

# **ACADEMIC RULES & REGULATIONS**

## **Ph.D** **(Doctor of Philosophy)**



## **K L UNIVERSITY**

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## **INTRODUCTION**

KL University – hand book enables the student in understanding the general guidelines governing the regulations and provisions contained in varied streams of engineering and technology, under the purview of both graduate study (B.Tech, BBA/BHM, B.Com (Honours) & Post graduate study (M.Tech, MCA, MBA, M.Sc.) and academic research programmes (Ph.D).

### **a) History**

K L University has been established in the year 2009 after having received this distinction from University Grants Commission (UGC) under the section 3 of UGC Act of 1956. It is an offshoot of the renowned K L College of Engineering (KLCE) which was established in the year 1980. KLCE was made autonomous in the year 2006 and accorded the deemed to be University status in 2009.

K L University is a pioneer in the field of engineering education and research in private sector in the state of Andhra Pradesh.

### **b) Location**

K L University is situated in a spacious 60-acre campus on the banks of Buckingham Canal of river Krishna, eight kilometers from Vijayawada city. It is surrounded by greenery, making it an ideal location for academic pursuits. The institute has a built up area of around 101, 00,000 sq.ft. housing essential infrastructure.

## **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 caters to the emerging societal needs through all-round development of students of all sections enabling them to be globally competitive and socially responsible citizens with intrinsic values.*

## **VALUES**

K L University believes that values are the embodiment of what an organization stands for and the core values which can be summed up as four Cs- COMMITMENT, COMPETENCE, CANDOUR and CARING and are the guiding light of the institution.

As O'Brien opines

*“Ultimately the quest for organizational transformation must begin with a personal commitment within each individual to attain moral excellence”.*

K L University is an institution characterized by moral excellence embodying qualities of Leadership, Virtue and Wisdom.

## **RECOGNITIONS**

The constituent K L College of Engineering has grown in leaps and soared to the level of being recognized as University due to its achievements right through.

## **As a College of Engineering**

- Approved by All India Council for Technical Education (AICTE), New Delhi.
- Accredited by National Assessment and Accreditation Council (NAAC) of UGC as 'A' Grade with a CGPA of 3.76 on 4 point scale.
- ISO 9001-2000 Certified Institution.
- Accredited by National Board of Accreditation (NBA), twice in 2004 and 2007 (for 5 years).
- Autonomous since 2006.

## **As a University**

- K L University has been adjudged as the 'Best private University in Andhra Pradesh' by the Brands Academy India; New Delhi.

## **KLU – AMENITIES**

### **a) Srichakra Temple**

The University has a Srichakra Temple where all stake holders perform various types of pujas and carry out meditation.

### **b) Guest Accommodation**

The University operates two guest houses - one outside the University premises in the heart of Vijayawada city and the other within the University campus. The guest houses are being used to accommodate the foreign and Indian Professors, Industrial experts, and dignitaries visiting the institution.

### **c) Bank**

The University has an adjoining Bank (State Bank of Hyderabad). Students can avail the facilities the bank provides for all their financial transactions which include funds transfer, loan rising etc. The bank has an ATM outlet for the utility of the students and the faculty.

### **d) Postal Service**

A Post office is situated within the campus making it easy for the students to answer all their mailing needs.

### **e) Co-operative stores**

A cooperative store is situated in the University campus. The stores maintain all the stationery items that are regularly required for educational purposes. It also has facilities like reprography, spiral binding, lamination, book binding etc.

### **f) Medical Facilities**

The University has appointed doctors spreading across all the fields of medicine which include Homeopathy, Allopathy and Ayurveda. An emergency vehicle is available round the clock to tackle any situations of emergency. Regularly required medicines are also stacked within the medical centers of the University and the same are replenished as and when there is shortage. The appointed doctors visit the campus at designated hours and the students can meet the doctors during the same. In case of an emergency the students can call any of the key personnel or the in-charge security for assistance.

A full-fledged health center with all the facilities is established to cater to the health needs of the students, faculty, staff and the general public in the adopted villages. It consists of three doctors -Homeopathy, Ayurveda and Allopathy.

### **g) Power Distribution System**

The University has excellent power distribution system supplying power for the manifold demands of the University with 100% backup through generators.

### **h) Open Air Theater**

The University has an open air auditorium with a seating capacity of 3500 for conducting various activities throughout the year.

### **i) Conference Halls**

The University has air-conditioned conference halls of different sizes that are equipped with state of the art gadgets and these are suitable for conducting events even at the international level. Many of the international events can be conducted simultaneously using the conference halls. All the conference halls are air conditioned.

### **j) Center for Systems Management**

The University operates huge amount of hardware, network and software. As many as 10,000 computers are in place with Wi-Fi network operating round the clock. The networks are built with many redundant communication channels making the communication continuous and fail safe. Many engineers work round the clock to make all kinds of systems function smoothly.

### **k) Center for Development of Communication Skills (Language Lab)**

The University has established a huge language LAB which has the facilities to learn the language in terms of spoken English, verbal and nonverbal communication, Listening, Phonetics, writing, expressions etc. The Language is built around internationally renowned software – Globarena. It is here the students are trained to start communicating effectively.



## **l) Virtual Industry on campus**

The University has established a Virtual Industry on Campus in association with Zensor Technologies. The students have an opportunity to interact with the experts around the world and participate in the project development while physically being stationed in the University. The University has provided the entire infrastructure required including the hardware, software and the network with huge bandwidths required for participating in the global development environment.

## **m) Student Guidance and Welfare**

The University gives maximum importance to the student, who is the main stake holder. A separate “Student Welfare” division is instituted to give immediate solutions for various student problems. This division looks after student discipline, hostels, transportation, canteen, sports and extra-curricular activities of students, social service wing, NSS, scholarships, cultural activities, hobby clubs, health center, special counseling and career guidance, imparting the life skills to the students in the campus. This division mainly helps the students in their personality development and acquisition of social skills in tandem with professional expertise.

