



RESEARCHPOLICY|2019



UTTARAKHAND
AYURVED
UNIVERSITY
DEHRADUN



PREAMBLE

'Nothing is impossible for those who have scholarship, thoughtfulness, wisdom, attentiveness, diligence and action.' (Charak Samhita)

Uttarakhand Ayurved University is dedicated for teaching, learning, research, and patient care of AYUSH systems of medicine. The transmission of knowledge and conduct of quality research are central and complementary functions of the University. It is the basis of the continuing creation of the knowledge which is the foundation of all its disciplines. It directly contributes to health, social well-being, economic development and the advancement of society. The academic freedom in any university comes with the responsibility to ensure that all research and academic excellence is informed by the principles of honesty, integrity, trust, accountability and collegiality, meets high scientific and ethical standards and is conducted with honest and thoughtful inquiry, rigorous analysis, and accountability for the use of professional standards; and seeks to increase knowledge in ways to benefit the system and society.

This Research Policy, therefore, establishes a general framework for the conduct of research. It is premised on individual responsibility for the planning and conduct of research, as individual members of the University faculties are best positioned, through special knowledge, to be aware of both the manner in which their Research and scholarly academic and clinical activities are being conducted. This Policy should be interpreted in a manner that is consistent with the vision of the University.

The AYUSH systems are full of ancient wisdom and great ideas. To explore the mystery of human life embedded in ancient literature of Ayurveda, there is need of very planned and exhaustive research work. Creating evidence is also need of time. University is open to have MoUs and collaborations with leading national and international research organisations, Universities and industries. The present research policy will ensure transparency and quality of research work in the University. Supporting undergraduate students for their mini research projects will help to inculcate research aptitude in under graduate students. Research Committee has taken enormous pain in framing the Research Policy of the University. This policy will be a guiding document for all the researchers of the University.

Prof Abhimanyu Kumar
Vice-chancellor
Uttarakhand Ayurved University
Dehradun



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UAU RESEARCH POLICY

Uttarakhand Ayurved University (UAU) is the first University of its kind in the state established by the Government of Uttarakhand vide Uttarakhand Ayurveda University Act, 2009 for the purpose of effective, systematic and quality training, teaching, research and development in the field of Ayurveda. Apart from Ayurveda, the University is also ensuring the effectiveness of quality training, teaching and research of other Indian systems of medicine viz. Yoga & Naturopathy, Unani and Homoeopathy. Apart from its own three campus colleges, another 13 Ayurvedic college, 02 Unani colleges, 01 Homoeopathy college and 01 Hospital at Kotdwar are affiliated with this University, out of which 05 Ayurvedic colleges are conducting post-graduation courses (MD/MS-Ay) in the different branches of Ayurveda currently. Soon the University is going to start Ph.D. fellowship program in the field of Ayurveda.

To ensure the quality teaching and training at the level of Post-graduation and Ph.D. course, as well as to execute various research projects, the University has its own research policy:

OBJECTIVES

This Research policy provides a broad framework to conduct and guide research at the University. The main objectives of research policy are to:

- i) promote research, innovation and intellectual capital,
- ii) ensure integrity, quality and ethics in research,
- iii) integrate teaching and research through translational and instructional research
- iv) incentivise the generation of intellectual capital.



1. COMMITTEES

University is giving full consideration on the quality of research in various AYUSH Systems. To ensure it various committees have been formed which would regulate and monitor the research work. With the approval of Vice-chancellor, the University will notify the Research Committee/ RDC and other university level committees to act for two years or till further order.

Various Committees responsible for smooth functioning of University research activities are-

1. Research Committee (RC)/ Research Degree Committee (RDC)
2. University Research Review Board (RRB)
3. Institutional Ethics Committees (IEC)
4. Research Sub Committees (RSC)
5. Departmental Research Committees (DRC)
6. Institutional Academic Integrity Panel (IAIP)
7. Departmental Academic Integrity Panel (DAIP)

1.1 RESEARCH COMMITTEE/ RESEARCH DEGREE COMMITTEE (RDC)

Research Committee/ Research Degree Committee (RDC) will be the apex committee at the University level duly constituted by the University with the approval of Hon'ble Vice-Chancellor from time to time, which will act as a review and recommendation committee for the all research projects to be taken up by the MD/MS–(Ay.) /Ph.D. scholars during their study in the colleges affiliated with this University, as well as the research projects submitted by the faculty members of the colleges including third party researchers (eg. staff from other institutions) who want to execute their research projects with this University. On the recommendation of this committee only, all research projects will be approved by Hon'ble Vice-chancellor.

The composition of Research Committee/ RDC will be as follow: -

1. Chairman: Adhishthata / Renowned Professor of Ayurveda with National/ International Credentials
2. Deans- members
3. Campus Directors/Principals of all the Post Graduate Institutes under the University – Members
4. Two Reputed External Experts with high credentials (Nominated by the Vice Chancellor)- Members
5. University Faculty member (to be nominated by Vice Chancellor)- Member Secretary

Term of Reference

- i. Every research project / synopsis (including projects of Teachers and P.G. / Ph.D. scholars) will be forwarded by the Sub-committees to the Research Committee/ RDC for review and Research Committee/ RDC will recommend suitable projects for approval of the Vice-chancellor.
- ii. Research Committee/ RDC will ensure that -
 - a) The project forwarded by the sub-committees is according to the research goals established by the university.
 - b) The research projects are according to the available resources of the institute and existing MOUs, if any.
 - c) There is no violation of the research ethics and existing national and international operational laws.
- iii. Research Committee will be responsible for all the activities as per section 28 of Uttarakhand Ayurved Vishwavidyalay Pariniyamawali-2015.



1.2 UNIVERSITY RESEARCH REVIEW BOARD (RRB)

University Research Review Board will be constituted by the Vice Chancellor and will be responsible to review all the research proposals received by the University after completing the due procedure. Recommendations of the University RRB will be forwarded to Research Committee for recommendation of approval, if found suitable.

1.3 INSTITUTIONAL ETHICS COMMITTEE (IEC):

The sponsor and / or investigator/PG or PhD scholar should seek the opinion and approval of an institutional Ethics Committee regarding suitability of the Protocol, methods and documents to be used in recruitment of Subjects and obtaining their Informed Consent including adequacy of the information being provided to the Subjects. The Ethics Committee are entrusted not only with the initial view of the proposed research protocols prior to initiation of the projects but also have a continuing responsibility of regular monitoring for the compliance of the Ethics of the approved programmes till the same are completed. Such an ongoing review is in accordance with the “Ethical guidelines for Biomedical Research on Human participants” 2006, as amended from time to time. AYUSH GCP guidelines has been adopted in the University Research Policy

Basic Responsibilities: The basic responsibility of an IEC is to ensure a competent review of all ethical aspects of the project proposals received and execute the same free from any bias and influence that could affect their objectivity. The IEC should specify in writing the authority under which the Committee is established, membership requirements, the terms of reference, the conditions of appointment, the offices and the quorum requirements. The responsibilities of an IEC can be defined as follows:

- a. To protect the dignity, rights and well-being of the potential research participants.
- b. To ensure that universal ethical values and international scientific standards are expressed in terms of local community values and customs.
- c. To assist in the development and the education of a research community responsive to local health care requirements.

Composition of IEC: The IEC should be multidisciplinary and multi-sectorial in composition. Independence and competence are the two hallmarks of an IEC. The number of persons in an ethical committee be kept fairly small (5-7 members). It is generally accepted that a minimum of five persons is required to compose a quorum.

The Chairperson of the Committee should preferably be from outside the Institution and not head of the same Institution to maintain the independence of the Committee. The Member Secretary who generally belongs to the same Institution should conduct the business of the Committee. Other members should be a mix of medical/ non-medical, scientific and non-scientific persons including lay public to reflect the differed viewpoints.

The composition may be as follows:-

1. Chairperson
2. 1-2 basic medical scientists (one pharmacologist and one preferably from Dravyaguna / Rasshastra / Bhaishajya Kalpana).



3. clinicians from various Institutes, one out of which should be from respective system
4. One legal expert or retired judge
5. One social scientist / representative of non-governmental voluntary agency
6. One philosopher / ethicist / theologian
7. One lay person from the community
8. Member Secretary

The ethical committee at any institution can have as its members, individuals from other institutions or communities if required. There should be adequate representation of age, gender, community; etc. in the Committee to safeguard the interests and welfare of all sections of the community/society. Members should be aware of local, social and cultural norms, as this is the most important social control mechanism. If required subject experts could be invited to offer their views.

Registration of Institutional Ethics Committee: IECs of each University Campus and affiliated colleges shall be registered with University.

Terms of Reference: The IEC members should be made aware of their role and responsibilities as committee members. Any change in the regulatory requirements should be brought to their attention and they should be kept abreast of all national and international developments in this regard. The Terms of References should also include a statement on Terms of Appointment with reference to the duration of the term of membership, the policy for removal, replacement and resignation procedure etc. Each Committee should have its own operating procedures available with each member.

Review Procedures: The Ethics Committee should review every research proposal on human subjects within reasonable period of time. It should ensure that a scientific evaluation has been completed before ethical review is taken up. The Committee should evaluate the possible risks to the subjects with proper justification, the expected benefits and adequacy of documentation for ensuring privacy, confidentiality and justice issues. The ethical review should be done through formal meetings and should not resort to decisions through circulation of proposals.

