



# Koneru Lakshmaiah Education Foundation

(Deemed to be University u/s 3 of UGC Act 1956)

Vaddeswaram, Green Fields, Guntur District

Ph : (0863-2399999), <https://www.kluniversity.in>

**REGULATIONS**

**FOR Ph.D.**

**PROGRAMMES**

**2018-19**

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# KL UNIVERSITY

## REGULATIONS FOR Ph.D. PROGRAMMES

### 1. GENERAL

- 1.1. The University strictly adheres to the UGC (Minimum standards and procedure for award of Ph.D. degree) Regulations, 2016 for research programmes both in letter and spirit.
- 1.2. The University do not offer Ph.D. programme through distance education mode.
- 1.3. The University admits candidates into Ph.D. programs duly approved by Board of Studies of the respective departments.

### 2. CATEGORIES OF ADMISSION

Candidates admitted into the Ph.D. programme of the University are of the following categories:

- a. Full-time (FT)
  - b. Part-time (PT)
- a) Full time: All approved candidates who pursue full-time research in this University shall belong to this category.
  - b) Part-time: Candidates working in Industry involved in R&D activities, Colleges or Research Organizations, approved by this University, and who are sponsored for pursuing Ph.D. Programme in this University while continuing in their job, shall belong to this category.

### 3. ELIGIBILITY

#### 3.1 Minimum Qualification

The minimum educational qualifications for admission into the Ph. D programme of the University are as follows:

##### 3.1.1 Ph. D in Engineering

Candidates with a first class (minimum of 60% marks or 6.75 CGPA) Master's degree in Engineering/Technology or M.Tech. by Research or equivalent Degree from any university recognized by UGC.

5% relaxation (minimum of 55% marks or 6.25 CGPA) will be applicable for SC/ST/ differently abled candidates as per the Central Government Norms.

##### 3.1.2 Ph.D. in Sciences/Management/Humanities

Master's degree or its equivalent in the relevant area with a minimum of 55% marks or 6.25 CGPA from any University recognized by UGC.

5% relaxation will be applicable for SC/ST/differently abled candidates as per the statutory bodies' norms.

  
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### 3.1.3 Ph.D. with B.Tech. Qualification

Top 100 rankers in GATE Examination with minimum CGPA 8.0 on a 10-point scale in BE/B.Tech or equivalent degree, possessing an excellent academic track record right from 10<sup>th</sup> Standard onwards may be considered for admission into a limited number of seats for Ph.D. programme in Engineering. Such candidates who are provisionally selected should complete a minimum of 20 course credits as prescribed by the University.

## 4. RESEARCH PROGRESS and ASSESSMENT COMMITTEE (RPAC)

To prepare the vacancy list in each research group with eligible supervisors, to coordinate with Controller of Examinations for planning and conduction of entrance test & interviews and recommending the list of selected candidates to the VC through Dean (R&D), a Research Progress and Assessment Committee (RPAC) is constituted in each department.

The following will be the composition of the RPAC in each department, constituted by VC in consultation with Dean (R&D).

Eminent researcher possessing a Ph.D. degree in the department	- Chairman
Head of the Department	- Convener
Two senior faculty members possessing Ph.D.	- Members
A faculty possessing Ph.D. from allied department	- Member

## 5. SELECTION PROCEDURE

### 5.1 Indian Applicants:

Eligible applicants possessing the minimum educational qualification in line with the reservation policy and satisfying additional criteria items, if any, set by the departments from time to time have to qualify in a written test and an interview by the university.

Candidates seeking admission into Ph.D. program other than the respective PG discipline shall appear for the entrance examination and interview in the area of research seeking admission.

The university reserves the right to allow or disallow a candidate seeking admission to Ph.D. program of other disciplines (Inter Discipline Research). If permitted, such candidates have to do additional course work in the registered discipline and the degree will be awarded only in the registered discipline.

