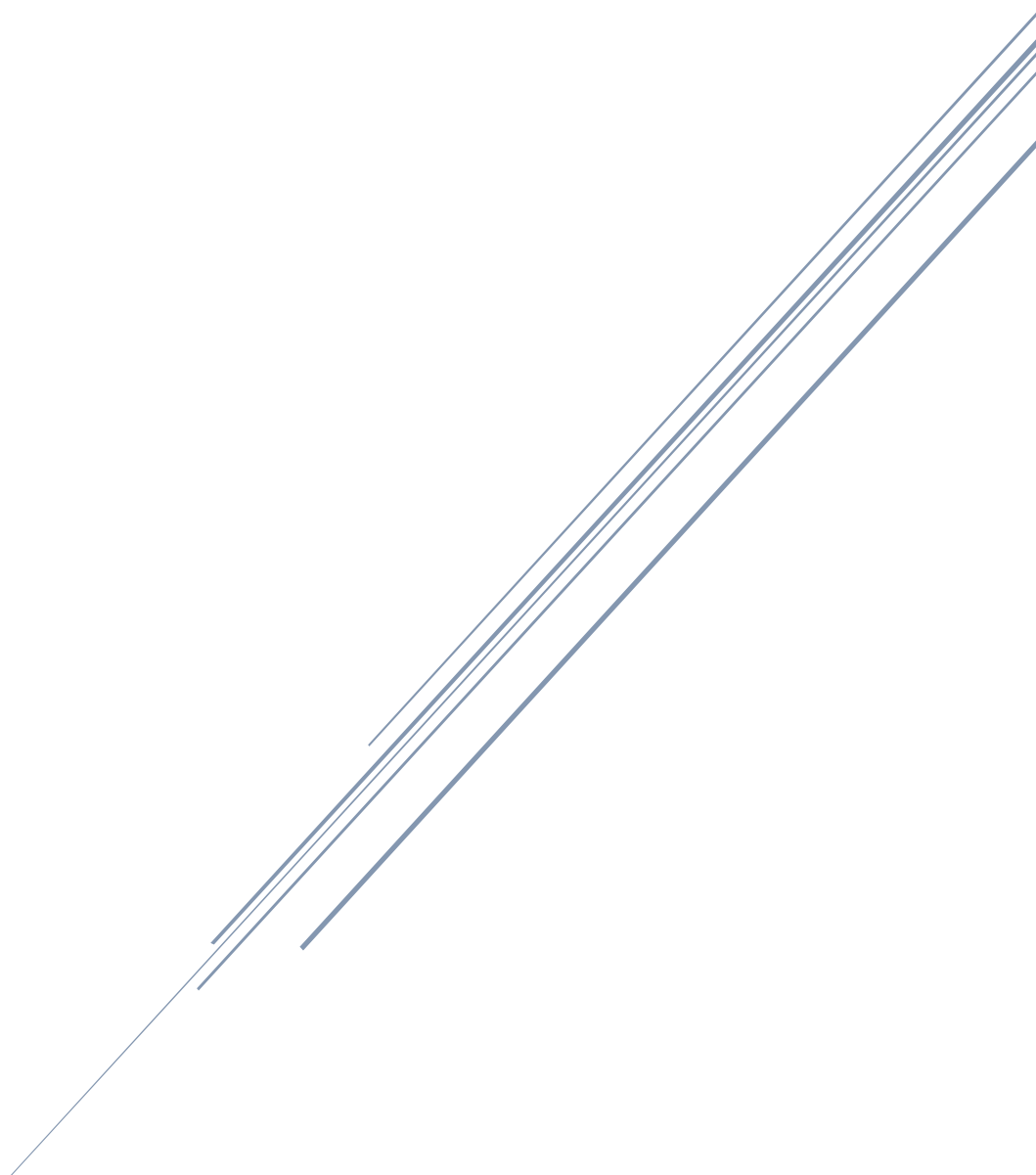


POLICY DOCUMENT AND PROMOTION OF RESEARCH,
INNOVATION, EXTENSION AND PROCEDURES FOR AWARD OF
PH.D. DEGREE, REGULATION, 2022

REGULATION



UNIVERSITY OF PATANJALI
POLICY

Policy document on promotion of Research, innovation, extension and Procedures for award of Ph.D degree, Regulation, 2022

In suppression of University of Patanjali's 2016, M. Phil/ Ph.D. Regulation (minimum Standards and Procedures for Awarding M. Phil/ Ph.D. degree) framed under the latest UGC Regulation 2016 notified on 5 may, 2016I, viz. the University of Patanjali based on UGC's Regulations, 2018 dated 16th October 2018, the University of Patanjali hereby makes the following Regulations, namely: -


1. Short title, Application, and Commencement:

- 1.1 These Regulations may be called University Of Patanjali(Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022.
- 1.2 They shall come into force from the date of their publication in the Gazette of India.

2. Eligibility criteria for admission to the Ph.D. programme:

The following are eligible to seek admission to the Ph.D. programme:

- 2.1 Candidates for admission to the Ph.D. programme shall have successfully completed:
A 2-year/4-semester Master's degree programme, At least 55% marks in aggregate or its equivalent grade 'B' in the UGC 10- point scale (or an equivalent grade in a point scale wherever grading system is followed) or anequivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions.
- 2.2 Candidates who have cleared the M.Phil. course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 10-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a Foreign Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme.
- 2.3 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their master's degree before 19th September 1991.


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3. Duration of the Programme:

- 3.1 Ph.D. programme shall be for a minimum duration of two years excluding course work, and a maximum of six years.
- 3.2 Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the individual Institution concerned, but not beyond more than two years.
- 3.3 Women candidates and Persons with Disabilities (more than 40% disability) may be allowed a relaxation of two years for a Ph.D. in the maximum duration. In addition, women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days once in the entire duration of Ph.D.
- 3.4 For student exchanges, provided that they contribute significantly to the completion of the thesis, leave of absence may be granted from the second year onwards on the following basis:
- a) research expeditions (less than one month): authorised by the supervisor and head of the department;
 - b) research missions (more than one month): proposed by the department and approved by the Research Advisory Committee for working in National/International Research Laboratories or Centres of Excellence; and
 - c) exchange programmes: proposed by the department and approved by the Research Advisory Committee for working in the Institutions in India/abroad.

4. Procedure for admission:

- 4.1 UoP shall admit Ph.D. Scholars through a National Eligibility Test (NET) or National Entrance Test or an Entrance test conducted at the level of individual universities. Provided that, any circular/notification/communication by the UGC/Ministry of Education, Govt. of India regarding the conduct of a common entrance test for this purpose shall be applicable and binding on the Universities concerned (and covered under such a circular/notification/communication).
- 4.2 UoP under them which are allowed to conduct Ph.D. programmes, shall:
- 4.3 decide on an annual basis through their academic bodies a pre-determined and manageable number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic, research, and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio (as indicated in sub-clause 5.4), laboratory, library, and such other facilities; Notify well in advance on the institutional website and through advertisement in at least one national newspapers,