## **n) Hostel facility**

The University has separate hostels for boys and girls with well furnished rooms and modern amenities. The overall atmosphere is very conducive for the students to concentrate on studies. A state-of-the-art kitchen and spacious dining area has been provided for both the hostels. The high powered generators provide backup power. A customized menu caters to the student needs and it keeps changing according to their tastes. Senior faculty has been allocated to look into all the problems related to the hostels. All the hostels are equipped with round the clock security, communication and dispensary facilities. They are Wi-Fi enabled and students have ambience to study longer hours.

### ***The Girls Hostel***

The girls hostel is in the campus itself and houses 1200 students. Different rooms accommodating 2 per room, 3 per room and dormitory have been provided. Rooms are designed with different amenities and facilities as per the choice of the students. Some of the rooms are provided with attached toilets, A.C, modern furniture and separate study rooms.

### ***The Boys Hostel***

It is a short walk from the University accommodating 1600 students in different types of rooms (2 per room, 3per room). Rooms with attached bath and built-in A.C units provide for comfortable living for the students.

### **o) Hobby Clubs**

The University hobby club known as KLUSO is completely managed by the students. The Clubs contribute to the cultural life on the campus and to the development of the students. Around 20 student bodies and clubs operate in the campus such as music society, dance club, drama society, literary and debating club, English press club, drawing club, painting club, mime club, computer club etc. Students manage entire activities and budget of the clubs. Around 4000 students are the active members of the hobby clubs. The University has appointed various experts in each of the art areas to hone the latent talent of the students.

### **p) Cultural Activities**

The cultural festival in the even semester every year is the best platform for the students for exhibiting their talent and creativity. Through these festivals the University is imparting organizational, leadership and team behavioral skills and competitive spirit in the students.

### **q) Technical Activities**

The University organizes various programmes for the all-round development of the students. The technical festival and project exhibition

is being organized in the odd semester every year to elicit the innovative ideas and technical skills of the students.

#### **r) Student Associations**

The University believes in all-round development of the students. The students are continually exposed to learning and practicing the organizational skills. The students of every department form into an association and organize several programmes which include Seminars, Technical News, Who is who, Paper presentations, enactment etc. The associations are fully run by the students but monitored and controlled by the faculty as and when necessary. Through these association activities students develop team work, organizational skills, self-confidence, professional ethics etc.

#### **s) Canteen**

The University has a spacious canteen with latest equipment and hygienic environment providing quality food and prompt service catering to the needs of all students and staff. The canteen is open from 6.30 am to 8.30 pm. There is a wide variety of North-Indian and South- Indian cuisine.

#### **t) Transportation**

The University has a strong fleet of 40 buses operating in two shifts in different routes of Vijayawada, Guntur and Tenali with a total seating capacity of 4000 students. Besides providing the bus service, the institute maintains a pool of vans for meeting the transport requirements of the senior faculty. An emergency vehicle is also available round the clock.

Students on commencement of academic year are to remit nominal amount with transport cell as an annual fee for availing bus pass to travel from Vijayawada, Guntur and Tenali. The transport officer then issues bus passes to the students along the designated routes. The bus pass is valid for one year and students are expected to produce the pass for identification on demand. This transport cell is in the process of

expansion of its services by increasing its boundaries of operation. The transport department also caters to the academic needs of students' like industrial visits and tours.

#### **u) Social Service Wing**

The University has a social service wing which channelizes the social service activities of the faculty, staff and students. It has adopted 5 nearby villages and conducts activities like medical camps, literacy camps and educates the villagers regarding hygiene and health care at regular intervals.

#### ***NSS Wing of the Institute***

The National Service Scheme (NSS) wing regularly organizes activities like blood donation and blood grouping camps, fund collection and distribution to poor children and old age homes, distribution of old clothes and free medicines to slum dwellers, tree plantations, AIDS awareness programme, teaching basic computer skills to a target group of 500 people in villages etc.

## OUR ADMINISTRATORS

The following are the Key personnel of the University.

All the students are advised to contact them for any of their queries, guidance and direction.

<b>Name</b>	<b>Designation</b>	<b>Email</b>
Er. Koneru Satyanarayana	President	president@kluniversity.in
Dr. G.L. Datta	Chancellor	chancellor@kluniversity.in
Dr. R. Sreehari Rao	Vice-Chancellor	vc@kluniversity.in
Dr. B.V.A. Rao	Advisor-HR&IR	bvarao@kluniversity.in
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Prof.V. Chandra Prakash	Director (Admissions)	vchandrap @kluniversity.in
Mr.M. Kishore Babu	Director (International Relations)	--
Mr. M. Suman	Asst. Registrar	suman.maloji @kluniversity.in
Ms. Lakshmi Prasanna	Asst. Registrar	drprasanna @kluniversity.in
Sri A. Krishna Rao	Asst. Registrar	akr@kluniversity.in
Sri.V. Durga Prasad	Branch Manager (SBH)	--
Dr. K. Usha Rani	Librarian	--
Ms. P. Dhanalakshmi	In charge - Girls hostel	--
Mr. Srinivas	In charge - Boys hostel	--

**ACADEMIC RULES & REGULATIONS**

**Ph.D**

**(Doctor of Philosophy)**

## **1.0 INTRODUCTION TO THE PROGRAMME**

### **General**

The University offers Doctoral Programmes in different disciplines. Doctoral programmes are offered both full-time and part-time. Every department has been equipped with laboratories and specialized centers for conducting the research. Scholarships are offered for the full-time scholars for conducting research.

Research programmes are also being offered using the funding schemes offered by DST (Department of Science and Technology), AICTE (All India Council for Technical Education), DBT and other Government establishments. Every student must qualify in the relevant PG programme by securing at least 55% of aggregate marks to qualify for taking the entrance exam and interview for the doctoral programmes.

