

## **Guidelines for Change of Ph.D. Supervisor at Late Stage**

Guiding PhD students by a supervisor is one of the longest and strongest associations between a student and faculty. It is based on mutual trust and respect, in which a student expects the supervisor to protect his/her interests, and supervisor expects high quality research work. While change of supervisor at early stages is not uncommon and there is a standard process for it, sometimes, due to various reasons, the student-supervisor relationship is formally terminated even at a late stage. This note aims to provide some guidelines if the change of supervisor happens at a late stage when some research has been already done. The guidelines are based on:

- It will be assumed that all research work done by the student and supervisor before the termination of student-supervisor relationship was being done towards the PhD thesis of the student, unless both agree for some work that it was done for some other purposes and was not meant to be included in the thesis.
- Rights of supervisor and student regarding authorship and publications, and rights of supervisor for using the past-works (e.g. for building upon it, using as project deliverables, having another student work on it, etc) and of student for using the past-works (e.g. towards his/her PhD degree) should be protected.

### **Guidelines**

A. Change of supervisor at a late stage of the student's PhD should be avoided and all attempts should be made to take the relationship to its logical conclusion – namely submission of the thesis. The possibility of having the past supervisor continue as a co-supervisor should also be explored. Change of supervisor at a late stage should happen only as the last resort.

B. If the student continues in the Institute with some other supervisor and does not want to use previous work (e.g., start on a new problem), then this is like the normal change of supervisor, which can follow existing process.

C. If the student continues in the Institute with some other supervisor and wishes to use some of the past works in his/her thesis, the following steps will be taken:

1) A meeting shall be called between the previous supervisor, new supervisor and the student. They may invite any other faculty member as well. If they can reach an agreement on use of previous work and role of previous supervisor (including, for example, him/her remaining as a co-supervisor without being an examiner for the thesis), that agreement will be recorded and followed.

2) If the meeting does not result in any agreement, then in the final thesis certificate, contribution of the previous supervisor will be explicitly recorded (e.g., it may be stated that Prof. X was supervisor from date1 to date2, and Prof. Y from date2). If the previous work

included in the thesis is substantial, the previous supervisor can also ask to be a co-supervisor, without any administrative rights and without being an examiner for the PhD thesis.

D. If the student leaves the Institute, and wishes to use past work in his/her thesis and continue with some supervisor in another university/institute, he/she may seek permission through the new university/institute for use of these works. Institute will take a view based on IP protection and approval of the previous supervisor.

E. If the supervisor leaves the Institute, then possibility of him/her continuing as a supervisor or co-supervisor should be explored. If such an arrangement is not possible or fails for any reason, the student can use the previous work in the thesis. In this case, it will be explicitly recorded in the final thesis certificate that the outgoing faculty member was the supervisor from Date1 to Date2.

F. If the conflict occurs after the completion of the Thesis submission, the Scholer has to submit an affidavit in the prescribed format in a stamp paper of Rs.100.00 that the outgoing faculty member was the supervisor from Date1 to Date 2.

G. In all the above circumstances, if the Viva-voce/Open defence extended, an extension fee equivalent to the semester-wise/annual fee, as specified in the admission letter, shall be remitted to the University.

H. Other cases not covered by the above, or any exceptions to the above, or any disputes in implementing these guidelines, will be brought to the PGC, which will advise the Senate, which will take the final view.

In a Department where teachers are retiring, leaving or are proceeding on long leave on deputation or where unforeseen circumstances have necessitated a change of Supervisor, the Departmental Research Committee (DRC) shall appoint Supervisor(s)/Co-Supervisor(s) as a supernumerary allotment. This may be approved by the respective Doctoral Research Committee (DRC), and the Hon'ble Vice-Chancellor.

