



# राष्ट्रीय आयुर्वेद संस्थान

मानद विश्वविद्यालय (डी-नोवो)  
(आयुष मंत्रालय, भारत सरकार)

## NATIONAL INSTITUTE OF AYURVEDA

Deemed to be University (De-novo)  
(Ministry of AYUSH, Govt. of India)



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Dated : 22-03-22

### NOTIFICATION

The Rules And Regulations For Doctoral Degree (Phd) Programme Ayurved Vidyavaridhi (PhD Ay.) is hereby notified for information of all concerned.

Copy of Rules And Regulations For Doctoral Degree (Phd) Programme Ayurved Vidyavaridhi (PhD-Ay.) is attached herewith.

This issues with the approval of Vice-Chancellor.

  
Registrar

Copy for information and necessary action to:

1. Vice-Chancellor(I/C) for his kind information.
2. Pro-Vice-Chancellor(I/C) for kind information.
3. All Deans(UG, PG, Fellowship, Para-Medical and Interdisciplinary Programs).
4. All Heads of the Departments.
5. Controller of Examination.
6. DMS(Hospital), Chief Warden(Hostels).
7. Joint Registrar(Academic.).
8. Joint Director(Admn.) & Joint Registrar(Admn.).
9. In-Charge(IT) for uploading on NIA Website.
10. In-Charge(OPDs).
11. Administrative Officer & Finance Officer.
12. Accounts Officer/ Store Officer/ All Office Superintendents.
13. Establishment Section/Accounts Section/Confidential Section/Library/Estate/Store.

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**NATIONAL INSTITUTE OF AYURVEDA**

Deemed to be University (*De-novo*)  
Ministry of Ayush, Govt. of India



**RULES & REGULATIONS**  
**DOCTORAL DEGREE (PhD) PROGRAMME**  
**Ayurved Vidyavaridhi (PhD-Ay.)**

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**RULES & REGULATIONS**  
**FOR**  
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**RULES & REGULATIONS**  
**FOR**  
**DOCTORAL DEGREE (PhD) PROGRAMME**  
**Ayurved Vidyavaridhi (PhD-Ay.)**

**PREAMBLE**

Regulations for Doctor of Philosophy (Ph.D.) Degree are framed in accordance with UGC (Minimum standard & Procedures for the Ph.D.Degrees) Regulations 2016 and has come into force from the date the Board of Management approved.

NATIONAL INSTITUTE OF AYURVEDA, Deemed to be University, (*De-novo*) Jaipur, offers academic programmes leading to the award of PhD degree through its Departments. The award of PhD degree is in recognition of high academic achievements, independent research and application of knowledge to the solution of physical, mental, medicinal, technical and scientific problems in Ayurveda. Creativity and productive inquiry are the basic concepts underlying the research work.

The academic programme leading to the PhD degree is broad-based and involves a prescribed course credit/ percentage requirement and a research thesis. The Institute also encourages interdisciplinary areas through a system of Co-supervision and provides excellent opportunities for such programmes.

The degree of Doctor of Philosophy shall be abbreviated as PhD. The Degree of Doctor of Philosophy is granted for research work in areas recognized by the Institute subject to the conditions and regulations contained hereinafter.

The research work shall be an original work characterized either by the discovery of facts, or by a fresh approach towards the interpretation and application of facts, or development of innovative medicine and technologies. It shall evince the candidate's capacity for critical examination and sound judgment and shall represent original contribution to the existing knowledge. The degree of doctor of philosophy (PhD) of the NATIONAL INSTITUTE OF AYURVEDA, Deemed to be University, (*De-novo*), Jaipur, shall be conferred on a candidate who successfully completes all the requirements specified in these ordinances and regulations, which were approved by Board of Management.



**RULES & REGULATIONS**  
**FOR**  
**DOCTORAL DEGREE (PhD) PROGRAMME**  
**Ayurved Vidyavaridhi (PhD-Ay.)**

In exercise of the powers conferred by UGC (Minimum standards and Procedure for Award of M.PHIL/PH.D Degrees) Regulations 2016 and Section 12.0 of MoA and rule and regulations clause 4.4.1 of National Institute of Ayurveda, Deemed to be University (De-novo), Jaipur, hereby makes the following Regulations:

**1. Short Title and Commencement**

- 1.1 These Regulations may be called the National Institute of Ayurveda, Deemed to be University (De- novo), Jaipur Doctor of Philosophy (PhD) Regulations 2021.  
1.2 They have come into force on the date of their approval from the Board of Management.

**2. Definitions**

In these Regulations, the terms used shall have the following definitions:

**'Institute'** shall mean the National Institute of Ayurveda (Deemed to be University), Jaipur;

**'Department'** shall mean the academic department of the Institute;

**'Doctoral Degree'** shall mean the Degree of:

Doctor of Philosophy - PhD (Ay.)/ Ayurved Vidyavaridhi (subject concerned) or

Doctor of Philosophy - PhD (Allied Science)

Doctor of Philosophy - PhD (Interdisciplinary)

by the National Institute of Ayurveda (Deemed to be University), Jaipur which may be conferred on a scholar who fulfills the requirements in accordance with these regulations, in a specified field pertaining to the courses of studies conducted by the Institute. The title of the thesis and specialty subject shall be mentioned in the said Degree;

**'Applicant'** shall mean an individual who applies for admission to the Doctoral Degree program of the Institute on a prescribed application form;

**'Research Scholar'** shall mean a person registered for research for the Doctoral Degree programme of the Institute in compliance with all the regulations;

**'Full-time Research Scholar'** shall mean a person registered for the Doctoral Degree programme devoting full time for completing the degree requirements in the campus;

**'Supernumerary Part-Time Research Scholar'** shall mean a teacher /technical officer of the institute who is registered for the Doctoral Degree programme and will devote part of his/her time for completing the degree requirements, in the campus'

