



GUJARAT TECHNOLOGICAL UNIVERSITY

(Established by Government of Gujarat under Gujarat Act No. : 20 of 2007)

ગુજરાત ટેકનોલોજીકલ યુનિવર્સિટી
(ગુજરાત સરકારના ગુજરાત અધિનિયમ ક્રમાંક : ૨૦/૨૦૦૭ દ્વારા સ્થાપિત)

Guidelines for Recognition of Research Supervisor & Co-Supervisor

GTU/Ph.D./Guidelines_Research_Superviosor/2023/2698

Date: 26/04/2023

Ph.D.-9 RECOGNITION / FUNCTIONING OF RESEARCH SUPERVISOR & CO-SUPERVISOR

Ph.D.-9.1 Procedure for Recognition & Continuation

- (i) University shall invite applications, from full time regular / endorsed faculty members, for being recognized as Research Supervisors, through its website.
- (ii) University shall invite applications, from full time regular Scientists working at recognized Research Centre, for being recognized as Research Supervisors, through its website.
- (iii) The faculty member/ Scientist shall apply in the prescribed online format and submit his/her application along with all necessary supporting documents to the University in hard copy too.
- (iv) REC shall scrutinize the applications subject to availability of such applications and shall recommend names of those who fulfill the prescribed criteria for being recognized as Research Supervisors to DRC/DRCs.
- (v) DRC/DRCs shall re-scrutinize all applications and shall recommend names of those who can be recognized as Research Supervisors to Vice Chancellor.
- (vi) DRC/DRCs shall readdress the grievances of not-selected candidates in the next phase only once.
- (vii) List of approved candidates who have been recognized as Research Supervisors shall be notified on the website.
- (viii) Each Research Supervisor shall adhere to the University's Rules & Regulations.
- (ix) Upon recognition, a Research Supervisor shall become eligible to supervise the candidates/ Research Scholars of the University.
- (x) Research Supervisor shall be eligible to supervise candidates/Research Scholars according to the **Ph.D.-10**.
- (xi) Research Supervisor shall not be recognized by the DRC/DRCs if he /she has only three years of service left.
- (xii) Research Supervisor shall immediately inform the University about any change with respect to their place of work and designation and shall stand automatically de-recognized if he is not an employee of the university or its affiliated college/institute/research centre/central government/state government research institution.
- (xiii) Research Supervisor can also act as a Co-Supervisor upon the recommendation of the respective DPC and subsequent recommendation of DRC/DRCs to supplement the expertise on a research topic and approval of Vice Chancellor.

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- (xiv) Research Supervisor shall recommend name of Co-Supervisor(s) (if required) and shall submit the due No objection certificate to this effect.
- (xv) Co-Supervisor can be appointed by the University upon the recommendation of the respective Research Supervisor or DPC and subsequent recommendation of DRC/ DRCs to supplement the expertise on a research topic and approval of Vice Chancellor in cases of research topics which are inter-disciplinary/multidisciplinary in nature.

Ph.D.-9.2 Eligibility for Recognition as Research Supervisors

- (i) A Faculty/Scientist who has obtained / was awarded Ph.D. degree and is working on a full time regular basis or is endorsed by the University or is working on a full time regular basis at a recognized research centre shall be eligible for recognition as a Research Supervisor, provided he/she obtains a minimum of 60 (sixty) points in total as per the below mentioned criteria:

Sr. No.	Eligibility Criteria	Points to be obtained	Maximum Points
1.	Research Publications in refereed journals* after having obtained Ph.D. degree	30 (compulsory)	30 (compulsory)
(i)	Assistant Professor (At-least 3)		
(ii)	Associate Professor (At-least 5)		
(iii)	Professor (At-least 5)		
2.	Total Teaching / Research / Industry Experience		
(i)	Post-Graduate	6 per year	20
(ii)	Post- Graduate/ Under-Graduate	5 per year	
(iii)	Under-Graduate	4 per year	
(iv)	Diploma	2 per year	
(v)	Research & Development	2 per year	
3.	Guidance as Supervisor/ Co-Supervisor		
(i)	Acted as a Supervisor (in any other UGC / State University) and has supervised Ph.D. Thesis for which the Degree / Notification has been awarded	5 per Thesis	10
(ii)	Acted as a Co- Supervisor and has supervised Ph.D. Thesis for which the Degree / Notification has been awarded	4 per Thesis	
(iii)	Acted as a Supervisor for Post Graduate Thesis for which the Degree has been awarded	3 per Thesis	
(iv)	Acted as a Co-Supervisor for Post Graduate Thesis for which the Degree has been awarded	2 per Thesis	

