



**CATEGORY 1
UNIVERSITY**
BY MHRD, Govt. of India

nirf RANKED **35**
AMONG ALL
UNIVERSITIES
2021

ACCREDITED BY
NAAC WITH A++
GRADE

**40 YEARS OF
EDUCATIONAL
LEADERSHIP**

RESEARCH & DEVELOPMENT



POLICY

KONERU LAKSHMAIAH EDUCATION FOUNDATION
(Deemed to be University Estd. U/S 3 of the UGC Act 1956)
Vaddeswaram, Guntur, Andhra Pradesh, India - 522 502

RESEARCH POLICY

Preamble: Koneru Lakshmaiah Education Foundation (KLEF) was established in 1980-81 as KL College of Engineering, which was upgraded to KL College of Engineering Autonomous in 2006 by UGC, and was declared as a Deemed to be University in 2009 by UGC, MHRD Govt. of India. In 2012 KLEF was accredited by NAAC with A Grade and later in 2018 was re-accredited by NAAC with A++ grade. In 2019 UGC, MHRD declared KLEF as Category-I institution.

The institute remains indebted to leadership of our founders Mr. Koneru Lakshmaiah and Er. Koneru Satyanarayana both of whose vision has helped in creating this abode of learning, which has emerged as one of the elite institutes of the nation.

KLEF is situated in a spacious 100-acres campus, with a built up area of over 20, 00,000 Sq Ft., on the banks of Buckingham Canal of river Krishna. The campus is eight kilometers from Vijayawada city built within a rural setting of verdant green fields. The institute is a virtual paradise of pristine nature and idyllic beauty. The campus has been aptly named "Green Fields" and the splendid avenue of trees and gardens bear testimony to the importance of ecology and environment. The campus ambience is most befitting for scholastic pursuits.

The new off campus has come up in 2017 at Hyderabad, Moinabad, Aziznagar Road, near TSPA Junction on the road leading to Chilkur Balaji temple with a built up area of 10, 00,000 Sq.ft, which is a temporary campus and the permanent campus is being made ready at Bachupally.

Vision: To be a globally renowned University.

Mission: To impart quality higher education and to undertake research and extension with emphasis on application and innovation that cater to the emerging societal needs through all-round development of the students of all sections enabling them to be globally competitive and socially responsible citizens with intrinsic values.


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Purpose:

The purpose of the Research Policy is to provide guidelines pertaining to different horizons of R&D viz Ph.D. program, publications etc. to faculty and researchers of KLEF. The policy shall serve as an overall framework within which research activities can be carried out.

Objectives:

1. To monitor and administer research activities of Faculty, Students & Industries to undertake quality research.
2. To promote inter-disciplinary studies and create needful facilities that enhance inter-disciplinary research and innovation.
3. To encourage core competence, consultancy and Intellectual Property Rights (IPR) among faculty and students.
4. To support researchers for undertaking research activities and sponsored projects offered by various government and non-government agencies.
5. To establish advanced laboratory facilities and inculcate collaborative research interest among the students and faculty by extending facilities to other institutes.
6. To support long-term relationships with national and international research organizations and industries for widening the scope of research options and funding opportunities for faculty and students through MOUs.
7. To provide SEED money and encourage faculty to pursue competitive research in emerging thrust areas of national and international importance.
8. To encourage faculty to publish their research work in journals of high repute and/or file patents.
9. To adopt a research integrity code, which informs all researchers about the ethical and legal norms and principles to be followed in the conduct of research.
10. To develop, prescribe and administer rules and regulations to ensure the compliance of all researchers to the research quality assurance framework.


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R&D Organization

R&D Cell of the KLEF shall be organized into six different divisions dealing with Academic research, sponsored research, Consultancy, IPR, Extension, Extramural Research and Outreach, and Innovation Incubation Entrepreneurship (IIE).

Academic Research-Policy

The academic research division shall plan the strategy and assist to promote quality research and facilitate research programs (Doctoral and Postdoctoral) with high standards. The division shall be responsible for inculcating the research culture, promoting research integrity and formulating the research policies and regulations from time to time based on the needs. It shall frame and implement guidelines for publishing the findings of research in high-quality journals and filing of national/international patents raising the benchmarks of research performance and enhancing the reputation of individuals, institution, and the country. KLEF follows the minimum standards and procedures as prescribed by the University Grants Commission (UGC) for the Award of Ph.D. degree.

The academic research division shall be responsible for administering and monitoring the following activities:

1. The University shall call for Ph.D. admissions twice a year through the national level KLEF Entrance Test/National Tests.
2. A candidate qualified in the test shall be considered for admission into the Ph.D. program depending on the number of seats available in a department/school.
3. All the qualified candidates shall be interviewed by Department Research Committee (DRC) and recommendation shall be sent to College Research Committee (CRC) and finally submitted to University Research Board (URB) by Dean R&D for approval of admission.
4. The allotment of supervisor shall be done by the DRC as per the vacancy available and thrust areas of the supervisor.