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- 4.4 Adhere to the National/State-level reservation policy, as applicable.
- 4.5 The admission shall be based on the criteria notified by the Institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.
- 4.6 UoP shall admit candidates by a two-stage process through the Tests conducted by Universities/Institutions:
- 4.6.1 An interview/viva-voce has to be organized by the University/College concerned wherein the candidates are required to discuss their research interest/area through a presentation before a duly constituted Departmental Research Committee. The selection of qualified candidates should be based on interview/viva-voce for JRF/NET whereas for the candidates who have qualified the entrance test, the selection shall be evaluated in the ratio 70 (written test) : 30 (interview). Merit list for both shall be separately published.
- 4.6.2 the candidate possesses the competence for the proposed research;
- 4.6.3 the research work can be suitably undertaken at the Institution/College;
- 4.6.4 the research topic is relevant.
- 4.7 The University shall maintain the list of all the registered Ph.D. scholars on its website on a year-wise basis. The list shall include the name of the registered candidate, the topic of his/her research, the name of his/her supervisor/co-supervisor, date of enrolment/registration.
5. Thrust areas of research: proposed area of research is Yoga, socially relevant/locally need-based/ nationally important/globally significant/create value to the society or in cutting edge areas or contribute to new/additional knowledge in the areas of emerging concerns worldwide.
6. **Allocation of Research Supervisor:** Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.
- 6.1 Any regular Professor/Associate Professor of the University/ College, with at least five research publications in peer-reviewed or refereed journals after obtaining PhD and any regular Assistant Professor of the university/ college with a minimum of five years teaching/research experience with a Ph.D. degree and at least **three** research publications in peer-reviewed or refereed journals may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of peer-reviewed or refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing. Only a full-time regular teacher of the University/ College concerned can act as a Research Supervisor. Adjunct faculty are not permitted to be Research Supervisors except being Co-


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supervisor. However, Co-Supervisors from within the same department or other departments of the same institution or sister institutions may be permitted with the approval of the Research Advisory Committee. In specific cases of a formal institutional collaboration based on the MoUs, the Universities/Colleges concerned may approve a faculty member as Research Supervisor/Co-Supervisor for a Ph.D. candidate from the collaborating institution.

- 6.2 The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors, and research interests of the scholars as indicated by them at the time of interview/viva voce.
- 6.3 In the case of topics which are inter-disciplinary and where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/Faculty/College/University on such terms and conditions as may be specified and agreed upon by the consenting Institutions.
- 6.4 A Research Supervisor/Co-Supervisor who is a Professor cannot guide more than eight (8) Ph.D. scholars at any given point of time. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars (including co-supervision) and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars. One additional research scholar can be allotted to each supervisor over and above the allotted number provided the Research Supervisor is implementing a major sponsored research project. Further, each Research Supervisor/Co-Supervisor can guide two international students on a supernumerary basis. At any point of time the total number of candidates under a research supervisor shall not exceed the number as prescribed above including the candidates under co-supervision.
- Note:** The Research Supervisor should declare the number of Ph.D. scholars registered with him/her periodically to the University/College. He/she cannot increase the number by using recognition from multiple universities/colleges.
- 6.5 In case of relocation of a woman Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University/College to which the scholar intends to relocate, provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent Institution/ Supervisor from any funding agency. The scholar shall, however, give due credit to the parent guide and the institution for the part of research already done.


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6.6 University teachers after superannuation, if they are re-appointed in the parent University as contract or honorary or distinguished or emeritus professor, may continue as Research Supervisors till the age of 70. The university/college, after considering the research track record and fitness of such superannuated teachers to supervise scholars, may decide on his/her continuation as Research Supervisor without financial commitment.

6.7 The Supervisor's obligations

It is supervisor's responsibility to ensure at all formalities described in the PhD Regulations and also in the Ordinances of HEIs are fulfilled. The supervisor is also expected to guide the Ph.D. scholars in other related issues of teaching skills and career guidance. The supervisor's responsibilities include information and advice to scholars on all aspects related to the PhD programme while focusing on guidance on academic aspects of research activities. This may include regular meetings with a scholar (typically once a week unless restricted due to reasons otherwise). The supervisor should ensure relevant and adequate advice on important aspects such as involvement of additional supervisors where deemed appropriate, whether the proposed PhD project is feasible within the given time frame, whether the project has the potential to lead to new results of significantly high standard of an international level PhD thesis, and whether the scholar has sufficient time to enable him to have a realistic opportunity for submission of thesis. It is envisaged that an ideal PhD programme necessitates a good working relationship between the student and the supervisor from the beginning of the Ph.D programme and they have reached an agreement on the demands and expectations from each other. The responsibilities of the supervisor include:

- Regular contact with the Ph.D. scholars, and discuss to see if the ideas are good for the research project
- guiding the scholar about the choice of relevant courses and conferences related to the field
- Advising the scholar for contacting relevant national and international organisations in the area of research
- Assisting the scholar on incorporation of knowledge dissemination element in the course of study
- Regular review and feedback on the PhD project
- Preparation of the final statement from supervisor summarizing the overall PhD programme at the time of PhD thesis submission
- Active participation in the assessment and PhD defense,

An overall plan of the mutual demands and expectations during the supervision process which includes expectations of the contours and extent of supervision – should normally be included in the PhD research plan. The tasks of co-supervisors, if any, should also be agreed upon and should normally include academic discussions in decided relevant parts of the research project.


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7. **Course Work: Credit requirements, number, duration, syllabus, minimum standards for completion, etc.**

- 7.1 Minimum number of the credit requirement for the Ph.D. programme should be at least 12 credits and a maximum of 16 credits.
- 7.2 The coursework shall be treated as a prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, qualitative methods, computer applications, research ethics, and review of published research in the relevant field, fieldwork, etc.
- 7.2 1 Students who register for Ph.D. directly from four-year undergraduate with research will have to undertake 6-8 credit courses (at Ph.D. level) about relevant skills/research techniques/domain-specific subjects offered by the University.
- 7.3 All courses prescribed for Ph.D. course work shall conform with the credit hour instructional requirement and shall specify the content, instructional, and assessment methods. They shall be duly approved by the authorized academic bodies. The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee (RAC), as stipulated under sub-Clause 8.1 below, of the research scholar.
- 7.4 All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters. In case of pandemic like situation, provision of blended mode should be made available.
- 7.5 Candidates already holding M.Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in an integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. coursework prescribed by the Department. Provided that, the candidates sponsored/authorized by the Govt. of India institutions/organizations who work for their Ph.D. degree in a University under an MoU/exchange programme/Govt. of India scheme, etc. may be exempted from Ph.D. course work provided they produce a certificate of completing a course work of equivalent duration/credit from their respective institution/organization.
- 7.6 Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the Department and the final grades shall be communicated to the Institution/College.
- 7.7 A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 10-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis.


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8. **Research Advisory Committee and its functions:**

- 8.1 There shall be a Research Advisory Committee, or an equivalent body for a similar purpose as defined in the Statutes/Ordinances of the Institution concerned, for each Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:
- 8.1.1 To review the research proposal and finalize the topic of research;
- 8.1.2 To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- 8.1.3 To periodically review and assist in the progress of the research work of the research scholar.
- 8.2 A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports shall be submitted by the Research Advisory Committee to the Institution with a copy to the research scholar.
- 8.3 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend the cancellation of registration from the programme.

9. **Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:**

- 9.1 Upon satisfactory completion of course work and obtaining the marks/grade prescribed in subclause 7.8 above, the Ph.D. scholar shall be required to undertake research work and produce on dissertation/thesis within a reasonable time, as stipulated by the Institution concerned based on these Regulations.
- 9.2 Before the submission of the thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee of the Institution concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the thesis in consultation with the Research Advisory Committee.
- 9.3 It is desirable that the research work of Ph.D. scholars is published in peer reviewed or refereed journals and presented in conferences/seminars. The quality assessment of Ph.D. degrees should be the responsibility of the Institutions. The institutions are free to evolve guidelines in this regard, if needed.


