



CODES OF PRACTICE (COP) FOR PhD GUIDES AND MEMBERS OF DOCTORAL ADVISORY COMMITTEES (DAC) OF SCTIMST

General

1. The primary role of a PhD Guide is to help a new scholar to become an independent researcher. It is expected that Guides will only accept a student if they:
 - 1.1. Have the subject expertise necessary to guide the student's research.
 - 1.2. Have sufficient time to supervise the student.
 - 1.3. Will be in the post long enough to ensure continuity of supervision.
2. The PhD Guide is expected to be familiar with all rules and regulations, procedures and deadlines related to the PhD program as contained in the prospectus, PhD manuals, SOP for PhD Program and administrative orders issued from time to time. He/she is also expected to attend an orientation program specifically organised for PhD Guides every term.

Role of the PhD Guide

3. The PhD Guide is expected to provide academic guidance by:
 - 3.1. Providing scholarly direction;
 - 3.2. Providing the resources required for conducting experimental research
 - 3.3. Encouraging student in his/her academic work;
 - 3.4. Ensuring that appropriate time lines for the completion of each phase of the work is established;
 - 3.5. Ensuring that student is given timely advice about style requirements and about the mechanics of presenting a thesis;
 - 3.6. Ensuring compliance with any legal, professional, ethical or safety guidelines associated with the project; and
 - 3.7. Identifying and helping student acquire any missing skills for his/her research.
4. The PhD Guide is also expected to encourage the student into wider contacts as appropriate to the discipline by:
 - 4.1. Encouraging seminar and conference presentations; participation in

student seminars in similar or different field of research to widen multidisciplinary approach

- 4.2. Helping student establish contact with other scholars in the field;
 - 4.3. Organizing journal clubs within the division/department for reviewing current literature and to critically evaluate manuscripts in groups
 - 4.4. Helping student publish his/her work as appropriate.
5. The Guide may give the PhD scholar additional responsibilities for other activities such as laboratory/equipment maintenance and other departmental/institutional programs, to encourage development of skills necessary for a career in academia. The volume of such work should be such that it does not negatively affect the time a student is able to spend on his/her PhD work. All PhD students may be given equal opportunity to improve their potential by participating in such activities.

Responsibilities of the PhD Guide

6. The PhD Guide shall:
- 6.1. Take an informed decision on whether or not to undertake guiding a specific PhD scholar, after careful consideration of the students' areas of interest and his/her prior training.
 - 6.2. Facilitate the process of preparation by the student of a proposal outline to be submitted to the academic division for purposes of PhD registration.
 - 6.3. Constitute the DAC within one month of the student's registration and call for regular meetings of the DAC.
 - 6.4. Submit to the academic division the syllabus and panel of examiners for the Comprehensive Examination (4 names with contact details) with the approval of DAC within one year of the candidate's date of registration.
 - 6.5. Submit to the academic division a panel of 5 external examiners with the approval of DAC for Thesis Evaluation within two years of the candidate's date of registration.
7. The Guide should ensure, in co-operation with the student, that
- 7.1. Milestones and indicators to monitor the student's progress in the PhD program are developed, and finalised with inputs from the DAC.
 - 7.2. A timetable of regular meetings is established (at least once a month on average across the year for full-time students and at least once in two months on average across the year for part-time students) for

detailed discussion of the student's progress. These meetings should be face-to-face for full-time students, unless the student or PhD Guide are on leave, in which case Skype or other forms of virtual meetings may be scheduled. For part-time students, Skype or face-to-face meetings shall be scheduled at least once in two months.