For those candidates who qualify UGC (NET) / CSIR (JRF examination /SLET/GATE, teacher fellow ship holder or possessing M.Phil., or working as Scientists in Government Organizations & Research Labs with 5 years' experience, the entrance test may be waived off.

Based on the performance of the candidates in the test and/or interview, the RPAC Chairman will recommend to the Vice Chancellor through Dean (R&D), the names of such candidates found suitable for admission into the Ph.D. programme. The Vice Chancellor, after due consideration of the recommendations of the Dean (R&D), will accord approval for research admissions. Those who have joined under Full-Time mode in Ph.D with NET/GATE qualification will be given JRF/SRF fellowship as per UGC guidelines. In case of necessity and non-availability of NET/GATE qualified candidates, the University may consider the fellowship based on merit obtained in KLEF entrance and subsequent Interview. For all JRF/SRFs the fellowship grant will be given equivalent to the UGC JRF/SRF fellowship.

  
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## 5.2 Foreign /NRI/PIO/ Applicants:

Foreign National /NRI/PIO are exempted from appearing Ph.D entrance test. However they shall submit a report on the proposed research work clearly indicating the problem statement, scope literature review, methodology or approach planned. Conclusions etc along with the application. This report will be assessed by the concerned RPAC of the department and the chairman of RPAC will arrange a video/tele conference with the candidate to assess and sanction provisional admission to ph.D program.

Foreign /NRI/PIO/applicants may choose to do the Ph.D programme in Full time or Part time mode. If they wish to do the programme in part time mode. K L University approved external supervisor must be available at their place of work.

## 6. REGISTRATION

Candidates listed in the selection, proceedings issued by Vice Chancellor are required to register into the Ph.D. programme after payment of prescribed fee and fulfilling other formalities/requirements as specified by the university. No transfer of Registration from other Universities is allowed.

## 7. ALLOCATION OF SUPERVISOR

- a) The allocation of the supervisor is decided by the RPAC in a formal manner by taking into account the number of scholars per faculty supervisor, the available expertise among the faculty supervisors, and the research interest of the candidate. The allotment of supervisor shall not be left to the individual candidate or faculty.
- b) There shall be not more than two supervisors from the University for a research scholar.

## 8. RESEARCH SUPERVISION

### 8.1 Eligibility Criteria to be a Ph.D. Supervisor

- i. A Ph.D. degree from recognized university in an area broadly related to the area of proposed supervision.
- ii. At least three research papers in the relevant area published in indexed journals.

### 8.2 Scrutiny of applications for recognition of Supervisors

Faculty desirous to guide the scholars shall apply in the prescribed format (Annexure C) well in advance to the Registrar, KLU. Applications received for recognition of supervisor will be scrutinized by the respective RPAC through Dean (R&D) and then forwarded with due comments to the Vice Chancellor for final approval.

### 8.3 Number of Scholars with a Supervisor

**At any given point of time a supervisor shall not have more than eight (8) scholars as a guide and (8) scholars as a CO-Guide.**

## 9. DOCTORAL COMMITTEE.

The RPAC Chairman shall forward the information regarding the admitted scholars their preferred area of research along with the details of recognized supervisors of the department with their area of specialization to Dean (R&D) for constitution of a Doctoral Committee (DC). Within 4 weeks of the date of admission of the research scholar.





The Composition of the Doctoral Committee (DC) is as given below.

1. Senior faculty possessing a Ph.D . Degree in relevant research ---- Chairman
2. Research supervisor ---- Convener
3. Two Senior faculty members possessing Ph.D degree in the Department or one from the department and another from an allied department. If the area of research is interdisciplinary in nature.
4. The Dean (R&D) after due consideration of the recommendations of the RPAC Chairman will accord approval to the Doctoral Committee of each scholar.