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4.	Research Grant availed (minimum INR 1,00,000/-)		
(i)	As a Principle Investigator (PI)	5 per project	10
(ii)	As a Co- Principle Investigator	2.5 per project	
5.	Research Project completed (minimum INR 1,00,000/-)		
(i)	As a Principle Investigator (PI)	5 per project	10
(ii)	As a Co- Principle Investigator	2.5 per project	
6.	Research and/or consultancy work completed (minimum INR 1,00,000/-)	2 per project	10
7. (A)	Patents		
(i)	Registered	2 per patent	10
(ii)	Published	4 per patent	
(iii)	Granted	10 per patent	
7. (B)	Copyright/Design	4 per copyright/de sign	10
8.	Additional research publications during the last five years in refereed* journal. These publications shall be over and above those mentioned Ph.D.9.2.(i).1	3 per paper	10

*Research journals indexed/listed in UGC-CARE/ WoS/SCOPUS/SCI

- (ii) A Faculty/Scientist who has obtained / was awarded Ph.D. degree from a Foreign Educational Institution will be determined by producing document/ certificate that the degree/equivalent qualification obtained from a foreign educational institution is accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under law in its home country or any other statutory authority in that country to access, accredit or assure quality and standard of educational institution.
- (iii) Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

Ph.D.-9.3 Eligibility for Recognition as a Co-Supervisor

- (i) Co-Supervisor can be appointed by the University upon the recommendation of the respective Research Supervisor or DPC and subsequent recommendation of DRC/ DRCs to supplement the expertise on a research topic and approval of Vice Chancellor in cases of research topics which are inter-disciplinary/multidisciplinary in nature.

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- (ii) A Faculty/Scientist / Adjunct Faculty who has obtained/was awarded Ph.D. degree and is serving within the same department/ any other Department/Faculty/College which is under the control/ jurisdiction of this University, but not from the same institution unless the domain knowledge of the co-supervisor is complementary or the facilities available at their laboratory/institution is useful for research.
- (iii) A Faculty/ Scientist /Adjunct Faculty/ An Expert who has obtained/was awarded Ph.D. degree and is serving within the same department/ any other Department/Faculty/College/Research Organization / Laboratory / Industry which is not under the control /jurisdiction of this University, but not after attaining the age of 70 years.
- (iv) An Expert from an Industry having a minimum ten years of industrial experience and is serving an Institution/Organization/Industry not under the control/jurisdiction of this University, but not after attaining the age of 70 years.

Ph.D.-9.4 Duties and Functions of a Research Supervisor and Co-Supervisor

- (i) Research Supervisor shall declare the number of vacant seats available with them in specific Faculty/discipline in which they are recognized.
- (ii) Research Supervisor shall recommend names and submit details of at least three domain experts fulfilling the following criteria(s) relevant to/with the research topic of a particular Research Scholar
 - a) The recommended domain expert shall possess Ph.D. degree
 - b) The recommended domain expert shall possess at least two years of research experience in the area relevant to/with the research topic of the Research Scholar
- (iii) A Candidate/ Research Scholar may have a Co-supervisor based on the recommendation of Research Supervisor and approval of DRC and Vice Chancellor.
- (iv) Research Supervisor, who is a Member Convener of the DPC in consultation with Co-Supervisor (if appointed) and both appointed DPC members shall send a request for conduction of DPC review on TMMS Portal through Supervisor Login and inform the Research Scholar through email.
- (v) Research Supervisor shall convene at the most two DPC reviews in a year having at least a minimum gap of 5 months between two such consecutive reviews. All such requests should be made on TMMS portal.
- (vi) Research Supervisor shall convene the DPC review meeting either through any *e-medium or in-person*.
 - a) If the DPC review is conducted in-person then such a review should either take place at University's Affiliated College / Workplace of any of the DPC members / Workplace of Research Supervisor/ Co-Supervisor (if appointed) on the same date as Intimated.