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- 9.4 The thesis shall be submitted together with an originality report produced by an anti- plagiarism software application. The supervisor (and co-supervisor, if there is any) shall receive an originality report on the whole text of the thesis and shall take this report into account in the evaluation on the submission.

Note: An originality report is not to be considered as sufficient proof that the submitted thesis does not contain plagiarized text. Avoiding plagiarism and other forms of academic misconduct in the authorship of the thesis remains the sole responsibility of the researcher. If the Research Supervisor (or Co-Supervisor) suspects plagiarism, he or she may ask for an investigation.

- 9.5 The Academic Council) of the Institution shall evolve a mechanism using well-developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism 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.
- 9.6 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are experts in the field and not in employment of the Institution. Examiner(s) should be academics with a good record of scholarly publications in the field. Out of the two external examiners, one must be from out of the state in which the institution is located. Where possible, one of the external examiners may preferably be chosen as a distinguished academician, not below the rank of Professor or equivalent, from outside India. The viva-voce examination based, among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.
- 9.7 The viva-voce of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the examiner(s) on the thesis recommends acceptance. If one of the evaluation reports of the examiner in case of a Ph.D. thesis, recommends rejection, the Institution shall send the thesis to an alternate examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the alternate examiner is satisfactory. If the report of the alternate examiner is also unsatisfactory, the thesis shall be rejected, and the research scholar shall be declared ineligible for the award of the degree. The Institutions shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of three months from the date of submission of the thesis.


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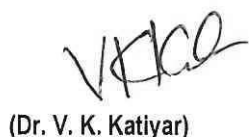

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- 9.8 **Visits/ Stays at other relevant research institutions/ Industry (Ph.D related to Technical subjects)**
The PhD scholar is expected to participate in and stay at other places with active research environments, including research institutions for a part of the PhD period study may be encouraged for the same.
To facilitate the international level of education, a lengthy stay of 1 to 6 months at a foreign/Indian research institution in an organization s academically relevant to the PhD programme is envisaged. It is expected that residence may be for a minimum length of 3 consecutive weeks. Post Graduate Departments of such Colleges, Research laboratories of Government of India/State Government with at least two Ph.D. qualified teachers/scientists/other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under sub-clause 10.3 below, shall be considered eligible to offer Ph.D. programmes. Post Graduate Colleges should additionally have the necessary recognition by the Institution under which they operate to offer Ph.D. programme.
- 9.9 Colleges with adequate facilities for research as mentioned below alone shall offer Ph.D. programmes:
- 9.9.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;
- 9.9.2 Earmarked library resources including latest books, Indian and International journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing the study and research materials;
- 9.9.3 Colleges may also access the required facilities of the neighbouring Institutions/Colleges, or of those Institutions/ Colleges/ R&D laboratories/ Organizations which have the required facilities.
- 9.10 All requirements for the Ph.D. degree of such candidates must be duly fulfilled. It is the joint responsibility of the affiliated Colleges, University departments/ Universities.
- 10 **De-specification of M.Phil Degree:** The M.Phil (Master of Philosophy) degree shall be de- specified from the Academic year 2022-23 onwards. M.Phil. degree awarded till the date of notification of these regulations shall remain valid.
- 11 **Issuing a Provisional certificate:**
Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations.
- 12 **Award of Ph.D. degrees prior to Notification of these Regulations, or degrees awarded by foreign Universities:**


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- 12.1 Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 and 2016 and their amendments.
- 12.2 If the Ph.D. degree is awarded by a Foreign University, the Indian Institution considering such a degree shall refer the issue to a Standing Committee constituted by the Institution concerned to determine the equivalence of the degree awarded by the foreign University.


13 **Depository with INFLIBNET/Institutional Electronic Archive:**

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Institution concerned shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET/Institutional Electronic Archive, for hosting the same so as to make it accessible to all Institutions.

14 **Code and conduct of Ethics:**

It is envisaged that all HEIs will have a well-defined policy and establish a well-laid procedure for handling allegations of misconduct in research. For this, there must be a clear definition of misconduct with a sufficient legal foundation that defines the circumstances constituting misconduct and prescribe procedural rules, along with measures to be taken if such allegations are upheld after following due process. The regulations which are enacted by HEIs shall clearly define the responsibility at each step of the procedure, the process for consideration of the available evidence, will define the provision for constitution/ selection of investigation committees members, provisions to rule out conflicts of interest, the procedural principles of the rule of law and Ombudspersons for resolving any disagreement. It is important that the complainant and respondent, both are allowed to be heard at every stage of the process. It should be ensured that information relating to the persons involved in the ongoing process and the findings of the investigation are treated in confidence until it is demonstrated that misconduct has occurred. If the occurrence of misconduct is established and the appropriate disciplinary proceeding is considered, the responsible bodies should also be included in deliberations. HEIs should also ensure the completion of the entire process as fast as possible and the necessary steps should be promptly taken to complete every stage of the procedure within a given appropriate time frame.

Explanation: It is to be emphasised that every breach of good research practice does not constitute misconduct and the same needs to be distinguished. Only when there is a deliberate or grossly negligent infringement as defined in a set of regulations should be considered scientific misconduct including fabrication or falsification of data, and plagiarism using data from other authors' work.


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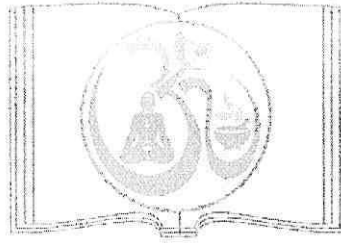

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While this set of rules and regulations centres on all academic aspects of admission, programmes, progress, and graduation, reference must also be made to separate (but linked) institutional codes and regulations that shall affect the life of research students at HEIs, notably:

- Code of Good Academic Research Practices
- The Disciplinary Regulations
- Policy on Harassment Prevention

The registration to the Ph.D. programme at the Higher Educational Institution signifies that she/he has accepted the conditions and guidelines set out in the policies and that she/he commits her/himself to respect all aspects of research throughout the programme on which she/he has registered. To further inform researchers on aspects of research such as academic responsibility and integrity, the Higher Educational Institutions shall from time to time provide courses or workshops on research ethics.




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Based on Procedures for award of Ph.D degree, Regulation, 2022, the following Policy document on promotion of Research, innovation and extension activities are carried out

1. Introduction

1.1. Scope/Applicability of the Policy

The applicability of this document as University of Patanjali's (UoP) Research Policy Guidelines

shall extend to University of Patanjali's faculty, staff, students and any other person related to organization who is involved in any form of research activity.

1.2. Policy Statement

The aim of University of Patanjali is to reach the pinnacle of Research and Innovation through its education and training services. With a vision of serving global scholars, UoP commits itself to provide advanced methods of learning, focused and pragmatic approach in its research methodology for all of its domains and area of specializations. The policies of UoP outlines the idea of transparency, responsibility and ethical standards to achieve its goals and implementation of academic strategies. These set of guidelines shall be pertinent to all employees and students of the University of Patanjali, engaged in any type of research project whether on permanent or contractual basis.

1.3. Rationale

1.3.1. University of Patanjali undertakes the obligation of disseminating knowledge and supervise its research projects as its primary duty by being oriented towards creativity and innovation. These ideologies urge the faculty, students and other such related persons of the organization to exercise their duties and responsibilities with freedom and self-disciplinary mode.

