by the Guide in the prescribed format.

11. Adjudication of Ph.D Thesis

- a. The Dean shall appoint a Board of Examiners for adjudicating the thesis of a Ph.D scholar.
- b. The Board of Examiners shall comprise the Guide, the co-Guide (where applicable) and two other external examiners to be nominated by the Dean from a panel of at least four members (two from India and two

from abroad) suggested by the Doctoral Committee. The Dean will normally select one from each category. The two external examiners must necessarily possess Ph.D.

- c. In case of difficulty in finding an external examiner from abroad, the Dean may appoint an Indian examiner and vice versa. In case of difficulty in appointing external examiners from the panel suggested by the Doctoral Committee, the Dean may appoint an external examiner from outside this panel.
- d. The Board of Examiners so appointed shall evaluate the thesis and give a detailed report in his letterhead in the format prescribed by the University. An Examiner may recommend one of the following:

- (i) Thesis is highly commended

- [OR]

- (ii) Thesis is commended

- [OR]

- (iii) Thesis is commended and the degree may be awarded subject to the candidate's furnishing satisfactory clarification to my queries during the Public Viva Voce examination.

- [OR]

- (iv) Thesis is commended and the degree may be awarded subject to the condition that the corrections/modifications suggested by me are carried out in the thesis and duly certified by the Guide before the public viva-voce examination.

[OR]

(v) Thesis needs to be resubmitted after revision for revaluation.

[OR]

(vi) Thesis is not commended and the degree may not be awarded.

- e. If the Thesis is reverted under clause (v) above, the revaluation will be done by the same Board of Examiners.
- f. The two external examiners shall send their individual reports to the Controller of Examinations as well as to the Guide in both hard copy and scanned soft copy form.
- g. The Guide shall then send a consolidated report which shall include his own report and the salient points made in the individual reports of the external examiners.
- h. If any one of the external examiners suggests a course of action as indicated in d (iii), d (iv) or d (v) above, the Ph.D scholar shall comply with such suggestion.
- i. If any one of the external examiners does not recommend the thesis for the award of the Ph.D degree [as in d (vi) above], the Dean shall then refer the thesis to a third external examiner for evaluation.
- j. The remarks made by the external examiner who has not recommended the thesis, shall be provided to the Guide so as to enable him to advise the Ph.D scholar to carry out any corrections / additions / alterations / modifications, if needed.

- k. The third external examiner shall not be provided with the reports of the other examiners. If the third external examiner recommends the thesis for the award of the degree, the candidate shall be asked to appear for a viva-voce examination.
- l. If the third external examiner also does not recommend the thesis for award of Ph.D degree, the degree shall not be awarded to the Ph.D scholar.
- m. A candidate whose thesis has not been recommended for the award of the degree may be permitted to re-submit his thesis within a period of one year. In case his thesis is not recommended again he will have to re-register as a fresh candidate but without having to go through the admission process again.

12. Public defense and award of Ph.D degree

- a. Once the submitted thesis is approved, a Ph.D scholar shall defend his Thesis in the form of viva-voce in an open forum with an external examiner, who shall be nominated by the Dean from a panel of 3 examiners suggested by the Doctoral Committee.
- b. The external examiner who would be administering the viva voce examination must compulsorily possess a Ph.D degree. He shall ordinarily be one of the examiners to whom the thesis was sent for adjudication.

- c. A candidate who is successful at the viva-voce examination shall be declared to have qualified for the award of Ph.D degree by the University. The Ph.D degree certificate shall be awarded as per the format prescribed.
- d. A candidate, who is not successful at the Viva-Voce examination, may be permitted to take the same on two more occasions. If he is not successful even in the third attempt, the degree shall not be awarded to him and he will have to re-register as a fresh candidate but without having to go through the admission process again.
- e. If for any reason the 'external examiner' is unable to conduct the viva-voce examination even two months after his appointment, the Dean may make alternative arrangements for the conduct of the Viva-Voce examination.

13. Publication of the Thesis:

- a. A thesis, whether approved or not, shall not be published without the permission of the University.
- b. Permission for publication of the thesis should be sought after award of the degree. The University may grant permission for the publication of the thesis under such conditions as it may deem fit.

- c. Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, an electronic copy of the Ph. D. thesis shall be submitted for hosting in the INFLIBNET.

14. Plagiarism

- a. In case it is found that a Ph.D scholar has copied a research work/dissertation/thesis and submitted the same as his own work for a Ph.D degree, then his thesis shall be cancelled and he shall be rusticated from the University for a period ranging from one year to five years.
- b. For the abetment of such an act as mentioned above, the recognition of his Guide shall be withdrawn and he may be liable for such action as prescribed.
- c. In cases of detection of Plagiarism against an ex-student, IMU shall have the right to withdraw the degree awarded by it and initiate action against the Guide as per para 14(b).

15. Removal of Difficulties

Without prejudice to the generality of the aforesaid regulations, the Board of Research Studies shall have the power, for a period of five years from the date of this amended Ordinance, to remove any difficulties that may arise either in the course of the transition from the previous Regulations to these revised Regulations or in the course of implementing the revised Regulations.

Note: In these Regulations, the word 'He' shall include 'She'.



REGISTRAR

To

All Campus Directors (i/c) of IMU