**'Supernumerary Full Time'** shall mean a candidate applying through AYUSH-NET/UGC- NET/JRF/SLET/CSIR-NET etc. and registered for the Doctoral Degree



programme devoting full time for completing the degree requirements in the campus;

**'Registered Candidate'** shall mean a candidate registered to the PhD program and who has successfully completed the course requirement, the comprehensive examination and submitted an approved research plan; as per the Regulations;

**'Course Work'** shall mean Course Units prescribed by the Institute to be completed by a candidate towards fulfilment of requirements of PhD degree program;

**'Date of Registration'** shall mean the date of notification for admission by the Institute with registration number;

**'Registration Period'** shall be counted from the date of registration to the PhD open defense of the research work;

**'Minimum Doctoral Programme Tenure'** shall mean the minimum period for which a scholar must be registered, including the time spent as resident scholar until submission of the thesis;

**'PhD Proposal Defense'** shall mean the scholar has to present his/her draft synopsis before the DRC and IRRB, and IEC or IAEC wherever applicable;

**'Pre-PhD Defense'** shall mean after completion of research work and prescribed tenure, the scholar has to present his/her research findings before the DRC;

**'PhD Open Defense'** shall mean after evaluation of thesis and recommendation of the examiners and DRC, the scholar has to present his/her research findings before the panel of examiners;

**'Guide/Supervisor'** shall mean a full time Faculty of the Institute who has been approved by the Academic Council to guide/supervise the research work of the research scholar;

Co-Guide/Co-supervisor shall mean an additional Guide/Supervisor, wherever needed, as approved by the DRC, to Guide/ Supervise the research work;

**'Allied Subjects'** shall mean the subjects related to health science in general and Ayurveda in particular;

**'Trans Disciplinary Subjects'** shall mean the subjects other than health sciences.



### 3. Abbreviations

<b>Ay.</b>	Ayurveda
<b>AYUSH</b>	Ayurveda, Yoga and Naturopathy, Unani, Siddha, Homoeopathy and Sowa Rigpa
<b>BAMS</b>	Bachelor of Ayurveda Medicine and Surgery
<b>CoE</b>	Controller of Examinations
<b>CGPA</b>	Cumulative Grade Point Average
<b>CTRI</b>	Clinical Trials Registry of India
<b>CSIR</b>	Council of Scientific and Industrial Research
<b>DA</b>	Dearness Allowance
<b>DRC</b>	Departmental Research Committee
<b>EWS</b>	Economically Weaker Section
<b>GOI</b>	Government of India
<b>HOD</b>	Head of Department
<b>INFLIBNET</b>	Information and Library Network
<b>IRRB</b>	Institutional Research Review Board
<b>IEC</b>	Institutional Ethics Committee
<b>IAEC</b>	Institutional Animal Ethics Committee
<b>ISSN</b>	International Standard Serial Number
<b>ISBN</b>	International Standard Book Number
<b>JRF</b>	Junior Research Fellow
<b>MD</b>	Doctor of Medicine
<b>MoA</b>	Memorandum of Association
<b>MOU</b>	Memorandum of Understanding
<b>MS</b>	Master of Surgery
<b>NCISM</b>	National Commission of Indian System of Medicine
<b>NET</b>	National Eligibility Test
<b>OBC</b>	Other Backward Caste
<b>P.G.</b>	Post Graduate
<b>PhD</b>	Doctor of Philosophy
<b>PI</b>	Principal Investigator
<b>SAC</b>	Scientific Advisory Committee
<b>SC</b>	Scheduled Castes
<b>SLET</b>	State Level Eligibility Test
<b>SOP</b>	Standard Operating Procedure
<b>ST</b>	Scheduled Tribes
<b>TA</b>	Transportation Allowance
<b>UGC</b>	University Grants Commission
<b>UGC CARE</b>	University Grants Commission Consortium for Academic and Research Ethics



#### 4. Research Committees

- 4.1. **Departmental Research Committee (DRC):** Departmental Research Committee is an apex committee of the concerned department dedicated to conceive and execute various research projects of the department.

Departmental Research Committee will work according to research goals settled by the Department and will dedicate itself for the high impact research. It will also find the high impact areas for the research and will be responsible for the generation of high quality P.G., Doctorate and other research projects. Each department will have its own DRC.


- 4.1.1. **Composition:** The composition of DRC for each academic department will be:

1. HOD of the Academic Department	Chairman
2. All Departmental Teachers-Member	Member
3. Statistician	Member
4. Pharmacy Manager	Member
5. One Expert from Dravya Guna Department	Member
6. One Expert from Rog Nidan Department	Member
7. One Expert from Rasa Shastra Department	Member
8. Special invitees (at the discretion of HOD)	Invited Members
9. One teacher of the department (nominated by HOD)	Member Secretary

- 4.1.2. **Term of Reference** - For Three Years.

- 4.1.3. **SOPs :**

1. Each HOD will notify the DRC of the concerned Department for three years.
2. Every research project (including Projects of Teachers and P.G., PhD scholars) of the department will be submitted to the DRC for review.
3. The notified DRC will be for three years.
4. HOD of the Department will be the ex-officio chairman of the DRC.
5. DRC will be responsible for the entire departmental research project's correctness.
6. DRC will see that-
  - The project submitted is according to the research goals established by the department.
  - The research projects are according to the available resources of the institute and existing MOUs.
  - There is no violation of the research ethics and existing national and international operational laws.
7. DRC will review all the projects submitted and if some corrections/amendments are required then the project / s will be returned back to investigators along with suggestions.
8. DRC will be convened within two months of PG and PhD 1st year admissions.
9. In case of the project proposals by faculty, DRC may be convened as per the need.



