



KLEF UNIVERSITY

Green Fields, Vaddeswaram, Guntur District, AP India 522502,
Ph: 08645-248948, [http:// www.kluniversity.in](http://www.kluniversity.in)

ANNEXURE-A

Rules and Regulations related to PhD Programs At K L University

All the applications shall read the following rules and regulations clearly before filing an application with Director (Admissions) KL University for admission into a PhD Program

1. Disciplines in which the PhD admission can be sought

A candidate can seek admission into a PhD program being offered by the following Engineering and Management Disciplines

Srl Num	Discipline
1	Management
2	Computer Science
3	Computer Science and Engineering & Information technology
4	Electronics and Computers
5	Electronics and Communication Engineering
6	Electronics and Electrical Engineering
7	Bio Technology
8	Mechanical, Industrial and Production Engineering
9	Civil Engineering
10	MSC(Applied Math and Statistics)
11	Physics
12	Chemistry
13	English
14	Soft and Communication skills

2. Scholar Categories

Regular Scholars

All scholars who do not fall in the category of persons with long standing, Persons from research organizations, persons from industry and Registration scholars are called regular scholars.



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Person with Long Standing

Any person having 15 Years of experience considering both the industry and Education and having at least 3 Publications in the Referred International Journals or recognized International conferences is called as person with Long Standing.

Any scholar of category, person with long standing must be registered with KLU and conduct research for a period of one year and should be able to publish at least one paper in reputed International Journals or recognized International conferences which have good impact factor.

Ongoing Registered Scholars

Any candidate already registered in any university and progressing with the research work is called as ongoing registered Scholar. Such scholars can Re-Register with KLEF University by way of attaching to the application a, cancellation letter addressed to the registrar of the university where the research admission is made.

Persons from Research Organizations

Persons working in research organizations like DRDO, DLRL and having a minimum Of 10 Years research experience and with a B.Tech degree and having obtained a minimum of 55% of marks will fall in this category. Persons of this category can apply for registration in their respective disciplines.

Persons from Industrial Organizations

Persons working in Industrial organizations like DRDO, DLRL and having a minimum Of 10 Years research experience out of which 5 years in the managerial capacity and with a **B.Tech** degree and having obtained a minimum of 55% of marks will fall in this category. Persons in this category can apply for PhD registration in the management discipline.

3. Mode of Research

Research can be undertaken either Full time or part-time. A full time scholar must be present in the campus and follow K L University calendar. The part-time scholar must be in the campus for a period of 6 Months for undergoing coursework and must all also present the progress of their work once in 6 months at K L University throughout their research programs.



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4. Availability of vacancies

The Research board of K L University shall assess the strength of supervisors, the capacity in the laboratories, the load on the faculty etc and decides on the number of vacancies and publishes the same on the WEB for the benefit of the applicants.

5. Eligibility

Qualification

The following eligibility criteria apply in respect of the qualification for enrolling into a research program. The candidates might be qualified from KLEF University or any other university recognized by university Grants Commission (UGC) or AICTE (All India Council for Technical Education). A minimum of 55% of marks must be obtained in the qualifying examination.

Srl Num	Discipline	Qualifying Examination
1	Management	MBA
2	Computer Science	MCA, MSc(Computer Science), MSc (Math)
3	Computer Science and Engineering	A PG Degree in any Engineering Discipline
4	Information Technology	A PG Degree in any Engineering Discipline
5	Electronics and Computers	A PG Degree in <ul style="list-style-type: none">• Electronics and communication Engineering• Computer Science and Engineering• Electrical and Electronics Engineering
6	Electronics and Communication Engineering	A PG Degree in <ul style="list-style-type: none">• Electronics and communication Engineering• Electrical and Electronics Engineering• Electronics and computers
7	Electronics and Electrical Engineering	A PG Degree in <ul style="list-style-type: none">• Electronics and communication Engineering• Electrical and Electronics Engineering• Electronics and computers



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Srl Num	Discipline	Qualifying Examination
8	Bio Technology	A PG Degree in Bio Tech
9	Mechanical Engineering	A PG Degree in Mech
10	Civil Engineering	A PG Degree in Civil
11	Industrial and Production Engineering	<ul style="list-style-type: none">• A PG Degree in Mechanical Engineering• A PG Degree in Industrial and Production engineering
12	Math(Applied Math and Statistics)	A PG Degree either in Applied Math or Statistics
13	Physics	A PG degree in Physics with any of the specializations
14	Chemistry	A PG degree in Chemistry with any of the specializations

However a UG degree with 55% of marks is sufficient in respect of the persons from research organizations and Industrial organizations

Experience:

No experience is required for either registering into a Regular Part-time or Regular full time PhD program.