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5. To become a recognized supervisor of the University, faculty member shall submit the application to the department head which will be scrutinized by the RPAC to DRC through Dean R&D and then forwarded with due comments to the Vice Chancellor for approval.
6. Minimum period of research work required for the submission of the thesis shall be three years for full-time/EMR candidates and four years for part-time candidates respectively.
7. A candidate admitted to the Ph. D. programme shall be required to undertake course work (Credits: 2) as per UGC guidelines.
8. Every scholar pursuing Ph.D. shall present the research progress in the form of a review seminar in the department every six months and submit half yearly research progress to RPAC. The scholar should have given a minimum of four seminars in the department for the submission of thesis.
9. On completion of the research work by the scholar, supervisor shall inform DRC for arranging Open Talk through Dean R&D.
10. The Dean (R&D) shall issue no objection certificate and Plagiarism report on the originality of the submitted work stating that the match is up to or less than 10%.
11. The evaluation of the thesis shall be done by three Adjudicators chosen by the Vice-Chancellor from a panel of eighteen members, each six from the institutes within the state, out of the state and abroad respectively.
12. After thesis is evaluated and recommended for the award of Ph.D. by the adjudicators, Viva-Voce will be held in the University and upon successful completion of Viva- Voce, the Vice-Chancellor may approve the award of Ph.D. degree to the scholar.
13. The Ph.D. candidates, who are admitted as full-time research scholars through the Entrance Test shall be entitled to KLEF Research fellowship and this award shall be strictly subject to the fulfilment of all the conditions governed by university regulations.


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14. The fellowships at doctoral and Postdoctoral levels shall be aimed to identify highly motivated young researchers and provide them support for doing research in thrust areas of national importance.
15. Only original work carried out at the university either individually or under collaboration shall be allowed to be published after plagiarism check.
16. Faculty members shall focus on publishing their outcomes of research in high-quality journals and building a strong collaboration with national and international institutes for raising the standard of research in the University.
17. Faculty members shall attend and organize various conferences/seminars/workshops in their respective fields and also present their work.
18. The division shall facilitate in providing financial assistance to faculty in attending conferences and publishing their papers in high quality open access journals. Research Incentives will be dispersed every year to the faculty based on their research outcome as per the KLEF incentive policy.

Sponsored and Internal Research

KLEF puts a strong emphasis on sponsored research funded by various national and international government/non-government agencies as well as industries to create strong industrial interaction, set up modern laboratories, create infrastructure with sophisticated instruments and develop technological products/processes. The KLEF is committed to facilitate the acquisition of grants received from various funding sources for the smooth operation of all aspects of the research project activity, such as opening of project account in bank, release of grants, appointment of project staff, purchase of equipment, Settlement of bills related to Salary/Fellowship/Wages, periodic project budget review and final submission of utilization certificate to funding agencies.

The sponsored research division shall be responsible for administering and monitoring the following activities:


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1. Regular faculty members of the University shall be allowed to act as principal investigator (PI)/co-principal investigator (Co-PI) and submit the proposal to external funding agencies as well as in-house funding.
2. R&D cell shall inform all the faculty about the call for proposals from various funding agencies as and when released through proper channel.
3. Faculty members shall draft the proposal in the specified format of the funding agency and submit for review to the DRC and final approved copy to R&D office in advance before the deadline of the funding agency. After completion of the review, Dean R&D shall recommend it for submission.
4. The University shall provide seed money to new faculty for initiating research with expected research output and with an understanding that the preliminary results of the project will be used by the faculty for submission of major research projects for both public and private industry funding.
5. Once a project is sanctioned to PI, sponsored research division shall be responsible for opening the bank account through the finance officer and managing the fund.
6. All project staff positions approved by the funding agency shall be filled in after due advertisement on the University website and other news platforms.
7. The appointment of project staff shall be made by the Interview Panel Committee approved by Registrar (Annexure).
8. The proceedings of the Interview Panel Committee meeting will be recorded and circulated to all committee members.
9. After the selection meeting, PI shall issue an offer letter to the selected candidate along with the terms and conditions to which the project staff has to abide and project staff shall submit the acceptance letter to PI.