The university shall adopt and strictly adhere to the UGC (Minimum standards and procedure for award of M.Phil/Ph.D degree) Regulations, 2009 for research programmes both in letter and spirit. The university shall not conduct Ph.D programmes through distance education mode. The university shall offer Ph.D programmes duly approved by Board of Studies of the department concerned.

### **Categories of Admission**

Candidates will be admitted into the Ph.D programme of the university under one of the following categories:

- a. Full-time research scholars.
- b. Part-time research scholars. Candidates from a reputed University/ Institution/ Industry (Extramural) may be admitted as Part-time/ Extramural research scholars. Employees of KLU would also be eligible to seek admission as part-time scholars.
- c. Candidates with only B.Tech qualification are not eligible to apply for admission as Part-time scholars.



## **Stipend for full-time research scholars**

A monthly stipend up to Rs.16, 000/- (Sixteen Thousand only) is given to full-time research scholars doing Ph.D in Engineering and Rs.8000/- (Eight Thousand only) for full-time Ph.D research scholars in Sciences, Humanities and Management.

## **Selection Procedure**

- a. Eligible applicants possessing the minimum educational qualifications in line with the reservation policy and satisfying additional criteria items, if any, set by the departments from time to time will be called for a test and an interview by the University.
- b. For those students who qualify UGC (NET) / CSIR (JRF) examination /SLET/GATE/ teacher fellowship holder or have passed M.Phil. Programme, the entrance test may be waived off.
- c. Based on the performance of the candidates in the test and interview, the departmental selection committee, as may be constituted by the Vice Chancellor, will recommend to the University Research Board, the names of candidates found suitable for admission into the Ph.D. programme.
- d. The University Research Board, after due consideration of the recommendations of the departmental selection committees, will accord approval for research admissions, subject to ratification by Academic Council. While granting admission to students into Ph.D programmes, the university shall pay due attention to the National /State reservation policy.

## **2.0 BRANCHES OF STUDY**

The University is offering research programmes in 14 departments, as on today.

1. Ph.D in Engineering.
2. Ph.D in Sciences, Management and Humanities.

## **3.0 PROGRAMME MODEL**

R&D activity in the University is designed to achieve the overall growth of the faculty and students. The Management is open minded to offer possible help for selected projects depending upon the outcome and time span required for its completion. The University encourages collaborative research with other institutes of repute, industries and research laboratories. All the eligible faculty of the University is encouraged to pursue their research programme leading to publications and acquiring their doctoral degree. Emphasis has been given to inculcate research orientation in the students by establishing innovation and incubation cell. In addition, students are encouraged to involve in the research and consultancy works of the faculty. Faculty of the University is encouraged to participate in programmes to update the knowledge in their research domain.

## **4.0 PROGRAMME OBJECTIVES**

The Programme Educational Objectives (PEOs) are the statements that describe the expected achievements of scholars within first few years of their graduation from the programme. They are guided by global and local needs, vision of the institution, long term goals etc. These need to be chosen to meet the programme outcomes. The chosen PEOs lead to the selection of courses under different categories.

- To *enable students to engage in advanced study and research* in a variety of fields in Engineering, Sciences, Management and Humanities
- To foster original and scholarly research that contributes to all of these fields
- To enable graduates to integrate their professional education and experience with the larger problems of life in general.

The general objective of the Ph.D Programme is to provide the scholars the training and experience required to tackle successfully the research tasks of science, technology, humanities and management, to elaborate his/her PhD thesis and to initiate them in a life dedicated to scientific research.

## **5.0 PROGRAMME OUTCOMES**

1. Engaging in exemplary research in cutting edge and contemporary fields.
2. Ability to establish and manage centers of excellence.
3. Exhibiting research in contemporary areas of engineering, technology, sciences and humanities.
4. Carrying out collaborative research with reputed research centers at national and international level.
5. Achieving Patents in the chosen areas of research.

## **6.0 PROGRAMME STRUCTURE**

### **Allocation of Supervisor**

- a) The allocation of the supervisor for a selected student shall be decided by the department in a formal manner depending on the number of students per faculty supervisor, the available specialization among the faculty supervisors, and the research interest of the student as indicated during interview by the student. The allotment / allocation of supervisor shall not be left to the individual student or teacher.
- b) There shall be not more than two supervisors from the university for a research scholar.

### **Change/Addition of Supervisor**

The Doctoral Committee of a research scholar may recommend change of Supervisor or appoint Co-supervisor on the request of the scholar for valid reasons recorded, on the request of scholar. Normally the consent of the Supervisor is to be taken. If there is a change of supervisor, the scholar can submit the thesis only after one year from the date of change.

### **Finalization of Area of Research**

The Doctoral Committee will meet normally within a month from the date of its constitution, where the research scholar will make a presentation on the proposed research area/topic.

The Doctoral Committee will consider the proposed research area/topic, approve the same and prescribe courses of study in this meeting.

## **RESEARCH SUPERVISION**

### **Eligibility to be a Ph.D Supervisor**

- i. A Ph.D degree with minimum two years of research experience.
- ii. At least three research papers in the relevant area published in journals which are indexed

### **Scrutiny of applications for recognition of Supervisors**

- i. The applications shall be scrutinized initially by the Departmental Research Committee (DRC), to be constituted by the Vice-Chancellor.
- ii. The final approval should be accorded by the University Research Board based on the recommendations of DRCs.

### **Number of Scholars with a Supervisor:**

A supervisor shall not have, at any given point of time, more than eight (8) Ph.D scholars.