## 10. CONVERSION OF THE REGISTRATION STATUS

Candidates registered under Part time can be converted into Full time and vice versa. Rules pertaining to the respective admissions shall prevail. Time spent as part – time scholar be treated as 2/3<sup>rd</sup> of the time spent as a full-time scholar. Scholars seeking conversions of registration status shall submit an application to the Dean (R&D) through the research supervisor, DDRC & RPAC. The RPAC will notify the decision of the Dean (R&D) to individuals.

## 11. CHANGE OF SUPERVISOR OR APPOINTMENT OF CO-SUPERVISOR

The DDRC of a research scholar may recommend change of Supervisor or appoint a Co-supervisor on the request of the scholar for valid reasons recorded. In such a case the consent of the existing Supervisor and proposed supervisor/co-supervisor shall be taken. In case any supervisor goes on long leave (more than a year) or resigns or retires from the university, the Vice Chancellor will nominate another faculty as the supervisor on the suggestion of the Chairman, RPAC through proper channel. If there is a change of supervisor, the submission time of the thesis will be reviewed by the RPAC and sent for approval to VC through proper channel.

## 12. FINALISATION OF AREA OF RESEARCH

The research scholar will make a presentation on the proposed research area/topic to the DDRC. The DDRC will consider the proposed research area/topic, approve the same and prescribe pre-Ph.D. courses of study. The DDRC shall forward such list of courses to Dean (R&D) through RPAC Chairman.

## 13. COURSE WORK

Having been admitted, each Ph.D. scholar is required to undertake course work for a minimum period of one semester. The course work shall be treated as pre- Ph.D. preparation and must include the courses given below.

### 13.1 Pre-Ph.D. Courses

- a. The RPAC of each department has to release a set of courses & syllabus approved by respective BOS, covering all research options available (not more than 30 in number and preferably from the PG Programs being offered by their department), which enable the DDRC in selecting the required courses for the scholar. However, one course work on Research Methodology is mandatory for all scholars across the University.
- b. Scholars who are admitted into the Ph.D. programs have to appear and pass the Pre-Ph.D. examination in the following courses.
  - i. Research Methodology
  - ii. At least 2 other courses (for candidates with PG) and 5 courses for UG in Engineering.

  
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- c. Full-time scholars (FT) can attempt Pre-PhD examination after completion of 6 Months from the date of registration. The FT scholar who is paid with stipend and the faculty who are registered as FT must qualify Pre- PhD examinations within two years from the date of registration. The FT scholars who do not comply with this requirement must re-register for the PhD program in part-time mode and the entire fee payable will be applicable as prevailing at the time of re-registration. The FT scholars must repay 50% of the stipend paid before re-registration can be affected.
- d. Part-time scholars (PT) can attempt Pre-PhD examination after completion of 6 Months from the date of registration. The PT scholar must qualify Pre- PhD examinations within two and half years from the date of registration. The PT scholars who do not comply with this requirement must re-register for the PhD program and the entire fee payable will be applicable as prevailing at the time of re-registration.
- e. A scholar is permitted to avail only three chances (attempts) to clear the Pre-Ph.D examinations.
- f. A scholar is not permitted to submit the thesis within one year from the date of completion of Pre-Ph.D. examination.
- g. The research scholar shall secure a minimum of 50% marks in the courses specified above to pass the Pre-Ph.D. examination. Two evaluations will be made for every course and if the difference of marks in two evaluations is more than 15%, it will be sent for the third evaluation and the average of highest two evaluations will be considered.
- h. If found necessary, course work may be carried out by Ph.D. scholars in Departments/ Institutes either within or outside the university where PG courses are being offered. A certificate has to be produced by the scholar from Head of the Institution to that effect where the course work has been taken-up.

If the scholar is having more than 15 years of teaching or Industrial experience and proven research capability in the area of research, he/she may be exempted from attending the course work by the Vice Chancellor, based on the recommendation of RPAC Chairman. However they have to appear for the Pre-PhD examinations conducted on these courses by the University.