- 7.3. The student prepares a summary of the proceedings and decisions taken in all scheduled meetings. It is incumbent on the Guide(s) to sign-off on these meeting reports to help the student capture important decisions reached at early stages in their studies.
8. The guide shall give appropriate training to the student to maintain work book/diary in which daily work records are entered. The guide is responsible for verifying the records to make sure that the student has entered all important and relevant information which is necessary for communications of the data in manuscripts and in thesis.
9. If the guide perceives unsatisfactory progress, or in the event that sufficient data to report are not generated, the reasons should be discussed between the guide, the student and DAC members and an alternate plan of action shall be proposed without much delay so that the student can complete the PhD program smoothly.
10. It is the responsibility of the guide to ensure that the student is not drifting from the focus of his/her research. If there is a need for deviation from the original focus, this should be discussed in detail between the student, the guide and DAC members. Sufficient justification should be established for deviation, and a suitable alternative plan evolved and submitted for approval by the Academic Committee.
11. The PhD Guide should submit, along with the PhD student's half-yearly Progress Report, an assessment of the student's progress. Each report should also state the nature and extent of recent contact with the student. Unsatisfactory progress should be recorded in the Guide's assessment, after discussion with DAC. This assessment should be shared with the student. *See separate note on "Conflict resolution"*.

Obligations

12. Throughout the Program of Study, PhD Guides should ensure timely coordination with academic administration to avoid unnecessary delays in

the progress of the research and other formalities for completion of the program till award of degree.

13. Where the student's research forms part of a funded research program, the Guide should ensure that the student is aware of the duration for which funding is available. If funding is not likely to be available for the entire duration of the PhD program, the student should be informed of this possibility right at the time of joining or whenever this information becomes known, and an undertaking taken from the student that he or she is aware of this.
14. The PhD Guide is obliged to return any written work submitted by the student within two weeks from the date of submission for chapters and articles, and within a month of submission when the entire dissertation is submitted.
15. Where the student is unable to attend the Institute for genuine reasons such as immediate family's problems, illness, etc. the Guide shall demonstrate humanitarian considerations. No aggressive action shall be taken by the Guide without consulting with Academic division, if the student takes undue and extraordinary leave.
16. The PhD Guide shall not subject the PhD student to any punitive action or suspension of entitlements (refusal to allocate time for meeting, attendance in courses, permission for leave, permission for use of laboratory or conduct of experiment, etc.) unilaterally. Doing so would be considered as a breach of the student's entitlements. Any problem with the student shall be addressed in accordance with the guidelines set out in the *SOP for Conflict resolution*.
17. Non-adherence to Code of Practice and to the responsibilities mentioned therein by a PhD Guide may be construed as a grievance by the PhD student, who is then entitled to seek grievance redressal measures.
18. Conference presentations and publications from PhD research, authorship norms, ownership of data
 - 18.1. The PhD student has the primary entitlement to make conference presentations based on his/her PhD research. The guide may present the work with explicit concurrence from the student and with co-

- authorship, with the student being the first author.
- 18.2. The guide shall ensure that the student is sincere and honest to the scientific data generated, and strictly adheres to norms related to plagiarism and citations. It is the guide's responsibility to not sign-off on any manuscripts that are not based authentic data and original writing.
 - 18.3. The guide should ensure that data generated during the PhD research are deposited with him/her when the student completes the PhD program. The student is entitled to publish using this data, with due acknowledgement that the research was carried out in SCTIMST.
 - 18.4. The guide and the student shall jointly decide on credit through authorship or acknowledgement to all those who have contributed to the generation of a manuscript for publication. It is the guide's responsibility to ensure that this is how decisions are made.
 - 18.5. Where the student has generated the data through PhD research, he/she is entitled to be the First Author. The guide is entitled to verify the publishable data generated by the student, edit and correct the paper and become the Corresponding Author.
 - 18.6. Principal authorship and other publication credits should accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their relative status. Mere possession of an institutional position, such as Department Head, or being a DAC member does not justify authorship credit.
 - 18.7. Individuals who contributed to the work but whose contributions were not of sufficient magnitude to warrant authorship should be identified by name in an acknowledgments section.
 - 18.8. Individuals listed as authors should review and approve the manuscript before publication.
 - 18.9. The ultimate reason for identification of authors and other contributors is to establish accountability for the reported work.