Submission of Application: The researcher should submit an appropriate application to the IEC in a prescribed format along with the study protocol on or before the notified date. The application should include the following:

1. Clear research objectives and rationale for undertaking the investigation in human subjects in the light of existing knowledge.
2. Recent curriculum vitae of the Investigators indicating qualification and experience. (in case of Research Projects only)
3. Subject recruitment procedures.
4. Inclusion and exclusion criteria for entry of subjects in the study.
5. Precise description of methodology of the proposed research, including intended dosages and routes of administration of drugs, planned duration of treatment and details of invasive procedures if any.
6. A description of plans to withdraw or withhold standard therapies in the course of research.
7. The plans for statistical analysis of the study.
8. Procedure for seeking and obtaining informed consent with sample of patient information sheet and informed consent forms in English and vernacular languages.
9. Safety of proposed intervention and any drug to be tested, including results of relevant laboratory and animal research.



10. For research carrying more than minimal risk, an account of plans to provide medical therapy for such risk or injury or toxicity due to over-dosage should be included.
11. A statement on probable ethical issues and steps taken to tackle the same.
12. All other relevant documents related to the study protocol including regulatory clearances.
13. Compliance of national (AYUSH GCP) and international GCP protocols (in case of International collaborative research project) for clinical trials.
14. Details of Funding agency / Sponsors and fund allocation for the proposed work (in case of funded research projects).

Decision Making Process: The IEC should be able to provide complete and adequate review of the research proposals submitted to them. It should meet periodically at frequent intervals to review new proposals, evaluate annual progress of ongoing ones and assess final reports of all research activities involving human beings through a previously scheduled agenda, amended wherever appropriate.

1. The decision must be taken by a broad consensus after the quorum requirements are fulfilled to recommend / reject / suggest modification for a repeat review or advice appropriate steps. The Member Secretary should communicate the decision in writing.
2. A member must voluntarily withdraw from the IEC while making a decision on an application which evokes a conflict of interest which should be indicated in writing to the chairperson prior to the review and should be recorded so in the minutes. If one of the members has her/his own proposal for review, then the member should not participate when the project is discussed.
3. A negative decision should always be supported by clearly defined reasons.
4. An IEC may decide to reverse its positive decision on a study in the event of receiving information that may adversely affect the benefit/risk ratio.
5. The discontinuation of a trial should be ordered if the IEC finds that the goals of the trial have already been achieved midway or unequivocal results are obtained.
6. In case of premature termination of study, notification should include the reasons for termination along with the summary of results conducted till date.
7. The following circumstances require the matter to be brought to the attention of IEC:
 - a. Any amendment to the protocol from the originally approved protocol with proper justification;
 - b. Serious and unexpected adverse events and remedial steps taken to tackle them;
 - c. Any new information that may influence the conduct of the study.
8. If necessary, the applicant/investigator may be invited to present the protocol or offer clarifications in the meeting. Representative of the patient groups or interest groups can be invited during deliberations to offer their viewpoint.
9. Subject experts may be invited to offer their views, but should not take part in the decision-making process. However, her/his opinion must be recorded.
10. Minutes of the Meetings should be documented and approved and signed by the Chairperson.



1.4 RESEARCH SUB COMMITTEES

There will be three sub-committees duly constituted by the university to evaluate the synopsis submitted by MD/MS-(Ay.)/Ph.D. scholars and the project proposals submitted by faculty members or third-party researchers as per the broad area of research.

1. Fundamental and Literary Research sub committee
2. Pharmacological / Drug Research sub committee
3. Clinical Research sub committee

These Sub-committees will evaluate the synopsis/research proposals of their respective fields and ensure the correctness of the project proposals. The respective sub-committees will ensure that topic of the research project is as per priority areas/thrust areas or Research goals of the University, otherwise return back to respective departments with the suggested modifications. The researcher will again submit duly modified proposal in light of comments given by the respective sub-committee.

1.4.1 Composition of Sub-Committees

1. Fundamental and Literary Research Sub-Committee:

- ❖ HOD Maulik Siddhanta of concerned Campus/ Institution
- ❖ HOD Sharir Rachana of concerned Campus/ Institution
- ❖ HOD Sharir Kriya of concerned Campus/ Institution
- ❖ HOD SwasthaVritta of concerned Campus/ Institution
- ❖ Two external members

2. Pharmacological/ Drug Research Sub-Committee:

- ❖ HOD Dravya Guna of concerned Institute
- ❖ HOD Rasa Shastra of concerned Institute
- ❖ HOD Agada Tantra of concerned Institute
- ❖ Two external members

3. Clinical Research Sub-Committee:

- ❖ HOD Kaya Chikitsa of concerned Institute
- ❖ HOD Shalya Tantra of concerned Institute
- ❖ HOD Shalakyta Tantra of concerned Institute
- ❖ HOD Pancha Karma of concerned Institute
- ❖ HOD KaumarBhritya of concerned Institute
- ❖ HOD Prasuti Tantra & Stree Roga of concerned Institute
- ❖ HOD Roga Nidana of concerned Institute
- ❖ Two external members

- The chairs of the respective Sub-committees may invite other faculty members for advice/assistance for evaluation of the projects / synopsis as per the need. The chair may nominate a faculty member as member secretary of the sub-committee. Chairperson will be nominated by the University.

1.5 Departmental Research Committee (DRC)

There will be a Departmental Research Committee (DRC) in each and every department of the concerned Campus/ institution. At first instance, each and every research proposal, irrespective of MD/MS/Ph.D Scholar, Teaching faculty or third party researcher, will be discussed at this level and recommendation of suitable research projects will be forwarded by this committee to respective sub-committees for further necessary action.



1.6 Departmental Academic Integrity Panel (DAIP)

All Departments shall notify a DAIP whose composition shall be as follows:

- a) Chairman – Head of the Department
- b) Member –Senior academician from outside the department, to be nominated by head of institution
- c) Member – A person preferably faculty member of the department who is well versed with anti-plagiarism tools, to be nominated by HOD.

1.7 Institutional Academic Integrity Panel (IAIP)

There will be an IAIP which will consider recommendations of DAIP and investigate cases of plagiarism to forward their report to Honorable Vice -chancellor.

1. Chairman – Campus Director/ Principal of the concerned University Campus/ affiliated institution.
- d) Member –All Heads of Concerned Departments.



2. PROCEDURES FOR SEEKING APPROVAL TO PROCEED WITH RESEARCH

- 2.1 Research at the various University Campuses and affiliated Colleges of Uttarakhand Ayurved University is conducted according to the principles set out in the AYUSH GCP. The policy applies to all staff and students of the all Institutions under the university and to third parties, who propose to undertake research with UAU. The policy states that all research must be conducted according to appropriate ethical, legal and professional frameworks, obligations and standards.
- 2.2 Synopsis / Project proposals must be thoroughly discussed first of all in Departmental Research Committee.
- 2.3 Departmental Research Committee will forward suitable research projects to respective Sub-Committee which will review the projects / synopsis. The research scholar/ Principal Investigator (PI) or Co-investigator (Co PI) will make a 'Power Point Presentation'. If found appropriate then project / synopsis will be forwarded to IEC, otherwise return to Departmental Research committee with written suggestions.
- 2.4 The clearance from Institutional Ethical Committee as per the case will have to be obtained before the commencement of the project.
- 2.5 Each and every Institute will constitute an Institutional Ethical Committee (IEC) as per Guideline of AYUSH GCP and will get approval for it from the University. All the IEC's should be registered with the UAU. The University will provide a Registration Number to each and every IEC as well as to approved projects from IEC.
- 2.6 **Composition of IEC:** A multi-disciplinary and multi-sectorial IEC will be composed as follows:
 - a) Chairperson – Reputed Ayurveda expert/ Scientist/Medical expert from outside the institution.
 - b) Basic Medical Scientist (1-2) – From Dravya-guna / Rasa-Shastra/Pharmacology
 - c) Clinician (2) – From respective system
 - d) Legal Expert / Retired Judge
 - e) Social Scientist / Representative of Non-governmental voluntary agency
 - f) Philosopher / Ethicist / Theologian
 - g) Lay person – From the community
 - h) Subject Expert
 - i) Member Secretary – From same institution, to conduct business of IEC.
- 2.7 In order to avoid any potential conflict of interest, it is not permissible for an individual staff member to provide approval for their own research alone. It is also not permissible for post-graduate/Ph.D. research scholar supervisors to grant approval for their own students' research alone.
- 2.8 RDC will review all the submitted projects (through proper channel) and give recommendation to appropriate projects / synopsis for approval of the Hon'ble Vice Chancellor. If some corrections/amendments are required then the projects will be returned to the respective institution along with suggestions, before submitting to Hon'ble Vice Chancellor.



- 2.9 It may be ethically acceptable to abbreviate, or temporarily suspend, the usual ethics review procedures and requirements in some exceptional circumstances, provided that all other applicable legislative and regulatory requirements are satisfied. In situations where urgent research has to be carried out by the institution for the sake of national security or for the urgent protection or treatment of whole populations at risk or any other valid reason of importance, the RDC may give special exemption or expedited review of the specific research project.
- 2.10 As per the need of research work, the University may collaborate with other Universities/ Institutions/ Research Centers/ Industrial firms. A Memorandum of Understanding (MoU) will be executed between this University and other Universities/ Institutions/ Research Centers/ Industrial firms, etc. as the case may be. The responsibility of both organizations will clearly be mentioned in the MoU.
- 2.11 There will also be a provision to execute the Ph.D. programme for other faculty and allied sciences.