10. As a general practice, the concerned Investigator, PG and PhD Student /s shall make a brief presentation following which there will be discussion for clarification.
11. After complete review of all the proposals, the chairman, with the help of the member secretary, will prepare a note of the reviewed projects and will submit the approved projects to the IRRB.
12. The un approved projects will be returned to the investigators with clear note of reasons for the rejection and suggestions as well. A limited time frame will be given to re-submit the project/s. No research project will be submitted directly to the P.G. board or Ethics committee.
13. Member secretary will obtain the attendance of the members attending the meeting with their names and will write down the proceedings in the DRC register

#### 4.2. Institutional Research Review Board (IRRB)

Institutional Research Review Board (IRRB) is an intermediary research board of the institute which will act as a reviewing and advisory body to all the Departmental research committees (DRCs) and will guide the DRCs to conceive and execute various research projects of the department. IRRB will prioritize the broad research areas, thrust areas, research goals and formulate the research policies of NIA. On the basis of these policies, IRRB will guide the DRCs to formulate the departmental research goals. IRRB will focus on high impact research. It will also find the high impact areas for the research and will be responsible for the generation of high quality P.G. Doctorate and other research project. The IRRB will act as a bridge between the DRCs and the Institutional Ethics Committee (IEC)/ Institutional Animal Ethics Committee (IAEC).

##### 4.2.1. Composition: The composition of IRRB will be -

- |   |                  |
|---|------------------|
| 1. Director/Vice-Chancellor                                   | Chairman         |
| 2. Heads of all the Departments                               | Members          |
| 3. Dean (Research)  | Member           |
| 4. Statistician   | Member           |
| 5. Pharmacy Manager   | Member           |
| 6. Special Invitees<br>(At the discretion of Vice Chancellor) | Member           |
| 7. Dean (PG studies)  | Member-Secretary |

##### 4.2.2. Term of Reference: For Three Years

##### 4.2.3. SOPs :

1. The Head of Institute (Director/Vice Chancellor) will notify the IRRB of the Institute for three years.
2. Every research project (including Projects of Teachers and P.G., PhD scholars) will be forwarded by the DRC to the IRRB for review.
3. The Head of the Institute (Director/Vice-Chancellor) will be the ex-officio Chairman of the IRRB.
4. IRRB will be responsible for the correctness of all the Research Projects and Programs of the Institute.
5. IRRB will ensure that
  - The project submitted is according to the research goals established by the Institute.
  - The research projects are according to the available resources of the institute

and existing MOUs.

- There is no violation of the research ethics and existing national and international operational laws.
- 6. IRRB will scrutinize and discuss all the research proposals submitted by DRC.
- 7. If IRRB approval is granted the research proposal will be submitted to the Institutional Ethics Committee (IEC)/ Institutional Animal Ethics Committee (IAEC) wherever applicable.
- 8. In case any suggestions/modifications or directions are given by IRRB or If any suggestions/modifications or directions are given by IEC/IAEC synopsis shall be sent to the Department for necessary action and after fulfillment of the same will be sent to the IRRB for approval. After approval by IRRB synopsis shall be sent to IEC/IAEC. After clearance/ approval from IEC/IAEC synopsis shall be presented to Dean (Fellowships) for final approval by the Vice-Chancellor.

## 5. Aim and Objectives

- 5.1 Aim and objectives of the Doctorate Degree (PhD-Ay.)/Ayurved Vidyavaridhi is to develop knowledge base of highest order based on extensive and elaborative search/research of available knowledge in Ayurveda as well as establishment and validation of new facts coming to existence in due course of time.

## 6. Classification of PhD Programme

- 6.1 Regular PhD (Full time)
- 6.2 Super numerary PhD (Full time)
- 6.3 Super numerary PhD (Part time)

## 7. Eligibility for Admission

### 7.1. Regular PhD (Full time)

- 7.1.1. Master's Degree MD/MS (Ay.) in the concerned discipline from any recognized University/Institute or Equivalent with a minimum of 55% marks in aggregate (of all the years/semesters) where marks are awarded or minimum equivalent Cumulative Grade Point Average (CGPA) as defined by regulatory Bodies/Universities or any other Competent Body as the case may be.
- 7.1.2. The candidates who are not having or not have been mentioned any marks/grades in their Master's Degree MD/MS (Ay) degree will also be eligible for admission in PhD (Ay.) course.
- 7.1.3. A relaxation of 5% or equivalent grade point in the minimum eligibility shall be applicable to the applicant of SC/ST/OBC (Non-Creamy Layer) and Differently abled (Divyangjan) categories.

### 7.2. Supernumerary PhD (full time)

- 7.2.1. Candidates applying through AYUSH NET/UGC-NET/JRF/SLET/CSIR-NET etc. must possess a Master's Degree from any recognized University / Institute / Equivalent in their respective streams with a minimum of 55% marks in aggregate (of all the years/semesters) where marks are awarded or minimum equivalent Cumulative Grade Point Average (CGPA) as defined by regulatory Bodies/Universities or any other Competent Body as the case may be.



### 7.3. Supernumerary PhD (Part time)

- 7.3.1. Part time PhD (Ay.) shall be permissible to the employee of the Institute having Masters Degree in any technical discipline. In addition to the educational qualifications mentioned at 7.1.1, 7.1.2, 7.1.3, the applicant shall have to obtain written consent from proposed guide, the Head of the concerned Department, Dean PhD and Vice chancellor.
- Supernumerary Part time PhD (Ay.) research scholar, shall have to give an undertaking on Rs. 100/- (One hundred rupees) non-judicial stamp paper that he/she shall continue to perform his / her all regular duties as such during his /her period of PhD (Ay.) research.
  - In case of candidate ceases to be an employee of the institute then his/her candidature may be cancelled.

