

**SREE CHITRA TIRUNAL INSTITUTE FOR MEDICAL SCIENCES AND
TECHNOLOGY
TRIVANDRUM, KERALA, INDIA - 695 011
Division of Academic Affairs**

SOP (Supervisors)	Document No: SCT/DAA/SOP/Sup./001	
	Version No & Date	1, 09/04/2018
	File Name: DR\My docs\SOP\Part I\001\28122017	

- 1. Activity** : Getting recognition as a PhD guide of SCTIMST
- 2. Objective** : To become a recognized PhD guide of SCTIMST
- 3. Application Format No.** : Form PhD/13
- 4. Reference/orders** : PhD manual
- 5. Personnel involved**
 - 5.1. Faculty intended to become PhD guide
 - 5.2. Deputy Registrar(DR)
 - 5.3. Associate Dean (PhD program)
 - 5.4. Dean
 - 5.5. Director
- 6. Documents to be submitted**
 - 6.1. Application (PhD/13)
 - 6.2. Curriculum Vitae
 - 6.3. Proof of qualifications
 - 6.4. Proof of experience
 - 6.5. Proof of project funding received
 - 6.6. Proof of publications
 - 6.7. Proof to show that the applicant is a permanent faculty of the institution
- 7. Processing steps**
 - 7.1. A faculty member ensures that he/she fulfills all the eligibility criteria to become a PhD guide by referring the PhD manual of SCTIMST.
For details follow the link below:
https://www.sctimst.ac.in/Academic%20and%20Research/Academic/Supervisorlines,%20Manuals,%20Forms/resources/PhD_Manual_2017.pdf
 - 7.2. Faculty submits an application along with required documents to the DAA through proper channel.
 - 7.3. Division of Academic Affairs (DAA), Associate Dean (PhD program) and Dean verify the application and supporting documents and submit to Deans Committee.
 - 7.4. Deans committee reviews the application and if found eligible, forward it to academic committee.
 - 7.5. Academic Committee(AC) considers the merit of the application. AC recommends eligible applicant for guideship and forward it to Governing Body (GB) for its approval.
 - 7.6. GB accepts/rejects the recommendations of AC.
 - 7.7. On approval of GB, DAA issues an order stating the award of guideship to

the applicant

7.8. The Faculty member becomes an approved PhDguide of SCTIMST.

- 8. Time period for processing at DAA** : 14 Working days after officially receiving GB approval
- 9. Routing** : Faculty → DR → Associate Dean (PhD program) → Dean → Director → DC → AC → GB → Director → Dean → DR → Faculty

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SOP (Supervisors)	Document No: SCT/DAA/SOP/Sup./002
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1. **Activity** : Performing roles and responsibilities as a PhD guide
2. **Objective** : To provide guidelines to PhD guides on their roles and responsibilities
3. **Personnel involved**
 - 3.1. PhD guide
4. **Responsibilities of a PhD guide(Please also refer the Code of practice available in the intranet under Students Grievance Redressal Committee)**
 - 4.1. **Things to be ensured by the PhD guide before formally agreeing to supervise aPhD student**
 - 4.1.1. The supervisor should have at least three years of service before superannuation from the date of registration of the student.
 - 4.1.2. The supervisor should be committed to set aside adequate time during the next few years to supervise the student.
 - 4.1.3. The supervisor should have background/ expertise in the field of the proposed work.
 - 4.1.4. The supervisor shall ensure that he/she has adequate resources to meet the research expenses of his/her PhD student.
 - 4.1.5. The supervisor shall ascertain that the student has a fellowship/ source of funding to be able to engage in full-time research.
 - 4.1.6. If the fellowship for the student is from a project, then the period of funding should be at least three years or the termination of the project by the funding agency.
 - 4.1.7. If the student receives fellowship from a project, the supervisor may obtain a written consent from the student stating that the student is aware of the period of fellowship, and that it is the student's responsibility to seek funding after this period. This may be obtained from the student at the time of joining.
 - 4.1.8. The Supervisor shall ascertain that the proposed work shall be within the scope of Institute's mandate, and facilities for carrying out the same are available in the Institute.
 - 4.1.9. Before accepting the student, the supervisor shall examine the merit and feasibility of the proposal submitted by the student at the time of application. The supervisor may suggest changes to the topic or to specific aspects of the proposal at this stage. The supervisor may accept the student only if the proposal has

merit, feasible and acceptable to both student and supervisor.

