



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

No. IMU-HQ/D/11/15/2/Secretariat/2022 / ०१

09th Oct 2023

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Circular No.2318

Sub: Ordinance Prescribing Ph.D Guidelines-reg.

Ref: 1. Executive Council agenda no. 2023-in-Circulation No.01
dated 10.02.2023

2. 34th Academic Council - agenda no. AC-2022-34-12

The Executive Council vide reference cited at 1st above, has resolved to approve Minimum Standards and Procedures for award of Ph.D Degree as recommended to it by Academic Council vide agenda no. AC-2022-34-12.

The Executive Council vide reference cited at 1st above has also resolved repeal the Ordinance 30 of 2018 published in the Gazette No. 62 dated 13.02.2019 and the Integrated Ph.D. guidelines vide BRS-2021-Circulation No.2 and EC-2021-61-23

The new guidelines prescribing Minimum Standards and Procedures for award of Ph.D Degree will be implemented with effect from Academic Year 2023-24.

Ordinance Prescribing Ph.D Guidelines

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 contributes to the advancement of knowledge and which is approved by a constituted Board of Examiners.

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2. **Areas of Research:** The University shall provide facilities for research in the following indicative areas:

- a. Marine Engineering
- b. Nautical Science
- c. Naval Architecture, Ship Building and Ship Breaking
- 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 Law, Maritime Insurance
- k. Inter-disciplinary areas
- l. Maritime related areas.

3. **Definitions**

(A) In these Regulations, unless the context otherwise requires, -

- a. "Act" means the Indian Maritime University Act, 2008 (42 of 2008);
- b. "Adjunct Faculty" means a part-time or contingent instructor, but not full-time faculty member hired to teach;
- c. "Cumulative Grade Point Average (CGPA)" means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places;
- d. "Credit" means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit;

Dr. Manohala
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- e. "College" means a college maintained by or admitted to the privileges of the University for imparting education and training in maritime studies or in its associated disciplines;
- f. "Course" means one of the specified units which go to comprise a programme of study;
- g. "Course Work" means courses of study prescribed by the School/Department to be undertaken by a student registered for the Ph.D. Degree;
- h. "Degree" means a degree awarded by IMU or by a Higher Education Institution or University recognized by UGC/AICTE;
- i. "External examiner" means an academician/researcher with published research work who is not part of IMU;
- j. "Foreign Educational Institution" means-(i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode;
- k. "Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale;
- l. "Guide" means an academician/researcher recognized by IMU to supervise the Ph.D. scholar for research;
- m. "Interdisciplinary Research" means research conducted by a Ph.D. scholar in two or more academic disciplines;
- n. "Open and Distance Learning Mode" shall have the same meaning as defined under the UGC Regulations 2020;


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- o. "Online Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- p. "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own;
- q. "Programme" means a higher education programme pursued for a degree specified by IMU Act 2008;
- r. "Academic Brochure" means document, whether in print or otherwise, issued for providing fair and transparent information relating to university academic /research programmes, to the general public (including to those seeking admission) by the University;
- s. "Research Proposal" means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;
- t. "University" means Indian Maritime University, under the Act of Parliament (Act 22), 2008.

(B) Words and expressions used and not defined in these Ordinances but defined in Act and not consistent with these Ordinances shall have the meanings assigned to them in that Act.

4. Eligibility criteria for admission into the Ph.D. Programme:

Candidates who have completed:

- a. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body.

or

- b. equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is


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approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

or

- c. 4-year/8-semester bachelor's degree programme with a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

or

- d. M.S (By Research) awarded by IMU.

or

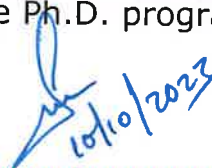
- e. Mariners with Master/ MEO Class I Certificates of Competencies or PGDMOM qualifications with 2 years of teaching experience, preferably continuous, at degree level as faculty in IMU/ IMU Affiliated Institutes/Directorate General of Shipping approved institutes are also eligible for Ph.D programme. This criteria shall be applicable upto the academic year 2023-24 or as decided by the Vice Chancellor.

Unless specified otherwise, in Bachelor's and Master's degrees the candidate should have scored at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Government of India from time to time.