## 14. MONITORING RESEARCH PROGRESS

### 14.1 Research Review – Seminar Presentations

Every scholar pursuing Ph.D. has to present the research progress in the form of a seminar in the department regularly every six months. By the time the scholar submits his/her thesis, he/she should have given a minimum of four seminars in the department.

NRI/PIO scholars may present their research progress seminars through webinars, by taking prior approval from the RPAC concerned. However, they should physically visit the University at least once in a year.

### 14.2 Progress Reports

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- i. After registration, every scholar should submit a half-yearly progress report (ANNEXURE-E) through the Supervisor and DDRC to the RPAC.
- ii. Along with the first progress report, the scholar shall present his plan of research work.
- iii. The half-yearly progress report should cover the following aspects
  - a. The review of literature.
  - b. New data acquired/techniques developed.
  - c. Research papers published/presented/communicated, if any.
  - d. Discussion of the work done.
  - e. Review of plan of research work
- iv. If any Scholar fails to attend 2 consecutive reviews without valid reasons or fails to submit the progress reports or the DDRC dis-approves the progress based on the reports submitted and presented by the scholar, his / her admission stands cancelled.

## 15. MINIMUM DURATION OF THE PROGRAM

The minimum duration of the Ph.D. program normally is as follows:

- i. For candidates with Master's Degree in Engineering or equivalent degree -
    - a. 3 years, for Full-time scholars
    - b. 4 years, for Part-time scholars
  - ii. For candidates with Master's Degree in Sciences/Management/Humanities or equivalent degree -
    - a. 3 years, for Full-time scholars
    - b. 4 years, for Part-time scholars
- M.Phil. degree holders in the relevant area will be given 1 year exemption from the above.
- iii. B.Tech. or equivalent -
    - a. 4 years, for Full-time scholars
    - b. 5 years, for Part-time scholars

In certain exceptionally deserving cases, the RPAC Chairman may recommend to the Vice Chancellor through Dean (R&D), for granting permission for early submission by not more than six months.

## 16. MAXIMUM DURATION OF THE PROGRAM

Full time / Part time research scholars may submit the thesis within 6/8 Years(Refer to regulations 15) respectively from the date of registration. The RPAC may recommend extension of the period of submission of the thesis by two more years for valid reasons recorded with the approval of Vice Chancellor.

## 17. CANCELLATION OF REGISTRATION

- a. The registration of a research scholar whose progress is not found to be satisfactory by the RPAC is liable to be cancelled.

  
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- b. The registration of a research scholar who has not submitted his/her thesis before the end of the maximum permissible period as per regulation 16 will be cancelled.
- c. If the scholar is not registered or the performance is not satisfactory for two semesters consistently, RPAC may recommend for the cancellation of registration. In case of full time scholar, RPAC may recommend to cancel the scholarship. Based on the recommendations of RPAC and Dean (R&D), Vice chancellor will take the decision.
- d. University reserves the right to cancel the registration at any point of time if found guilty due to plagiarism or any valid reason, on the recommendations of University Research Board. If the registration of a scholar is cancelled by the University due to any of the above reasons and then the scholar would like to re-register, University may allow for re-registration based on the RPAC recommendations. However, the rules, regulations and tuition fee of the batch for which he is registered will be applicable.

## 18. PRE-TALK

The Thesis shall report, in an organized and scholarly fashion, an account of the original research work of the candidate leading to the discovery of new facts or techniques or correlation of facts already known (analytical, experimental, etc.) and demonstrating a quality as to make a definite contribution to the advancement of knowledge and the candidate's ability to undertake independent research and present the findings in an appropriate manner with actual accomplishments of the work, plainly stated and honestly appraised.