### 8. Fellowship and Stipend

- Regular PhD candidates shall be permitted having sponsorship/assistantship/fellowship/any financial support from University/State or National level agency provided terms and conditions are acceptable to the Institute.
- Each Department of the Institute shall have 2 seats each year for PhD scholars to be selected through due selection process which may include Entrance Test followed by interview. The number of seats are subject to sanction of Ministry of AYUSH, GOI and depending on availability of guides in the concerned department. Those candidates admitted thus will be entitled to receive stipend from Institute as per the prevailing rules time to time.
- The Full Time PhD candidates getting admitted through AYUSH NET//UGC-NET/JRF/SLET/CSIR-NET etc and Part Time PhD candidates will be of Supernumerary nature. These seats will be beside the 2 seats per department per year. The number of seats in these categories will be decided as per availability of the guides, infrastructure of the department concerned and feasibility of the proposed research in the Institute.
- No stipend/ financial assistance will be provided to Supernumerary PhD (full time) and Supernumerary PhD (part time) scholars from the Institute. However, such scholars can be taken under Intramural projects subject to clearance from IRRB/SAC/IEC/IAEC.

### 9. Duration of Research Work

- PhD program shall be for a minimum period of 3 years (including course work) and maximum of 6 years for full time research scholars and 3.5 years (including course work) and maximum of 7 years for part time research scholars.
- The extension beyond the above limits may be permissible for a further period of one year on case-to-case basis by Vice Chancellor subsequent to recommendation of concerned Guide after approval of Dean (Fellowships). No further extension shall be granted after this period.
- Women candidates and Divyangjan (with more than 40% disability) may be allowed a relaxation of two years in maximum period by the Vice Chancellor after recommendation of Dean (Fellowships) and concerned guide/supervisor. No further extension shall be granted after this period.
- Stipend along with accommodation facility will stand withdrawn for the extension period beyond 36 months. Library facility beyond this period can be accessed with

permission.

## 10. Leave Provisions

- 10.1. Leaves shall be applicable from January to December each year (which will not be carried forward to next year).
- 10.2. Scholar shall be allowed 24 days leave in an academic year (2 leaves per month on pro-rata basis). This leave can be joined with holidays/Sundays and the scholars can enjoy such leave maximum up to 10 days at a time including holidays.
- 10.3. Fifteen days (15) Duty leave/Special leave shall be granted to the scholar who shall be deputed or allowed by the authority to take part in the sports/seminar/workshop / academic activities. Scholar shall have to produce documentary evidence of such participation failing which scholar shall be deemed absent. Such leave shall not exceed Fifteen (15) days in a year. However, the Vice Chancellor shall have power to extend this leave beyond this duration maximum by Fifteen (15) days in special case.
- 10.4. In case of research work needed to be carried outside the Institute, the research scholar may be permitted on the basis of justification of work to be done and shall produce the proof of work done at that particular place along with his/her attendance certificate by appropriate authority failing which scholar shall be deemed absent. For this, the maximum total duration should not exceed two months during his / her total period of research irrespective of the number of out station visits. Journey time will not be included in that period.
- 10.5. Any unreasonable leave enjoyed without the previous approval of the competent authority or in excess of limit mentioned above as per 10.2, 10.3 and 10.4 shall be treated as willful absence and no stipend shall be granted for such period and may be liable for appropriate disciplinary action even the cancellation of registration.
- 10.6. Six months maternity leave shall be allowed to the PhD female scholars only once during the course of study with the provision of extension of this availed period without any financial provision (Stipend). No other leave can be attached with maternity leave.
- 10.7. In extra ordinary circumstances if a student requires leave with justification which is not covered under above clauses, he/she may be sanctioned extra ordinary leave by the Vice Chancellor maximum up to 60 days without stipend. However, this period will be extended.
- 10.8. Teacher candidates will be governed by leave rules applicable at the Institute.

## 11. Procedure for Admission

- 11.1. Admission to full time PhD course shall be through due selection process as per guidelines of Institute published time to time.
- 11.2. Applications for Entrance test shall be invited through the Institute website notification/ Advertisement in newspapers.
- 11.3. Candidates who are applying in the Supernumerary Category (who have qualified AYUSH NET/UGC-NET/JRF/SLET/CSIR-NET etc./ Employee of the institute are not required to appear in entrance test. However, they will apply for admission in the same way as other candidates.
- 11.4. Candidates scoring 50% and above marks shall be considered qualified for Interview. A relaxation of 5% shall be applicable to the applicant of SC/ST/OBC (Non Creamy



Layer), EWS and Differently abled (Divyangjan) categories.

- 11.5. Interview of the qualified applicants shall be taken by a duly constituted panel and the final result shall be declared after the interview.
- 11.6. Simply qualifying the PhD screening test does not give right to candidate for getting admission. It is subjected to availability of seat, selection in the interview, facilities and fulfilling other criteria.
- 11.7. Result of entrance test shall be valid for current year only and it shall not be considered for admission during subsequent year.
- 11.8. The guides shall be allotted to the candidates on the basis of the guide allotment policy of the Institute.
- 11.9. If two candidates of the same category get equal marks in entrance test, their total marks of final year BAMS theory exam shall be considered for merit place. In case where the total final year BAMS marks are also equal, total marks of the 12th standard will be considered to decide the merit.
- 11.10. Qualified candidates (maximum twice the number of seats) shall be called for interview before the Interview panel to discuss their research interest / area and give a presentation on the same.
- 11.11. A list of qualified available supervisors with vacancies under them shall be published on website of the Institute every year.

## 12. Reservation Policy

- 12.1. Institute shall adhere to the Reservation Policy of Government of India.

## 13. Fee Schedule

- 13.1. The fee schedule for degree of PhD shall be as prescribed by the Institute from time to time. Candidates seeking admission to PhD has to submit prescribed admission fees in the Institute within stipulated time after receiving instructions in this regard from Institute.

## 14. Enrolment

- 14.1. Every candidate shall be duly enrolled in the Institute on payment of the prescribed fee before registration for the degree of the PhD. The application for enrolment shall be sent to the Institute and shall be accompanied by original P.G. Degree and the Migration Certificate from previous University.
- 14.2. Candidates who have already been enrolled with Institute need not enroll themselves again.