COP for DAC Members

1. Before accepting the invitation to be a member of the DAC for a PhD student, the concerned person may evaluate whether or not s/he will have the time to attend all DAC meetings and to contribute intellectually to the thesis. Such intellectual contribution may be scientific/technical/logical or a combination of all.

2. When the student presents the research proposal to a full quorum of DAC at the very beginning of the PhD Program, the DAC shall critically assess the proposal and give suggestions to ensure that:
 - 2.1. The research proposed is feasible.
 - 2.2. The research proposed is sufficient.
 - 2.3. The student is not overburdened with workload which is not achievable.
 - 2.4. The proposed syllabus is relevant and appropriate for his/her field of study.
 - 2.5. Objectives and timelines are proposed in manner that the progress can be monitored by DAC.
 - 2.6. Resources for the proposed work are available.
3. DAC members are expected to be present to review the mandatory six seminar presentations of the Doctoral Candidate. The dates for the presentations should be decided in consultation with DAC members. DAC members will evaluate the candidate's performance at each of the seminars.
4. DAC members have to assess and sign-off on the syllabus identified by the guide and the student; and recommend any specific courses that the candidate should attend in order to enhance their skills for completing the work of the thesis.
5. DAC members are required to assess the progress of work, delays and cause for delays, deviation from the original proposal etc. They are expected to give inputs to and sign-off on the PhD Guide's six monthly assessment of the student, to be submitted along with the progress report prepared by the student, in the months of July (for January – June) and January (for July-December) every year.
6. DAC members are required to be proactive in enhancing the quality of the thesis and allow the student to discuss, with the knowledge of the Guide, if he/she encounters any issues which is beyond the Guide's ability/expertise to solve.
7. DAC members should be present to evaluate the work of the candidate at the final colloquium where the candidate presents his/her work.

8. DAC members will review the synopsis and recommend the same for submission. The recommendation of the DAC is mandatory for submission to the Division of Academic Affairs.
9. DAC members should review any changes in title of the thesis should it become necessary before the submission of the synopsis. The Director should approve such recommendations before being accepted by the academic division.
10. DAC members are required to mediate in case of any conflict between the PhD student and the guide, and to try and find an amicable solution to the problem. If an amicable solution could not be reached, DAC members may make recommendations to the academic division on any action they deem necessary. In either case, they shall submit a written report about the conflict resolution attempt to the academic division (*See note on SOP for Conflict resolution*).



CODE OF PRACTICE FOR PhD STUDENTS OF SCTIMST

General

1. A person registering as a full-time or part-time PhD student at SCTIMST is making a commitment to devote the time and energy needed to engage in research and write a thesis or dissertation. His/her PhD Guide has a right to expect work discipline, substantial effort and initiative in completing the program successfully.
2. A PhD student must read the PhD manual/prospectus and SOP carefully, accept the rules, procedures and standards in place in the program and administrative orders issued from time to time by SCTIMST .
3. Respect for the Institute's property; judicious and responsible use of research equipment and materials in the laboratory setting and elsewhere; respect for the rights of others in the workplace and in the hostel and all public spaces is expected of each PhD student.
4. PhD students are expected to adhere to ethical conduct in academic and in all matters. Students are reminded that their theses and all articles and presentations must be their own work and all quotations from other sources, whether published or unpublished, must be properly acknowledged. Plagiarism is a very serious offence and, where proven against a student, may result in disqualification from the examination for the PhD and exclusion from all future programmes of the Institute.
5. A research degree is an independent research project and research students are responsible for its success. Students will be expected to show that they can plan and manage their work, develop and communicate their ideas, and deliver on time a thesis of an appropriate standard.

Entitlements of PhD students

6. PhD students have the right to education, supervision and training. The institution shall have a separate curriculum for PhD students and provide access to teaching and learning sessions and other methods appropriate for advanced learning. Students will also be assured of adequate guidance from the PhD Guide, and opportunities for skill development appropriate and reasonable for their discipline.