## **COURSE WORK**

After having been admitted, each Ph.D scholar shall be 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:

### **Pre-Ph.D courses**

- i. Scholars who are admitted into the Ph.D programmes should have to appear and pass the pre-Ph.D examination in the following courses.
  - a. Research Methodology
  - b. At least 2 courses (for candidates with PG qualification) and 5 courses (for those with B.Tech qualification) in the area of research as recommended by Doctoral Committee and approved by University Research Board.

- ii. The scholars should take the pre-Ph.D examination after six months from the date of registration.
- iii. A scholar may be permitted three attempts to pass the pre-Ph.D. Examination.
- iv. A scholar may not be normally permitted to submit the thesis within one year from the date of completion of pre-Ph.D. examination.
- v. The research scholar shall secure a minimum of 50% marks in each course specified above to pass the pre –Ph.D examination.

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 extent where the course work has been taken-up. However, they have to appear for the examinations conducted in the University campus.

### **Seminar Presentations**

Every scholar pursuing Ph.D work should make a presentation of his/her work in 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.

## **MONITORING RESEARCH PROGRESS**

### **Progress Reports**

After registration, every scholar should submit a half-yearly progress report through the supervisor to the Doctoral Committee.

At the first progress report, the scholar shall present his plan of research work.

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
- d) Discussion of the work done.

If a scholar fails to submit two consecutive half-yearly progress reports in time, or the progress made by the scholar is not satisfactory, the Doctoral Committee may recommend to the University for Cancellation of the registration of the scholar.

## **7.0 ELIGIBILITY CRITERIA**

### **Minimum Educational Qualifications**

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

#### **a. Ph.D in Engineering**

Candidates with a first class (minimum of 60% marks) Master's degree in Engineering/Technology or equivalent Degree from University recognized by UGC.

#### **b. Ph.D in Sciences/Management/Humanities**

Masters degree or equivalent Degree in the relevant area with a minimum of 55% marks from a university recognized by UGC.

#### **c. Ph.D admission with B.Tech. Qualification**

Candidates with B.E /B.Tech or equivalent degree possessing an excellent academic track record right from 10<sup>th</sup> Standard onwards may be considered for admission to a limited number of seats in Ph.D. programme in Engineering Faculty. The requirements are as follows:

1. Minimum CGPA of 8.0 on a 10 point scale.
2. One of the top 100 Rankers in GATE.
3. Qualifying in admission test / interview conducted by the University.

Candidates who are provisionally selected should complete a minimum of 20 credits and the number of maximum credits is as per the recommendations of Doctoral committee.

## **CANCELLATION OF REGISTRATION**

- a) The registration of a research scholar whose progress is not found to be satisfactory by the Doctoral Committee is liable to be cancelled.
- b) The registration of a research scholar who has not submitted his /her thesis before the end of the maximum permissible period as in R.15 shall be cancelled.

## **8.0 BRANCH CHANGES**

Not applicable to this programme.

## **9.0 ACADEMIC FLEXIBILITY**

Not applicable to this programme.

## **10.0 ACADEMIC CALENDAR**

July to April

## **11.0 PROGRAMME DURATION AND MEDIUM OF INSTRUCTION**

Programme duration:

Full time : 3 Years

Part time : 4 to 5 Years

The medium of instruction is in English.



## **12.0 ATTENDANCE AND DETENTION**

- Attendance is mandatory for Full Time Ph.D scholars.
- Only one leave per month is allowed. More than one leave per month will be tenable to Loss of Pay, i.e., their stipend is reduced proportionately.

## **13.0 REGISTRATION**

Candidates whose selection is approved by the University Research Board will be, after receiving selection letter, required to be registered into the Ph.D programme after payment of prescribed fee and fulfilling other formalities/requirements as specified by the university.

### **13.1 Fees and Payments**

A student admitted to any course shall be required to pay, at the time of joining, and also in subsequent semesters, prevalent tuition and other fees as prescribed by the University till he/she is on roll including the period beyond the normal four-year duration. There is no discount in fees for reduced academic load. Normally the fee structure will not change during the programme; but if the University revises the structure in the middle of a programme, a student is obliged to comply.

### **13.2 Pre-Requisites**

#### **Pre-requirements for submission of Ph.D Thesis**

- i. When the scholar, after having pursued the research work for the minimum length of period as stipulated, satisfies himself/herself that he/she has carried out sufficient research work and therefore can submit the results in the form of a thesis, he/she should inform this to the Doctoral Committee through his/her supervisor. Along with this intimation, he /she shall also submit copies of the summary/synopsis of the research work done by him/her.

- ii. Consequent upon receiving such intimation, the supervisor should convene a meeting of the Doctoral Committee which will go through the summary/synopsis and make an assessment whether the scholar has carried out research work of sufficient quality and quantity.
- iii. After getting the clearance from the Doctoral Committee, the scholar prepares for the submission of the thesis. And, for submitting the thesis:
  - a) The scholar should have passed pre-Ph.D examination.
  - b) The scholar should have published at least two papers in refereed indexed research journals, confining to his/her area of research.
  - c) The Doctoral Committee concerned should certify that the scholar had regularly submitted the progress reports.
  - d) The Doctoral Committee shall also certify that the scholar has given a minimum of six research seminars in the department during his/her period of research work.
  - e) The Doctoral Committee shall also certify that the scholar has attended at least two research seminars/conferences held in universities/institutions of which at least one in other university/institute.
  - f) The Scholar shall produce No Dues Certificate in the format prescribed.

## **14.0 PROGRAMME DELIVERY SYSTEM**

### **Course Work**

After having been admitted, each Ph.D scholar shall be 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:

## **Pre-Ph.D courses:**

1. Scholars who are admitted into the Ph.D programmes should have to appear and pass the pre-Ph.D examination in the following courses.
  - a. Research Methodology
  - b. At least 2 courses (for candidates with PG qualification) and 5 courses (for those with B.Tech qualification) in the area of research as recommended by Doctoral Committee and approved by University Research Board.
2. The scholars should take the pre-Ph.D examination after six months from the date of registration.
3. A scholar may be permitted three attempts to pass the pre-Ph.D examination.
4. A scholar may not be normally permitted to submit the thesis within one year from the date of completion of pre-Ph.D. examination.
5. The research scholar shall secure a minimum of 50% marks in each course specified above to pass the pre –Ph.D examination.