## 15. Course Work

- 15.1. After seeking provisional admission, the candidate will have to undergo a course work for one semester.
- 15.2. The course work shall be treated as prerequisite for PhD preparation.
- 15.3. Institute shall prescribe course work in line with UGC guidelines and will include a course on Research Methodology which would cover areas such as Computer Applications, Quantitative Techniques, Research Ethics and review of published Literature in the relevant fields.



- 15.4. The course work shall be examined by internal evaluation of 40% weightage and end term evaluation of 60% weight age.
- 15.5. The internal evaluation shall consist of test/seminar presentation and end term examination shall be conducted as per norms of the Institute examination.
- 15.6. The candidate must get minimum 55% marks or equivalent grade point to pass the course work.
- 15.7. Duration of course work shall be minimum up to 6 months. This duration shall be counted in completion of research work. In case a candidate fails in course work examination fully/partially, he shall be allowed to reappear in the next course work examination conducted by the Institute on deposition of prescribed fee/registration fee as by the Institute rules. The course work examination shall normally be conducted twice a year.
- 15.8. If a candidate fails to clear course work examination in two attempts, his/her admission shall be treated as cancelled.

## 16. Registration For PhD

- 16.1. A candidate shall apply for registration for the degree of PhD after getting admission in the Institute. A candidate is considered to be provisionally registered for the programme till the time he/she successfully completes all requirements of course work and approval of synopsis. Date of registration of research scholar shall be the date of candidate's provisional registration after approval with the proviso that all the requirements of course work and synopsis has been complied with. After approval the Institute will convey the approval for registration to the candidates with copies to the Dean PhD and Head of Department concerned.
- 16.2. One candidate can hold only one valid registration for PhD at any given point in time. Candidates priory registered for PhD in the Institute / any other University / Institute/ equivalent will not be eligible for registration. Such candidates can only register for PhD after cancellation of the previous registration for PhD.
- 16.3. A foreign applicant shall be considered for registration only if he/she has come on research visa/study visa and having a PG degree recognized by NCISM/Regulatory bodies and other requirements as per Ministry of AYUSH, GOI. However if referred by Ministry of External Affairs or ICCR, then the procedure accordingly will be adopted.
- 16.4. Application for registration shall be made through the Head of the Department concerned on the prescribed form through his/her supervisor along with a research proposal or outline (synopsis)of the research subject, which he/she proposes to investigate. Head of the Department shall forward the synopsis to the Departmental Research Committee (DRC) for approval after verifying that supervisor is eligible for guiding the scholar as per rule.
- 16.5. DRC shall examine the research proposal submitted and if approval is granted same shall be forwarded to Institutional Research Review Board (IRRB)for approval. In case any suggestions/modifications or directions are given by DRC research proposal shall be returned back to scholar for fulfillment of the same and resubmission shall be required.
- 16.6. If IRRB approval is granted the research proposal will be submitted to the Institutional



Ethics Committee (IEC)/ Institutional Animal Ethics Committee (IAEC) wherever applicable.

- 16.7. In case any suggestions/modifications or directions are given by IRRB or If any suggestions/modifications or directions are given by IEC/IAEC synopsis shall be sent to the Department for necessary action and after fulfillment of the same will be sent to the IRRB for approval. After approval by IRRB synopsis shall be sent to IEC/IAEC. After clearance/ approval from IEC/IAEC synopsis shall be presented to Dean (Fellowships) for final approval by the Vice-Chancellor.
- 16.8. The application for registration shall be placed through Dean (Fellowships) before the Vice-Chancellor (after approval of DRC, IRRB, IEC/IAEC) who after satisfying regarding verification of eligibility of supervisor, required fees, requisite qualifications; title concerned to the topic etc. shall permit the registration of the synopsis for research.
- 16.9. If at any stage, the student wishes to modify the research plan and/or change the title of the thesis approved earlier, supervisor shall arrange the proposal to be put before the DRC and the student shall make a presentation before it with the details of the proposed modifications and its justifications. The DRC shall make appropriate recommendations for approval by IRRB and IEC/IAEC (as the case may be). Dean (Fellowships) shall put the research proposal to Vice Chancellor for final approval.
- 16.10. Institute shall maintain the list of all PhD registered scholars on its website on year wise and Department wise.

## **17. Norms For Approval of Research Supervisor**

### **17.1. Eligibility and Qualification**

- 17.1.1. Any regular Professor of the Institute with at least five research publications in peer reviewed journals and any regular Associate/Assistant Professor of the institute with a PhD degree and at least 5 research publications in peer reviewed journals may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 17.1.2. Only a fulltime regular teacher of the Institute can act as a supervisor. The external supervisors are not allowed. However, Co Supervisors from same department (not more than one) or other departments of the Institute and outside Institute can be allowed with due approval (Total number of Co-supervisor will not more than three).
- 17.1.3. All supervisors and Co supervisors should mandatorily get registered in the Institute to work as an approved Supervisor/Co-supervisor of PhD scholar. Every registered Supervisor/Co-supervisor shall be allocated a registration number.
- 17.1.4. All research work leading to the award of PhD degree shall be carried out under the supervision of the registered research Supervisor/ Co-supervisor(s) of the Institute or Co-supervisor(s) from other organizations or individuals.
- 17.1.5. No person shall be allowed to supervise one's close relations. The term close relation means blood relations of supervisor/co-supervisor as well as blood relatives of spouse of the supervisor/co-supervisor.





- 17.1.6. A person having less than three years to his/her retirement shall not be allotted a new research scholar.
- 17.1.7. The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending upon the number of scholars per supervisor, the available specialization among the supervisors and research interest of the research scholar indicated at the time of interview/ viva-voce.