However candidates with long standing working as Professors and having a Minimum of 3 publications in the Referred International Journals or recognized International conferences should have a minimum experience of 15 Years either in education or industrial establishments.

Persons from research organizations having a minimum of 10 years of experience and having a B.Tech degree with 55% of marks can register for a research program in their respective discipline.

Persons from industrial organizations having a minimum of 10 years of experience and having a B.Tech degree with 55% marks can register for a research program in the discipline of Management.

The rules and regulations shall be approved by the board of studies of their respective departments/discipline.



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6. Research Areas

Every department offers certain research programs in the focused research areas (Appendix-B). The candidates interested in doing research in the Focused areas of Research alone should apply.

7. Research duration

Minimum and Maximum Time to be spent in the research shall be as under:

Srl Num	Type of Program	Minimum Period in Years	Maximum period in Years	Maximum Period with Re registration
1	Regular – Full Time	2	5	10
2	Regular – Part-time	3	6	12
3	Persons with Long Standing	1	5	10

8. Fees

The following fees will be applicable. All candidates must go through the fee elements carefully

Srl Num	Type of Program	Amount in Rs
1	Application Fees	500
2	Entrance Examination/Interview Fees	500
3	Regular – Full Time-Tuition-Research Fee-Per semester	10,000
4	Regular – Part-time- Tuition-Research Fee Per semester	10,000
5	Persons with Long Standing- Tuition-Research Fee Per semester	50,000
7	Pre-PhD Examination Fees	1,000
8	Adjudication Fees	5,000
9	Viva Voce Fees	5,000
10	Registration Conversion fees	5,000
11	Re-Registration Fees	5,000
12	Pre-submission Processing fee-Independent submission	5,000
13	Adjudication Fees in case of independent submission	30,000
14	Re-Adjudication fees	5,000

The fee should be through a DD drawn on any nationalized bank in the name of Registrar, KLEF University and payable at Vijayawada.



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9. Screening of the candidates

Separate committees for each of the discipline shall be constituted by vice chancellor for screening of the candidates as per eligibility criteria and only those candidates recommended by the committee shall be called for the written test and Interview.

10. Entrance examination and Interview

All applicants except those who have qualified score in GATE, M.Phil, NET, JRE shall attend an entrance examination conducted by KL university. However all the candidates shall attend the Interview conducted by K L University. Only those candidates who have obtained a minimum of 55% of marks considering both written test and interview shall be further processed. 100% of score in respect of the candidates who have a valid score in GATE, M.Phil, NET, and JRE shall be considered

Interviews will be conducted by the committees constituted by Vice chancellor. The constitution of the committees shall be made by Vice Chancellor every time before the commencement of admission process.

No entrance examination and Interview is needed in respect of Persons with long standing, Persons from industrial organizations and research organizations and in the case of candidates who have already registered with other universities.

11. Syllabus and model papers for written examination

Syllabus and model papers shall be made and approved by the respective Board of studies and the same will be hosted on the WEB much before the scheduled date of examination and Interview.

12. Communication with the Applicants

Entire communication with the candidate shall be done through emails followed by regular mails

13. Documents to be submitted along with the applications

The following documents must be submitted along with the application:

- a. Documents in respect of Regular students
 - i. Original Degree
 - ii. Marks statements of the qualifying examination



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- b. Documents in respect of persons with long standing
 - i. Original Degree
 - ii. Marks statements of the qualifying examination
 - iii. Experience Certificates
 - iv. Xerox Copies of the publications

- c. Documents in respect of Registered Scholars
 - i. Original Degree
 - ii. Marks statements of the qualifying examination
 - iii. Experience Certificates
 - iv. Xerox Copies of the publications
 - v. Letter from the concerned university showing the willingness for Re-Registration at KLEF University

14. Research Supervisors

Anybody having a Doctorate and having Minimum of 3 Publications in Referred international Journals or recognized International Conferences in the last 5 Years are eligible to be the research supervisors in their field of research. The field of research is determined by their current publications in the last 5 Years.