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 extent where the course work has been taken-up. However, they have to appear for the examinations conducted in the University campus.

## **15.0 CHECK FOR PLAGIARISM**

For ensuring originality of the submitted content, the thesis shall be subjected to anti-Plagiarism check and it will be permitted for submission only when the match is up to or less than 30%.

- (a) If the match is more than 30 %, but up to or less than 45%, the thesis will be returned to the scholar for revision.

- (b) If the match is more than 45% the thesis will be rejected and in appropriate cases, the registration of the scholar for Ph.D may be cancelled by an order of Vice-Chancellor.
- (c) In such cases, the Vice-Chancellor may also decide to initiate the disciplinary action against the Supervisor concerned for his complicity in plagiarism.

## **16.0 CREDIT TRANSFER**

Not applicable to this programme.

## **17.0 GRADES AND REPORTS**

### **EXAMINATIONS /EVALUATION**

#### **Panel of Examiners**

The thesis shall be referred to three examiners chosen by the Vice-Chancellor (one from within the State, one from outside the State and one from the outside the Country) from among the panel of twelve examiners (four examiners from within the State, four from outside the State and the remaining four examiners from Abroad) recommended by the Doctoral Committee and approved by University Research Board.

The evaluation/adjudication of the thesis should be done by three independent examiners working in the concerned field only, of which one examiner from within the State, one examiner from outside the State and one examiner shall be from other Country.

Each examiner after examining the thesis submitted by the scholar will submit a report containing a clear recommendation whether in his/her opinion,

- i. the thesis should be accepted and viva-voce examination be held.

or

ii. the thesis should be referred back to the scholar for revision and re-submission for conducting viva-voce examination.

or

iii. the thesis should be referred back to the scholar for revision and re-submission for re-evaluation.

or

iv. the thesis be rejected.

The examiners may be requested to raise relevant questions /clarifications on the subject matter of the thesis.

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

<b>Recommendation of Examiners</b>			<b>Decision</b>
(1)	(2)	(3)	
Accept	Accept	Accept	Accept
Revise	Revise	Revise	Revise
Reject	Reject	Reject	Reject
Accept	Accept	Revise	Revise
Accept	Revise	Revise	Revise
Accept	Accept	Reject	Send to 4 <sup>th</sup> examiner
Accept	Reject	Reject	Reject
Accept	Revise	Reject	Revise; send to 4 <sup>th</sup> examiner
Revise	Revise	Reject	Revise; send to 4 <sup>th</sup> examiner
Revise	Reject	Reject	Reject

When the thesis is referred to the fourth examiner, the fourth examiner's opinion is final.

- v. 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.
- vi. The revised thesis should be referred to that examiner who has originally recommended revision.

## **18.0 DOCTORAL COMMITTEE**

The DRC will intimate to the Dean (Academic Research Programmes) for each scholar the area of research, the names, indicating the area of specialization of faculty members for constitution of a Doctoral Committee, within 4 weeks of the date of admission of the research scholar.

**The following is the composition of the Doctoral Committee:**

- 1. Head of the Department** **- Chairman**  
(if the HOD happens to be the supervisor or a non-Doctorate, a senior Professor with Doctorate of the department will be nominated by the Vice-Chancellor).
- 2. Research Supervisor or Supervisors** **- Convener**
- 3. One senior faculty member of the department nominated by the Vice-Chancellor from the suggested panel of names by HOD.**  
**- Member**

In case, any member goes on leave exceeding one year duration or resigns or retires from the university, the Vice Chancellor will nominate another member on the suggestion of the Chairman, Doctoral Committee.

## **19.0 ACCELERATION AND DECELERATION**

Though not applicable to Ph.D programmes, depending on the programme and the progress made, the time line may be extended or reduced on the merit of the individual case purely on the discretion of the Vice-Chancellor.

## **20.0 GRADUATION REQUIREMENTS**

1. Scholars who are admitted into the Ph.D programmes should have to appear and pass the pre-Ph.D examination in the following courses.
  - a. Research Methodology
  - b. At least 2 courses (for candidates with PG qualification) and 5 courses (for those with B.Tech qualification) in the area of research as recommended by Doctoral Committee and approved by University Research Board.

The scholars should take the pre-Ph.D examination after six months from the date of registration.

- c. A scholar may be permitted three attempts to pass the pre-Ph.D examination.
- d. A scholar may not be normally permitted to submit the thesis within one year from the date of completion of pre-Ph.D. examination.
- e. The research scholar shall secure a minimum of 50% marks in each course specified above to pass the pre – Ph.D examination.

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 extent where the course work has been taken-up. However, they have to appear for the examinations conducted in the University campus.

2. Submission of Thesis
3. Reports of Evaluation
4. Declaration of Results

## 21.0 EXAMINATIONS

### VIVA VOCE EXAMINATION

The viva-voce examination of the scholar shall be open and shall be conducted in the university by a Board comprising of the following members.

- |  |                  |
|--|------------------|
| 1. Chairman, Doctoral Committee                              | Chairperson      |
| 2. Dean (ARP)  | Member           |
| 3. One of the Indian Examiners<br>who adjudicated the thesis | Member           |
| 4. Supervisor(s)   | Member- Convener |

The reports of the external examiners shall be made available to the scholar and the prior to the viva-voce examination.

The viva-voce examination shall primarily be designed to test the depth of knowledge of the scholar on the subject matter of the thesis, including methodology employed and the scholar's competence in defending his/her theory to explain the observations made in the field of study.