3. MONITORING AND IMPROVEMENT PROGRAMME

- 3.1 A monitoring and improvement programme shall be put in place for the RDC to systematically review and evaluate the working processes involved in the ethics review of research projects. This will improve the overall standards of ethics review and human subject protection.
- 3.2 The functions of the monitoring and improvement programme may be performed by one or more sub-boards appointed by the University.
- 3.3 **Investigation of complaints about approved research projects:**
The RDC may investigate complaints relating to research projects that it has approved. The findings of, and recommendations following, each investigation should be submitted to the institution.
A complaint which cannot be resolved at the level of the RDC should be collaborated with IEC. Where necessary, approval of the research project in question should be withheld, pending the outcome of investigations.
- 3.4 **Compliance monitoring:**
The RDC will put in place a robust system for monitoring the conduct of research projects for compliance with the institutional standards or regulatory requirements. Monitoring may be effected through site visits to selected clinical investigator sites, review of documentation, and/or interviews with relevant personnel. Aspects which may be monitored include:
a. Consent document, including the informed bilingual consent process
b. Subject enrollment, including recruitment criteria of subject
c. Data integrity
d. Documentation
e. Safety reporting
- 3.5 There shall be at least one monitoring and improvement programme coordinator who has oversight of the various functions performed under the research programme of each Sub-committee.
- 3.6 The operational procedures related to the functions of the monitoring and improvement programme, and the roles and responsibilities of its coordinator(s), shall be clearly stipulated by the RDC.
- 3.7 The meeting of RDC will be convened within two weeks of the Last Sub-committee meeting of the academic year. In case of the project proposals by faculty, RDC may be convened as per the need.
- 3.8 As a general practice, the concerned Investigator, PG and Ph. D. scholar shall make a brief presentation (8-10 min.) following which there will be discussion for clarification.
- 3.9 The RDC may waive off the presentations if it deems fit.
- 3.10 The unapproved projects will be returned to the Principal Investigator / P.G. or Ph.D. Scholar 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).
- 3.11 No research project will be submitted directly to the Institutional Ethical committee.
- 3.12 Member secretary will obtain the attendance (signature) of the members attending the meeting with their names and will write down the proceedings in the RDC register.



- 3.13 In case if project(s)is/are rejected by RDC or Ethical committee (IEC) with some objections, the investigator or research scholar will modify the proposal as per suggestions given by the RDC or IEC and resubmit the project through the respective sub-committee within stipulated time. Then again, the project / synopsis will be put before the respective sub-committee and same procedure will be followed as was followed the first time.
- 3.14 There is a standard format with instructions for Synopsis / project preparation to be followed by all research scholars
- 3.15 Standard Dissertation / Thesis writing instructions must be followed by all research scholars.
- 3.16 An award to best research project for the academic year will also be given by the university (judged by a 'Core committee' formed by Hon'ble Vice Chancellor).
- 3.17 All research work must be devoid of Plagiarism in accordance with UGC regulations 2018, otherwise will be subjected to strict disciplinary action on recommendation of 'Institutional Academic Integrity Panel'. Act of Plagiarism reported by an External Examiner on the basis of his findings will also be investigated by the 'Institutional Academic Integrity Panel'.



4. REGISTRATION OF GUIDE/ CO-GUIDE OR RESEARCH SUPERVISOR

- 4.1 Eligibility: The qualification / experience and other eligibility criteria to become a Guide or Co-Guide of a PG/ Ph.D. Scholar will be considered as per regulations of CCIM/UGC/ Uttarakhand Ayurved University. However, it will be mandatory for the faculty member to apply for registration (Annexure-C/D) in the University to work as an approved University Guide/ Co-guide of PG/Ph.D scholar. After registration in university only, one can become a guide of PG/ Ph.D. scholar of concerned subject irrespective to his/her posting place. Every registered Guide/ Co-guide will be allocated a registration number.
- 4.2 In case a Co-guide is from other institution/ University, he/she has to get registered with UAU.
- 4.3 Only university approved Guide/ Co-guide will be eligible for supervising research wor

5. COLOUR OF THE THESIS

- 5.1 *P.G. thesis (outer cover) - Light Cream colour base with Black colour fonts.*
- 5.2 *PhD thesis (outer cover) - Dark Magenta colour base with Golden colour fonts*

6. OTHERS

- 6.1 Uttarakhand Ayurved University has the right to modify the research policy document as per requirement from time to time.
- 6.2 In case of any doubt/dispute, the decision of Honourable Vice Chancellor, Uttarakhand Ayurved University, Harrawala, Dehradun, will be final.



7. Ph.D. REGULATIONS

7.1 ENROLLMENT IN Ph.D. COURSES (ENTRANCE TEST):

- 7.1.1 Applications for Entrance test shall be invited through the University website notification.
- 7.1.2 Duly filled application form with annexure and prescribed Fee should be submitted to the UAU on or before the last date notified, failing which the application shall be rejected.
- 7.1.3 Candidates willing to register for Ph.D. course under UAU shall appear for the entrance test conducted by UAU. Candidates who have qualified UGC-NET (including JRF) / UGC-CSIR-NET (including JRF) / SLET / GATE / CCRAS-NET/ Regular Faculty members of UAU campuses (internal candidates), need not to appear for PhD Entrance Test of UAU. However, they should apply to the University same way as other candidates.
- 7.1.4 There will be one MCQ based theory paper of 100 marks, of one and half hour duration, of P.G. standard.
- 7.1.5 Syllabus consists of Research methodology and statistics (50 questions, 50 marks) and Subject specific (50 questions, 50 marks).
- 7.1.6 Candidates scoring 50% and above marks will be considered qualified for being called for Interview being taken by a duly constituted committee. Final result shall be declared after interview.
- 7.1.7 Regular teachers (after completion of Probation period) of UAU Campuses duly appointed by UAU / Public service commission prior to existence of UAU will be considered as internal candidate and all others will be considered as External candidates. Contractual teachers, attached faculty, Lien candidates, medical officers and clinical registrars working in UAU will be considered as external candidate.
- 7.1.8 Internal candidates, after selection as Ph.D. research scholar, shall give an undertaking on Rs. 100= (One hundred rupees) non-judicial stamp paper that he shall continue / perform his / her all regular duties of the institution / university as such during his /her period of Ph.D. research, except becoming a guide / Co-guide of P.G. scholar. This shall also be applicable for contractual teachers, attached faculty, Lien candidates, medical officers and clinical registrars working in UAU.
- 7.1.9 Simply qualifying the Ph.D. entrance test does not give right to candidate for getting admission. It is subjected to availability of seat, facilities and fulfilling other criteria.
- 7.1.10 Result of entrance test shall be valid for current year only and it cannot be used for admission during subsequent year.
- 7.1.11 Selected candidates will undergo a mandatory “Course Work” for 06 months, followed by written examination.
- 7.1.12 After passing course work exam, the candidate shall prepare a synopsis on his subject having thorough discussion with his Guide on the proposed area of research.
- 7.1.13 Synopsis must be submitted within one month (maximum) after declaration of course work result. Presentation of synopsis before Ph.D. registration committee in presence of guide (mandatory) will take place within one month after submission of synopsis. This will be



followed by meeting of Institutional Ethical committee and then RDC for approval of research project at the earliest.

- 7.1.14 NOC from concerned Ph.D. guide is mandatory before Pre-Ph.D. presentation document.
- 7.1.15 Fee structure will be as per Uttarakhand Ayurved University rules.
- 7.1.16 Syllabus for Entrance test:
 - 7.1.16.1 Research Methodology and Statistics:
 - a. Research Methodology : An Introduction
 - b. Defining the Research problem
 - c. Research Design
 - d. Sampling Design
 - e. Measurement and Scaling techniques
 - f. Methods of Data collection
 - g. Processing, Statistics and Analysis of Data
 - h. Sampling Fundamentals
 - i. Interpretation and Report writing
 - j. Principles and methods of Fundamental research, literature, drug and research problem survey, clinical research
 - k. Writing Article for scientific journals
 - l. Introduction to specific research instruments
 - m. Bioavailability
 - n. Bioequivalence
 - o. Clinical Trials
 - p. Basics of Pharmacology
 - 7.1.16.2 Subject Specific: Questions will be in accordance with syllabus and books prescribed for Post Graduate course for that subject as per Apex body or Uttarakhand Ayurved University.