**17.2. Appointment of Alternate Supervisors**

- 17.2.1. A faculty member appointed as a PhD supervisor is normally expected to be available to a research scholar in the Institute till thesis is submitted. However, under unavoidable circumstances, such as long leave for more than twelve months, resignation, retirement, or unfortunate demise, a supervisor may not be available to the research scholar. In such extraordinary circumstances alternate supervisor shall be appointed.
  - a) The supervisor of a candidate proceeding on long leave for more than twelve months can continue to supervise the candidate, provided he/she has supervised the candidate for at least two years.
  - b) If the thesis has been submitted before the supervisor proceeds on leave, he/she shall continue to be the supervisor. Further, if a major revision becomes necessary, and the sole supervisor is on leave, he/she shall be asked to specifically state whether he/she would effectively help the student carrying out the major revisions within a reasonable period. In case, the sole supervisor expresses his/her inability to do so, another supervisor shall be appointed. If he/she provides the required help in carrying out the major revision, he/she will automatically be treated as a supervisor of that research scholar.
  - c) If a supervisor proceeds on leave for a period less than 12 months initially, but later extends his/her leave beyond 12 months, the procedure as per 17.2.1 shall be followed.
- 17.2.2. **Retirement:** A faculty member who is due to retire within the next three years may be appointed as a co-supervisor and can continue to be the co-supervisor even after his/her retirement provided the DRC is convinced of his/her availability / continued guidance to the student.
- 17.2.3. **Resignation:** The supervisor can continue to supervise the candidate, provided he/she has already supervised the candidate for at least two years. In case of less than two years of guidance, new supervisor shall be appointed.
- 17.2.4. **Demise:** A new supervisor shall be appointed.

**18. Manageable number of research scholar by a supervisor/co-supervisor**

- 18.1. At any given point of time the Research Supervisor/Co-supervisor shall not be allowed to supervise research scholars more than the number as specified below:

Professor	- 08
Associate Professor	- 06
Assistant Professor	- 04

**19. Preparation of Synopsis**

- 19.1. Guidelines for preparation of synopsis shall be published on Institute website for



theconvenience of the research scholars from time to time as required.

## **20. Thesis Writing Instructions**

- 20.1. Guidelines for preparation of thesis writing shall be published on Institute website for theconvenience of the research scholars time to time as required.

## **21. Plagiarism Policy**

- 21.1. Plagiarism policy of the Institute will be strictly applicable.

## **22. Performance Monitoring of Research Work**

- 22.1. After registration, each scholar shall present the half yearly progress of his research work before DRC and then submit the report in a prescribed format through his / her guide (signed by guide). After recommendation of DRC, it shall be then forwarded by concerned HOD to Dean (Fellowships). Dean (Fellowships) will submit the copy of such report to CoE.
- 22.2. If there are three successive unsatisfactory reports (or absents from the meetings of the DRC) on the progress of a scholar as reviewed by DRC or in case of breach of prescribed rules, the Director/Vice Chancellor may recommend cancellation of the registration of the scholar onthe recommendation of the DRC.

## **23. Pre-PhD Defense**

- 23.1. On completion of the planned research work, prior to the submission of the thesis, the candidate shall be required to present a summary of Thesis in a pre- PhD defense to be conducted by the DRC, Dean Fellowships and Dean Research.
- 23.2. The candidate will have to appraise all the teachers and other Research workers of the Institute of his/her work so as to finalize the work of Thesis and to receive suggestions for the improvement in the research work.
- 23.3. The pre-PhD defense shall be adequately notified by HOD so as to enable interested faculty members and students to attend it.

## **24. Submission for Evaluation of Thesis**

- 24.1. The thesis shall bear evidence of the research scholar's capacity for analysis and judgment as well as his/her ability to carry out independent investigation, design or development. No part of the thesis or supplementary published work shall have been submitted for the award of any other degree or diploma.
- 24.2. The thesis shall be an original work which should signify discovery of new facts or indicate new techniques or new inter-relations of facts already known. The articulation of the contents should be satisfactory, both in text and graphic presentation. The respective Guide/Supervisor will ensure that the thesis has been put to plagiarism check and it meets the norms as decided by the Institute from time to time. Plagiarism in any case shall not be more than 10% (excluding references, authentic source data tables, quotations and minimum three words exclusion) and a certificate to this effect will be enclosed along with the thesis.
- 24.3. A research scholar may be permitted to submit his/her thesis only if he/she has



published/submitted at least two papers, related to the thesis work in peer reviewed International/National journal and have presented two papers in National /International Conference.

- 24.4.** The research scholar shall also submit the soft copy/ data / software etc used for analysis and deriving the results in the department concerned as well as to Dean (Fellowships).
- 24.5.** Every Research scholar shall publish at least two research papers based on his / her current doctoral research work in a peer reviewed/ UGC CARE listed research journal. One paper must be published before the Pre-PhD defense while second paper must be accepted for publication. No scholar will be allowed to submit his / her final Thesis if he / she fails to do so.
- 24.6.** Scholar should submit following documents, along with thesis, whichever applicable -  
Certificate of Originality  
Course Completion Certificate  
CTRI Registration Certificate (wherever applicable)IEC and or IAEC certificate/s (wherever applicable)  
IRRB Approval Certificate (where IEC/IAEC is not applicable)
- 24.7.** Before a candidate submits Thesis for the PhD work shall submit a certificate from the supervisor and the Head of the Department stating that –

He/she has completed the Research work for the full prescribed PhD tenure and that the Thesis embodied the result of investigation conducted during the period he/she worked as a PhD Research scholar.

- 24.8.** The thesis shall be accompanied by declaration signed by the candidate to the effect that “the thesis is his/her original and independent work”  
That the material from other sources, if any, is duly acknowledged.  
It should also be authenticated by the Supervisor and Co-supervisor(s).
- 24.9.** On the completion of PhD programme, the candidate should submit following documents to Dean (Fellowships) through proper channel and it shall be forwarded to CoE subsequently by the Dean (Fellowships)  
Four copies of the printed Thesis.  
Two soft copies  
The prescribed examination and other fees.  
He/she shall submit an abstract of the research work done within 1000 words giving the salient points of work.
- 24.10.** Printed Thesis shall be presented in accordance with the following specifications-

The Thesis by the candidate shall be written in Sanskrit/Hindi/English.