The scholar shall also be asked to clarify any of the points raised by the external examiners/adjudicators in their reports

The viva-voce Board may on the basis of the opinion of majority recommend either

- a. that the scholar be awarded the Ph.D Degree
- or
- b. that the scholar may re-appear for the viva-voce examination again after a stipulated period of time



## 22.0 EVALUATION

The thesis shall be referred to three examiners chosen by the Vice-Chancellor (one from within the State, one from outside the State and one from the outside the Country) from among the panel of twelve examiners (four examiners from within the State, four from outside the State and the remaining four examiners from Abroad) recommended by the Doctoral Committee and approved by University Research Board.

The evaluation/adjudication of the thesis should be done by three independent examiners working in the concerned field only, of which one examiner from within the State, one examiner from outside the State and one examiner shall be from other Country.

Each examiner after examining the thesis submitted by the scholar will submit a report containing a clear recommendation whether in his/her opinion,

- i. the thesis should be accepted and viva-voce examination be held.  
or
- ii. the thesis should be referred back to the scholar for revision and re-submission for conducting viva-voce examination.  
or
- iii. the thesis should be referred back to the scholar for revision and re-submission for re-evaluation.  
or
- iv. the thesis be rejected.

The examiners may be requested to raise relevant questions /clarifications on the subject matter of the thesis.

When the thesis is referred to the fourth examiner, the fourth examiner's opinion is final.

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.

The revised thesis should be referred to that examiner who has originally recommended revision

### **23.0 RUSTICATION**

A Student may be rusticated from the University on disciplinary grounds based on the recommendations of a committee constituted by the Vice Chancellor.

### **24.0 AWARD OF DEGREE**

Upon successful completion of viva-voce examination and on consideration of the reports of the viva-voce board and the thesis examiners, the Vice-Chancellor may approve the announcement of the award of the provisional Ph.D. degree to the scholar. The award of the degree shall be confirmed by the Board of Management (BOM).

### **DEPOSITORY WITH UGC**

Following the successful completion of the evaluation process and announcement 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 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 has been awarded in accordance with the provisions of the Research Regulations of University Grants Commission.

## **IRREGULAR ADMISSIONS**

All admissions into Ph.D. programme are always provisional. The irregular admissions made in the university may be cancelled following the due procedure.

## **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.

## **POWER TO MODIFY**

Not with standing all that has been stated above, the University Research Board has the right to modify any of the above mentioned regulations from time to time, subject to ratification by Academic Council.

**Regulations for M.Tech (By Research)**  
**And**  
**Subsequent Conversion into Ph.D Programme**

## **1. Educational Qualification:**

- a) Bachelor's degree in Engineering/Technology with First Class or Master's degree in Science or Master's degree in Computer Applications (with Physics & Mathematics at Bachelor's level) with a first class (CGPA 6.5 on a 10 – point scale).
- b) Associate membership of the following professional bodies with a pass in both Parts A &B with 65% marks. (Such candidates are eligible for admission to M.S. (By Research) Programme in their parent discipline. Their eligibility for other disciplines will be decided on a case-to-case basis).
  - The Institution of Engineers (India)
  - The Aeronautical Society of India
  - The Indian Institute of Metals
  - The Indian Institute of Chemical Engineers
  - The Institution of Electronics and Telecommunication Engineers

## **2. Selection Procedure:**

- a. Applications will be invited by open advertisement in all leading News papers
- b. Out of the applications received, the departments will short-list the candidates to be called for written test and interview to be conducted at the institute on a pre-announced date.
- c. Selection will be based on the overall merit index of the candidate which will be arrived at by taking into account the candidate's performance in the previous university examinations at Bachelor's and Master's level and the performance in the written test and/ the interview.

The weightages for arriving at the overall merit index will be as follows:

- (i) For candidates with Bachelor's degree in Engineering /Technology

or

Associate Membership

Bachelor's degree or Associate membership Exam-40%

Written test and / Interview-60%

- (ii) For candidates with Master's degree in Science/Computer Applications

Bachelor's degree – 20 %

Master's degree – 20 %

Written test and / Interview – 60 %

Candidates with a valid GATE score tenable for the current year may be exempted from the written test requirement and will be given preference in admissions.

### **3. Admission:**

- a) Candidates whose selection is approved based on the written test will be admitted to M.Tech (By Research) programme after payment of prescribed fees.
- b) The candidates admitted to M.Tech (By Research) programme will apply for registration for M.Tech (By Research) programme in the prescribed form within one month from the date of admission.

- c) Ordinarily, a candidate whose registration for M.Tech (By Research) degree has been cancelled for any reason will not be eligible for re-registration.

However, based on the merits of the individual case, and taking into consideration any special circumstances, a candidate may be considered for re-registration.

#### **4. Orientation Programme:**

Immediately on admission, the students are expected to undergo an orientation programme in the concerned School/Centre. This programme is intended to familiarize the new students with research activities in the School/Centre and establish rapport with the faculty

#### **5. Nature:**

The program will be offered on a full time basis. The candidates shall be available during the working hours for Curricular, Co-Curricular and other related activities.

#### **6. Minimum period :**

6.1. The Minimum period of study and research required from the date of registration to the date of submission of the thesis shall be 2 Academic Years or 4 Semesters

6.2. Special cases if any would be looked into by the Research Board of the University upon the recommendation of Monitoring committee.

## **7. Maximum Period:**

- 7.1. Research Scholars should submit the thesis within 2 ½ years from the date of registration.
- 7.2. The registration of the scholar who has not submitted his/her thesis by the end of extended period will be cancelled, without giving any further notice.