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10. The fellowship shall normally terminate on completion of the projects and appointment of the project staff shall be purely on temporary basis and the appointed staff will have no claim for regular appointment in the University on the termination of the project.
11. Project staff shall submit the semester wise progress report through PI and head of the department to sponsored research division for continuation of the fellowship.
12. Project staff shall be encouraged to register for Ph.D program at KLEF.
13. On receipt of the first installment of the project grant from the funding agency, the PI shall inform the sponsored research division about the breakup of the received grant under different budget heads. Re-appropriation of Funds from one approved item to another shall be permitted in the light of specific guidelines of the Funding Agency. PI may also re-appropriate funds (if funding agency does not prohibit this) up to an extent of 20% from one head to the other, except the non-consumable grant available under the project.
14. All purchases of consumable and non-consumable items and other expenses shall be made strictly in accordance with the terms and conditions of the funding agency through purchase department of KLEF.
15. PI shall maintain the stock register for consumable and non-consumable items.
16. All purchases including through GeM, Quotations and tender process shall be supervised and handled by Central Purchase Committee (CPC) appointed by Vice-Chancellor.
17. The PI shall prepare the statement of expenditure and utilization certificate of every project as per the time schedule prescribed by the funding agency.
18. Unless otherwise agreed with the funding agency in the project agreement, Intellectual property Rights for any discovery or invention originating from the Sponsored Research shall jointly rest with the Institute, Investigator(s) and the Sponsoring Agency


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unless the sponsoring Agency authorizes the Institute in writing to have the exclusive right.

19. The PIs shall not independently transfer technology to any party without the consent of the IPR owners. The terms and conditions for each of such technology transfer shall be worked out on a case-to-case basis with the approval of the Dean R&D.

Consultancy

The main objective of the consultancy is to promote academic, industry research interaction and to disseminate knowledge inputs sought by industry, government agencies or other academic / research organizations impacting society directly. KLEF encourages faculty members to undertake consultancy projects in order to strengthen their own research profile as well as the institute. Any industry or agency can contact KLEF to solve research problems or meet any type of need such as analytical characterization, calibration, Simulation/ modelling/ optimization, testing of industrial products/ samples, development of systems software/application software for offline/online applications etc. KLEF shall be happy to undertake such assignments and handle them through its faculty under the term consultancy.

1. Departments/Centres and faculty shall be encouraged to offer consultancy services to various industries, corporates, national and international agencies.
2. The consultancy job undertaken by the faculty through university shall be under two categories: Research consultancy and Testing consultancy.
3. A consultancy service shall be initiated upon request from sponsoring agencies/industries directly to the university or a discussion between the client and the faculty. If the university receives a direct request for a consultancy assignment, a specific faculty with required expertise shall be identified by the Dean R&D.
4. Faculty shall prepare the consultancy project with objectives, detailed outline of the project, salary for manpower, consumables, equipment charges, overhead charges etc.


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5. If a faculty member undertakes an individual consultancy assignment where university facilities are not involved after a mutual discussion with the client, the amount received from the client shall first be remitted to the university and later university shall distribute the amount to the faculty through proper channel.
6. Each faculty member desiring to undertake a consultancy job shall obtain prior permission from Dean R&D by furnishing all details such as nature of work, name of the agency/client, period, payment etc.
7. The revenue generated from the consultancy project shall be shared by the member faculty and the university in a 70:30 ratio for research consultancy and 30:70 ratio for Non-research consultancy after deducting the overheads and all other expenses met by the university.
8. After the completion of the consultancy assignment, a copy of the closure report certified by the client shall be submitted to the Dean (R&D).
9. The terms and conditions regarding the rights pertaining to any intellectual property generated in due course of the consultancy assignment shall be jointly worked out with the client based on the nature of consultancy work.
10. The concerned Faculty/PI and the persons in possession of such confidential information shall take due care to maintain integrity and discretion regarding confidential information received from the client, including but not limited to results, reports and identity of the client.
11. Every client shall preferably deposit 100% of the total project cost in advance to the Institute, in order to initiate the project. This amount shall cover the mandatory charges such as the Institute overhead and the applicable taxes.


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Intellectual Property Rights:

KLEF recognizes the importance of the key findings of practical applications generated during the scientific and intellectual research pursuits of its faculty and students to provide a competitive edge to the institute and economic use of the results/findings for the benefit of the Indian public and global community as a whole. The university focuses on creating, disseminating and applying knowledge through research and education to reach and benefit the wider community. In alignment with the Vision and Mission of KLEF, the dissemination and application of Intellectual Property through commercialization favours the outreach of the novel technologies and processes developed at KLEF. It also encourages faculty and students of KLEF for transferring the technology using intellectual property rights.