1.3.2. On preliminary basis, it would be appropriate to state that UoP policies ascertain that each of its student is at the liberty to choose their major and specialization in any stream, or multi-disciplinary areas to finalize their research topics, and to avail guidance from any department of Patanjali Institutions to add different perspectives in their work. The scholars are encouraged to create new ideas, theories, rationalizations and discoveries in their research projects with a concrete inference or purpose.

1.3.3. It is mandatory to display the proper affiliation i.e. "University of Patanjali" in the tag lines of all published research papers, manuscripts, book chapters, articles, and on-line or offline reports that are created under the UoP guidance.


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1.3.4. Furthermore, it is compulsory for every scholar or researcher to get all of their findings and inferences, evaluated by both the internal as well as external experts that examine innovations, proposed patents and research work with clarity and constructive approach. All the research papers shall be subject to criticism with transparency as mentioned under University's policy of Openness in Research.

1.3.5. Simultaneously, the University Research Policy should not permit the refer or include any such research, process, survey or technology that stands in contradiction of professional ethics related to the health, safety, privacy and other personal rights of human or that may cause any direct or indirect injury for animals and other living organisms.

1.3.6. The University of Patanjali provides infrastructure and facilities that are favorable for maximum number of research areas to expand the knowledge database and skill generation. UoP equips its researchers and scholars with fully functional laboratories, libraries and other such resources that support their endeavors as per the standards, limitations and assessment criterias of the university.

1.3.7. The researchers, scholars and any such associated person or entities indulged in research activity through University of Patanjali must be careful about any misconduct against any prestigious research office or national policies of India, or against internationally recognized rules, regulations and legal provisions of the respective fields. Any such misconduct or violation might lead to temporary discontinuation or complete debarment of the concerned candidate from the University.

1.3.8. The University of Patanjali intends to ensure the inculcation of moral and ethical responsibility in research scholars along with their academic competencies. The above-mentioned rules and regulations are to enhance individual's decision-making capabilities and awareness of their conscience, in order to accomplish their research goals in consistency with the professional ethics, national sovereignty, security and beneficiary interests.

1.4. Research Objectives

University of Patanjali recommends its authorities and staff members to accomplish their research objectives with sheer dedication in their teaching, research and other training activities that align with University's guidelines


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& standards. Furthermore, to advance UoP's research and collaborative projects, it is also expected from the faculty members to participate in such academic, professional and social responsibility endeavors whether funded by government or private organizations, that will open doors to new opportunities and challenges for the students of UoP. It is also a pre-requisite for all the faculty members to pursue latest research projects apart from their core teaching and supervisory duties. All of these research projects shall be in consistency with the established research policies of University. The missions of University of Patanjali's research initiative are to:

- 1.4.1. Corroborate and connect the ancient wisdom of Indian sages with modern researches and scientific discoveries, to model a strong base of upcoming opportunities and advanced explorations.
- 1.4.2. Uphold research as the fundamental activity of the University;
- 1.4.3. Foster and magnify the quality standards of research projects;
- 1.4.4. Amplify the financial resources for research funding through internal as well external mediums;
- 1.4.5. Build an unambiguous, productive, and fully-functional mechanism to increase research deliverables to the maximum level.
- 1.4.6. Incorporate research projects commenced by the research scholars, staff members or other students in alignment of University's research purposes as well as of national core competencies; Generate, manage and expand the infrastructure to facilitate the organization of ultra-modern research projects;
- 1.4.7. Design an environment and organizational structure for research projects' supervision to ensure that their ethical, legitimacy and authenticity criteria are met.
- 1.4.8. Provide a constructive framework for execution of superior grade novel research from all scholars affiliated under the University of Patanjali and furnish them with constant and methodical guidance during their research journey;
- 1.4.9. Transmit advanced learnings, discoveries and modern findings from research outcomes of University of Patanjali in different languages for public welfare.


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- 1.4.10. Safeguard Intellectual Property Rights of scholars and researchers working under University of Patanjali to encourage innovative mindset.
- 1.4.11. Incorporate all the research undertakings of the students in harmonization with University's research objectives;
- 1.4.12. Develop an intellectual, unambiguous and systematic platform for effective management of all research operations;
- 1.4.13. Promote and foster research collaborations with internal departments as well as external agencies of good repute either based out of national or international location.
- 1.4.14. Ascertain the streamlined transmission of UoP's research activities and accomplishments to both internal and external entities related to organization; and
- 1.4.15. Upgrade the research portfolio of the University through competent expansion of research projects and accomplishments of the University at all levels to magnify the overall repute and research productivity of UoP at
- 1.4.16. Enhance the research profile of the University by effective dissemination of research activities and achievements of the University at all levels to maximize the impact and recognition of research done at University of Patanjali at both local as well as global platforms.

1.5. Research Administration

The research projects shall be administered through dual layers of management committees viz. **University of Patanjali Research Committee (UPRC)** and **Executive Standing Committee(ESC)**. The UPRC will fulfill the responsibilities of consultation and recommendation while the ESC shall be accountable for systematic supervision of each and every research project under University of Patanjali.

1.5.1. The structure of the UPRC will be as under: -

The University of Patanjali Research Committee (UPRC) will be administered by the Dean Academics including twelve (12) main faculty researchers and supervisors from several specialized departments of UoP and five (5) renowned experts from outsourced


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institutions. In a situation when Dean Academics is unable to attend the meetings, then the most experienced of the twelve main faculty members will hold the position. The meeting of UPRC will be scheduled at semi-annual basis to scrutinize the research projects' deadlines and quality of content, provide constructive criticism and recommend the necessary improvements to upgrade the research output of the University in terms of excellence. The duration of UPRC's structure will be for a period of Three (3) years, after that it can be restructured or the same delegates can proceed for the next session. The five external members will be selected by the Vice-Chancellor and Dean Academic. The Vice-chancellor, UoP and Dean Academics will determine the formation of UPRC's Executive Standing Committee.


1.5.2. The duties and responsibilities of the UPRC will be: -

- ✦ To provide academic guidance to the committee members in order to endorse modern research activities and develop such necessary infrastructure,
- ✦ To design a broad-spectrum scheme for the major as well as auxiliary capabilities of faculty members along with additional soft skills to determine their professional skills and areas of improvements. This step will facilitate the recognition of innovative researches from each and every participant,
- ✦ Although the researchers are likely to arrange the financial support for their research and experiments, the University might also offer its monetary assistance if deems fit to it. The amount of such grants will be determined on the basis of research project's future prospects by peer review. The University anticipates that researchers shall initiate such projects that are productive, innovative or remunerative in nature.
- ✦ The UPRC will also promote the fostering of mentorship programs for the faculty members and researchers to enhance their skill set as per the modern techniques and requirements in pursuance of qualitative results and efficient productivity.

2. Overview: Rights & Responsibilities

- 2.1. As per the Patanjali culture and environment, it is obvious that faculty, research staff members and scholars execute the research projects through mutual coordination, cooperation and effective management of research database. Furthermore, it is presumed that every faculty member and Project


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Investigator (PI) will function in such a way that unpleasant situations like conflict of interest, intellectual property right violation and other legal contraventions etc. do not arise from their words or actions. If at all such situation emerges in actual, potential or perceived as per that person's personal understanding, interests and professional obligation to the university, then such issue shall be reported by relevant Faculty, Staff & PIs of the University management and addressed by the UPRC and ESC members before taking part in such research project, experimentation or any such academic development activity.