5. Duration of the Programme:

- a. Ph.D. Programme shall be for a minimum duration of three (3) years, including course work and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

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- b. A maximum of an additional two (2) years can be given through a process of re-registration as per the administrative order of IMU issued from time to time; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.
- a. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- c. Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

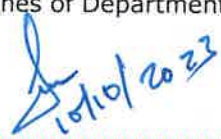
6. **Procedure for Admission:**

- a. The admission shall be based on the criteria notified by the University and considering the reservation policy of the Government from time to time.
- b. Admission to the Ph.D. programme shall be made using the following methods:
 - (i) IMU may admit students through a **Written Test**. The **Written Test** syllabus shall comprise of 50% research methodology and 50% subject specific.
 - or
 - (ii) IMU may admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/SLET/GATE/CEED/ and similar National level tests based on **Interview**.


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- c. Students who have secured at least 50 % marks in the Written Test are eligible to be called for the **Interview**.
 - d. A relaxation of 5 % marks will be allowed in the **Written Test** for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Government of India from time to time.
 - e. IMU may decide the number of eligible students to be called for an **Interview** based on the number of Ph.D. seats available.
 - f. Provided that for the selection of candidates based on the **Written Test** conducted by the IMU, a weightage of 70 % for the **Written Test** marks and 30 % for the performance in the **Interview** shall be given.
 - g. For common rank list, national level test (where marks are not awarded and only qualified or not are indicated) candidate shall be given full weightage i.e. 70% for **written test**.
 - h. The **Interview** shall be conducted by the Departmental Committee¹.
 - i. The Departmental Committee shall finalize the rank list.
7. **Application for Registration.** Within a month from the date of completion of admission process (intimation to the candidate of provisional admission) the candidate shall submit the application for registration to the Ph.D. programme along with payment of the prescribed fees for the entire Academic Year, irrespective of the date of joining during the Academic Year. The provisional selection/registration shall stand cancelled if the prescribed annual fee is not paid within the stipulated time.
8. **Allocation of Guide.** Eligibility criteria to be a Guide², Co- Guide, Number of Ph.D. scholars permissible per Guide, etc.

¹ Refer to Administrative Order No. MS/Ph.D 01 for guidelines of Department Committee

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- a. Permanent faculty members working as Professor/Associate Professor / Assistant Professor of the IMU with a Ph.D., may be recognized as a Guide². Such recognized Guides cannot supervise research scholars in other institutions, where they can only act as Co-guides.
- b. For Ph.D. scholars working in Central government/ State government research institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as external Guides if they fulfil the IMU guidelines.
- c. Faculty with two years of teaching experience from other Central/ State Universities, Autonomous Educational /Research institutions, IIT, NIT, IIM or IMU's Affiliated Institutes, having a Ph.D. degree who has published at least one research paper in UGC approved Journals can be recognized as external supervisors.
- d. Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, IMU may relax the above condition for recognition of a person as a Guide with reasons recorded in writing.
- e. Co-Guides from within the same department or other departments of the IMU or other institutions may be permitted with the approval of the competent authority.
- f. Adjunct Faculty³ shall not act as Guide and can only act as Co-Guides.
- b. In case of interdisciplinary/multidisciplinary research work, if required, Co-Guides from outside the Department/School/University may be appointed.

² Refer to Administrative Order No. MS/Ph.D 02 -Guidelines for allocation of Guide (internal/external)

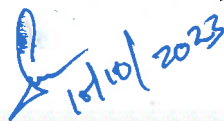
³ Refer to Administrative Order No. MS/Ph.D 03- Guidelines for appointing Adjunct Faculty

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- c. An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
 - d. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a Co-Guide after superannuation, but not after attaining the age of 70 years.⁴
 - e. The University shall maintain a list of Ph.D. Guides (specifying the name of the Guide, designation and the department/school), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of research and the date of admission) admitted under them on the website.
9. **Admission of International students in Ph.D. Programme:**
- a. Each Guide can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 8.c above.
 - b. The IMU may decide their own selection procedure for Ph.D. admission of international students.
10. At any point, the total number of Ph.D. scholars under a faculty member, either as a Guide or a Co- Guide, shall not exceed the number prescribed in clause 8.c and clause 9.a.
11. **Course Work – Credit requirements, number, minimum standards for completion**
- a. The Credit requirement⁵ for the Ph.D. coursework is a minimum of 12 credits, including a *Research and Publication Ethics* and a *Research Methodology* course. The Doctoral Committee can also

⁴ Refer to Administrative Order No. MS/Ph.D 02 for guidelines for allocation of Guide (internal/external)

⁵ Refer to Administrative Order No. Ph.D 01 for course work details, credit requirements, etc

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- recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- b. All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned⁶ teaching/research assistantship, conducting tutorial or laboratory work and evaluations.
 - c. A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the course work to be eligible to continue in the programme and submit his or her thesis.