8. RULES AND REGULATIONS FOR ENROLLMENT OF CANDIDATES FOR RESEARCH LEADING TO Ph.D. IN VARIOUS FACULTIES:

- 8.1 **ELIGIBILITY FOR CANDIDATE:** A candidate having Post-Graduate qualification, in a concerned subject from any recognized and affiliated college from Central Council of Indian Medicine, New Delhi, can apply through application form (notified by UAU) for Ph.D. entrance test.
- 8.2 **DURATION:** Ph.D. program shall be a full-time course, for a minimum duration of three years and maximum duration of five years after admission. However, minimum duration in case of internal candidates shall be four years. Extension beyond the maximum limit of five years, on the request of the candidate and guide with appropriate reasons, may be examined and forwarded by the Ph.D. registration committee to Honorable Vice Chancellor for final approval, which shall be for maximum one year. After availing all kinds of Leaves, attendance of Ph.D. scholar must be minimum three years under all circumstances.
- 8.3 The University campuses and colleges under the university which are allowed to conduct Ph.D. programs shall decide on an annual basis through their academic bodies, a predetermined and manageable number of Ph.D. scholars to be admitted, depending upon the number of available Research Guides, other academic and physical facilities. They shall follow the norms regarding the Scholar-Teacher Ratio, laboratory, library and other required facilities.
- 8.4 The University will notify well in advance the date and other details of entrance test through the University website and / or through advertisement in national newspapers.
- 8.5 Admissions to Ph.D. course are subject to State Reservation Policy, wherever applicable.
- 8.6 The University shall maintain a year wise list of all Ph.D. registered scholars on its website, which shall include name of registered candidate, research topic, name of guide/co-guide and date of registration.
- 8.7 **ELIGIBILITY CRITERIA FOR GUIDE / CO-GUIDE:** Only permanent regular Teacher / Research faculty working full-time in the institutions / colleges of UAU will be a Guide in that institution. External Guides are not allowed. A Co-guide from other departments of the same institute or from other related institutions can be allowed in Inter-disciplinary research program after the approval of Ph.D. Registration Committee. The Guide should not have completed 62 years of age at the time of registration of the candidate for Ph.D. course under him / her, provided the guide continues to work as a full-time regular teacher in the campuses / colleges affiliated with UAU. In situation of discontinuation of Guide (any reason whatsoever) and the research work still not completed, then the matter shall be put before Honorable Vice Chancellor through remarks of Ph.D. Registration Committee for change of Guide of that particular scholar for approval; and the research work already done by the scholar till latest progress report (signed by previously allotted Guide) will be allowed and carried forward to be continued as such.
- 8.8 **GUIDES IN TEACHING INSTITUTIONS:** Post-graduate qualification [M.D.(Ay)/M.S.(Ay)] in concerned specialty with Ph.D. awarded from institutions recognized by CCIM/UGC/Ministry of AYUSH is mandatory. A minimum of five years teaching experience after acquiring P.G. degree is compulsory. Ten original approved Publications as 1st, 2nd or corresponding author (with ISSN/ISBN/Peer reviewed/Indexed) are must. All



- guides shall normally be residents within the jurisdiction of research center and should be recognized by UAU based on approval of UAU.
- 8.9 CO-GUIDES IN TEACHING INSTITUTIONS: Post-graduate qualification [M.D.(Ay)/M.S.(Ay)] in concerned specialty / other specialty related to research topic awarded from institutions recognized by CCIM/ UGC/Ministry of AYUSH/Ministry of Health/ICMR/CSIR/DST will be permitted. A minimum research experience of three years after acquiring P.G. degree is compulsory. Five original approved publications as 1st, 2nd or corresponding author (with ISSN/ISBN/Peer reviewed/Indexed) are must. A scholar may have one / two (maximum) Co-guide from other department, duly recognized by the Ph.D. Registration committee of UAU in addition to the guide from the concerned specialty.
- 8.10 NUMBER OF Ph.D. SCHOLARS PERMISSIBLE: The maximum number of full-time Ph.D. scholars a guide can supervise shall not exceed maximum three (03) at any given time. Whenever the number of candidates registered under a guide reaches maximum, then guide will become eligible to supervise another Ph.D. scholar only after the submission of thesis by any one of the Ph.D. scholar already registered under him / her.
- 8.11 A Guide / Co-guide recognized by UAU will not eligible to become Guide of Ph.D. scholars from other university, without the prior permission of UAU.
- 8.12 Ph.D. REGISTRATION COMMITTEE: It shall consist of -

a.	Dean of Faculty	Chairman
b.	Board of Studies - Chairman	Member
c.	Two Senior Faculty -nominated	Member
d.	Two Subject Experts - nominated	Special Invitee
e.	Deputy Dean (Research)	Member Secretary

- 8.13 SUBMISSION OF HALF YEARLY PROGRESS REPORT: After provisional registration, each scholar shall submit the half yearly progress reports in a prescribed format as desired by the university through his / her guide (signed by guide) and then forwarded by concerned HOD and Head of Institution to university. This report will be assessed by the subject experts of committee framed by the university and their comments shall be communicated to the scholar and guide. Every such half yearly report should be submitted for the period from 1st January to 30th June and from 1st July to 31st December. However, the very first report for the fraction of six months period should be submitted ending either in June or December. The subsequent reports must accompany the summary of previous half yearly progress reports along with corrections if suggested by subject experts committee of the university. If the research scholar fails to implement the desired corrections or submits the same report as the previous one or does not submit progress report on two consecutive sessions or two consecutive progress reports are unsatisfactory then University can even cancel the registration of the research scholar. All Ph.D. scholars should maintain a Logbook, duly signed by guide and head of department / institution and should be made available at the time of inspection and examination. The research project submitted by the scholar must be cleared by appropriate Institutional Ethical Committee and registered in CTRI before starting the research work.
- 8.14 PRE Ph.D. EXAMINATION: The scholar will be eligible to appear for the Pre Ph.D. examination only after completion of one year from the date of provisional registration provided his / her first and second half yearly progress reports are found satisfactory. The provisional Ph.D. registration of the scholar will be confirmed only after the scholar passes



the Pre-Ph.D. examination. This confirmed Ph.D. Registration number shall be used for all future correspondences by the Ph.D. scholar, and will also be mentioned in final synopsis as well as dissertation.

9. EVALUATION AND ASSESSMENT:

- 9.1 **SUBMISSION OF FINAL SYNOPSIS / PRE-SUBMISSION SEMINAR PRESENTATION:** All Ph.D. scholars should submit (hard copy) and present (ppt.) their research work before subject experts / committee at least three months prior to final submission of Dissertation. Thereafter, scholar should get approval for writing final synopsis and Dissertation. Suggestions, if any, should be completed before final submission of Dissertation. Ph.D. scholar will submit five hard copies, five Summary and five PDF soft copies (DVD / Pen drive) of his / her Dissertation to the University. Color of outer Cover page of Dissertation will be 'Dark Magenta base with Golden letters printing'.
- 9.2 **PUBLICATION OF RESEARCH PAPERS:** Before submitting their Ph.D. Dissertation to the university, Ph.D. scholar should have published a minimum of three research papers related to their research topic during their course of research, with one publication as the first author and the other two as first or second author in an Indexed journal. Acceptance of research paper will be considered.
- 9.3 **PLAGIARISM:** Uttarakhand Ayurved University shall evolve a mechanism using well developed software and gadgets to detect Plagiarism and other forms of academic dishonesty. While submitting for evaluation, the Dissertation shall include an undertaking from the research scholar and a certificate from the research guide attesting the originality of work, vouching that there is no plagiarism (the permissible similarity as per UGC regulations) and that the work has not been submitted for the award of any other degree / diploma of the same institution where the work was carried out, or to any other institution.
- 9.4 **EXAMINERS:** The Ph.D. dissertation submitted by the research scholar shall be evaluated by his / her research guide and at least two external examiners from outside the Uttarakhand Ayurved University. In case if any one of the external examiner gives report of dissertation as 'Unsatisfactory', then the case will be sent to a third new external examiner (from the same pre-decided panel) for evaluation deputed by UAU. The Viva-voce examination shall be conducted by the research guide and at least one of the two external examiners, and shall be open to be attended by members of Ph.D. committee, all faculty members of the department, statistician, other research scholars and other interested experts / researchers.
- 9.5 **AWARD OF Ph.D. DEGREE:** Ph.D. degree will be awarded after the approval of Executive Council. Prior to actual award of degree, the university shall issue a provisional certificate that the Degree has been awarded in accordance with the provisions of Uttarakhand Ayurved University and UGC Regulations.
- 9.6 In case of any doubt / dispute, the decision of Honorable Vice Chancellor UAU will be Final.



10. PREPARATION OF SYNOPSIS FOR MD/MS (Ay)/PhD / RESEARCH PROJECT

The Synopsis is a brief summary or condensed presentation of research work to be done. The Synopsis should be precise and should contain definite planning of research work under following Heading, Sub-heading and Sub-sub heading:-

10.1 TITLE:

It should be comprehensive and self-explanatory to reflect the main content and subject of the research work to be undertaken by the scholar.

10.2 INDEX:

It is the tabular presentation of heading and sub-heading with their respective page numbers.

10.3 INTRODUCTION:

It is the precise and brief introduction of the disease or main problem, available modalities for the treatment and their limitations along with complications. The reason for taking the present research work should be elaborated. This section must reflect the orientation, setting and foundation on which the research work will be carried out. The objective and rationale of the study must be described.

10.4 PREVIOUS RELATED RESEARCH WORK DONE:

Before writing the synopsis, the scholar must do the critical review of 15-20 relevant research work on the taken subject and mention systematically.

10.5 AIMS AND OBJECTIVES:

After the critical review of previous research work, the scholar should specify the aim and objectives of the present study.

10.6 HYPOTHESIS:

A tentative conjecture explanation of the selected research work should be mentioned.