- 2.2. The UoP research policies and regulations shall support all the faculty members and research scholars in their decision making process of conflict identification, resolution and amicable agreement among them prior to their basic responsibilities of teaching and conducting researches in practical. The UoP guidelines will also extend awareness programs for faculty, research staff members and Primary investigators about the circumstances in which potential conflict of interest or commitment might arise; determine the methods to address, mitigate or dismiss any such disputes in advance; and then eventually to endorse the research scholars' advantages and research promotion at different platforms.
- 2.3. The universal idea behind this situation is quite basic and unambiguous. If there arises any question or uncertainty about any project undertaken by research fellows, staff or investigator, then such a person should reveal the possible discord to their respective departments or concerned authorities in order to resolve the issue immediately.
- 2.4. The sub-divisions, institutions and schools under UoP are allowed to include this policy along with their own applicable policies to faculty and/or investigators, after a proper approval from Vice-chancellor and Academic Dean.
- 2.5. The faculty members shall have the right to circulate the outcomes and discoveries from their individual or collaborative research without any restraint or alteration from external sponsors excluding the special projects or regulations that might be agreed upon by such sponsoring entities, Universities and Researchers.
- 2.6. The Faculty members and research scholars are permitted to approach external consultations, subject to University's rules, regulations and limitations. The Consultation Policy of UoP is incorporated in this document to execute this action in accordance of University's expectations. Every faculty and researcher is expected to adhere with the principles of the said policy.


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3. Responsibilities of Researchers

3.1. Responsibilities of Faculty to Both Staff and Students:

The faculty members and additional staff are expected to be well-informed about their duties and accountability towards their research team members and scholars. It is also mandatory for each faculty member to scrutinize the intellectual and tangible property rights of their respective teammates, research scholars and other persons related to UoP's research projects, on annual basis to manage all the data in digital form and ensure proper authorship assignment.

The UoP envisages complete transparency in its academic endeavors and hence gives its members the right to access their financial information regarding salary, stipend and sponsors of their research. The University is dedicated to offer its relentless support and recognition to its faculty as well as research scholars. Similarly, faculty members are also supposed to create staff development programs via special training courses, seminars or workshops and, if feasible then a mentorship initiative for participants of research teams.

3.2. Health and Safety:


The faculty members are responsible for offering help and advice to each research team members on appropriate health, insurance and safety measures that need to be practiced during laboratory activities, special area of research, field scientific exploration and live interaction with patients etc.

PIs are mainly responsible for frequent scrutiny of laboratory facilities, initiate reformatory actions as needed, and assist in any external or safety personnel inspection. Faculty members are also expected to execute the approved research protocols related to human and animal subjects.

3.3. PI's Responsibilities to Sponsors

The principal investigator shall be responsible for judicious expenditure of financial support provided by the sponsored or funding agencies, and supervise the overall management of the particular project.

The PI shall be responsible to get both of them approved by internal management as well as external agencies involved in such project.


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3.4. PI's Responsibility for Research Equipment:

It is mandatory to regulate, update and maintain proper records of both internally and externally funded equipment as per the university policy as well as enforced by the non-university endowments. PIs will also be accountable for obtaining the necessary approvals for the acquisition of new equipment, their identification marking, inventory management, proper utilization of equipment and other constituents, and discard the instruments in case they become outdated, dysfunctional or irreparable or in surplus to the required quantity. The procedure for such actions shall be guided by the administrative officials.

3.5. Preparation of Proposals and Application for Extensions or Continuation

The financial source for project's proposal preparation can be received from the existing or sponsored projects for new developments or perpetuation of already functional projects. The respective Department Heads and Faculty Deans shall corroborate the research related funds for preparation of new proposals. This amount can also be arranged from the overheads deduction by the University from previous projects. The budget of such proposal formation steps for ongoing research will be charged from current projects in appropriate manner.


3.6. Utilization Certificates (UCs) and Statement of Salaries under Projects

The PI will evaluate and certify all the funded projects along with their budget and account maintenance. Each individual department's head shall be responsible to ascertain that all PIs are fulfilling this obligation in timely manner. Furthermore, faculty will be provided with the salary certification that is invoiced from sponsored projects only after it is verified that their contribution to those projects resonate with the financial investments.

4. Application of General Principles & Other Matters

4.1. Inception, Technical and Invention Reports

The reports mandated by the sponsored agencies shall be provided by the Principal Investigators through Accounts department and Research Management Office at frequent intervals. The **Inception Report** is the record of initial developments in an activity and may be prepared by the PI towards the finishing period of Inception activities outlining the project's broad framework for its remaining duration. In order to have successful outcome,


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outcome, this report would incorporate the key features in detail stake-holder assessment, human resource plan, communications and knowledge dissemination plan. It is also expected from the PIs to deliver the **Scientific Reports** as well in timely manner, that would explain the entire procedure, developments and outcome of all the scientific researches, along with the expert faculty's suggestions and interpretations of the research project. Moreover, an **Invention Report** shall be submitted by the PIs for patent application procedure absolutely for the intellectual property purposes. It is also required to prepare a **Progress Report** on semi-annual or annual basis to the principal investigator.


4.2. Patents and Copyrights

All the enrolled research scholars including post-doctoral, visiting students and such academic disciples affiliated with UoP must sign the **Patent and Copyright Agreement** of the UoP before commencement of any research project.

4.3. Grievance Procedures

The grievance procedures ascertain that the final recommendations from faculty and administrative authorities adhere to UoP policies for approving academic liberty and fraternity among all the research scholars and staff members. The protection of these rights provide the safe environment for researchers maintaining the institution's integrity and confidentiality to ensure original output in research projects. The external agencies do not have right to have contractual relationship with research projects under UoP. The faculty and staff members shall receive administrative assistance in their grievance addressal as per the UoP's internal laws and policy regulations.

- i. Only the faculty member or research scholar or the person aggrieved from such research project conflict, shall be entitled to exercise these rights; a third party complaint shall not be entertained.
- ii. In case of violation of these rules and guidelines by administrative decision, the aggrieved person can file a grievance accordingly.
- iii. If any grievance is registered for partial or complete violation of academic liberty, fraternity or integrity then these rules and guidelines shall be amended as needed. For any other grievance that is not related to the undesirable outcome on appointment, reappointment or promotion, then its addressal and appeal resolution framework shall be managed by University authorities.


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4.4. The Requirement of Confidentiality & Security


4.4.1. In order to maintain the quality and originality of content, the researchers, staff members and principal investigators etc. are required to withhold the information within team or with external parties. If any document or part of it determine that research project is subject of paid publication, or if any project is to be sponsored by an external agency then the funding or the sponsoring agency will decide whether information of such project shall be treated as confidential or be disclosed with concerned publication in what manner. The permission to acquire information from such research projects shall be granted by the Vice-Chancellor and Dean, Academics in unanimous agreement of Dean and principal investigator's opinions.

4.4.2. Safety, Confidentiality, Integrity and Availability, are four essential features to direct the security and compliance guidelines of UoP's research database. The **Safety** criteria is incorporated in order to prevent the unauthorized access or any potential cyber threat to the UoP's repository either in physical or digital form. The principal investigator shall be responsible to monitor the database safety by ensuring regular reduction, detection and amelioration of any complication in the system. **Confidentiality** of the database safeguards it from unnecessary or unauthorized access, misuse or further propagation via individual or entity threats to maintain privacy and authenticity of concerned work. The **integrity** factor generates the consistency, accuracy, and timely deliverables for the assigned research projects. All the research procedures and frameworks should be selected in such a way that they enable data integrity and identify any deviation from it. **Availability** of the database stands for easy accessibility for the authorized parties whenever required.