The paper used for printing shall be A4 size.

Printing shall be in a standardized form on both the sides of the paper, and in one and half spacing and should not be more than 200 papers. A margin of 1.25 inches has to be left on all the sides.



Times New Roman Font size 12 for English and for Devnagari or any Unicode font size 14 should be used.

The cover page of the thesis should display: The Title of the thesis, Logo and Name and address of the Institute, Degree, its specialty and department, Full name of the Candidate, Name of the Guide and Co-Guide/s (if any), month and year of the submission, enrolment number and Registration number.

## **25. Panel of Examiners**

- 25.1. Institute shall prepare an exhaustive panel of experts in various subject areas through the respective supervisors. The panel so recommended shall include eligible examiners from outside the institute including the retired faculty.
- 25.2. The PhD thesis submitted by a research scholar shall be evaluated by his/her research Supervisor and at least two external examiners, who are not in employment of the Institute or involved in research collaboration with the Institute, except retired faculty members. External examiner should be holding a PhD degree and having minimum Qualification of Associate Professor.
- 25.3. The supervisor of the candidate shall suggest a panel of at least of five external experts of the subject concerned (including adequate details regarding qualification, designation, contact details) competent to evaluate the thesis. The panel shall be submitted to the Vice-Chancellor who will appoint two external examiners out of this panel. If necessary, he/she may call for additional names for the panel from the supervisor.
- 25.4. Vice Chancellor shall be authorized to send the thesis to an appropriate expert out of the list prepared at para 25.1. However, he/she shall be authorized to add more experts and send thesis for evaluation.
- 25.5. No close relations or blood relations of candidate shall be permitted to act as examiner(s).

## **26. Evaluation of Thesis**

- 26.1. The thesis shall be evaluated by Board of three examiners consisting of one Internal Examiner i.e. the supervisor and two external examiners.
- 26.2. The entire process of evaluation of PhD thesis shall be completed within a period of six months from the date of submission of thesis.
- 26.3. Each examiner shall be requested to submit a detailed assessment report and his recommendations on the prescribed form to the Controller of Examination within two months of the date of receiving the thesis.
- 26.4. In the event of the thesis report not being received from an examiner within a period of two months, the Controller of examination may seek approval of Vice Chancellor for appointment of another examiner.
- 26.5. Examiners shall examine the thesis individually with a view to judge whether the thesis is a piece of research work characterized by:
  - Discovery of new facts, and/or
  - A fresh approach towards interpretation and application of facts or theories, and/or
  - Distinct advancement in technology/ science/ techniques etc.
- 26.6. The examiner shall be required to give his/her opinion about research scholar's capability for critical examination and sound judgment. All examiners shall submit the reports on the prescribed format clearly indicating one of the following four definite

recommendations:

- The thesis is recommended for the award of PhD with/without viva-voce.
- The thesis is recommended for the award of PhD Degree subject to the research scholar giving satisfactory answers to queries, specifically mentioned in the report, at the time of Viva-voce examination, or incorporation of suggestions, modifications, and corrections if any
- The research scholar needs to resubmit his/her thesis in the revised form.
- The thesis is rejected.

**26.7. Remarks for Evaluation:** The thesis shall comply with the following conditions for recommendation of the award of the PhD degree:

- It should be a piece of research work characterized either by the finding of new factors by a fresh approach towards interpretation of facts and theories.
- It should reflect the candidate's capacity for critical examination and judgment.
- It should be satisfactory in its literary presentation.

## 27. Criteria For Evaluation of Thesis

**27.1.** The Institute shall take a decision on the basis of the examiners according to Table given below

Sl.No.	Recommendations of the examiners			Decision
	Examiner-1	Examiner- 2	Examiner- 3	
1	Accept (without via-voce)	Accept (without via-voce)	Accept (without via- voce)	Thesis Accepted
2	Accept	Accept	Accept	Thesis Accepted
3	Reject	Reject	Reject	Thesis Rejected
4	Accept	Accept	Reject	*A
5	Accept	Reject	Reject	*B *C
6	Accept	Revise	Reject	
7	Accept	Revise	Revise	
8	Revise	Revise	Revise	
9	Revise	Revise	Reject	
10	Revise	Reject	Reject	Thesis Rejected
11	Accept	Accept	Revise	*C

**\*A** If the thesis is recommended to be rejected by one of the three examiners, fourth examiner shall be appointed from the approved panel of examiners. In case the fourth examiner, after evaluation, recommends

- Rejection, the thesis would be rejected
- Acceptance, the thesis would be accepted after the viva-voce is conducted.
- Revision, the thesis would be suitably revised with in a period of one year and resubmitted to the same examiner for revaluation, till acceptance/ rejection, and thereafter Table as above shall apply accordingly.
- If a candidate is permitted to improve and re-submit his/her thesis, he/she shall be required to submit it not earlier than six months and not later than twelve months from the date of such permission along with the required fee.
- The thesis so re-submitted shall be sent to the same panel of examiners including the fourth examiner, if any, who evaluated the original one, for adjudication, unless they or any one of them express(es) inability to adjudicate. The Vice- Chancellor shall, in such contingency appoint another external

examiner or examiners as the case may be from the panel suggested by the supervisor.

- The revised thesis shall be accepted if at least three examiners recommend its acceptance.

**\*B** If the thesis is recommended to be rejected by two of the three examiners, the thesis shall not be accepted. However, the research scholar may be allowed to resubmit the thesis normally within one year, provided the title of the thesis remains unchanged. Then after normal procedure shall be followed for the thesis evaluation.

**\*C** The thesis would be suitably revised, with in a period of one year, for re- evaluation by the examiner(s) (who has or have recommended revision) till acceptance/rejection, and thereafter Table as above shall apply accordingly.