## **8. Monitoring Committee:**

- 8.1. There shall be a committee for every scholar to monitor the progress of the research work of the scholar.
- 8.2. The committee shall consist of the following:
  - i. Head of the Department - Chairman
  - ii. Supervisor - Convener
  - iii. Two Experts with Ph.D of the Scholar one from outside the University - Member
- 8.3. If HOD happens to be the supervisor, Dean (AR) will appoint another faculty as Chairman from the list suggested by HOD.
- 8.4. If a member of the committee is away from his/her place of work for a longer period, HOD shall appoint an alternate member.

## **9. Program Structure:**

The program consists of 2 parts, Course Work and Research Work.

### **Course Work:**

Monitoring committee will prescribe the course work and intimate the same to the scholar at the time of registration



- 9.1 A minimum of 5 core courses including a course on Mathematics relevant to the area of research and offered under any approved PG Program of the University shall be recommended by the monitoring committee.
- 9.2. Any course/courses already passed by the scholars shall not be repeated.
- 9.3. Scholar should attend the classes along with PG student, whenever possible and will be evaluated in the same relative grading scale of the course.
- 9.4. No change in the course work prescribed shall be made without the approval of the monitoring committee.
- 9.5. Prescribed course work shall normally be completed within one year from the date of registration.
- 9.6. Scholar should undertake one special elective, confined to his area of research.
- 9.7. A scholar should secure a CGPA of 6.5 in the course work.

## Course Structure

## SEMESTER-1

S. No	Course	L-T-P	Credits
1	Core Subject -1	3-0-0	3
2	Core Subject -2	3-0-0	3
3	Mathematics	3-0-0	3
4	Research Methodology	2-0-0	2
5	Term Paper	0-0-6	6
<b>TOTAL</b>			17

## SEMESTER-2

S. No	Course	L-T-P	Credits
1	Elective -1*	3-0-0	3
2	Elective -2*	3-0-0	3
3	Mini Thesis work	0-0-12	12
<b>TOTAL</b>			18

Confined to Research Area\*

**3<sup>rd</sup> & 4<sup>th</sup> Semesters- Final Thesis** – 30 Credits

**Total** – 65 Credits

On the successful completion of prescribed Course Work, as evidenced by the grade sheet issued by the Controller of Examinations, the Monitoring committee will conduct an oral examination for the scholar to test his/her background Knowledge in the broad area of research. The result of the oral examination will be directed to the Dean (AR) for confirmation of Provisional registration and to proceed further with his/her research work.

### **Research Work:**

The thesis shall report in an organized and scholarly fashion, an account of original research work of the scholar leading to discovery of new facts or techniques or correlation of facts already known (Analytical, experimental, hardware oriented etc) and demonstrating a quality contribution to the advancement of knowledge as well as the scholar's ability to undertake sustained research.

The research work can be taken-up within the University by associating himself/herself with an on-going project of the department.

(or)

Individually

(or)

During the course of the program for reasons stated by the supervisor and forwarded by the HOD, a scholar shall be permitted to spend up to one year in an institution or organization or a project approved for the purpose, outside the University for carrying out research related to his/her area.

The scholar who carried-out research outside the University in the institutions recognized by KLU, such as DRDO, NALCO, ISRO, BHEL, etc. shall submit the synopsis only after a minimum of one month on his/her return.

9.8. No. of credits for the research work are 30

9.9. The scholar shall attend at least one Seminar/Conference/Workshop during the entire program.

9.10. The scholar shall publish at least one paper in 2<sup>nd</sup> Semester and one in 2<sup>nd</sup> year or accepted for publication in a refereed impact factor Journal.

## **10. Synopsis:**

10.1 The scholar shall submit copies of the synopsis of his/her work prepared in accordance with the format and specifications prescribed by the University to the Monitoring Committee through the supervisor.

10.2 The Monitoring committee approves the research work reported in the synopsis; a seminar is to be given by the scholar, which is open to all.

## **11. Thesis:**

- 11.1. Three Copies of the thesis shall be prepared in accordance with the format and specifications prescribed by the university.
- 11.2. Thesis shall be submitted within one month from the date of approval of Synopsis.
- 11.3. Thesis shall be evaluated by two examiners nominated by Dean (AR) from the panel suggested by monitoring committee.

## **12. Viva-Voce:**

- 12.1. On receipt of the evaluation report, monitoring committee will recommend a Panel of 3 experts from different recognized institutions within India, which include the members of evaluation.
- 12.2. Dean (AR) will appoint one expert as an examiner.
- 12.3. If it is necessary, Dean (AR) shall nominate a member outside the panel.

## **13. Constitution of Viva-Voce examination Board:**

Following is the constitution:

One examiner of the thesis	-	Member
Supervisor	-	Convener
Dean (AR)	-	Chairman
Dean (Academics)	-	Invitee

## **14. Award of M.Tech (By Research) Degree:**

If the report of the Viva-Voce is satisfactory, the scholar shall be awarded with the degree with the approval of VC, duly recommended by Viva-Voce committee forwarded by HOD and Dean (AR).

## **15. Publication of Thesis:**

Papers arising out of the Thesis may be published by the scholar and the Supervisor. However the Thesis as a whole shall be published by the scholar with prior approval of the Vice-Chancellor.

## **16. The Act of Plagiarism:**

16.1 In the case of scholars who have committed the act of plagiarism, his/her Thesis /Degree shall be forfeited and his/her research registration shall be cancelled and also he/she shall be debarred to register for any other programme in the University.

16.2 For the abetment of above such action, the recognition of his/her Supervisor ship shall be withdrawn for a period of five years and he/she shall be debarred from guiding the scholars for any research programme in the University till such period.

## **17. Power To Modify:**

Not with standing all that has been stated above, the Academic Council has the right to modify any of the above regulation from time to time.