#### **1. Permissible Circumstances for Change of Supervisor**

- The request for change of Supervisor shall be considered strictly as per the University Research Ordinance.
- Change will be permitted only in cases of:
  - Retirement, resignation, or long leave (more than 12 months) of the Supervisor.
  - Supervisor leaving the University/Institute.
  - Death of the Supervisor.
  - Extreme hardship where it becomes impossible for the scholar to continue under the existing Supervisor, subject to the satisfaction of the Vice-Chancellor.
  - If any of the above circumstances happen after the submission of the Thesis the scholar has to submit an affidavit in a stamp paper of Rs.100/ stating the actual facts (**Annexure-8** (In stamp paper of Rs.100/) 9, 10, 5, 6 & 7), upon which the DRC and the Hon'ble Vice-Chancellor will take a final decision.
- Any request outside these circumstances shall not be entertained.

## **2. Continuity of Research Area**

- The approved research area at admission shall remain unchanged; change of Supervisor cannot alter the research domain.
- The scholar's original date of registration will continue to remain valid.
- The final thesis certificate shall explicitly record the contribution of the previous supervisor (e.g., it may be stated that Prof. X was supervisor from date1 to date2, and Prof. Y from date2). If the previous work included in the thesis is substantial, the previous supervisor can also ask to be a co-supervisor, without any administrative rights and without being an examiner for the PhD thesis.

## **3. Application Procedure**

- The Research Scholar must submit a formal application for change of Supervisor, clearly stating the reasons, along with a justification note on a separate page (*Annexure-1*).
- Application must be in the prescribed format (*Annexure-2*)
- Details of research progress (*Annexure-3*)
- Consent of existing Supervisor (If possible) (*Annexure-4*)
- Incomplete applications or those lacking enclosures will not be accepted.

## **4. Departmental Research Committee (DRC) Recommendation (*Annexure-5*)**

- Upon receiving the application, the existing Supervisor shall convene a meeting with the Departmental Research Committee (DRC) and the scholar to discuss the reasons for change. If this meeting is failed to succeed due to unforeseen reasons, DRC can take an appropriate decision regarding the application.
- The minutes of this meeting must be attached to the application before forwarding it.
- The Departmental Research Committee (DRC) shall review the case and recommend the appointment of a new Supervisor/Co-Supervisor/Caretaker Supervisor, depending on the stage of research work completed.

## **5. Vice-Chancellor Approval (*Annexure-6*)**

- The Hon'ble Vice-Chancellor, on the recommendation of the DRC, may approve the change of Supervisor/appointment of Co-Supervisor in the interest of timely completion of the scholar's research work.
- The approval/rejection must be supported by DRC meeting minutes and recorded formally.

## **6. DRC Approval for the change of supervisor (*Annexure-7*)**

## **7. Scholar's change of Institution**

If the scholar leaves the Institute, and wishes to use past work in his/her thesis and continue with some supervisor in another university/institute, he/she may seek permission through the new university/institute for use of these works. Institute will take a view based on IP protection and approval of the previous supervisor.

## **Annexure-1**

### **SCHOLAR'S JUSTIFICATION FOR CHANGE OF SUPERVISOR**

My supervisor ..... (Name) has Resigned/Retired/On long leave (more than 12 months)/Expired/Extreme hardship with us, and thereby relinquishing his/her affiliation and responsibilities. As a result, he/she is unable to continue as supervisor for me under the Ph.D. programme.

I have already completed the major portion (in %) of my Ph.D. research work and am presently at the stage of thesis submission. During the course of my research, I have published papers in reputed journals and presented my work at national/international conferences. In the interest of timely completion and formal submission of my doctoral thesis, I request the appointment of a new Supervisor/Co-Supervisor as per the University Research Ordinance and UGC guidelines.