A research Supervisor must be registered with KLEF by way of submitting **Annexure-C** along with Xerox copies in respect of educational qualifications, Experience and publications.

The following limitations apply in respect of the number of candidates that a registered Research Supervisor can supervise.

Srl Num	Position	Number of Full Time Scholars	Number of Part-time Scholars
1	Professor	6	6
2	Assistant Professor	4	4
3	Lecturer	3	3

All the research supervisors shall be recommended by the board of studies of the respective disciplines/departments after verifying their eligibility criteria.

15. Admission Procedure



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- a. Application forms can be downloaded from <http://www.kluniversity.in> and the same must be filled-up and submitted to the **Director (Admissions)**, KLEF university, Green Fields, vaddeswaram, Guntur District, PIN 522502 along with the following documents:
- i. Filled in Application form
 - ii. DD for Rs500 Drawn on any Nationalized Banks
 - iii. Xerox Copy of the Original qualifying Degree
 - iv. Xerox Copies of the Marks statements of the qualifying PG degree
 - v. No Objection Certificate (**Annexure-F**) in respect of Part-time scholars
 - vi. Research Plan (**Annexure-D**)
 - vii. Progress of research being conducted (**Annexure-E**)
 - viii. Experience certificates in respect of persons with long standing
 - ix. Letter of cancellation of the existing registration with some other university
- b. Attend Entrance Examination and Interview.

Director (admissions) on the recommendation of Dean (R&D) shall issue an admission notice to the scholar (**Annexure-H**)

- c. Fix and Finalize the Research Supervisor if qualified in the Entrance Examination and in Interview
- d. Verification of original certificates with Xerox
- e. Pay fees and register

On paying the fees and submission of all the documents required, Director (admissions) shall issue a Registration notice to the scholar (**Annexure-I**)

16. Conversion of the Registration status

A candidate registered as part time can be converted into Full-time scholar and Vice versa. Rules pertaining to the respective admissions shall prevail. Time spent as part-time scholar shall be treed as $2/3^{\text{rd}}$ of the time spent as a full time scholar. A separate fee must be paid for effecting the conversion of the registration (Part Time – Full Time and Vice versa).

A scholar shall submit an application (**ANNEXURE- J**) to the Director (admissions) through the research supervisor for conversion of registration status and the Director (admission) shall notify the decision of the research board (**ANNEXURE- K**)



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17. Research Board

Chancellor of KL University shall constitute a Research Board containing the following members.

Srl. Num.	Person	Position in the committee
1	Vice Chancellor	Chairman
2	Dean(R&D)	Convener
3	Dean(ACA)	Member
4	Dean(SW)	Member
5	Registrar	Convener
4	Two external/Internal Professors nominated by VC	Members

The major functions of the Research Board are as under

- Recognition of Research supervisors
- Approval and recommendation for change of supervisors
- Preparation and recommendation of rules and regulations regarding the research programs
- Approval and recommendation for the change of supervisor
- Termination the Research Registration due to lack of progress
- Approve Paper setters and Examiners
- Recommend and approve Registration Transfers
- Recommend and approve persons with long standing
- Recommend and approve persons from industry
- Recommend and approve persons from research organizations
- Accept syllabus recommended by research committee in respect of Paper-2, Paper-3, and Paper-4.

18. Change of supervisors

Supervisor can be changed by the candidate in the following circumstances

- When original supervisor expires
- When the original supervisor goes out of the country for more than one Year
- When candidate is disinterested due to valid reasons
- A co supervisor can be opted by the candidate when the original supervisor is sick or gone out of the country for short duration



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A candidate can apply to the research board in the (**Annexure – L**) for change of supervisor or opting of a Co-Supervisor. In the normal circumstances, the request for the change of research supervisor shall be submitted along with a no objection certificate from the current research supervisor. Research Board shall have to approve the change of supervisor or opting of the co supervisor. A written approval (**Annexure-M**) shall be given by the **Director (admissions)** on the recommendation of research Board regarding the acceptance of Supervisor/Co-Supervisor.