10.7 PLAN OF STUDY:

In this section, the scholar should define the plan of the whole research work and it should be elaborated under following Headings & Sub-headings:-

10.7.1 CONCEPTUAL STUDY/REVIEW OF LITERATURE:

The critical review of the related literature of Ayurveda and modern medical science should be done to elaborate the basic concept of the disease and its treatment. This should be followed by review of the Drugs along with latest pharmaco-therapeutic actions, based on the research work done so far on that drug. The sub heading will be:-

- (i) Review of Ayurvedic Literature.
- (ii) Review of Modern Literature.
- (iii) Review of Drugs.

10.7.2 CLINICAL STUDY (for clinical work) / RESEARCH CONTRIVE(for literary work):



Under this section, scholar should elaborate the method of Selection of material, Procedure, Preparation of the drug(s), Treatment of the selected patients, Assessment and Data Recording of the patients under the following sub-headings :-

10.8 MATERIAL AND METHODS:

The sub-headings will be as follows:-

10.8.1 Selection of Patients:

The scholar should write the method of selection of patients in the following concise pattern and should avoid repetition.

For Example:

Patients with classical features of the(Disease) attending the OPD and IPD (not medical camps) ofShalya Tantra department ofRishikul Campus Hospital, UAU, Haridwar will be selected randomly for this clinical study, irrespective of sex, religion, occupation, etc. A detail Proforma will be prepared on the basis of the Ayurvedic text and allied sciences. The patient fulfilling the inclusion and exclusion criteria will be registered on this Proforma and scoring of the different clinical features will be done on the assessment criteria.

10.8.2 Inclusion Criteria

10.8.3 Exclusion Criteria

10.8.4 Assessment Criteria

The assessment will be done on the subjective and objective parameters, and scoring will be done before and after the treatment.

- Subjective Parameters
- Objective Parameters

10.8.5 Assessment of Deha-prakriti of Patients:

Deha-prakriti of patients will be assessed on the proforma prepared on the Ayurvedic concept according to doshika features. Analysis will be made for the evaluation of incidence or association of the disease with the types of Deha-prakriti.

10.8.6 Investigations:

To support the clinical diagnosis, routine and specific investigations will be carried out as per requirement.

10.8.7 Sample Size:

As per sample size calculation.

10.8.8 Type of Study: example- Experimental, Case Control Study, Cross-sectional study, Randomized Control Trial, etc.

10.8.9 Level of Study: *OPD and IPD level /Field study/ Synthesis of Literature (for literary work).*



10.8.10 . Period of Study:

10.8.11 . Duration of Treatment:

10.8.12 Method of Treatment/ Intervention.

The scholar should elaborate the method of preparation of selected drugs, procedure and route of administration, etc. under the following sub headings:

- Selected Drugs
- Form of Medicine
- Composition of Medicine
- Preparation and Storage of Medicine
- Dose of Medicine
- Route of Administration
- Procedure
- Adjuvant Therapy (if any)

10.8.13 Follow-Up :

The follow up period will be according to the nature of disease and will be discussed in Departmental Research Committee.

10.8.14 Method of Data Collection:

After the completion of treatment, the assessment will be done on same criteria as before the treatment and scoring will be done on the same pattern. The different tables of scores, obtained before treatment and after treatment, will be prepared for the comparison and statistical analysis will be done.

10.9 OBSERVATIONS AND RESULT:

The inference will be made on the basis of statistical analyzed data by applying suitable tests.

10.10 DISCUSSION:

Under this section obtained result will be discussed on the basis of Ayurvedic concept and modern scientific parameters.

10.11 SUMMARY AND CONCLUSION:

The whole research work will be summarized and conclusion of this research work will be inference.

10.12 BIBLIOGRAPHY/REFERENCES

Ref. point no.13 of Research Policy

10.13 DECLARATION (by the research scholar):

10.14 BILINGUAL CONSENT FORM:

10.15 BONAFIDE CERTIFICATE:



11. DISSERTATION / THESIS WRITING INSTRUCTIONS

11.1 THE VOLUME OF DISSERTATION

A Scholar must keep in view the economy of space, labour, time and clarity of presentation. Padding with lengthy description and avoidable discourses do add to the standard of scholarship. It is therefore, essential that the bulk of thesis must be carefully controlled, viz. around 100-130 pages for MD/MS thesis and 200-250 pages for Ph.D. thesis (total content).

11.2 ENGLISH USAGE AND GRAMMAR

The past tense is preferred for scientific writing. The scholar will be responsible for correct English usage and grammar. Small sentences comprising 25-30 words may be a good practice to follow. A good sentence is one which describes one thing at a time in minimum words.

11.3 ABBREVIATIONS

Acceptable abbreviations may be used in foot-notes and references. To save space and time, it is sometimes convenient to use abbreviations for lengthy scientific words or phrases used frequently throughout the text. Such abbreviations must be presented in parentheses immediately after the words or phrase for which they stand, for example Magnetic Resonance Imaging (MRI). In succeeding sentences throughout the thesis, the initial MRI should be used in place of the words or phrase. A list of used abbreviations should be given in a separate page of the thesis.

11.4 PAGE MARGINS/TYPING DIRECTIONS

Good quality white bond paper of **A4 size** must be used. The thesis must be printing both sides. The inner side margin must be 1.25 inch whereas the margin of other three sides must be 0.75 inch. “**Times New Roman**” writing font style is recommended throughout the thesis. Sanskrit / Hindi references must be in **Kruti_Dev_010** font. The main headings font size should be 16 bold and capital while for the sub-heading and general text should be 14 (bold) and 12 (not bold) respectively.

11.5 PAGINATION

All pages must be numbered. Pages of Abstract and Acknowledgements should be given Arabic numbers (i, ii, iii, iv, v, vi), whereas pages from ‘Introduction’ onwards should be given Arabic numbers (1,2,3,4,5...) in the center of the page at bottom.

11.6 DISTRIBUTION OF THE WORK

Dissertation / Thesis must be written in the following order:

- | | |
|--|-------------------------------|
| 1. Title Page | 11. Review of Literature |
| 2. Dedication(optional) | 12. Materials and Methods |
| 3. Declaration | 13. Observations and Results |
| 4. Supervisor’s Certificate
(Signed by Supervisor and Co- Supervisor) | 14. Discussion |
| 5. Bonafide Certificate
(Signed by Supervisor, Co-Supervisor, HOD,
Director/Principal) | 15. Summary and Conclusion |
| 6. Index (Contents Table) | 16. Recommendations |
| 7. Acknowledgement | 17. References / Bibliography |
| | 18. Appendices – |
| | (i) Case Performa |
| | (ii) IEC approval certificate |



8. List of Abbreviations (if any)

9. Abstract

10. Introduction

(iii) CTRI registration number

(iv) One (for PG) / three (for Ph.D) published research paper in reputed journal with ISSN number related to Subject of thesis

(v) PDF Soft copy of dissertation / project (DVD enclosed)

for hosting in the UAU digital repository/ Examiners.



12. THESIS WRITING INSTRUCTIONS

12.1 ABSTRACT

A concise summary of the key points of research should be written. Abstract should contain research topic, research questions, participants, methods, results, data analysis and conclusions. Possible implication of research and future work connected with findings may be included. Abstract should be a single paragraph, double spaced, and between 200-300 words. List key words from your paper. For this, type *Keywords* (Italic) and then list keywords. Listing keywords will help researchers to find your work in databases.

CHAPTER-1 INTRODUCTION

This section must spell out different but relevant aspects of the topic under investigation, present status of the problem in the light of previous relevant work done, and category statement about the reasons of undertaking the study. The aims and objectives must be highlighted under this section, and should not be treated as separate sub- heading.

CHAPTER-2 REVIEW OF LITERATURE

This section must include the recent review of literature relevant to the research under investigation. Unnecessary details should be avoided.

CHAPTER-3 MATERIALS AND METHODS

Describe this section in detail, so the future crop of scholars may be able to follow the techniques adopted and repeat the experiments, if required.

CHAPTER- 4 OBSERVATIONS & RESULTS

1. Describe results succinctly. Avoid Verbosity.
2. The results which are given in the form of tables and figures may be described in words as and when needed, otherwise avoid verbosity and try to be concise and to the point as much as possible.
3. Give data either in Figure / Table form and Bar / Pie chart.
4. Tables and Charts should form part of Results section and should never be collected together at the end of the section.
5. Do not give “raw data”. Analyze the data statistically and include only the essential details.

CHAPTER 5: DISCUSSION

1. Probable mode of action of drugs / procedure should be clarified.
2. Results should be discussed on Ayurvedic concept and also on modern scientific parameters.

CHAPTER 6: SUMMARY AND CONCLUSION

This section must include the objective of study, methodology adopted, major features of results (must be quantified, wherever necessary) and conclusions.

RECOMMENDATIONS

This section must include the overall conclusions and suggestions or recommendations for further research work in the same area of research.

REFERENCES & BIBLIOGRAPHY

Ref. point no.13 of the Research Policy



13. REFERENCE WRITING INSTRUCTIONS

13.1 IN- TEXT CITATION

Generally, APA style of writing for reference writing is recommended for all the dissertation or thesis writing.

13.2 CITING AN AUTHOR OR AUTHORS

13.2.1 For single author: A work by single author should be cited in the parentheses in which the authors' name should be written followed by year of the study. Example: “..... Thing was investigated (Author, 2010)” or “Author (2010) investigated.....” in the text.