**Research Scholar**

**Signature with date**

**DRC Chairperson**

**Signature with date**

## Annexure-2

# Application for Change of PhD. Thesis Supervisor

### A. Research scholar's details

|    |                                                                                                                                                                                                                                                              |  |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1. | Name                                                                                                                                                                                                                                                         |  |
| 2. | Registration Number                                                                                                                                                                                                                                          |  |
| 3. | Department                                                                                                                                                                                                                                                   |  |
| 4. | Discipline                                                                                                                                                                                                                                                   |  |
| 5. | Type of program<br>Full time/Part time                                                                                                                                                                                                                       |  |
| 6. | Date of joining PhD program                                                                                                                                                                                                                                  |  |
| 7. | Reason for change of Supervisor<br>(Attach separate sheet if required)                                                                                                                                                                                       |  |
| 8. | Details of Conference/s attended, Paper/s presented, Paper/s revised, Publication/s, during the period of PhD tenure with name of the Conference, Name of the journal, Title, details of Authors, Co-Authors, Volume, Year, Page number etc. (Attach copies) |  |

### B. Existing Supervisor's details

|    |                       |  |
|----|-----------------------|--|
| 1. | Name                  |  |
| 2. | Designation           |  |
| 3. | Address (Official)    |  |
| 4. | Address (Residential) |  |
| 5. | Department            |  |
| 6. | Email address         |  |
| 7. | Mobile number         |  |

### C. Proposed Supervisor's details

|    |                                                                                                                                                                                                                                                              |  |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1. | Name                                                                                                                                                                                                                                                         |  |
| 2. | Designation                                                                                                                                                                                                                                                  |  |
| 3. | Address (Official)                                                                                                                                                                                                                                           |  |
| 4. | Address (Residential)                                                                                                                                                                                                                                        |  |
| 5. | Department                                                                                                                                                                                                                                                   |  |
| 6. | Email address                                                                                                                                                                                                                                                |  |
| 7. | Mobile number                                                                                                                                                                                                                                                |  |
| 8. | Total Experience                                                                                                                                                                                                                                             |  |
| 9. | Details of Conference/s attended, Paper/s presented, Paper/s revised, Publication/s, during the period of PhD tenure with name of the Conference, Name of the journal, Title, details of Authors, Co-Authors, Volume, Year, Page number etc. (Attach copies) |  |
| 10 | Curriculum Vite. (Attach Copy)                                                                                                                                                                                                                               |  |

## **Details of research progress (Annexure-3)**

**Annexure-4**

**CONSENT OF EXISTING SUPERVISOR**

I, **Dr.** ..... (Designation, Department), hereby consent to the change of Supervisor for Ph.D. thesis of **Mr./Ms.** ..... (**Reg. No.** .....).

**Reason:**

.....  
.....

**Signature of Existing Supervisor**

**Date:** .....

## **Annexure-5**

### **Minutes of Meeting**

#### **Departmental Research Committee (DRC)**

- **Date of Meeting:** .....
- **Venue:** .....
- **Members Present:**
  1. Chairperson, DRC
  2. Supervisor (Existing)
  3. Proposed Supervisor
  4. Research Scholar
  5. DRC Members

**Agenda:** Consideration of request for change of Ph.D. thesis Supervisor by Mr./Ms..... Reg. No.....

#### **Discussion:**

- The Committee reviewed the justification submitted by the Research scholar.
- The existing Supervisor confirmed/unable to continue due to ..... (Retirement/leave/resignation).
- The proposed Supervisor fulfils eligibility criteria as per UGC Ph.D. Ordinance.
- The Committee noted that the research area remains unchanged and progress is satisfactory.

#### **Resolution:**

- The Committee recommends approval of change of Supervisor/appointment of Co-Supervisor.
- The recommendation is forwarded to the Hon'ble Vice-Chancellor for final approval.

#### **Signatures:**

- Chairperson, DRC: .....
- Supervisor (Existing): .....
- Proposed Supervisor: .....
- Research Scholar: .....
- DRC Members: 1..... 2.....
- 3..... 4.....