### 18.1

- i. A scholar, having pursued the research work for the minimum specified length of period and carried out sufficient research work, may inform this to the DDRC through his/her supervisor along with a summary on the research work done by him/her and request for arranging a Pre-Talk.
- ii. Consequent upon receiving such intimation the DC should convene a meeting of the RPAC which will go through the summary /report and make an assessment whether the scholar has carried out research work of sufficient quality and quantity. If satisfied RPAC will recommend Dean (R&D) for conduction of pretalk (Open Talk) by Scholar at the Univeristy level:
- iii. Upon the recommendations of RPAC Dean (R&D) shall verify & issue NOC and convene the Pre talk (Open Talk) at the University level and shall provide the approval for the submission of synopsis based on the recommendation of RPAC. If synopsis is approved, the scholar has to submit 6 hard copies and soft copy(2 CD S) of synopsis within 30 days to the controller of Exams through Dean(R&D). After the submission of synopsis maximum two months time will be given for submission of the thesis. The scholar shall submit 6 hard copies & soft copy (2 CD.S) of thesis to the controller of Exams through the Department concerned & Dean (R&D). If the scholar fails to submit the thesis within 2 months, re conduction of open talk and re submission of synopsis is mandatory.
- iv. After getting the clearance from the RPAC & Dean (R&D) the scholar would prepare for the submission of the thesis . And before submitting the thesis.
  - a) The scholar should have passed pre-ph.D examination
  - b) The scholar should have published at least three papers (Two in Scopus Indexed journals and one in Scopus & Web of Science Indexing Journal after the date of registration for phd) in refereed indexed journals confining to his/her area of research as prescribed & approved by the Department

  
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- c) The RPAC concerned should certify that the scholar had regularly submitted the progress reports.
- d) The RPAC shall also certify that the scholar has given a minimum of four research seminars in the department during his/her period of research work
- e) The Dean(R&D) shall issue no objection certificate and Anti Plagiarism certificate on the originality of the submitted work stating that the match is up to or less than 30%.  
The Scholar must submit no dues certificate.

## 19. PANEL OF ADJUDICATORS

The thesis will be referred to three adjudicators chosen by the Vice Chancellor (one from within the state one from outside the State and one from outside the country) from a panel of eighteen members. Six adjudicators from Universities with in the state , six from IIT /IISC Central Universities NIT/National Research labs or any other reputed Universities outside the state and the remaining six adjudicators fro Abroad. The panel of Adjudicators have to be recommended by DC and duly forward by chairman, RPAC to Dean (R&D) for VC s Approval.

## 20. EVALUATION OF Ph.D. THESIS


**20.1** Each adjudicator after examining the thesis submitted by the scholar will submit a report containing a clear recommendation as

1. The thesis is accepted and viva-voce can be held.  
OR
2. The thesis should be referred back to the scholar for revision and re-submission before conducting viva- voce.  
OR
3. The thesis should be referred back to the scholar for revision and re-submission for re-evaluation.  
OR
4. The thesis is rejected.

**20.2** The adjudicators may relevant questions/ seek clarifications on the subject matter of the thesis.

**20.3** The university can take a decision on the thesis based on the three reports according to the following:

Recommendation of Adjudicators			Decision
1	2	3	
Accept	Accept	Accept	Accept
Accept	Accept	Revise	Revise & send to same adjudicator who recommended revision ( if requested by the adjudicator)
Accept	Revise	Revise	Revise & send to same adjudicator (s) who recommended revision ( if requested by the adjudicator(s))
Revise	Revise	Revise	Revise & send to same adjudicator (s) who recommended revision ( if requested by the adjudicator (s))
Accept	Accept	Reject	Revise & send to 4th adjudicator of same category who rejected
Accept	Revise	Reject	Revise & send to 4th adjudicator of same category who rejected and also send to same adjudicator who recommended revision ( if requested by the adjudicator)
Accept	Reject	Reject	Reject

  
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Revise	Revise	Reject	Revise & send to 4th adjudicator of same category who rejected and also send to same adjudicator (s) who recommended revision ( if requested by the adjudicator (s))
Revise	Reject	Reject	Reject
Reject	Reject	Reject	Reject