7. PhD students have the right to due credit for their research contributions e.g. authorship in publication, and due and documented recognition of other contributions such as teaching, data handling, and participation in collaborative learning activities, organization and facilitation.
8. PhD students have the right to reasonable infrastructural facilities conducive to learning, e.g. suitable permanent seating arrangements, arrangements to safely secure their possessions (lockers), computer/printer facilities, access to library and internet connection.
9. PhD students have the right to full information about the requirements for the degree and about the rules and regulations governing the PhD program (including procedures for seeking permission for attending conferences and workshops, publishing papers, leave entitlements etc.) on both academic and non-academic matters.
10. PhD students have the right to clearly defined policies regarding benefits and non-academic issues pertinent to their student status. This includes policies governing access to accommodation and/or HRA, fee hike and leave. All students have the right to be under same policy without any discrimination.
11. PhD students have the right to be treated in a respectful and professional manner by all members of the institution, and enjoy freedom from discrimination based on gender, caste, ethnicity and sexual or other forms harassment (verbal or non verbal).
12. PhD students have the right to receive, on a regular basis, written evaluation of their progress and to be informed of the criteria upon which the evaluation is based.
13. PhD students have the right to academic freedom. This includes the right to express, without reprisal, independent opinions about scholarly issues (such as opinions regarding theoretical and methodological debates in their disciplines), opinions regarding matters of institutional policy, concerns about suspected research misconduct and personal opinions on public matters.
14. PhD students have the right to have their views represented in the development of policies that govern their course. Student ideas and perspectives should be solicited and considered if substantive changes in the structure of a PhD program are planned.
15. PhD students have the right to interact with each other in the student community and organize common platforms for academic/non academic discussions and for recreational activities.

16. PhD students have the right to utilize all common amenities like health club, canteen, parking space, etc.
17. PhD students have the right to accessible procedures to redress their grievances and suitable mechanisms that are fair and without reprisal (See separate note on Conflict Resolution).

Academic responsibilities: From provisional selection to registration for PhD program

18. Admission to the PhD program is provisional. It is the student's responsibility to identify a faculty member with expertise in the area in which the student wishes to pursue his/her research and ascertain that the person is willing to be his/her PhD Guide.
19. All students securing admission to the PhD program are required to attend an orientation program conducted for PhD students soon after provision selection is announced.
20. All students securing admission are required to be aware about the prospective guide's educational background, research experience, facilities for experimental work and/or other methods for collecting data before one decides to join a specific guide.
21. Before joining, the students are required to spend sufficient time on discussions with the guide (and his/her research team) to assess if the research interest of the student and the guide matches.

Academic responsibilities during the PhD program

22. It is the PhD student's responsibility to keep track of the steps involved in the PhD program and to meet the requirements on time (as detailed in the PhD manuals), without expecting the guide to initiate action at every step.
23. It is the student's responsibility to fix dates for DAC meetings and for seminars in consultation with the PhD Guide and DAC members. Draft minutes of DAC meetings are to be written by the student, circulated to DAC members and PhD Guide and finalised after receiving their inputs.
24. The student shall pro-actively seek the guide's support in:
 - 24.1 Developing milestones and indicators to monitor the student's progress in the PhD program finalised with inputs from the DAC.
 - 24.2 Ensuring that a timetable of regular meetings is established (at least once a month on average across the year for full-time students and at

least once in two months on average across the year for part-time students) for detailed discussion of the student's progress. These meetings should be face-to-face for full-time students, unless the student or PhD Guide are on leave, in which case Skype or other forms of virtual meetings may be scheduled. For part-time students, Skype-or face-to-face meetings shall be scheduled at least once in two months. The student is required to prepare a summary of the proceedings and decisions taken in all scheduled meetings and get these endorsed by the guide.

25. The student is required to submit written work for review by the PhD Guide well in advance (as mutually agreed between the guide and the student) before feedback is required/ expected.