**Annexure-6**

**Vice-Chancellor's Approval**

**Office of the Vice-Chancellor**

On the recommendation of the Departmental Research Committee (DRC), the request for change of Supervisor for Mr./Ms. .... (Reg. No. ....)

is hereby **Approved / Not Approved**.

**Remarks (if any):** .....

**Signature of Vice-Chancellor**

**Date:**

## **Annexure-7**

### **DRC Approval for the change of supervisor**

The Departmental Research Committee (DRC), in its meeting held on ....., considered the application for change of Supervisor in respect of Mr./Ms. ...., (Registration No. ....).

This is to certify that the research scholar Mr./Ms. .... has justified the reason for change of Supervisor before the Doctoral Research Committee (DRC) is fully satisfied with the justification and recommends the change of Supervisor in accordance with the University Ph.D. Ordinance. Further, certifying that the proposed Supervisor meets the prescribed eligibility and distribution requirements.

#### **Signature of the DRC Members with date**

1.....

2.....

3.....

4.....

\*The Approval/Rejection of DRC is to be supported by DRC meeting minutes.

## **Annexure-8**

### **Affidavit to be submitted by Scholar in stamp paper Rs.100/**

My supervisor ..... (Name) has Resigned/Retired/On long leave (more than 12 months)/Expired/Extreme hardship with us, (strike out whatever is not needed) and thereby relinquishing his/her affiliation and responsibilities. I have already completed my Ph.D. research work and am presently at the stage of Viva-Voice after submission of thesis. In the interest of timely completion and formal submission of my doctoral thesis, I humbly request to undergo Viva-Voice as per the University Research Ordinance and UGC guidelines.

**I am ..... S/o or D/o ..... do hereby solemnly state that the above said details are True to the best of my knowledge**

**Name of Research Scholar**

**Signature with date**

**Annexure-9**  
**Research scholar's details**

| Sl. No | Details                                                                                                                                                                                                                                                      | Remarks |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| 1      | Name                                                                                                                                                                                                                                                         |         |
| 2      | Registration Number                                                                                                                                                                                                                                          |         |
| 3      | Department                                                                                                                                                                                                                                                   |         |
| 4      | Discipline                                                                                                                                                                                                                                                   |         |
| 5      | Type of program<br>Full time/Part time                                                                                                                                                                                                                       |         |
| 6      | Date of joining PhD program                                                                                                                                                                                                                                  |         |
| 7      | Reason for change of Supervisor<br>(Attach separate sheet if required)                                                                                                                                                                                       |         |
| 8      | Details of Conference/s attended, Paper/s presented, Paper/s revised, Publication/s, during the period of PhD tenure with name of the Conference, Name of the journal, Title, details of Authors, Co-Authors, Volume, Year, Page number etc. (Attach copies) |         |

**I am ..... S/o or D/o ..... do hereby solemnly state that the above said details are True to the best of my knowledge**

**Name of Research Scholar**

**Signature with date**

**Annexure-10**  
**Existing Supervisor's details**

| Sl. No. | Details                                                                                                                                                                                                                                                      | Remarks |
|---------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| 1       | Name                                                                                                                                                                                                                                                         |         |
| 2       | Designation                                                                                                                                                                                                                                                  |         |
| 3       | Address (Official)                                                                                                                                                                                                                                           |         |
| 4       | Address (Residential)                                                                                                                                                                                                                                        |         |
| 5       | Department                                                                                                                                                                                                                                                   |         |
| 6       | Email address                                                                                                                                                                                                                                                |         |
| 7       | Mobile number                                                                                                                                                                                                                                                |         |
| 8       | Details of Conference/s attended, Paper/s presented, Paper/s revised, Publication/s, during the period of PhD tenure with name of the Conference, Name of the journal, Title, details of Authors, Co-Authors, Volume, Year, Page number etc. (Attach copies) |         |

**I am ..... S/o or D/o ..... do hereby solemnly state that the above said details are True to the best of my knowledge**

**Name of Research Scholar**

**Signature with date**