4.5. Confidentiality Clause

If any researchers or faculty member has agreed to the maintenance of confidentiality information during the research project with any external organization either private or governmental, or if such project encounters any brief delay in its publication for the review or examination of its content to ensure that any part of such confidential information has not been disclosed by the investigator either intentionally or unintentionally, then specific agreement for confidential information would be made with such parties.


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4.6. Utilization of Classified Papers, Documents, Diaries or such Analogous Materials


It is the duty of principal investigator to form a confidentiality provision in case if any research project is comprised of classified information such as private papers, trust deeds, restricted documents, journals, diaries, e-mails personal communications, blogs or such similar materials; to ensure privacy protection of the author or his/her inheritors.

4.7. Review of General Principles:

University of Patanjali Research Committee shall review the general policies on annual basis to be proposed by the PIs and Deans in their meetings. The announcement of all the meetings shall be communicated by the Vice-chancellor and Dean, Academic to all the faculty members via E-mail to collect their recommendation on any exceptional matters or general issues. If there are any changes that get decided in such meetings, they shall be incorporated through notification in the UoP's Research Cell.

5. Authorship & Related Concerns

- 5.1. Generally, the sequence of researchers' names in any project or publication shall be decided by the Principal Investigator. The UoP believes in the team effort and hence does not compel its faculty members to determine authorship contribution based on any University guideline or any 'significant intellectual contribution'. All the authorship rights and responsibilities of UoP's faculty/staff members and research scholars shall be determined by their mutual consent within the group under guidance of their PIs.
- 5.2. The change in patterns of research laboratories and research scholars' team structure shall change as per the need of time and current trends. Under a large lab or facility, it is quite an expected outcome that research scholars come up with original and creative ideas on product, method, research papers or technology etc.; for which the allocation of due credit and responsibility shall be determined by their respective principal investigators merely on the basis of ethical standards and genuine contribution. It is also an established fact, that some disciplines require the research scholars to publish their own outcomes irrespective of whether the research was conducted completely on individual basis or under the supervision of any faculty member; while in remaining disciplines, the supervisor's name also gets attached on each research related document that is executed in the UoP's laboratory.
- 5.3. Credit allocation on name of all research members is not compulsory; but it should be done wherever it is due, by awarding 'Colophon' or a Footnote/Endnote. In order to resolve the possible conflict of intellectual ownership and authorship of a research paper, where different contributing researchers are involved in the formulation, discussion and practical execution of such original ideas; a track of detailed discussion shall be


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maintained to identify the original source of core idea and principles revolving around it. The management of brainstorming discussions, executive steps and performance measurements leads to effective tracking of research development and provides clarity on due credit allocation on basis of input, effort, originality and time contribution on the project since its inception, thus avoiding any credit conflict at later stages.

- 5.4. If there are any complaints or disagreements among research scholars or faculty member for credit allocation, then their respective Department Heads can decide for resolution. In case of further doubt or dispute, the **University of Patanjali's Research Committee** shall provide clarification and direction in a complex situation where various research staff and faculty members are involved with or under a principal investigator.
- 5.5. It is a high probability that some research papers might fall under multiple discipline category, where it becomes difficult to determine whether the credit allocation conflict arises out of professional misconduct, difference in publication rules & regulations or due to unethical assessment. In such scenarios, the outcome shall be determined based on ethical values, etiquette, and generosity, rather than through any disciplinary method. Moreover, the decision of having candidates' consent, acknowledgment of project's connections and their association with books or review articles etc., or symposium contributions, especially "state of the discipline" pieces and so on lie in the hands of senior authorities and there's an obvious inclination towards including their own work, or that of their students and junior researchers. Usually, it not practically possible to include the name of all project associates as co-authors. However, if the project incorporates the data and research outcomes from already published material, paper or dissertation, then inclusion of their credit through proper citation is always appropriate. If any of the referred material in under consideration for publication or yet to be published, then the content of such projects can be included given in new projects provided that original material is duly acknowledged and future publication of such referred material is not sabotaged in any manner.
- 5.6. It is worth mentioning that authorship and responsibility are closely associated with each other. The name of whosoever faculty member or research scholar appears in the publication of research paper, manuscript or review article etc., then he/she would be accountable for any error in analysis, wrong methodology or outcome assessment of the experiment or data represented in it.
- 5.7. Furthermore, the general standard for a multi-investigator research project projects a three-tier verification procedure. In first stage, the principal investigator and senior faculty member will ensure the overall composition, accuracy and authenticity of the research material. In second stage, each contributor or author in the group shall have a collaborative obligation towards the data collection, sampling, analysis and the final research outcome


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to ensure quality and efficiency in whole process. And in its final stage, each individual participant of such research project shall review it and provide their consent as author, co-author and contributor or so, before the final submission to the publishers. Each candidate shall have right to know all the stages of research papers review and publication procedures.

6. Research Misconduct:

- 6.1. During the research project execution, the participating candidates come across the unpleasant situations regarding unprofessional behavior in the research discipline. The complaints for '**Research Misconduct**' may come in form of allegations, counter-allegations, reporting of any genuine or perceived misconduct and investigations, etc.; updates of which might be sent to their respective funding agencies as well. The responsibility of UoP's each member including administrative, technical or teaching staff and research scholars towards the research projects is to cultivate a liberal and equitable academic environment right from the beginning of allotted tasks. Such efforts shall lead to increased productivity and efficiency along with less conflicting situation like research misconduct.
- 6.2. Aligned with the government regulations and other funding agencies, the UoP defines '**Research Misconduct**' as practicing Plagiarism, Fabrication (Manipulating data or its analytical outcomes, recording or reporting the data without proper permission and in distorted manner), or Falsification (Misrepresenting the research outcomes, equipment, materials or methods for shortcut in accomplishments) etc. during research projects' proposal, performance, review or outcome reporting.
- 6.3. Since it is the academic duty of UPRC members to provide constant supervision and timely review of all the research projects, in case of any proven allegation whether out of intentional, knowingly or unknowingly committed misconduct, any lapse in supervision or management shall also come under the purview of corrective measures for any research misconduct. The standard procedure of inquiries and investigations shall be followed based on the preliminary facts and findings to determine the merit of the complaint. And then, the investigative results of such misconduct having grave threat to academic performance of the organization shall be addressed by the respective Dean, or Director, or by commencing the appropriate disciplinary procedures, as may deem fit to the situation.
- 6.4. The enquiry result will help in deciding whether the investigative procedure should be initiated or not. In case of a formal investigation, it shall be conducted as per the Central Civil Services (Classification, Control and Appeal) Rules of Indian Government's Service manual. The Dean shall supervise the whole investigative procedure by informing the funding


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agencies, inspect the proper issuance of charge-sheets, gather preliminary information, and conduct the reasonable inquiries or investigations to acquire the research records, evidences and such material related to misconduct proceedings, maintain the database and furnish them to the concerned official authorities in responsible manner. Before the commencement of actual proceedings, the alleged party (hereafter "the respondent") shall be notified of the charged allegations, and be given the rightful opportunity to explain their side of story. Afterwards, the respondent shall be furnished with a duplicate inquiry report, and again will be provided the option to put their remarks on the facts and findings of inquiry stage. The confidentiality and soberness shall be practiced during the whole procedure in order to protect the faith of both the complainant and the respondent. The associated persons to the case including the complainant itself shall be interviewed in the presence of the respondent by the responsible authority or committee.