Responsibilities related to lab-work (where relevant)

26. PhD students whose research is laboratory-based are expected to participate in the maintenance of the laboratory and running of the project related to their work, including purchase, drafting of IEC/IAEC/IC-SCR applications in consultation with the PhD Guide and keeping track of animal use as approved, and so on.
27. If malfunctioning occurs in a project's equipment, the PhD scholar should report about it to the PhD Guide and take prior permission from him/her before sending the equipment for repair or replacement.
28. If the student's fellowship is supported from an externally funded project, he/she shall actively participate in maintaining accounts, and help preparation of financial statements, submission of project report to funding agency etc. If the research objectives of funded project are different from the PhD research objectives, the student shall undertake the responsibility of working hard to carryout both activities simultaneously and successfully without compromising progress of both.
29. For students with individual fellowship needing laboratory research, a huge amount is required for consumables and reagents. Where the money is mobilized by the research guide through research grants, it is also the responsibility of the student to contribute to the research program and produce meaningful research outcome and meet the objectives of the grant as mutually agreed upon by the student and guide who is the project PI. All these points have to be clearly defined by the guide and understood by the student before undertaking the program.

Attendance at relevant conferences, seminars and workshops

30. The PhD student has the primary entitlement to make conference presentations based on his/her PhD research. The guide may present the work with explicit concurrence from the student and with co-authorship, with the student being the first author.
31. The PhD student should identify national/international conferences appropriate for them to present research data and notify the guide about the opportunity. Upon mutual agreement the student shall draft an abstract, get it corrected by the guide. Submission of abstracts and papers for conferences should be routed through the proper channels and it is the responsibility of the student to complete the formalities.
32. It is the responsibility of the student to seek funds for travel and other expenses for attending conference by submitting appropriate applications with relevant documents as may be required by the funding agency.
33. Advance may be given to the student only if the guide has a research grant that can afford to advance the student expenses and if he/she as PI recommends the same. Once fund is approved and conference is attended, the student shall prepare claim bills to get the spent amount reimbursed.

Norms related to publications, data ownership

34. The PhD student should take the initiative to prepare journal articles based on his/her research, and seek guidance and inputs from the PhD Guide for finalising the papers. These are to be submitted for publication through proper channels.
35. The student must strive to publish at least two papers from the PhD-related work before thesis submission so that evaluation and viva-voce are not delayed.
36. Data generated during the PhD research should be deposited with the guide when the student completes the PhD program. The student is entitled to publish using this data, with due acknowledgement that the research was carried out in SCTIMST.
37. The guide and the student shall jointly decide on credit through authorship or acknowledgement to all those who have contributed to the generation of a manuscript for publication. Individuals listed as authors should review and approve the manuscript before publication.
38. Where the student has generated the data through PhD research, he/she is entitled to be the First Author. The guide is entitled to verify the publishable data generated by the student, edit and correct the paper and

become the Corresponding Author or a co-author, as the Guide may choose.

39. Authorship and other publication credits should accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their relative status. Mere possession of an institutional position, such as Department Head, or being a DAC member does not justify authorship credit.
40. Individuals who contributed to the work but whose contributions were not of sufficient magnitude to warrant authorship should be identified by name in an acknowledgments section.
41. The ultimate reason for identification of authors and other contributors is to establish accountability for the reported work.

Formalities & Submission of Thesis

42. The student shall take timely action to draft the thesis, prepare synopsis and present the colloquium after intense discussions with the guide. The student should take all suggestions given by the guide seriously and appropriate steps should be taken to submit an error-less dissertation.
43. Not only plagiarism in stealing data but also reproduction of sentences from other reports in literature is a serious offence. Therefore, students should learn and write own sentences and check for plagiarism in the final manuscripts and thesis using software recommended by the Institute.