13.2.2 For two authors: Name both authors in the single phrase or in the parentheses each time you cite the work. Use the word ‘and’ between the authors’ names within the text and use the ampersand in the parentheses. Example: Research by Deshpande and Shankaran (1976) proves...

13.2.3 For three or more authors: Use the first author’s name followed by et al. in the single phrase or in parentheses. Example (Prasad et al., 1993) In et al., et should not be followed by a period; Example: “Prasad et al. (1993) confirmed”.

13.2.4 For unknown author: If the work does not have an author, cite the source by its title in the single phrase of use, or the first word or two in the parentheses. Titles of books and reports are italicized or underlined; titles of articles, chapters and web pages are in quotation marks. Example: ‘A similar study was done of students learning to format research papers (APA, 2001)’. Note: In the rare case the term “Anonymous” can be used in place of author, treat it as the author’s name (Anonymous, 2001). In the reference list, use the name ‘Anonymous’ as the author.

13.2.5 Organization as an author: If the author is an organization or a government agency, mention the organization in the single phrase or in the parenthetical citation the first time you cite the source. Example: “According to the American Psychological Association (2000)”. If the organization has a well-known abbreviation, include the abbreviation in brackets the first time the source is cited and then use only the abbreviation in later citations. First citation: (Mothers against Drunk Driving [MADD], 2000); second citation: (MADD, 2000).

13.2.6 Two or more works in the same parentheses: When your parenthetical citation includes two or more works, order them the same way they appear in the reference list, separated by a semi-colon. Example: (Pathak, 1990; Sharma, 1992).

13.2.7 Authors with same family name: To prevent confusion, use first initials with the last names. Example : (E. Johnson, 2001; L. Johnson, 1998).

13.2.8 Two or more works by the same author in the same year : If you have two sources by the same author in different or same year, use years separated by semi-colon or use lower case letters (a,b,c) with the year to order the entries in the reference list. Use the lower case letters with the year in the in-text citation. Example: Research by Berndt (1981a, b) or Berndt (1981; 1982); (Berndt, 1981a, b) or (Berndt 1981; 1982).

13.2.9 For personal communication: For interviews, letters, e-mails, and other person to person communication, cite the communicator’s name, the fact that it was personal communication, and the date of the communication. Do not include personal communication in the reference list. Example: (E. Robbins, personal communication, January 4, 2001).



- 13.2.10 Electronic Sources:** If possible, cite an electronic document the same as any other document by using the author-date style. Example: Kenneth (2000) explained.....
- 13.2.11 Website Sources:** Try to furnish information about author, access date followed by complete web address. Example: Smith, D “title of article” , (Date Published) Retrieved from: <http://www.thewebsite.com>
- 13.2.12 Unknown author and Unknown date :** If no author or date is given, use the Title in your single phrase or the first word or two of the Title in the parentheses and use the abbreviation “n.d.” (for “no date”). Another study of scholar and research decisions discovered that scholars succeeded without tutoring (“Tutoring and APA,” n.d.).
- 13.2.13 Sources without page numbers:** When an electronic source lacks page numbers, you should try to include information that will help readers find the passage being cited. When an electronic document has numbered paragraphs, use the abbreviation “para.” followed by the paragraph number (Hall, 2001, Para. 5). If the paragraphs are not numbered and the document includes headings, provide the appropriate heading and specify the paragraph under that heading. Note that in some electronic sources, like Web pages, people can use the Find function in their browser to locate any passages you cite. Example: According to Smith (1997),..... (Mind over Maker section, Para. 6). Note: Never use the page numbers of Web pages you print out; different computers print Web pages with different paginations.
- 13.2.14 Copyright permission notes:** If you quote published material or think you may be in violation of “Fair Use” copyright laws, you must get the formal permission of the author(s). All other sources simply appear in the reference list. Follow the same forming rules as with Content Notes for noting copyright permissions. Then attach a copy of the permission letter to the document. If you are reproducing a graphic, chart, or table, from some other source, you must provide a special note at the bottom of the item that includes copyright information. You should also submit written permission along with your work. Begin the citation with “Note” From “Title of the article,” by W. Jones and R. Smith, 2007, Journal Title, 21, p. 122. Copyright 2007 by Copyright Holder. Reprinted with permission.
- 13.2.15 No Plagiarism:** UGC regulations 2018 must be strictly followed.



14. PROMOTION OF RESEARCH APTITUDE IN UNDER-GRADUATE STUDENTS

14.1 NEED:

- 14.1.1 To Promote research at grass root level
- 14.1.2 To Identify and Encourage talented students with an aptitude of research before they disappear in the maze of service oriented clinical practice

14.2 OBJECTIVES:

- 14.2.1 To develop critical thinking and analysis capabilities
- 14.2.2 To enhance their skills in searching literature
- 14.2.3 To develop research aptitude.
- 14.2.4 To explore their hidden talent, discover new things and improve innovative skill.
- 14.2.5 To improve their overall attitude and behavior

14.3 SELECTION PROCESS:

- 14.3.1 Any Under-graduate student of any Professional can submit his / her requisition for short-term research project on a prescribed proforma, as per notification of Uttarakhand Ayurved University, Dehradun, without any Fee.
- 14.3.2 Student will submit his / her research project / research idea after thorough discussion as well as consent from his / her Mentor.
- 14.3.3 A 'Core committee' will assess the requisitions and grade them as per viability. On the basis of grades, the chairperson of this committee will take final decision regarding approval of viable research projects.
- 14.3.4 Maximum 20 Research Projects per year will be approved in total from all affiliated colleges of UAU.
- 14.3.5 The selection process will be completed within four weeks of the last date of receiving applications.
- 14.3.6 Selected projects will be allotted a 'Registration number' by the University, after which the concerned student can begin his project work.
- 14.3.7 A one-time, lump-sum amount will be sanctioned by the University for Approved Projects, if feasible.
- 14.3.8 Theme of proposed research projects must be of academic significance and subject related, for example –Literary research, Investigation Procedures, New techniques, Diagnostic tools, Teaching aids, Clinical modalities, Any other Innovative ideas, etc.
- 14.3.9 All completed and duly submitted research projects by students will get a 'Certificate of Appreciation' and the best research project of the year will be felicitated by 'Special Appreciation Award' from the University (both for student and mentor). ANNEXURES



15. INNOVATION LAB & RESEARCH NETWORK (IRNet) AND RESEARCH PROJECTS

15.1 Innovation Lab & Research Network (IRNet):

The purpose of the Innovation Lab and Research Network is to provide platform for Innovation in Ayurveda and support faculty and students by way of linking with appropriate institutions, industries and expertise available with the University. Faculty and students have many ideas on which they want to work, but in the absence of the infrastructure, budgetary and other constraints, they are not able to work on them.

The University would encourage an Innovation Lab in each institution with a network at the University level, where the students can research on an idea and can also get support from experts for the questions related to their research work. It shall equip them with the ability to think, develop research plan, and execute. It shall also encourage faculty and students to publish and patent their research work.

A panel and network of experts across the country and also from abroad will be on board of IRNet. The Innovation Lab and Research Network helps young faculty and students to think about research, prepare the proposal, conduct research and write a research report. It also assists them in preparing proposals for major research projects.

15.2 Minor Research Projects:

The University would encourage young faculty to conduct research. A faculty member may submit a Minor Research Project to Departmental Research Committee (DRC) and after adopting the prescribed procedure it would be forwarded to the University and on the recommendations of the Research committee the University may provide financial assistance, subject to availability and or linkup with the institutions with whom University is having MoU to get required lab etc. facilities. University will do budgetary provisions for such type of minor research projects.

For periodical assessment of all such research projects, the committee is constituted. It is mandatory to submit quarterly progress to the University.

15.3 Major Research Projects:

The University has identified various funding agencies like- ICMR, DST, CCRAS, Ministry of AYUSH, Govt. of India, NMPB etc. Faculty can submit Major Research Project proposals to these agencies. These proposals are scrutinised before submitting the same to a funding agency. The University provides all kinds of infrastructure facilities available for conducting a Major Research Project. The Innovation Lab and Research Network (IRNet) of the university will support them to prepare the project.

15.4 Collaborative Research Projects:

The University-Industry Interaction is the demand of the day. For the purpose to contribute to the society at large, the University has to closely work with industries and different commercial and research organisations. For this purpose, the University has planned to have the following activities:



i. Industry Sponsored Research Project: An reputed Industry may sponsor a project and the experts of the University Campuses can conduct research on the project financially supported by the industry. In case any patent is registered, then there shall be a sharing of patent rights and income generated from the patent will also be shared among the industry, researcher and University, as per mutual consent. This will benefit the researcher to get exposures to the concerned area of research, the industry will get solutions to its problem; and the researcher, University and Industry can get financial benefits and above all ultimately the society will benefit.

ii. Interdisciplinary Research: Interdisciplinary research is need of hour. As a matter of fact, no any single person or institution solve all the research problems but to get fruitful results there is need to have more than one discipline involved. Therefore, the University has decided to promote interdisciplinary research activities. It will be done by identifying the interdisciplinary areas, identify experts from concerned disciplines who can work together, and to explore possibilities to find resources for such interdisciplinary research.

iii. Collaborative National/ International Research:

The University plans to have more MoUs with prominent research institutions, universities, research councils in the country and abroad, for conducting research jointly in the areas of common interest. This type of research is essential to facilitate mutual learning and expertise sharing.