4.2. Things to be ensured by the PhD supervisor after formally accepting a PhD student

- 4.2.1. Once an informed decision has been made to accept the student, the supervisor may sign the appropriate form available from the Institute's internet site:
https://www.sctimst.ac.in/Academic%20and%20Research/Academic/Supervisorlines,%20Manuals,%20Forms/resources/PHD_Registration_form.pdf
- 4.2.2. Ensure that a copy of the research proposal duly signed by the student and the supervisor be submitted to DAA along with the above form.
- 4.2.3. Ensure that a copy of the formal registration/ appointment of student be received from DAA before the student starts his/her formal work as a PhD scholar.

4.3. From registration through comprehensive examination

- 4.3.1. The supervisor shall identify members for constituting a Doctoral Advisory Committee (DAC) for student within one month from the date of registration of student.
- 4.3.2. Ensure that a research plan and road map are agreed upon between the supervisor, the student and DAC within 3 months of the registration of the student.
- 4.3.3. Agree upon the course work requirements of the student between the supervisor and the student.
- 4.3.4. Ascertain and sign-off on the semi-annual progress reports of each of their PhD students, which the student shall submit to the division of Academic Affairs (DAA) before 31 July (for the period January – June) and before 31 January (of the subsequent year for the period July – December).
- 4.3.5. Submit to the DAA the syllabus and panel of examiners for the conduct of comprehensive examination by the end of one year from the date of registration of the student.
- 4.3.6. Submit a panel of thesis examiners to the DAA before the end of two years from the date of registration of the student.
- 4.3.7. As soon as the mandatory seminars (6 numbers) were completed by the student, submit all relevant documents to the DAA and make a request for the conduct of comprehensive examination.

4.4. The Doctoral Advisory Committee (DAC)

- 4.4.1. It is the responsibility of the PhD supervisor to formulate a DAC within one month from the date of registration of PhD student.
- 4.4.2. The Supervisor may make a formal application to DAA with details of names and qualifications of proposed DAC members:
https://www.sctimst.ac.in/Academic%20and%20Research/Academic/Supervisorlines,%20Manuals,%20Forms/resources/PHD_DAC_Members_Form.pdf

- 4.4.3. There should be a minimum of two DAC members excluding the research supervisor and one of the members should be identified as a co-guide. The co-guide should be a recognized PhD guide of SCTIMST. The other member may be from SCTIMST or from a recognized university or institution of higher learning; have at least a PhD degree or a MD degree; and experience/expertise in the research area of the candidate.
- 4.4.4. A scholar without a PhD or an MD degree may be chosen as a DAC member if he/she has at least 10 years of experience as a faculty member in a recognized university or institution of higher learning and expertise in the research area of the candidate.
- 4.4.5. Faculty members who are doing PhD are not eligible to be a member of DAC.
- 4.4.6. It is the responsibility of the PhD supervisor to call DAC meetings. A minimum of two DAC meetings are mandatory in a year.
- 4.4.7. The student shall prepare a work progress report to the DAC meeting, which would include details of work completed during the past 6 months and work proposed for the next 6 months.
- 4.4.8. DAC meeting shall evaluate the progress of the student against the program of work prepared. Any change in the road map proposed initially has to be approved by the DAC.
- 4.4.9. It is the task of the DAC to critically assess the progress of the student's work and propose course-corrections.
- 4.4.10. The minutes of the DAC to be forwarded by the PhD supervisor to the DAA.