12. **Doctoral Committee and its Functions**

- a. There shall be a Doctoral Committee (DC) for each Ph.D. scholar. The Guide of the Ph.D. scholar concerned shall be the Chairman of the committee. The DC shall have the following responsibilities:
 - (i) To review the research proposal and finalize the topic of research.
 - (ii) To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s).
 - (iii) To periodically review and assist in the progress of the research work of the Ph.D. scholar.
- b. Each semester, a Ph.D. scholar shall appear before the DC to make a presentation and submit a brief report on the progress of the work for evaluation and further guidance. The DC shall submit its recommendations along with a copy of scholar's progress report to the University. A copy of the proceedings in the prescribed format to be provided to the Ph.D. scholar.
- c. In case the progress of the Ph.D. scholar is unsatisfactory, the DC shall record the reasons for the same and suggest corrective

⁶ Refer to Administrative Order No. Ph.D 02

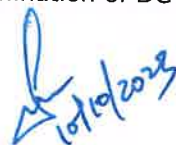

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measures. If the Ph.D. scholar fails to implement these corrective measures, the DC may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.⁷

13. Evaluation and Assessment Methods, minimum standards/credits for award of the degree.

- a. Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause 11(c) above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- b. Before submitting the thesis, the Ph.D. scholar shall make a presentation before the Doctoral Committee of the University, which shall also be open to all faculty members and other research scholars/students.
- c. The University shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.
- d. A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Guide attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.
- e. The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by at least two external examiners who are experts in the field and not in employment of the University concerned. Such examiner(s) should be academics or industry expert with a good

⁷ Refer to Administrative Order No. Ph.D 03 -Guidelines for nomination of DC and its functions

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record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce board shall consist of the Guide and at least one of the two external examiners. The viva-voce shall be open to the members of the Doctoral Committee/faculty members/research scholars, and students.

- f. The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, University shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
- g. The University shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.⁸

14. **Ph.D. through Part-time Mode**⁹

- a. Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- b. The candidate – **other than sea farers** - for a part-time Ph.D. programme the candidate shall submit a "No Objection

⁸ Refer to Administrative Order No. Ph.D 04. –Guidelines for adjudication procedures, panel of examiners, etc.

⁹ Refer to Administrative Order No. MS/Ph.D 04- Guidelines for Procedures for the conversion of Full time Registration into Part-time and Vice-versa

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Certificate" from the appropriate authority in the organization where the candidate is employed.

* Category & requirements for seafarers**

#	Category	Requirement of NOC
1	Seafarer without employment	Exempted
2	Sea going seafarer	Exempted
3	Seafarer with shore employment	NOC is mandatory
4	Other than seafarer with employment	NOC is mandatory
5	Other than seafarer without employment	Full Time Ph.D. option only

** Seafarers means Mariners with Master/MEO Class I Certificates of Competencies or PGDMOM qualifications.

15. **Issuing a Provisional certificate:** Prior to the actual award of the Ph.D. degree, University shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of the Ordinance.

16. **Publication of the Thesis:**

- a. A thesis may be published, only with prior 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.

17. **Depository with INFLIBNET:** Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

18. **Cancellation of Registration:** The registration of the scholar is liable to be cancelled on account of any of the following reasons:

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- a. If the scholar wishes to exit /withdraw from pursuing the Ph.D., programme;
- b. If the DC finds that the progress of the scholar is not satisfactory despite of two consecutive warnings having been issued;
- c. If the scholar fails to pay the annual fee for continuing in the program;
- d. If the scholar is found to be involved in any academic malpractice, which may include (but not limited to), fabrication of results, plagiarizing, or other forms of academic dishonesty.

19. **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 Ordinance, to remove any difficulties that may arise either in the course of the transition from the previous Ordinance or in the course of implementing the Ordinance.

20. **The following Clauses will be operated through an administrative order in addition to the above clauses:**

Migration/Transfer from Other Universities to IMU and from IMU to other Universities	Administrative Order No. PhD.05
Integrated Ph.D. Programme	Administrative Order No. PhD.06

21. The Ordinance 30 of 2018 published in the Gazette No. 62 dated 13.02.2019 is hereby repealed and the Integrated Ph.D. guidelines issued vide BRS-2021-Circulation No.2, EC-2021-61-23 are also hereby repealed.

This issues with approval of the Competent Authority


10/10/2023.
DY. REGISTRAR (CTR) i/c

To

1. All Campus Directors
2. The Principals of Affiliated Colleges
3. IT Section Manger with a request to upload in IMU Website.