16. TRAINING FOR RESEARCH AND PUBLICATIONS, IPR, RESEARCH AWARDS

16.1 Training for Research and Publications

The University shall organise rigorous training programmes for researchers in the identified areas to develop expertise in Research methodology, Bio-statistics, scientific paper writing, preparing research proposals etc .

Publication of Papers and Journals Publication of papers is critical for the effectiveness of the University. Faculty must publish continuously in quality journals. The University plans to encourage the publication of papers by the faculty with a targeted aim. All the faculty members will have to publish a certain number of research papers in refereed journals at national and international levels. The University shall maintain a research publication repository. All the faculty members and research scholars must submit three copies of their research publication for the repository. There is a big demand of creditable journals in the field of AYUSH systems. The University will publish some good journals to fill the gaps.

16.2 Patent and Intellectual Property Rights (IPR):

The University would like to strengthen the research, leading to filing of patents for which the technical support will be made available. If any innovation is done, the University shall encourage the researchers and scholars to file patent. The University shall also create awareness about intellectual property rights among faculty, researchers and scholars from time to time.

16.3 Research awards:

The University will encourage quality research in various thrust areas. For this purpose, outstanding research contributions done by faculty, researcher, and research scholar (PG/ PhD) shall be recognised. Therefore, the University shall provide incentive to researchers and scholars. The incentives may be like- awards/prizes, certificate or giving more weightage for the career advancement scheme, etc.



17. RESEARCH PRIORITY AREAS

17.1 Research Priority Areas

Following will be the broad areas of research to be undertaken by the University:

- A. University Priority areas
- B. State Priority areas
- C. National Priority areas
- D. Thrust area of Global Health
- E. Innovative areas

General priority areas: -

- I. *Fundamental Concepts, Basic Principles & Theories of AYUSH Systems, Ayurveda diagnostic techniques, Shat-kriya kala, Concept and application of Prakriti etc.*
- II. *Standardization / Validation of Safety, Efficacy & Quality different AYUSH classical drugs, Therapies, Intervention & approaches / Treatment modalities, standardization of Panchakarma equipment, procedures etc*
- III. *AYUSH Pharmaceutical Research (New Drug development)*
 - *Pharmacological studies, safety & toxicity evaluation of ASU&H drugs as per standard guidelines*
 - *Pharmacokinetics Studies*
 - *Pharmacodynamics Studies*
 - *Development of new dosage forms for classical ASU&H formulation*
 - *Stability & Shelf life studies of Ayurveda medicines*
 - *Clinical Trials*
- IV. *Pharmaceutical Scientific exploration & operational research of metallic compounds, Bhashmas & other herbo-mineral preparations*
- V. *The study of integrated approach of treatment involving AYUSH systems*
- VI. *Drug interaction, bioavailability & dose determination studies*
- VII. *AYUSH intervention in public health care in following areas:-*
 - *Geriatric Health Care*
 - *specific diseases of the state (especially at hilly areas)*
 - *Mental Health & cognitive disorders*
 - *Immunological Disorders*
 - *Anaemia & nutritional disorders*
 - *Maternal & Child health*
 - *Study on constitution*
 - *Role of AYUSH system as alone or add on treatment in prevention & control of non-communicable diseases*
 - *Role of AYUSH systems as stand-alone or adjuvant treatment in National Health Programme*
 - *Disease prevention / Health promotion*
 - *Vector borne diseases, etc.*



18. LEAVES

18.1 Leaves Permissible for PG / Ph.D. scholars

- 18.1.1 Leaves shall be applicable from January to December each year (will not be carried forward to next year)
- 18.1.2 Casual Leaves: 14 each year
- 18.1.3 Academic Leaves: 10 (For participation / paper presentation / poster presentation in Seminar / Workshop / CME; With relevant proof & attendance certificate). No carry forward to next year.
- 18.1.4 Medical Leaves: 12 every year (Medical Certificate to be submitted). No carry forward to next year.
- 18.1.5 Educational Tour Leaves (outside the headquarters): Will be as per syllabus, only for particular department, and shall be permitted during summer vacations / winter vacations / Gazetted holidays or special permission by Honorable Vice Chancellor.
- 18.1.6 In case of research work outside the headquarters, 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; only then their stipend will be paid. 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.
- 18.1.7 Summer vacations / winter vacations shall be according to Academic calendar of the University and as per applicable to PG/PhD scholars.



.....**TITLE**.....
.....**(18 POINT BOLD)**

THESIS SUBMITTED TO (12 point bold)
UTTARAKHAND AYURVED UNIVERSITY,
DEHRADUN (16 Point bold)



FOR THE DEGREE OF (12 Point Bold)
AYURVEDA VACHASPATI/AYURVEDA DHANVANTARI
[DOCTOR OF MEDICINE - / MASTER OF SURGERY –
AYURVED] (15 Point Bold)

IN (12point bold)

.....**SPECIALISATION**.....**(15 Point Bold)**

by (12 Point Bold)

NAME OF SCHOLAR (14 Point Bold)

SUPERVISOR’S NAME (14 Point Bold)

CO-SUPERVISOR’S NAME (14 Point Bold)

DEPARTMENT OF.....(14point Bold)

COLLEGE OR INSTITUTION..... (14Point Bold)

Registration number (10Point Bold)

Year (10 Point Bold)

Enrollment number (10 Points Bold)



ANNEXURE –B DECLARATION

**UTTARAKHAND AYURVED UNIVERSITY, DEHRADUN,
UTTARAKHAND- 248001**

Department of.....
Name of College.....



DECLARATION

I do hereby state that the Dissertation entitled “.....” Submitted by me for the degree of in is not substantially the same one which has already been submitted for the degree or any other academic qualification at any other University or examining body in India or any other country to the best of my knowledge and belief.

Place

Date.....

(Scholar’s Name)

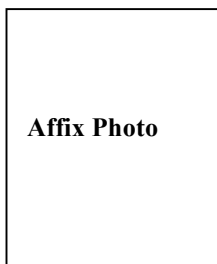


ANNEXURE –C APPLICATION FOR REGISTRATION AS P.G. [M.D.(Ay.)/M.S.(Ay.)] SUPERVISOR/CO-SUPERVISER

Uttarakhand Ayurved University, Dehradun

Application for Registration as P.G. [M.D.(Ay) / M.S.(Ay)]Supervisor/Co-Supervisor

2. Name of Applicant (Block letters)
3. Age & Date of Birth
4. Gender
5. Present Position / Designation
6. Nature of Appointment (Regular/Contractual/Attachment).....
7. Name & Address of Present Institution /
Campus.....
8. Present Working Department
.....
9. CCIM Code
10. Residential Address
.....
11. Mobile Number & email
12. Educational Qualifications (Higher to Lower) :



Affix Photo

Qualification	Name of Institution	Period		Name of University / Apex Body
		From	To	

13. Teaching Experience (from Latest to Previous) :

Designation	Name of Institution	Period		Duration	Subjects taught
		From	To		

TOTAL TEACHING EXPERIENCE =

TOTAL RESEARCH EXPERIENCE =

14. Scientific Research Publications : Total Number of Publications =



S.No.	Name of Journal	ISSN Number	Author / Co-Author	Title of Paper	Year/Volume/Issue/ Page number	Impact Factor

15. Research Projects =

S.No.	Name of Project	Sponsored by	Total value of project	Status of project Principal Investigator/ Co- Investigator	Complete / Running

16. Experience of Research Supervisor as Guide/Co-Guide:

17. Any other Relevant Information :

Declaration

I,S/O, W/O....., am willing to be registered as a research **Supervisor** for **Post-graduate Scholars** [M.D.(Ay.) / M.S.(Ay.)] of Uttarakhand Ayurved University, Dehradun in accordance with the rules and regulations of this University. I certify that the above information furnished by me is true, complete and correct to the best of my knowledge & belief. I understand that in the event of any above information being found False or Incorrect at any stage, my registration as ‘Supervisor’ stands cancelled along with necessary action as desired by this University.

Enclosures: Self attested copies of all relevant documents, appointment order, qualifications, publications, etc.

Signature of Applicant

Forwarded by Head of Department

Date:

Signature & seal of Campus Director/ Head of Institution

Date:

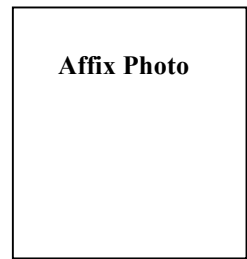


ANNEXURE –D APPLICATION FOR REGISTRATION AS Ph.D. SUPERVISOR/CO-SUPERVISER

Uttarakhand Ayurved University, Dehradun

Application for Registration as Ph.D. Supervisor/Co-Supervisor

1. Name of Applicant (Block letters)
2. Age & Date of Birth
3. Gender
4. Present Position / Designation
5. Nature of Appointment (Regular/Contractual/Attachment).....
6. Name & Address of Present Institution /
Campus.....
7. Present Working Department
.....
8. CCIM Code
9. Residential Address
.....
10. Mobile Number & email
11. Educational Qualifications (Higher to Lower) :



Qualification	Name of Institution	Period		Name of University / Apex body
		From	To	

12. Title of Ph.D. Dissertation:
.....
- Date of award of Ph.D. :

13. Teaching Experience (from Latest to Previous) :

Designation	Name of Institution	Period		Duration	Subjects taught
		From	To		

TOTAL TEACHING EXPERIENCE =
TOTAL RESEARCH EXPERIENCE =

Scientific Research Publications: Total Number of Publications



S.No.	Name of Journal	ISSN Number	Author / Co-Author	Title of Paper	Year/Volume/Issue/ Page number	Impact Factor

14. P.G. Supervisor / Co-supervisor / Projects completed :

S.No.	Name of Student	Year From To	Title of Dissertation / Project	Name of University / Sponsorial Organization	Total amount (Rs.) of Project	Whether Supervisor/ Co-supervisor/ Principal Investigator (P.I.) / Co-P.I.