4.5. Developing a work plan

- 4.5.1. The student shall prepare an annual or semiannual work plan. The PhD supervisor shall ensure that the student fulfils this requirement.
- 4.5.2. The work Plan shall have the following;
 - 4.5.2.1. Plan for research activities
 - 4.5.2.2. Number of meetings with PhD supervisor
 - 4.5.2.3. Plan for courses to be completed

4.6. Comprehensive Examination

- 4.6.1. It is the responsibility of PhD supervisor to ensure timely completion of the following procedures:
 - 4.6.1.1. Prepare a list of examiners and syllabus for the comprehensive examination and submit the same to DAA before end of year 1.
 - 4.6.1.2. Provide a copy of the syllabus to the student
 - 4.6.1.3. When the student completes the course work and 6 mandatory seminars, the supervisor shall submit an application to DAA in the required format for conducting the comprehensive examination.

- 4.6.1.4. Ensure that students get a clearance certificate for the promotion to Senior Research Fellow (SRF) from DAA.
- 4.6.1.5. Ensure that for INSPIRE fellowship holder evaluation is conducted by a committee consisting of an expert member listed in the INSPIRE (Dept. of Science & Technology, Govt. of India) website.
- 4.6.1.6. Ensure that the student appears for the comprehensive examination by the end of 2nd year of registration.

4.7. Documentation of Raw Data and Protection of Intellectual Property Rights (IPR)

- 4.7.1. It is the responsibility of the supervisor to ensure that:
 - 4.7.1.1. The student carries out proper documentation of laboratory activities in the Laboratory note book with date and signatures.
 - 4.7.1.2. Safe custody of true raw data.
 - 4.7.1.3. The raw data sheet is signed by the student and counter signed by the PhD supervisor.
 - 4.7.1.4. The Laboratory note book and unpublished/patented IPR generated under the work, which are the property of the Institute, are received from the student before leaving the Institute after completion of PhD.

4.8. Obtaining Clearance/approval for the proposed work (if applicable)

- 4.8.1. PhD supervisor shall process the applications for obtaining clearance/approval from the following committees for the proposed PhD work of the student:
 - 4.8.1.1. TAC for Clinical studies
 - 4.8.1.2. Institutional Ethics committee (IEC) for human subjects
 - 4.8.1.3. Institutional Animal Ethics Committee (IAEC) for animal studies
 - 4.8.1.4. Institutional Committee for Stem Cell Research (IC-SCR) for stem cell studies
 - 4.8.1.5. Biosafety committee for using contagious agents
 - 4.8.1.6. Chemical safety Committee for using toxic/dangerous chemicals
 - 4.8.1.7. Radiation safety committee for using radio labelled items

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SOP (Supervisors)	Document No: SCT/DAA/SOP/Sup./003	
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- 1. Activity** : Patenting, Publications and Conference Presentations
- 2. Objective** : To describe the role of the guide in patenting, publishing and in conference presentations
- 3. Personnel involved**
 - 3.1. PhD guide
 - 3.2. Student
 - 3.3. Doctoral Advisory Committee (DAC)
 - 3.4. Patent Cell
 - 3.5. Research and Publication (R&P) Cell
 - 3.6. Division of Academic Affairs (DAA)
 - 3.7. Director
- 4. Supervisor's Role in Patenting, Publications and Conference Presentations**
 - 4.1. If the student's work is deemed patentable, then the supervisor shall initiate the patenting procedure (See Institute's patenting policy with the IPR Cell).
 - 4.2. The supervisor shall make sure that the student has stipulated number of publications (two) to meet the mandatory criteria to submit the thesis.
 - 4.3. The supervisor shall ensure that the student has the required number of presentations at conferences, symposia or workshops.
 - 4.4. The supervisor shall ensure that the student checks his/her manuscript for plagiarism, if any, and also make sure that it is within the acceptable limit. The manuscript shall be submitted to the R&P Cell for the approval by the Director, before submitting to a journal for publication.
 - 4.5. The supervisor shall ensure that the details of the all the ethics clearance obtained shall be mentioned in the publications.
 - 4.6. The supervisor shall ensure that the details of the funding support obtained shall be acknowledged in the publications.
 - 4.7. Authorship in a publication shall be as per Institute policy mentioned in the form for publication.
 - 4.8. In the case of students' publishing papers after leaving the institute, based on the PhD work or any work carried out in the Institute, the supervisor shall be the corresponding author. The supervisor is authorized to take action against any student who does not adhere to this rule.
 - 4.9. Once the student leaves the Institute and does not take any initiative to publish his/her work for more than a year, it is the supervisor's prerogative to write papers based on the PhD data, which is the property of the Institute. The student may be given co-authorship as befitting his/her contribution to the paper.