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- b) DPC Member will submit their inputs within 3 working days through email to the concerned Research Supervisor.
- (vii) The Research Supervisor shall immediately inform the University if a scheduled DPC review could not take place due to any reason. The Research Supervisor shall reschedule the DPC review of a respective scholar by intimating the new date through e-mail. Upon approval by the University the same date shall be reflected on TMMS portal.
- (viii) Research Supervisor shall inform the Research Scholar through e-mail to submit the progress report to all the members of the DPC before ten days of the scheduled DPC review. This progress report should contain the progress/achievements made during the period under review and plan(s) for the rest of the programme.
- (ix) Research Supervisor and/or the Research Centre shall maintain attendance and leave records of all full-time research scholars allotted under his/her Supervision.
- (x) Research Supervisor shall inform the Research Scholar to attend the scheduled annual Research Week reviews organized by the University.
- (xi) Research Supervisor shall apprise the Research Scholar to clearly state sources from where the information is derived, to obtain animal and/ or human ethical approvals or any other approval(s) as may be required from any statutory body/ bodies for the progress of their research work and inform the same to the University along with the latest DPC review card.
- (xii) Research Supervisor shall be responsible to inform the Research Scholar about the extent to which the work of others can be made use of, self-plagiarism and the portion of the work the researcher claims as original.
- (xiii) Research Supervisor shall inform the Research Scholar that not attending the scheduled DPC review(s) will extend the duration of the Ph.D. course.
- (xiv) Research Supervisor shall inform the Research Scholar that consecutively not attending three scheduled DPC review(s) shall render the Research Scholar liable for cancellation of his/her registration.
- (xv) Research Supervisor shall inform the Research Scholar that three consecutive unsatisfactory performance in scheduled DPC review(s) shall render the Research Scholar liable for cancellation of his/her registration.
- (xvi) Research Supervisor shall recommend and certify all application(s) or any other document(s) or request pertaining to research or any other activity related Ph.D. programme before forwarding it to the University.
- (xvii) Research Supervisor shall be responsible for mentioning whether the progress is satisfactory / accepted & Research Scholar shall be allowed to continue or progress with his/her research in the next term/semester or unsatisfactory /not-accepted & Research Scholar shall be allowed to redo his/her research in the next term/semester.

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- (xviii) Research Supervisor shall provide a copy of DPC review card to the Research Scholar as early as possible or within a maximum of five days from the conduct of such review.
- (xix) Research Supervisor can opt to become Co-Supervisor as per norms
- (xx) Research Supervisor shall immediately inform the University and request for replacement, in the University's format, where any or both the appointed
- DPC member is/are declining to continue to review the progress of Research Scholar
 - DPC member has/have shifted or are stationed outside Gujarat, at a later stage.
 - DPC member is /are terminally ill and is/are unable to continue to review, assist and monitor the progress of Research Scholar.
 - DPC member against whom any sort of disciplinary / misconduct action(s) has been initiated by any agency

Such application for replacement of DPC members shall be processed by the DRC / DRCs and recommended for approval to the Vice Chancellor.

- (xxi) Research Supervisor shall immediately inform the University and request for replacement of a Co-Supervisor and submit due No Objection Certificate to this effect, as per University rules, for removal / change of Co-Supervisor for a Research Scholar citing valid reasons. Such application shall be processed by the DRC / DRCs and recommended for approval by the Vice Chancellor.

- (xxii) No Research Supervisor/Co-Supervisor shall supervise his/her close relation.