- 6.5. The Vice-Chancellor and Dean, Academic shall provide a final report of their observations and recommendations to ascertain whether a full investigation in the case is required or not, this report shall be submitted within the 60 days of alleged complaint. The involvement of funding agencies shall be determined by the Faculty Deans in consultation with the Vice-chancellor or such senior authority after careful review of current regulations and requirements of the case. The concerned funding agencies will be informed of the inquiry outcome only if such an outcome arises out of the full investigation procedure.
- 6.6. Until the final report is ready, the funding agencies must be notified through an interim report along with any 'Special/Emergency Notifications' regarding immediate health hazard that might erupt otherwise, or if the need of Governmental or University Funds protection arises, or for the safety of research material or equipment, or in the interest of research integrity maintainance, or after perceiving any possibility of foul play or criminal movements.

7. Access and Retention of Research Database:

- 7.1. The respective Deans and PIs of different departments shall ensure that all the research database is properly produced, managed, stored, and safely archived for an adequate time period, and furnish the same for review under reasonable conditions as may be commanded by the UPRC. This clause is to safeguard the accuracy and legitimacy of the University of Patanjali's research database.
- 7.2. The rights and responsibilities to access, utilize and maintain the authenticity of such research database lies on both the Principal investigator as well as the University of Patanjali as whole.
- 7.3. For the purpose of data base recreation, reorganization or assessment of the research outcome along with its related methods and procedures, the principal investigator shall be accountable for the management and collection of


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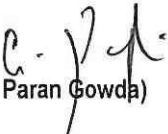

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relevant research database based on their reasonable understanding of database's value and importance as per the University policies.

- 7.4. The principal investigator shall be responsible for an appropriate project management system for each of the research project and ensure the administration of research rules & regulations to avoid any unnecessary conflict.
- 7.5. Such research database shall be retained and managed for the purpose of resolving any unexpected conflict of interest or complaint out of any scientific misconduct or such matter of dispute.
- 7.6. The research database related to the scholars shall be maintained and recoded at the UoP until either their final degree is awarded or it is ensured that the said research project has been abandoned by such candidates. Beyond this limitation period, the principal investigator or concerned department or laboratory are at discretion to keep such database in record or discard it permanently.
- 7.7. The Vice-chancellor and Dean, Academics are advised to issue the directive of easy access to the research database to its faculty members for the purpose of advanced research, whenever the reasonable need arises.
- 7.8. If any research scholar or such individual leaves the University of Patanjali for pursuance of higher studies, employment or any such valid reason, they may request for the copies of their research projects in which they had genuinely contributed during their academic session at UoP. The Vice-chancellor and Dean, Academics shall grant approval to such request in good faith of the research scholars and the organization.
- 7.9. In case of project transfer to other institution along with the concerned PI's resignation from UoP, the Vice-chancellor and Dean Academics may grant permission to transfer the ownership of such research project's database. The request for the same shall be in written form and a formal agreement between UoP and PI's new organization shall be entered to ensure the acceptance of such data transfer rights and access to UoP's faculty members to same database in future.

8. Scientific Research and Human Subjects:

- 8.1. The UoP guideline for the human subject-based research protection programme have been elucidated in this clause. The legal rules and regulations of the concerned state or nation shall be applicable in such experiments. Each of the UoP's research scholar or faculty member must be aware of these laws and related prerequisites for any humanities, social-science based or scientific experiment on human subjects. The principal investigator shall be mainly responsible to establish this institutional system for protection of human subjects from unethical or illegal experiments.
- 8.2. The UPRC or its executive committee shall review each research protocol that includes human subjects to assess the potential risk and benefits to such human subjects on frequent time intervals. This committee will ensure that


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such experimental human subjects furnished with the information on their consent document explaining all the risks and benefit along with any unexpected outcomes, potential non-compliance, any other information and incidents that might change this research protocol. Moreover, the respective Deans shall provide an informative training to all of the research scholars, faculty or staff members and investigators etc. about the relevant laws and provisions on human subject experimentation and research.

- 8.3. If any situation of unethical or unlawful research related to human subject arises within the premises of UoP or any project associated with it, then anyone who is aware or suspicious of such situation can raise a complaint to the Dean, Academics. Wherever applicable, the appropriate rules and regulations will be enforced as per the situation. The UPRC and University administration is quite strict about legal compliances, any deviation or violation to them shall be dealt with relevant procedures. In extreme cases, the actions can be taken in form of administrative, civil or criminal penalties against the offender be it a person or an entity, inclusive of actions like termination of their employment, contract or other such tie-ups.
- 8.4. UoP follows the Indian laws and legal standards and requests all the PIs to comply with following laws and legal standards related to scientific research:
- 8.4.1. Drugs and Cosmetics Act – 1940
 - 8.4.2. Medical Council of India Act - 1956 (amended in 2002)
 - 8.4.3. Central Council for Indian Medicine Act – 1970
 - 8.4.4. Guidelines for Exchange of Biological Material (MOH order, 1997)
 - 8.4.5. The Biomedical Research on Human Subjects (regulation, control and safeguards) Bill- 2005

9. Animals as Laboratory Subjects:

- 9.1. Most of the scientific researches involve animals as their subject of experimentation for advanced and exploratory studies especially for the purpose of drug discovery and such product development. Although in general, use of animals for such objectives is both unethical and unnecessary but due to medical requirement, certain animals have been approved under restricted medical performance to ensure their safety and cognizance of lawful rights.
- 9.2. Generally, the directives from laws like Breeding of and Experiments on Animals (Control and Supervision) Rules, 1998, Pharmacy Council of India (PCI) for CAL software, University Grants Commission, Institutional Animal Ethics Committee (IAEC) and The Prevention of Cruelty to Animals Act, 1960 etc. shall be followed.
- 9.3. But in case, any digital specimen is not available or for the purpose of clinical trials or such reasonable scientific pursuit, the approved animals can be used for scientific experimentation under the restrictions and guidelines provided by Committee for the Purpose of Control and Supervision of Experiments on Animals (CPCSEA). These animals must not suffer the life of physical


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deprivation or behavioral stress factors under their laboratory conditions, any such report is completely unacceptable to UoP standards.

10. Environmental Safety and Health:


- 10.1.** The University of Patanjali Research Committee ensures the appropriate health and safety standards are exercised during planning and execution of scientific experiments along with administration of the entire health and safety programs of UoP.
- 10.2.** Whenever required, the UPRC will provide strategies to fulfill the needs and obligations for promotion of better health, safety and environment within the UoP premises. The UPRC will also conduct various seminars, workshops and awareness programs to familiarize each faculty member, research scholars or such related person to the UoP about importance of having health and safety at work.
- 10.3.** At places like laboratory or workplace environment where chemical hazardous situation might arise, it is the primary responsibility of UPRC to inform and train every researcher or staff members before indulging in such activity. It may also design and circulate a 'Chemical Hygiene and Safety Practices Plan' (CHSPP) to outline the standards and protocols on equipment or material handling so that the concerned workspace and people working in it can be protected from any potential threat or hazardous situation.