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- 1. Activity** : Colloquium and Synopsis
- 2. Objective** : To prepare the student for colloquium and submission of synopsis
- 3. Reference/orders** : PhD manual
- 4. Personnel involved**
 - 4.1. PhD student
 - 4.2. PhD guide
 - 4.3. Doctoral Advisory Committee (DAC)
 - 4.4. Deputy Registrar(DR)
 - 4.5. Associate Dean (PhD program)
 - 4.6. Dean
- 5. Processing steps for Colloquium and Synopsis**
 - 5.1. After completion of the PhD work, the student shall inform and discuss the status of the work with the supervisor.
 - 5.2. The supervisor shall call a DAC meeting, if he/she is satisfied with the status of the work.
 - 5.3. The student shall present the work before the DAC for an assessment.
 - 5.4. The DAC shall recommend for the Colloquium, if they are satisfied with the status of the work.
 - 5.5. The supervisor shall make a formal request to DAA for the conduct of colloquium.
 - 5.6. The DAC shall ensure that the student has published the required number of papers and attended the required number of conferences.
 - 5.7. The supervisor shall ensure that after the colloquium, the student prepares a synopsis of the PhD work, gets it corrected and authenticated by the PhD supervisor and submits the same to the DAA.
 - 5.8. The supervisor shall ensure that the final thesis for evaluation is submitted to the DAA within the stipulated time of three months from the date of submission of synopsis.

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- 1. Activity** : Submission of PhD thesis for evaluation
- 2. Objective** : To fulfill the academic requirements before the submission of the PhD thesis for evaluation
- 3. Reference/orders** : PhD manual
- 4. Personnel involved**
 - 4.1. PhD student
 - 4.2. PhD guide
 - 4.3. Doctoral Advisory Committee (DAC)
 - 4.4. Deputy Registrar(DR)
 - 4.5. Associate Dean (PhD program)
 - 4.6. Dean
 - 4.7. Director
- 5. Processing Steps for Thesis Evaluation**
 - 5.1. PhD supervisor shall submit a list of examiners for the final thesis evaluation within two years from the date of registration of student.
 - 5.2. PhD thesis examiners shall be at or above the academic level of Associate Professor/Scientist-E.
 - 5.3. The Final thesis for the evaluation shall be prepared as per the format.
 - 5.4. The thesis shall be authenticated by the PhD supervisor and submitted along with the application for final thesis evaluation.

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SOP (Supervisors)	Document No: SCT/DAA/SOP/Sup./006
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- 1. Activity** : Open defense
- 2. Objective** : To prepare the student for open defense
- 3. Reference/orders** : PhD manual
- 4. Personnel involved**
 - 4.1. PhD student
 - 4.2. PhD guide
 - 4.3. Deputy Registrar(DR)
 - 4.4. Associate Dean (PhD program)
 - 4.5. Dean
 - 4.6. Director
- 5. Steps for Open Defense**
 - 5.1. Once the Division of Academic Affairs (DAA) provides the comments of examiners to the PhD supervisor, he/she shall advise the student how to carry out the required corrections/information, if needed.
 - 5.2. The Supervisor shall facilitate an effective presentation by the student in the PhD viva.
 - 5.3. After the final viva, the supervisor shall ensure that the student submits 3 copies of the thesis to the DAA.
 - 5.4. The supervisor shall ensure that there are no dues outstanding against the student.
 - 5.5. The supervisor shall ensure that the student shall submit the raw data generated as part of the PhD work to him/her and they are in order before issuing the provisional certificate.