## **18. Fee:**

Tuition fee per Semester is Rs.25, 000/-

## **19. Conversion to Ph.D:**

After a review by the Department research Committee, the students showing excellent performance and having scored a minimum of 8.0 CGPA (overall) can be considered for getting registered in the Ph.D programme. The conversion Is subject to the minimum qualifications laid down for the admission in the Ph.D programme. The date of conversion will be considered as the date of registration in the Ph.D programme and thereafter he will be governed by the rules and regulations applicable for

the Ph.D students. Conversion to Ph.D will be on the basis of application from interested student, which has been recommended by the Monitoring Committee and approved by the Vice-Chancellor.

## **20. Fellowship:**

A Fellowship as given below will be offered if the Ph.D Program is taken-up on a Full-Time Mode.

<b>Min CGPA</b>	<b>Fellowship per month</b>
8.0	Rs.16,000/-
7.5	Rs.15,500/-
7.0	Rs.15,000/-

## **LIBRARY**

Central library occupies a place of pride in the University and is an essential component of the institute's outstanding research and education mission. It provides a comfortable and friendly environment that is conducive to learning, advancement of knowledge at the same time promoting discovery and scholarship.

### **a) Library Resources**

The University has a Central Library which has an excellent collection of Books, Journals and Non-Book Materials in Humanities, Science, Engineering, Technology and Management.

<b>Resources</b>	<b>Numbers</b>
No of Volumes	1,00,000+
No of Titles	27500+
Back Volumes	2811+
Project Reports	2852+
No of CDs & VCDs	4826
No of Reference Titles	12195

Journals/Magazines/Proceedings /Online/Hardcopy	6706
E-Books	2000+
Online Lectures	300
Online Courses	2500

**Subscriptions:** ACM, IEEE, ASME, SPRINGER  
LINK, EBSCO

**Databases:** DELNET, EBSCO

## **b) Library Computerization**

The Central Library has computerized all its activities including Acquisition, Cataloguing, Circulation and Stock verification using in – house software. The Online Public Access Catalogue (OPAC) can be accessed on Internet and Intranet. The Central Library uses Barcode and Biometric technology for computerized circulation system and stock verification. The Central Library has developed in-house facility for bar coding of books and ID cards.

## **c) Video Collection and Video Viewing**

The Central Library is equipped with video viewing facility through FTP.

## **Working Times**

The Central Library remains open on all days of the year. Major Services in the library include Reference Service, Photocopying service, Resource sharing (Inter – Library Loan), Information Alert services of New Arrivals.

## **d) Digital facility**

Digital Library is a part of the Central Library with wide network built up of fiber optic Giga-byte Ethernet backbone. Digital Library has

computer terminals to access Internet/e-Learning material. It also has a CD server with 1000 CD capacity.

#### **e) Borrowing facility**

Every student must register with library for borrowing books from the Library.

UG students are given 4 Library - cards and the PG students 6 cards. A book borrowed can be retained with the student for 15 Days and if the book is not returned within the stipulated period, a fine of 1Rs/Day will be levied. If a book borrowed is lost the same must be replaced and if for any reason the book cannot be replaced then a fine amounting to 4 times the cost of the book must be paid. Any delay in any case will attract a fine of 1Rs/Day.

### **RESEARCH FEASIBILITY**

The University places special emphasis on research. Both the students and faculty are encouraged to take part in active research through paper presentations and publishing. That more than 550 research papers have been published in a span of two years speaks volumes about the R & D activity in the University.

Quality Research and Consultancy are given top priority in the University. Research strength of University covers diverse disciplines. Out of a total of 600 faculty members in the University, more than 140 faculty members hold a Doctoral degree and about 250+ are pursuing their research leading to the award of Ph.D. The outcome of some of the funded projects is being submitted as research thesis by the scholars.

#### **a) Research Admissions**

Admissions are given into research programme leading to the award of PhD degree both for full time and part time scholars. Around 154 scholars have been given admissions in 14 departments during the academic years 2010-11 and 2011-12.



Fellowships are being offered to the full time scholars. Quality research output is ensured through regular monitoring of the work. Interdisciplinary research is also encouraged.

#### **b) Research Groups**

In order to enhance sponsored research and consultancy activities within the University, 43 faculty research groups are functioning effectively. These groups also deliver quality courses and take research into the classroom. Each group is headed by a Senior Professor with a Ph.D. These are actively involved in setting research labs and also obtaining the funded research and consultancy projects from research organization and industries.

#### **c) Research Centers**

K L University has established state of the art research centers which are being used by faculty based research groups.

#### **d) Students in Research**

At the University, students involve in research through their undergraduate or graduate courses which includes Term Paper and Thesis. Students conduct research in their own field of interest giving due preference to the expertise of their guide. Students are encouraged to publish papers in the journals and also present the papers in various conferences.

#### **e) International Conferences**

The University has a full-fledged convention center with 5 Air conditioned halls of various capacities to conduct National/International conferences. Every department conducts international conferences year after year.

## **GUIDING PRINCIPLES OF THE UNIVERSITY**

- Build an environment that is conducive to academic pursuit, nurturing creative thoughts and inculcating a spirit of inquiry.
- Promote free exchange of knowledge and experience with others, while respecting each other's right to intellectual property.
- Ensure quality, speed, economy and transparency in all spheres of our activities.
- Create a truly multicultural community and promote cultural bonding and teamwork among all.
- Provide opportunity to every member of the University for achieving academic excellence, developing all round personality and realizing his or her full potential.
- Adopt state-of-the-art technology in all endeavors.
- Serve the society around, using the knowledge and expertise of the University.

## **GENERAL**

- i. The academic regulations should be read as a whole for purpose of any interpretation.
- ii. Where the words “he”, “him”, “his”, occur in the regulations, they include “she”, “her”, “hers”.
- iii. In the case of any doubt or ambiguity in the interpretation of the above rules, the decision of the Vice-Chancellor is final.
- iv. The University may change or amend the academic regulations or syllabi at any time and the changes or amendments shall be made applicable to all the students on rolls with effect from the dates notified by the University.

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