11. MoUs for Research Collaborations

To fulfil their academic and research objectives, UoP has been signed several MoUs with various National or International academic and research organization, institutions, Universities, Companies and NGOs; including Patanjali Research Foundation Trust (PRFT), Patanjali YogPeeth Trust (PYPT), DivyaYog Mandir Trust (DYMT), Acharyakulam, Vedic Gurukulam, Bharuwa Solutions Private Limited, and Patanjali Ayurved LTD. A separate Policy Document exists that would cover such MoUs which UoP enters into for collaborative research Programme.

12. Financial Responsibilities for Sponsored Research

All PIs should be well-versed in the GFR (General Financial Rules) of the Government of India offices and the standard financial practices including accounting procedures based on which they would be required to deal with the Finance & Accounts Office of UoP to conduct research work. Wherever excepts are required, specific approval on file/-e-mail must be obtained from the University administration.


(Dr. Parag Gowda)


(Dr. V. K. Katiyar)


(Pro. Vice Chancellor)


(Vice Chancellor)
पतंजलि विश्वविद्यालय
हरिद्वार

**M.Phil / Ph.D Regulations (Minimum Standards and Procedures for Awarding
M.Phil / Ph.D Degrees) framed under the latest UGC Regulations, 2016
notified on 5th May, 2016.**

UNIVERSITY OF PATANJALI (UOP)

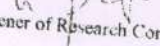
In supersession of the UOP office order dated 22.03.2013, reference no. nil and all previous Ordinances/Rules/Regulations/Orders regarding Ph.D and M.Phil programmes running to be run in Department of Yoga Science / Other Departments of UOP, the enclosed guidelines framed under the latest UGC M.Phil and Ph.D Regulations notified through Ref.No.F.1-2/2009(EC/PS)V(I) Vol.II as on 05.05.2016 will come into immediate effect after approval of the Hon'ble Vice Chancellor in anticipation of the approval of Academic Council of the UOP.

1. Short title, Application and Commencement:

- 1.1. These Regulations may be called UOP (Minimum Standards and Procedure for Award of M.Phil/Ph.D Degrees) Regulations, 2016.
- 1.2. They shall apply to University of Patanjali.
- 1.3. They shall come into force with immediate effect.

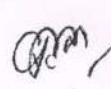
2. Eligibility criteria for admission to the M.Phil programme:

- 2.1. Candidates for admission to the M.Phil programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 2.2. As per UGC regulations (minimum 24 credit courses should have been completed), a relaxation of 5% marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned


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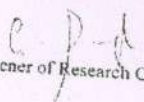

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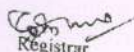


- 4.4. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of one year for M.Phil and two years for Ph.D in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil/Ph.D for up to 240 days.

5. Procedure for admission:

- 5.1. UOP shall admit M.Phil/Ph.D students through an Entrance Test conducted at UOP. UOP may decide separate terms and conditions for Ph.D Entrance Test for those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/Teacher fellowship holder or have passed M.Phil programme. Similar approach may be adopted in respect of Entrance Test for M.Phil programme.
- 5.2. The admission shall be based on the criteria notified by UOP, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.
- 5.3. UOP shall admit candidates by a two stage process through:
- 5.3.1. An Entrance Test shall be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The Entrance Test shall be conducted at the Centre(s) notified in advance (changes of Centers, if any, also to be notified well in advance) at the level of UOP; and
- 5.3.2. An interview/*viva-voce* to be organized by UOP when the candidates are required to discuss their research interest/area through a presentation before a duly constituted Research Committee.
- 5.4. The interview/*viva voce* shall also consider the following aspects, viz. whether:
- 5.4.1. the candidate possesses the competence for the proposed research;
- 5.4.2. the research work can be suitably undertaken at UOP;
- 5.4.3. the proposed area of research can contribute to new/additional knowledge.
- 5.5. The University shall maintain the list of all the M.Phil / Ph.D registered students on its website on year-wise basis. The list shall include the name of the registered


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- 7.2. The course work shall be treated as prerequisite for M.Phil/Ph.D preparation. A minimum of four credits shall be assigned to one or more courses on Research and Statistical Methods which could cover areas such as quantitative methods, computer applications, research ethics, review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for M.Phil/Ph.D degree.
- 7.3. All courses prescribed for M.Phil and Ph.D course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- 7.4. The Department where the scholar pursues his/her intended topic will go through the list of UOP Guides and the guide chosen by the applicant will meet and discuss with the concerned area of research and shall prescribe the course(s) to him/her based on the recommendations of the Research Committee of UOP.
- 7.5. All candidates admitted to the M.Phil and Ph.D programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- 7.6. Candidates already holding M. Phil. degree and admitted to the Ph.D programme, or those who have already completed the course work in M.Phil and have been permitted to proceed to the Ph.D in integrated course, may be exempted by the Department from the Ph.D course work. All other candidates admitted to the Ph.D programme shall be required to complete the Ph.D course work prescribed by the Department.
- 7.7. Research Methodology, Computer Application & Statistics are a compulsory credit course. This course work may also include the updated information of chosen research area.
- 7.8. An M.Phil/Ph.D scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.
8. Research Committee and its functions:
- 8.1. There shall be a Research Committee to look into the overall Research tasks or similar purpose as defined in the Statutes/Ordinances of UOP, for M.Phil and Ph.D scholars. This Committee shall have the following responsibilities:

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before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints and published papers.

- 9.5. The M.Phil dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the Institution/College. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by both of them together, and shall be open to be attended by Members of the Research Committee, all faculty members of the Department, other research scholars and other interested experts/ researchers.
- 9.6. The Ph.D thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least 3 examiners, who are not in employment of the University/College, of whom one examiner should be from outside the country. The *viva-voce* examination based on the inputs received from external (outside country) and internal (inside country) experts and the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.
- 9.7. The public *viva-voce* of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation reports of at least two (2) external examiners on the dissertation/thesis are satisfactory and include a specific recommendation for conducting the *viva-voce* examination. If the evaluation report of the external examiner in case of M.Phil dissertation, or one of the evaluation reports of the external examiner in case of Ph.D thesis, is unsatisfactory and does not recommend *viva-voce*, the UOP shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
- 9.8. The UOP shall develop appropriate methods so as to complete the entire process of evaluation of M.Phil dissertation/ Ph.D thesis within a period of six months from the date of submission of the dissertation/thesis.

10. Depository with INFLIBNET:

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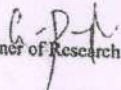
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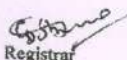
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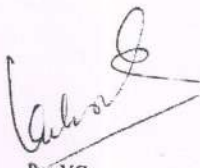
Annexure

List of Recommended Guides for Ph.D (In Yoga) Programme

S. No.	Name of the guide	Area of Research
1	Hon'ble Swami Ramdev	Yoga
2	Hon'ble Acharya Balkrishna	Ayurveda and Yoga
3	Dr. V. Kulwant	Advaita Vedanta
4	Dr. Paran Gowda	Bhagvad Gita, Yoga & Biophysics, Psychology & Multidisciplinary Sciences
5	Dr. Shirley Telles	Yoga and Neurophysiology
6	Dr. G. D. Sharma	Bhakti Yoga
7	Dr. R. B. Bhandari	Yoga- Health and Psychology
8	Dr. G. P. Mishra	Yoga Philosophy
9	Dr. Sanjay Singh	Yoga Philosophy
10	Dr. Narendra Singh	Hatha Yoga


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