19. Research Committee

On registration, the research Board shall constitute for every candidate, a Research Committee having members (Supervisor, Chairman Board of studies of the respective departments and two professors of repute within the university).

The constituted research committee shall be intimated to the scholar and the supervisor by Director Admissions (**ANNEXURE-N**).

The research committee shall decide on the Paper-2, Paper-3, and Paper-4 and also prepare syllabus for the papers and recommend the same for the approval of the Board of studies and the research Board.

20. Evaluation System

20.1 Continuous assessment

The scholar will submit the Research progress report in the format of **ANNEXURE-E** once in 6 Months and the same will be reviewed by the Research committee in the presence of the scholar. The committee shall submit a recommendation to Dean (R&D) (**ANNEXURE-O**) whether the scholar should continue further or the research program should be terminated. If the Research Committee is not satisfied with the progress, the admission of the candidate can be recommended to the Vice Chancellor for Cancellation. In the event that the registration is cancelled on the acceptance of VC, Director (admission) shall intimate the same to the scholar (**ANNEXURE-P**).

The Scholar should submit the Xerox copies of published papers during the semester if any, along with the Progress reports

20.2 Course work

Every scholar both part-time and full-time shall undertake course work for a period of 6 Months within the premises of K L University. The course work shall comprise components that include a seminar and all the papers that are decided by the research committee in respect of each of the candidate.



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20.3 Pre PhD Examinations

As a part of fulfillment of the PhD degree, every student must pass a Pre-PhD examination before a Synopsis and Thesis is submitted.

Pre-PhD examination shall be conducted twice in a Year. No scholar shall be allowed to sit for pre-PhD examination if the fees till the point of conducting the pre-PhD examination are not paid and all the Research Committee reports till the point of examination are not submitted.

Pre-PhD Program shall be conducted for 2 to 4 Papers comprising one paper on research methodology which is compulsory and three subject papers. The number of subject papers that should be cleared by research scholar shall be however be decided by the research Committee.

1. Paper-1 shall be on research methodology
2. Papers-2, Paper-3 and Paper-4 shall be related to Major Research Area of the candidate concerned. These courses shall be drawn from ongoing PG Courses.

The Paper-2, Paper-3 and Paper-4 in respect of each of the candidate shall be decided by the research committee and approval of the same shall be forwarded to Research board for consideration and Approval

Qualifying the Pre PhD Examination

At least 50% of marks must be obtained in each of the paper for qualification. Maximum 3 attempts shall be allowed for clearing any of the paper. The registration of the candidate stands cancelled if any of the papers could not be cleared in 3 attempts.

Syllabus:

The syllabus for Paper-1 shall be made by the Research Board which shall be applicable for all the students who have joined during a particular Year. The syllabus shall be approved by board of studies and then by Academic council before publishing the same for the consideration of the scholars.

The Syllabus for the Paper-2, Paper-3, and Paper-4 shall be designed by Research Supervisor and the same will be reviewed and modified by the Research Committee. The syllabus shall be approved by board of studies and then by Academic council before publishing the same for the consideration of the scholars.

The approved syllabus then shall be intimated to the Scholar, Supervisor and the Director (Exam) (**ANNEXURE-Q**)



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The Research Board (Paper-1) and the respective research Committees (Paper-2, Paper-3, and Paper-4) shall prepare the Model Papers and submit the same for the Approval of the Board of studies and then by Research Board

The research board (Paper-1) and the research Committee(Paper-2, Paper-3, Paper-4) shall also recommend 20 Examiners and paper setters (ANNEXURE-R) for the approval of Board of studies, research Board and academic council before forwarding the same to Director of Examinations for organizing the Pre-PhD examination.

The Syllabus, Model papers, List of examiners and paper setters shall be sent to the Director (Examinations) within 4 Months from the date of registration of the candidate.

Paper setting, administering and Evaluation

Director (Examinations) shall take the approval of Vice Chancellor related to the actual paper setters and Examiners.