The term "Close Relation" includes father, mother, wife, husband, son, daughter, sister, brother, nephew, niece, grand-son, grand-daughter, grand-nephew, grand-niece, uncle, aunt, first cousin, son-in-law, daughter-in-law, brother-in-law, sister-in-law, father-in-law, mother-in-law of the Supervisor and also the nephew, niece, grand-nephew, grand-niece of Supervisor's wife.

Ph.D.-10 INTAKE / SEAT ALLOCATION FOR RESEARCH SUPERVIORS AND CO-SUPERVISORS

- Research Supervisor who is a Professor having at least five publications shall not undertake to offer supervision for a maximum of eight (8) Research Scholars including Part-time scholars.
- Research Supervisor who is an Associate Professor having at least five publications shall not undertake to offer supervision for a maximum of six (6) Research Scholars including Part-time scholars.

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- (iii) Research Supervisor who is an Assistant Professor having at least three publications shall not undertake to offer supervision for a maximum of four (4) Research Scholars including Part-time scholars.
- (iv) Research Supervisor who is a Scientist working at recognized research centre shall be allocated seats by the respective DRC/DRCs as equivalent to Professor/ Associate Professor/ Assistant Professor depending upon their experience and expertise but not beyond 8/6/4 respectively.
- (v) DRC/DRCs shall not permit a Research Supervisor to start supervising more than four research scholars in an academic year.
- (vi) In no case there can be more than two Research Supervisor(s) and two Co-Supervisors for a Research Scholar.
- (vii) Research Supervisor who is also a recognized Research Supervisor with any other University shall not be permitted to supervise beyond the permitted intake as in **Ph.D.-10(i), (ii), (iii) and (iv)** by the DRC/DRCs.
- (viii) In case of promotion of a Research Supervisor the intake / seat allocation will be revised accordingly upon submitting due documents, in the University's format, for scrutiny by the DRC/DRCs.
- (ix) Research Supervisor shall not declare any intake/vacant seats if he/she has less than three years of service left before the prescribed age of retirement from the College/ Centre/ School/ Department/ Institution/ Recognized Research Centre concerned at the time of declaration / start of the admission process for Ph.D. admission.
- (x) DRC/DRCs shall allocate Research Supervisors to the selected candidates.
- (xi) Research Supervisor may decide on the number of seats that he/she may like to fill in a particular year within his/her permissible strength. However, the University reserves the right to allocate more/less number of candidates to a Research Supervisor upon approval of the Vice Chancellor.
- (xii) Research Supervisor should not take into consideration those Research Scholars while declaring the number of vacant seats available with them for a particular academic year who have been issued provisional certificate for award of Ph.D. degree.
- (xiii) A special provision of creating supernumerary Ph.D. seats available in the concerned faculty not exceeding 10(%) percent of the total seats in a particular discipline, if there is no vacant seat available with the eligible Research Supervisor, in that particular discipline for encouraging the faculty members of colleges and universities for getting Ph.D. degree, as laid down in the UGC Regulations for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of standards in Higher Education, 2018.
- (xiv) Supernumerary Ph.D. seats can be created for already enrolled Research Scholars upon recommendation of the DRC/DRCs and approval of Vice Chancellor.
- (xv) Each Research Supervisor can supervise up to two international/FN/PIO candidates/ Research Scholars on Supernumerary Ph.D. seats over and above the permitted number **Ph.D.-10(i),(ii),(iii) and (iv)**
- (xvi) Co-Supervisor from within the same department/faculty/college or other department of the same institution or other institutions or industry can be appointed by the Vice Chancellor upon the recommendation of DRCs.

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- (xvii) The DRC/DRCs can allow Co-Supervisor to co-supervise candidates who is not a recognized Research Supervisor
- (xviii) The DRC/DRCs can allow Co-Supervisor to co-supervise candidates to a maximum of two for those from academics and a maximum of four for those from industries.
- (xix) The DRC/DRCs should not take into consideration the allocation of seats for International Co-supervisors.

Ph.D.11 APPOINTMENT OF IN-CHARGE RESEARCH SUPERVISOR

Ph.D.11.1 Procedure to be followed where Research Supervisor is away for more than two months and up to six months.