- 27.2. In case of ambiguous recommendations by the examiner, Controller of Examination shall approach the examiner for a clear recommendation. In case clear recommendation is not available, the matter may be referred to the Vice Chancellor for decision. In such case the decision of the Vice Chancellor will be final.
- 27.3. Any doubt, arising out of following the procedure laid down, shall be referred to the Vice Chancellor for the decision.
- 27.4. **Conditions to re-submit the thesis** - A candidate shall not be allowed to re-submit his/her thesis more than once.

## 28. PhD Open Defense

- 28.1. The PhD Open Defense, based among other aspects, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and either of the two external examiners. Viva-voce shall be open to be attended by the Faculty members and scholars of the Institute interested to attend the same.
- 28.2. Right to ask questions shall be with supervisor, co-supervisor and external examiner only.
- 28.3. If the candidate fails to satisfy the viva-voce examiners or if there be divergence of opinion between the viva-voce examiners, the candidate may be allowed to appear at a second viva-voce examination, on payment of a prescribed fee to be held not later than one year from the date of first viva-voce. If at the second viva-voce examination the candidate fails to satisfy the examiners his/her thesis shall be finally rejected.

## 29. Award of PhD Degree

- 29.1. PhD (Ay.)/(Ayurved Vidyavaridhi) degree shall be awarded after the approval of Vice chancellor on recommendation of Controller of Examination (CoE).
- 29.2. Prior to actual award of degree, the Institute shall issue a provisional certificate that the Degree has been awarded in accordance with the provisions in ordinances of the Institute.
- 29.3. In case of any doubt / dispute, the decision of Vice Chancellor of the Institute will be final.
- 29.4. After award of provisional degree summary of the thesis shall be uploaded on website of Institute.



### **30. Refund of Fellowship-Bond**

- 30.1. All the Research scholars eligible for stipend shall have to abide by the terms and conditions as per the prescribed bond issued by the Institute which clarifies in nutshell that the research fellow who gives up research work during the term shall be required to refund entire amount of fellowship paid to him /her since his/ her joining the fellowship along with bond amount (Rs.25000/-).
- 30.2. The bond shall be submitted by the scholar before joining the course in prescribed format. In the event of unfortunate demise of the scholar no recovery of the fellowship shall be made.
- 30.3. Scholar shall also have to deposit his/her original degree certificates in the Institute at time of admission. These certificates shall not be ordinarily issued before the submission of the thesis.
- 30.4. In case scholar need those certificates for any purpose he/she shall deposit an affidavit, a post-dated cheque of amount of the stipend received plus bond amount of Rs 25,000=00. Such cheque shall be accepted only if that belong to the account of the scholar only. After expiry of mentioned time for which certificates were needed Institute shall be free to realize the cheque. In case such cheque if bounced for any reason Institute shall reserve the right to initiate necessary legal action against the scholar.

### **31. Criteria for Break and Rejoining the Course**

- 31.1. If scholar gets selected for a permanent appointment in any government body/organization during the tenure of course, he/ she may be allowed to join the services after completion of minimum one year tenure on recommendation of Vice Chancellor.
- 31.2. He/ She may continue the study after date of relieving from the department/organization where he/she has joined. If the scholar fails to resume his/her study within two years of relieving, registration will automatically be cancelled and scholar has to refund the amount of fellowship received and the amount of bond.
- 31.3. Before re- joining the PhD course, he/she must get NOC from his employer.

### **32. Incentives to Research Scholars**

- 32.1. Teaching experience will be given to the PhD scholars as per the rules of regulatory body.
- 32.2. TA, DA and Registration fees for 2 seminars/ conferences/ workshop will be provided by the Institute during the PhD tenure, as per prevailing rules of the Institute.
- 32.3. Apart from stipend, an additional fixed amount of Research funding will be provided to the PhD scholars to carry out their research work as per Institution rule.

### **33. Depository with INFLIBNET**

- 33.1. Following the successful completion and award of provisional degree, the institute shall submit an electronic copy of the thesis to the INFLIBNET for hosting the same so as to make it accessible to all Institutions/Colleges.



#### **34. To Improve Quality of Research & Development (R & D)**

- 34.1. Institute shall strive for research and development for the benefit of society directly / indirectly.
- 34.2. Departments of the Institute shall identify research areas and form research groups consisting of faculty members having common specializations and research interests.
- 34.3. Departments shall interact with industries to take inputs to define R & D problems. Outcome of such type of R & D efforts may lead to Technology Transfer to industries for improving processes or production of new products / new innovation.
- 34.4. The R & D activities shall lead to bring external cash flow (ECF) through consultancy, testing, technology transfer / transfer of resources outcome etc. which may be utilized for further development of department and the Institute.
- 34.5. The R & D activities shall lead to file patents at National and / or International level.

#### **35. Additional Provisions**

- 35.1. Institute may add provisions, necessary and not covered above if deemed required with adequate justification.
- 35.2. Institute shall form all such regulations and bodies necessary for smooth running of PhD Programme viz. PhD Research Committee, Departmental Research Committee (DRC), Institutional Research Review Board (IRRB), Institutional Ethics Committee (IEC) time to time on recommendations of Academic Council of the Institute.
- 35.3. The specific condition(s) laid down by the statutory bodies like AYUSH/NCISM or any such body shall be incorporated by the Institute.
- 35.4. If any provision is not covered or if any question arises regarding the interpretation of any provisions of these regulations, Vice Chancellor shall be authorized to take final decision.

#### **36. Refereed Journals**

- 36.1. ISSN/ISBN, Indexed Journals, Peer reviewed journals UGC/NCISM/CCRAS/AYUSH/CSIR approved Journals shall be counted as refereed Journal or recommended & amended by Academic council time to time.

#### **37. Relaxation Power**

- 37.1. Vice-Chancellor shall have the special powers to consider relaxation in the above rules in extraordinary situation on recommendation of a special committee.

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