1. The IPR division shall help the faculty and students in patentability assessment and apply patent/copyright/trademark applications.
2. The IPR division shall analyze and pursue the protection of IP generated at KLEF. This shall also conduct meetings and awareness programs about IP.
3. Students of KLEF shall be required to sign an agreement to be bound by IPR policy before commencing research activities.
4. All the rights in intellectual property made by the faculty and student in his/her tenure in KLEF using funds/facilities provided by KLEF or external funding agencies shall automatically belong to the KLEF if proceeded without formal associated agreement. However, a third party may own exclusively or jointly rights of IP with KLEF under sponsored research, consultancy projects and collaborative research and also the research carried out by the KLEF faculty/students at a third party institution with a formal associated agreement.
5. If any faculty generates IP outside the normal working hours of the institute using institute resources shall transfer the rights of IP to KLEF.


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6. In case of funds provided by an agency of the Government of India, the ownership shall be decided in compliance with the ownership clauses defined by the funding agency at the time of approval of the activity.
7. Any licensing of technology transfer done by KLEF shall be as IPR policy and revenue generated shall be shared with the inventor (s) in 70:30 ratio. In case of multiple inventors, royalty share shall be done on an equal basis in the absence of an alternate specific revenue sharing agreement.
8. The inventor shall be required to disclose a potential conflict of interest while undertaking any IP related activity.
9. In case of any disputes between KLEF and the inventor regarding the implementation of the IP policy, the aggrieved party may appeal to the Dean R&D.
10. The IP generated out of thesis work, the student and the supervisor(s) concerned shall have joint ownership of IP rights.

Extension, Extramural Research and Outreach (EEO)

EEO division acts as an interface between KLEF and society to provide better services for the development of rural areas through various programs and technological initiatives. KLEF students under the supervision of faculty undertake various projects to solve rural societal problems involving rural communities for their overall development. The main objective of KLEF under this division is to improve the lives of rural people by adopting the villages for holistic development.

1. The industry personnel shall be encouraged to pursue Ph.D. under the guidance of KLEF faculty in industry-oriented problems.
2. The faculty shall be motivated to identify and perform research on societal problems to find solutions for the betterment of the people, especially those residing in rural areas.
3. The University shall conduct awareness programs relevant to education, hygiene, livelihood, Skill development, women


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empowerment, agriculture and allied activities to promote organic farming, digital literacy campaign etc. to enlighten the rural community for self-reliant rural development.

4. The KLEF shall take initiatives to empower the tribal community by jointly engaging tribal people along with KLEF faculty and students in some major economic development activities. such as honey processing and value addition, tamarid processing and value addition products, mushroom value addition products, bamboo value addition products, food processing etc.
5. University shall conduct entrepreneurship development programs with the objective to promote, develop and commercialize the technologies.
6. University shall provide training to students of government schools that includes promotion of skills self-awareness, communication, interpersonal skills, problem-solving, creative thinking, gender sensitization, climate change and environmental pollution.

Innovations, Incubations, Entrepreneur Development

IIE division at KLEF promotes innovation, research and entrepreneurial activities in technology development related areas. It provides a platform for startups for converting their ideas into commercially viable technology/product.

1. The university shall create an innovation culture by organizing various kinds of programs such as ideation programs and collection of innovations from research undertaken in respect of academic, extension, extramural and outreach.
2. The major outcome of the research shall be incubated in the incubation centre.
3. Students shall be allowed to select an incubated product and use the same to be developed in large scale through a separately established start-up. All the training required for the students to become entrepreneurs shall be imparted.
4. Every innovation shall lead to filing a Patent.


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5. The university shall provide the support required for filing the patents and also for completing the ground work required to get the patents registered and licensed.

Promotion of Research:

Research is the foundation of any institute in higher education and its promotion reflects both in vision and mission of the university. To create a strong ecosystem in research, KLEF is committed to provide the required monetary and infrastructural support to the faculty members and students. KLEF shall ensure that research in all fields that include trans and multidisciplinary types grows exponentially, keeping the ethical norms and research standards intact.

KLEF shall provide SEED money to the newly joined faculty to set up laboratories and initiate research.

KLEF shall recognize the research carried out by its faculty and students by providing incentives for publishing papers, patents, funding projects and contribution to the H-index of the university.

KLEF shall create Post-Doctoral Fellowship (PDF) positions to enhance the research and innovation ecosystem by attracting young exceptionally talented scientists and engineers.

KLEF shall provide full/partial financial support for filling patents and paying open access fees of the journals.

KLEF shall provide financial support to faculty members for presenting their papers in conferences and workshops.

KLEF shall provide incentives to research scholars to motivate them to publish their work in reputed journals.

KLEF shall provide professor-based research labs to its faculty on a competitive basis for carrying out transdisciplinary research and enhancing the strong research ecosystem within the university.

KLEF shall provide internal grants for projects submitted by the faculty in innovative areas leading to quality publications, patents and external funding.


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