15. Administrative Experience, if any :

.....
.....

16. Any other Relevant Information :

.....
.....



Declaration

I,S/O, W/O....., am willing to be registered as a research **Supervisor** for **Ph.D. Scholars** in (Name of Dept.) of Uttarakhand Ayurved University, Dehradun in accordance with the rules and regulations of this University. I certify that the above information furnished by me is True, Complete and correct to the best of my knowledge & belief. I understand that in the event of any above information being found False or Incorrect at any stage, my registration as ‘Supervisor’ stands Cancelled along with necessary action as desired by this University.

Enclosures: Self attested copies of all relevant documents, appointment order, qualifications, publications, etc.

Signature of Applicant

Forwarded by Head of Department

Date:

Signature & seal of Campus Director/ Head of Institution

Date:



ANNEXURE –E FRONT PAGE OF SYNOPSIS

.....TITLE.....
.....(18 POINT BOLD)

SYNOPSIS(16 point bold)

SUBMITTED TO(12 point bold)

UTTARAKHAND AYURVED UNIVERSITY,

DEHRADUN(16 Point bold)



FOR THE PARTIAL FULLFIMENT OF THE DEGREE (12 Point Bold)

OF(12 Point Bold)

**AYURVEDA VACHASPATI/AYURVEDA DHANVANTARI
[DOCTOR OF MEDICINE - / MASTER OF SURGERY –
AYURVED] (15 Point Bold)**

IN(12point bold)

.....SPECIALISATION.....(15 Point Bold)

by(12 Point Bold)

NAME OF SCHOLAR(14 Point Bold)

SUPERVISOR’S NAME(14 Point Bold)

CO-SUPERVISOR’S NAME(14 Point Bold)

DEPARTMENT OF.....(14point Bold)

COLLEGE OR INSTITUTION..... (14Point Bold)

Registration No.(10Point Bold)

Year(10Point Bold)

Enrollment No. (10 Point Bold)



ANNEXURE –F SYNOPSIS DECLARATION

DECLARATION

I , declare that the study entitled will be completed in stipulated time period as per guidelines of ‘Research Policy’ of Uttarakhand Ayurved University, Dehradun. Also, according to guidelines set up by ICMR and Helsinki declaration (modified by 1989), the following guidelines will be adhered to all patients / procedure involved in the study:

- (i) All possible treatment option will be given and none will be withheld.
- (ii) Patient will be enrolled in the study with their knowledge, and study will be done by utilizing known investigation modalities, regarding which proper information will be provided to patients.
- (iii) Patients will be informed about all the major risk factors and the remedies thereof.
- (iv) Patients will be given the option of withdrawal from the study during the protocol if he/she desires, no element of compulsion will be exerted.
- (v) Confidentiality of data due to contribution source or individual will be given.
- (vi) Written informed consent will be obtained from all the patients included in the study.
- (vii) After the experiment, all the biological wastes will be disposed off as per standard protocol.

(Signature of Scholar with Name)

Place.....

Date.....



ANNEXURE –G SAMPLE FORMAT FOR CONSENT OF STUDY

BILINGUAL CONSENT OF THE STUDY

Title of the study:

Aim of the study:

Methodology:

Consent: I,----- have been informed in detail about the study. I have been told that the study in no way will compromise my routine treatment rather it may help patient like me to guide the outcome of investigation of biomarker. I have been informed that I have the liberty to quit the study if I desire so. I hereby give my consent for enrolment into the study.

Name and signature of patient:

Investigator

Address:

Date:

अध्ययन हेतु सहमति

अध्ययन का विषय –

अध्ययन का ध्येय –

प्रणाली–

सहमति: मैं,----- को उपरोक्त अध्ययन के बारे में भलीभाँति बताया गया है कि इससे मेरे नियमित उपचार पर कोई प्रभाव नहीं पड़ेगा बल्कि यह अध्ययन मेरे जैसे कई अन्य रोगियों के लिए मददगार साबित होगा। मुझे इस अध्ययन में अपनी भूमिका को किसी भी समय छोड़ने का पूर्ण अधिकार रहेगा। मैं अपनी सहमति से उपरोक्त अध्ययन में नामांकित हो रहा हूँ जिसके लिए मुझे कोई आपत्ति नहीं है।

रोगी का नाम व हस्ताक्षर

शोधार्थी

पता–

दिनांक–



ANNEXURE -H BONAFIDE CERTIFICATE

BONAFIDE CERTIFICATE

This is Certified that the synopsis of the thesis entitled will be the bonafide work of, who shall carry out the research under my supervision and devoid of any plagiarism to the best of my knowledge. Certified further that, to the best of my knowledge, the work reported herein will not form part of any other dissertation or thesis on the basis of which a degree or diploma was conferred on an earlier occasion on this or any other scholar. Synopsis has also been approved by Honorable Vice Chancellor after review and recommendation of Research Degree Committee.

(Signature of Supervisor with Name)

(Signature of Co-supervisor with Name, if any)

(Signature of Head of the Department)

(Director / Principal of College/Institution)

(Dean/ Deputy Dean of the Faculty)

(Chairman of Research Degree Committee)



ANNEXURE –I SUPERVISOR CERTIFICATE

**UTTARAKHAND AYURVED UNIVERSITY
DEHRADUN- 248001**

Dr.....

Department of.....

Ref. No.

Date

.....

SUPERVISOR’S CERTIFICATE

I feel pleasure in forwarding the Dissertation entitled “.....” offor the award of the degree of in(Subject) of(Name of College).

This is to certify that the Dissertation embodies the work conducted by the candidate himself / herself under my supervision and guidance for the requisite period at the Department of....., and also that the contents of the Dissertation did not form a basis for the award of any previous degree to him / her or, to the best of my knowledge, to anybody else. Further to certify that the work presented in the dissertation is on the guidelines of the synopsis approved by Honorable Vice Chancellor after review and recommendation of Research Degree Committee.

(Supervisor)

(Co-Supervisor)



**UTTARAKHAND AYURVED UNIVERSITY
DEHRADUN - 248001**

Department of.....



Date

BONAFIDE CERTIFICATE

Certified that the Dissertation entitled “.....” is the bonafide work of(Scholar Name), Dept. of,who has carried out the research under our direct supervision and devoid of any plagiarism as the partial fulfillment of the requirement for the degree of Certified further that, to the best of knowledge, the work reported herein does not form part of any other dissertation or thesis on the basis of which a degree or diploma was conferred on an earlier occasion on this or any other scholar.

This project has been cleared by Institutional Ethical Committee vide its letter numberdated This trial is also registered in Clinical Trial Registry of India (No.).

All the findings reported in this dissertation have been checked by us from time to time. We recommend this dissertation to be submitted for adjudication.

(Supervisor)

(Co-Supervisor)

Forwarded

(Head Of The Department)(Campus Director / Principal)



ANNEXURE –K PROFORMA FOR RESEARCH PROJECT FOR UNDER-GRADUATES

PART – A

1. Name of Applicant –
2. Age & Date of Birth –
3. Sex –
4. Father's / Husband's Name –
5. Mother's Name –
6. Present U.G. Class and selection year / batch –
7. Name of Campus / Institution –
8. Address –
9. Phone number –
10. email –
11. Bank account details -

Affix Photo

PART – B

1. Title of the Research Project –
2. Synopsis of the Project indicating –
 - Introduction
 - Problem to be investigated
 - Objectives of the project
 - Hypothesis
 - Research design & Methodology
 - Details of tools, etc. required for the project
 - Academic significance of the project
 - Relevance of the project in current scenario
 - Likely contribution of project in the respective field
 - Has similar work been done earlier?
 - Whether already submitted or working on some other project?
 - Approximate time period required for completion of project
 - Any other, relevant additional information related to the project –



DECLARATION BY THE STUDENT

I,certify that the above information furnished by me is ‘true’, and if found ‘false’, my research project stands cancelled along with appropriate action as desired by Uttarakhand Ayurved University. I shall abide by the rules of this University and complete this research project within the stipulated time without having any adverse effect on my regular studies. I shall complete my project honestly within the facilities and in-house infrastructure of Uttarakhand Ayurved University, Dehradun.

Name & Signature of Mentor

Signature of Student

Date

Date

.....

Forwarded By

Campus Director / Head of Institution

-

For Official use only

Grading / Recommendation by Core Committee

Decision of Chairperson ----- **Approved / Not Approved**

Suggestions of Committee, if any

Registration No. **Date**

Signature of Committee members –

- i.
- ii.
- iii.

Signature of Chairperson

Date