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SOP (Supervisors)	Document No: SCT/DAA/SOP/Sup./007	
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- 1. Activity** : Delegating responsibilities when a guide leaves the Institute for a long duration or permanently
- 2. Objective** : To make alternate arrangements for guiding the student in the absence of the guide
- 3. Reference/orders** : PhD manual
- 4. Personnel involved**
 - 4.1. PhD student
 - 4.2. PhD guide
 - 4.3. Doctoral Advisory Committee (DAC)
 - 4.4. Associate Dean (PhD program)
 - 4.5. Dean
 - 4.6. Director
- 5. Things To Do In Case The Supervisor Is Proceeding On Sabbatical leave/ Long Leave / Permanently Leaving The Institution**
 - 5.1. Refer to the prevailing rules of the Institute
 - 5.2. The PhD supervisor shall interact with the Division of Academic Affairs (DAA) for advice.
 - 5.3. The PhD supervisor shall brief the co-guide regarding the work of the student and hand over the responsibility of supervising the student in his/her absence.
 - 5.4. The co-guide shall get the approval of the Director, and shall supervise the student in the absence of guide.
 - 5.5. The DAA shall ensure that the change in the supervisor does not affect the proposed PhD work of the student.

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- 1. Activity** : Steps to be taken by the guide if the student does not make satisfactory progress in the PhD work
- 2. Objective** : To take the essential measures if the progress of the student is not satisfactory
- 3. Reference/orders** : PhD manual
- 4. Personnel involved**
 - 4.1. PhD student
 - 4.2. PhD guide
 - 4.3. Doctoral Advisory Committee (DAC)
 - 4.4. Deputy Registrar(DR)
 - 4.5. Associate Dean (PhD program)
 - 4.6. Dean
 - 4.7. Director
- 5. Steps To Be Taken By The Supervisor**
 - 5.1. The PhD Supervisor shall do an assessment on the reason for the unsatisfactory progress.
 - 5.2. The same will be reported to the DAC.
 - 5.3. DAC shall advise the student.
 - 5.4. DAC shall analyze the reasons behind the slow progress by considering the following parameters:
 - 5.4.1. Lack of facility
 - 5.4.2. Lack of feasibility of the proposed work
 - 5.4.3. Lack of interest of the student
 - 5.4.4. Other circumstances
 - 5.5. In extreme conditions, the DAC shall suggest a new area of work in consultation with the PhD supervisor.

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- 1. Activity** : Resolving conflicts
- 2. Objective** : To resolve conflict, if any, between the guide and the student/ the student and other lab members or student and other members
- 3. Reference/orders** : PhD manual; Guidelines of students grievance redressal committee (SGRC)
- 4. Personnel involved**
 - 4.1. PhD student
 - 4.2. PhD guide
 - 4.3. Doctoral Advisory Committee (DAC)
 - 4.4. Deputy Registrar(DR)
 - 4.5. Associate Dean (PhD program)
 - 4.6. Dean
 - 4.7. Students Grievance Redressal Committee (SGRC)
 - 4.8. Director
- 5. Steps to Follow in Case of Conflicts**
 - 5.1. Refer to standard operating procedures (SOP) on students grievance redressal published in the institute website.
 - 5.2. Follow the SOP for students grievance redressal
 - 5.3. If the problem does not get resolved, submit an application to students grievance redressal committee (SGRC).
 - 5.4. Follow the directions of SGRC.

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SOP (Supervisors)	Document No: SCT/DAA/SOP/Sup./010
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- 1. Activity** : Dealing with sexual harassment
- 2. Objective** : To make awareness to tackle sexual harassment
- 3. Reference/orders** : Institute policy on sexual harassment
- 4. Personnel involved**
 - 4.1. PhD student
 - 4.2. PhD guide
 - 4.3. Internal Complaint Committee
- 5. Steps to Follow in Case Sexual Harassment**
 - 5.1. Refer to the Institute policy and procedures to deal with sexual harassment.
 - 5.2. Submit a complaint to Internal Complaint Committee