Deregistration

44. A PhD candidate may be deregistered if:

44.1. *The candidate does not finish the course work successfully within the stipulated time inclusive of periods of extension allowed.*

OR

44.2. *S/he does not successfully complete the Comprehensive Examination within a maximum of two attempts.*

OR

44.3. *The candidate has not submitted the PhD thesis within the maximum stipulated time inclusive of the extension period.*

OR

44.4. *The candidate's progress of work is not found satisfactory by the Guide and DAC members, who furnish supporting documentation for making such an assessment.*

Attendance and Leave rules (full-time students)

45. All full time students are expected to attend the institute on all working days unless authorised to be on leave or away in connection with the PhD work.
46. A student may be allowed to work in other Institution/s elsewhere within the country or outside the country, only if the plan of work is in area of initial research proposed by the student to the DAC. To decide whether or not the student should be allowed to go to other organizations for long term (15 days or more), the DAC shall discuss the merits of the research to be undertaken in the other organization, and submit appropriate recommendation to the academic division, describing the benefit to the PhD program and/or the student. If the outstation program has no connection or relevance to the original proposal, the student may be denied the permission to leave the Institute to participate in such activity.
47. Where students are unable to attend the Institute because of illness or urgent personal circumstances they shall inform their PhD Guide as soon as practicable. If the absence is due to illness a medical certificate must be produced after seven days. If an examination is missed on account of illness a medical certificate must be produced immediately. Absence for more than three days without permission would be considered as breach of discipline.
48. When a PhD student is away from the Institute for the purpose of conducting Field work for the thesis, s/he is required to submit a tentative field work plan (with time and place specified) and have it approved by the guide. Any changes in plans because of field circumstances are to be communicated to the guide. The student should report to the guide via e-mail at regular intervals as per mutual agreement. Contact details shall always be made available to the guide. Failure to abide by any of these may be construed as breach of discipline.

Attendance and Leave rules (part-time students)

49. Part-time PhD students are required to be present on campus for a minimum duration of six months over a period of three years from the date of registration. This may be in single or multiple blocks. The student and guide will decide the duration of each block with the concurrence of the DAC. During this time, they are expected to attend the institute on all working days unless authorised to be on leave or away in connection with the PhD work.
50. Part-time PhD students are required to be in contact with their PhD Guides by e-mail and Skype and in person according to a mutually agreed schedule, but not less than once in two months. The purpose of these

meetings will be to review the progress in PhD work and to plan for further work. The student is expected to minute the decisions made in these meetings and to finalise it after obtaining feedback from the PhD Guide.

Special leave for PhD candidates and keeping the registration alive

51. Any break during the program after clearing the Comprehensive examination may be termed “special leave for PhD students and keeping registration alive”. Such leave has to be recommended, with robust justification, by the guide through the DAC and has to be endorsed by the Dean and the Director. During the period of absence, the student will not receive any fellowship from the institute. If leave is sanctioned, the student can be away for a maximum period of two years.
52. Upon return, the PhD thesis has to be submitted, after meeting all requirements, within five years from the date of registration, EXCLUDING the period of absence. These students will not be eligible for the one-year extension (two years for women candidates and persons with more than 40% disability) beyond five years that is granted to those without a break. Necessarily, it shall be the responsibility of the guide and the DAC to recommend such leave only after ascertaining that there will be no need for extension beyond five years.

Difficulties in research work and with the PhD Guide

53. A student experiencing difficulties with his/her research is expected to discuss these with his/her PhD Guide without delay and take appropriate action so that any difficulties can be resolved or an alternate path can be adopted as soon as possible.
54. The PhD student is expected to take on board comments and critiques from the PhD Guide and to modify his/ her work accordingly. Where students are advised that their progress has been inadequate, they shall take steps to improve their work to their PhD Guide's satisfaction.
55. If the student is not happy with the guidance given to him/her, in terms of time spent for discussion or solving problems encountered or not getting the documents/reports/manuscripts/abstracts corrected on time as stipulated, or delay in administrative matters, the first step would be to try and resolve the matter informally and amicably. *Please refer to SOP on Conflict Resolution for guidance.*
56. The student shall not indulge in any activity of lodging oral complaints

against the guide or criticising the guide to other members of the Institute who are not connected to the specific PhD program academically or administratively. Any grievance against the guide shall be made in an official and professional manner and as per the written procedure of this Institute.