- 20.4** When the thesis is referred to the fourth adjudicator, the fourth adjudicator's opinion is considered in the place of "Reject".
- 20.5** For revision and resubmission of thesis, the scholar may be given a maximum period of one year from the date of communication by the university

## 21. VIVA VOCE

- 21.1** After the thesis is accepted an open Viva- Voce will be held in the University by a Board comprising the following members.
- |  |          |
|--|----------|
| 1. Chairman, RPAC  | Member   |
| 2. One of the Indian Adjudicators who has adjudicated the thesis | Member   |
| 3. Supervisor  | Convener |
| 4. HOD/ BOS Chairman   | Member   |
- 21.2** The reports of the external adjudicators shall be made available to the scholar prior to the viva-voce examination.
- 21.3** The Viva- Voce is primarily designed to test the depth of knowledge of the scholar on the subject matter of the thesis, including methodology adopted and the scholar's competence in defending his/her thesis to explain the observations made in the field of study.
- 21.4** The scholar has to address the clarifications sought by the external adjudicators through their reports during viva – voce.
- 21.5** The majority opinion of the viva-voce Board is consider as
- (a)The scholar be awarded the Ph.D. Degree  
OR  
(b)The scholar has to re-appear for the Viva- Voce after a stipulated period of time as specified by the Board.

## 22. AWARD OF Ph.D. DEGREE

Upon successful completion of Viva- Voce and on consideration of the reports of the Viva- Voce board and the thesis adjudication, the Vice-Chancellor may approve the Notification of the award of the provisional Ph.D. degree to the scholar. The award of the degree will be confirmed by the Board of Management (BOM).

## 23. DISCIPLINE

All the research scholars shall follow the discipline rules and regulations of the university.

## 24. LEAVE RULES

Full time scholars are eligible for one casual leave per month to be sanctioned by respective HOD. The scholar is also eligible for a maximum of 15 days of medical leave per annum a

female scholar can avail 45 days of maternity leave (max 2 times during period of research) to be recommended by the DEAN (R&D) for sanction by Vice Chancellor.

## 25. DEPOSITORY WITH UGC

Following the successful completion of the evaluation process and notification of the award of Ph.D the University shall submit a soft copy of the Ph.D thesis to the UGC within a period of 30 days for the hosting the same on information & Library Network (INFLIBNET). Accessible to all institutions/Universities.

Along with the declaration of Ph.D. the University/institution shall issue a provisional Certificate certifying to the effect that the degree is awarded in accordance with the provisions of the Research Regulations of University Grants Commission and the University.

## 26. FEE REMITTANCE

**26.1** The candidate shall pay the examination fee, adjudication fee, and viva-voce fee in favor of "Controller of Examinations, KL University", and tuition fee in every semester in favor of "KL University" payable at VIJAYAWADA. The scholar shall pay the semester tuition fee at the beginning of every semester before registration. Without fee payment semester registration cannot be made.

**26.2** The faculty of the University is encouraged to do Ph.D. in the university, and 75% of tuition fee waiver will be granted, if the faculty agrees to work for 5 years after the award of the Ph.D. degree in the University. If he/she would like to leave the University, the candidate shall pay the total fee waived at the time of relieving. Otherwise, the University reserves the right to cancel the Ph.D. registration

## 27. EXCEPTIONAL REFERENCE

In all other cases not covered by the above-mentioned regulations, the matter shall be referred to the University Research Board for consideration.

## 28. POWER TO MODIFY

In case of any doubt or ambiguity in the interpretation of above rules, the decision of the Vice-Chancellor is final. The University Research Board is competent to recommend to the Academic Council any modifications to these regulations and the modifications will take effect only after the approval by the Academic Council.

The above rules and regulations are applicable w.e.f. 2018-19 academic year. However, the regulations relating to conduct of examination, pre talk, and evaluation are applicable retrospectively for all batches of students pursuing Ph.D. since 2009.

  
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