- (i) An In-charge Research Supervisor shall be appointed by the Vice Chancellor on the recommendation of DRC/ DRCs based on the request and recommendation of the Research Supervisor of the Research Scholar.
- (ii) In-charge Research Supervisor shall fulfill all duties and responsibilities till the appointed Research Supervisor returns.
- (iii) In-charge Research Supervisor shall not be entitled for claiming any intellectual right on the research work of such Research Scholars and Research Supervisors.
- (iv) All such applications of appointment of In-charge Research Supervisor shall be submitted to the University, as per the format, at least one month in advance.

Ph.D. 11.2 Procedure to be followed where Research Supervisor resigns or shifts to another University/ College or an affiliated institution(s) becomes a Private University before submission of Final Registration by the candidate.

- (i) An alternate Research Supervisor shall be appointed by the Vice Chancellor upon the recommendation of the DRC/ DRCs.

Note 1: For those Research Scholar who wish to continue work on the same research topic, he/she shall submit the requisite form, in the University's format, specifying the appointment of an alternate Research Supervisor along with the letter of No Objection from appointed Research Supervisor clearly specifying that he/she does not have any objection if the Research Scholar continues to work on the same research topic and will not claim any rights/privileges, etc. on the research work done by the Research Scholar presently under the supervision of the alternate Research Supervisor, at a later stage.

Note 2: A No Objection letter from alternate Research Supervisor, should specify that he/she shall continue to supervise the Research Scholar on the present research topic and will ensure that proper recognition/acknowledgement etc. shall be imparted to the allotted Research Supervisor.

Ph.D. 11.3 In case of death / disability / any other condition(s) which renders a Research Supervisor unfit for the conduct of his/her duties, an alternate Research Supervisor shall be appointed by the Vice Chancellor upon the recommendation of the DRC/DRCs and shall take care of all administrative and research responsibilities of the Candidate/ Research Scholar.



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Note 3: For those Research Scholars where a change of research title is recommended by alternate Research Supervisor, the application for change of research title shall be processed first, if final registration form/ certificate has been submitted/issued, and then the alternate Research Supervisor can conduct a Self-Study course on the new research title, if required, and shall be treated as an additional Self-Study course. This additional self-study course shall be submitted to the University.

Note 4: If the Research Scholar has successfully cleared the coursework then the additional Self-Study course result shall not affect the coursework result of the Research Scholar.

Ph.D.-11.4 Handling of Conflict

In case of receipt of request letter stating conflict between the Research Supervisor and/or Co-Supervisor and/or In-charge Research Supervisor and the Research Scholar, from either or both the parties the matter shall be referred to the Vice Chancellor. The decision of the Vice Chancellor shall be final and binding in this regard.

Ph.D.-12 DE-RECOGNITION OF RESEARCH SUPERVISOR(S) / CO-SUPERVISOR(S)

Vice Chancellor shall de-recognize a recognized Research Supervisor on account of:-

- (i) A Research Supervisor shall be de-recognized who seeks fresh registration of candidates under his/her supervision whose superannuation or term of leaving service is up to or less than three years.
- (ii) Communication in any form with the Thesis adjudicators by the Research Supervisor/Co-Supervisor after the submission of Synopsis/ Thesis by the Research Scholar in connection with the evaluation report shall lead to withdrawal of the Research Supervisorship for a period of three years and they shall be debarred from supervising the existing Research Scholars of the University till such period.
- (iii) Once recognized as Research Supervisor of this University, a Research Supervisor shall not seek/obtain Supervisorship from any other University. However, the recognized Research Supervisors can function as Co-Supervisor for scholars working in association with other reputed Universities/Institutions/ Research & Development laboratories which have Memorandum of Understanding with Gujarat Technological University.
- (iv) Any violation of regulations by the Research Supervisor/ Co-Supervisor shall lead to withdrawal of the Supervisorship either permanently or for a maximum period of three years and they shall be debarred from guiding the existing scholars in the University till such period.


22/03/23
Registrar