4 Papers setters will set the paper and one of it will be administered. Each paper shall be evaluated by 2 Examiners and if the difference of the score is more than 10 Marks, then the Paper shall be referred to a third examiner. Best of the two scores shall be taken and averaged and the averaged score will then be declared for the student.

Conduct of the examinations

The dates of conduction of the examination shall be published on the <http://www.kluniversity.in> web site and also intimated to scholars by email (**Annexure-S**) by Director (Examinations) and the scholar shall register for the examination by paying the requisite fees. An application form (**ANNEXURE- T**) along with requisite fee shall be submitted by the scholar before the deadline prescribed by Director (Examinations). All the examinations shall be conducted at KLEF university premises only and a scholar has to meet all the expenses in respect of attending to the examinations.

20.4 Publication of Research Findings

Every scholar must publish their research findings through presentation of at least 3 papers in either recognized International Conferences/workshops or Referred International Journals having proper ISSN Number. The Affiliation of the research scholar with K L University must be mentioned in each of the published paper.



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20.5 Submission of Synopsis

Every scholar should submit a synopsis of the Research after qualifying the Pre-PhD Examination, publishing 3 Papers in either international conferences/Workshops or in referred Journals and after expiry of the Minimum duration of the PhD Program along with adjudication fees.

The following documents shall be submitted along with the synopsis:

1. Xerox Copy of PhD admission
2. No dues certificate from the department and the Library
3. Pre-PhD result copy
4. Xerox copies of the publications

Synopsis detailing the research conducted shall be submitted duly certified by the supervisor, which will be circulated to all the universities in India. Objections if any shall be received by Research Board within one month. If no objections are received, it will be deemed that the topic is reserved for the scholar. If any objections are received the same will be informed to the scholar and the scholar shall have to resubmit the synopsis after making necessary changes.

The synopsis must contain the following:

1. Introduction
2. Objectives
3. Scope
4. Survey
5. Findings
6. Experiments and Results
7. Summary and Conclusions
8. Bibliography

Synopsis shall be submitted in 10 Copies to Director (Examination). A certificate will be issued by Director (examination) to the scholar regarding the acceptance of the synopsis (**ANNEXURE-U**)

20.6 Submission of thesis

Thesis will be allowed to be submitted if no objections are received against the Synopsis. One Copy of the Thesis shall be submitted after getting the approval of synopsis. A thesis completely detailing the research findings shall be submitted. The thesis shall be developed using the prescribed format (**ANNEXURE-V**) designed by the university. All the papers published shall be placed as Appendix to the thesis.



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After the thesis is submitted, a plagiarism check shall be made using the software. If any plagiarism is noticed the same will be notified to the scholar. The scholar after looking into the issue can resubmit the thesis and if the Plagiarism is still noticed the thesis will be summarily rejected and the admission shall be cancelled.

Director (Examinations) shall issue a letter (**ANNEXURE-W**) to the scholar to submit 4 more copies of the thesis if no plagiarism is found

20.7 Thesis Adjudication

The Research Committee will recommend adjudicators to which the thesis shall be referred for adjudication. Complete details of the Adjudicators shall be provided which include, Name, Address, Email address, PhD Qualification, PhD major, working Institution, Experience Details. The recommended list must have adjudicators drawn from India, and from abroad.

1. 10 Adjudicators from within India
2. 3 Adjudicators from foreign Universities

The adjudicators list shall be forwarded to Director (Examinations) and the Director will obtain the approval of VC for two adjudicators from India and one adjudicator from abroad. The thesis shall be sent to the selected Adjudicators.

The adjudicators shall submit a report (**ANNEXURE-X**) in the prescribed form within one and half months from the date of receipt of the thesis. If no report is received even after 2 months of time, then VC may appoint another adjudicator. If a report is received from an adjudicator after appointment of a new adjudicator then the report will be ignored

20.7.1 Recommendation of the adjudicators

If all the adjudicators recommends the award of the PhD degree the candidate shall be permitted to take Viva-Voce examination and the degree will be awarded on the recommendation of the Viva Voce examination.

If all the adjudicators or two of the adjudicators reject the thesis, the registration of the scholar shall be cancelled. The reasons for cancellation shall be provided to the scholar.

If any of the adjudicators asks for revision, the scholar shall be asked to make revisions duly providing the comments of the adjudicators. The scholar shall have to pay the re-adjudication fee before re-submitting the thesis after making necessary amendments to the thesis.



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If any one of the examiners rejects the thesis. The thesis shall be referred to new examiner. If the new examiners also rejects the thesis then the registration of the candidate also be cancelled and the reasons for the cancelation shall be provided. The scholar will be issued a letter by **Director (Examination) (ANNEXURE-Y)** giving the reasons of rejection or review of the thesis based on the recommendation of the adjudicators.

Viva voce examination shall be conducted by a separate eminent professor appointed by VC as the External Examiner. On the recommendation of the external examiner, the PhD degree shall be awarded. The examiner may not recommend the award on the face of it and the reasons for the same shall be submitted. The scholar after correcting the thesis based on the recommendations of the external examiner can submit and opt for re-Viva Voce examination In which case re-viva examination shall be conducted. If the scholar could not be cleared by the external examiner in the second attempt, the registration of the scholar shall be cancelled and the rejection or the need for making the amendments to the thesis shall be intimated to the Scholar and the Supervisor (**ANNEXURE-Y**).

The award shall be declared vide a separate memorandum issued by the Vice Chancellor.

20.8 Early submission

The Minimum duration of thesis submission can be reduced by one year If a scholar has published 5 papers in the recognized International Conferences or Refereed International Journals with proper ISSN number at the discretion of the Vice Chancellor. A request (**ANNEXURE-Z**) for early submission be made by the scholar to the Dean (R&D) and approval for the same is issued to the Scholar (**ANNEXURE-AA**) after making due verification of the documents based on which the claim is made and after obtaining the approval of the VC for the same is obtained.

20.9 Exemption of the requirement for qualifying the Pre-PhD examination

The need for qualifying the Pre-PhD program can be exempted by Vice Chancellor if the scholar has more than 15 Years of either teaching or industrial experience and have published more than 5 papers in the recognized International Conferences or Refereed International Journals with proper ISSN number at the discretion of the Vice Chancellor. The request for the waiver of Pre-Phd Examination shall be submitted by the Scholar (**ANNEXURE-AB**) to the Director (Exam). The request will be reviewed by the research Board and their



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recommendation and acceptance shall be intimated to the scholar (**ANNEXURE-AC**).

20.10 Independent submission

Persons having more than 15 Years of either teaching or industrial experience and have published more than 10 papers in the recognized International Conferences or Refereed International Journals with proper ISSN number need not have any research supervisor or Research committee. Recognition of a scholar as independent researcher is at the discretion of the Vice Chancellor. Independent researcher is exempted from qualifying the Pre-PhD Examination

After the application for the independent submission is made, a formal review of the application is made by Director (Admission) and the approval of the VC is taken for considering the applicant as independent researcher. The scholar is requested to submit six copies of the synopsis and one copy of the thesis (**ANNEXURE-AD**). Director (admissions) in consultation with the VC will appoint a subject expert and refer the thesis to the subject expert. The findings of the subject expert will be communicated to the scholar (**ANNEXURE-AE**). If the subject expert approves the thesis for adjudication, then the procedures related to processing of the synopsis and the adjudication of the thesis shall be undertaken.

The independent researcher shall have to pay pre-processing, Independent research, and the adjudication fees.

The list of adjudicators shall be obtained from subject experts either internal or external to the KLEF University by Dean (R&D) and the dean shall recommend adjudicators to which the thesis shall be referred for adjudication. Complete details of the Adjudicators shall be provided which include, Name, Address, Email address, PhD Qualification, PhD major, working Institution, Experience Details. The recommended list must have as adjudicators drawn from India and abroad.

1. 10 Adjudicators from India
2. 3 Adjudicators from foreign Universities

The adjudicators list shall be forwarded to Director (Examinations) and the Director will obtain the approval of VC for two adjudicators from India and one adjudicator from abroad. The thesis shall be sent to the selected Adjudicators.

The adjudication shall be undertaken as in the case of others.

20.11 Press and Publicity

The university shall publish in all the news papers the award of PhD degree to a scholar. The award also shall be published in the Government GAZETTE.