Koneru Lakshmaih Education Foundation

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

K L UNIVERSITY

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REGULATIONS

FOR Ph.D.

PROGRAMMES

2013-14

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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, 2009 for research programmes both in letter and spirit.

1.2 The university does not conduct Ph.D. programmes through distance education mode.

1.3 The University offers Ph.D. programs duly approved by Board of Studies of the department concerned.

2. CATEGORIES OF ADMISSION

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

        a. Full-time
        b. Part-time

a) Full-time Candidates : All approved candidates who pursue full-time study in this University shall belong to this category.

b) Part-time Candidates : 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. Programmes in this University while continuing in their job, shall belong to this category. Employees of KLU would also be eligible to seek admission as part-time scholars.

3. ELIGIBILITY

3.1 Minimum Educational Qualifications

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/Physically Challenged Candidates as per the Central Government Norms.

3.1.2 Ph.D. in Sciences/Management/Humanities

Master's degree or equivalent Degree in the relevant area with a minimum of 55% marks from a university recognized by UGC. 5% relaxation will be applicable for SC/ST/differently abled candidates as per the statutory bodies norms.

3.1.3 Ph.D. with B.Tech. Qualification

GATE qualified candidates with B.E/B.Tech. or equivalent degree possessing an excellent academic track record right from 10th 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: Minimum CGPA of 8.0 on a 10 point scale One of the top 100 Rankers in GATE Qualifying in admission test/interview conducted by the University. Such candidates who are provisionally selected should complete a minimum of 20 course credits and the number of maximum credits as prescribed by the University.

4. RESEARCH PROGRESS and ASSESSMENT COMMITTEE (RPAC)

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

RPAC chairman shall prepare the vacancy list in each research group with eligible supervisors and shall display in the web site for the admissions. He shall prepare the eligible candidates list and shall plan for admission test and interviews for every semester in coordination with Controller of Examinations. Based on the recommendations of the RPAC chairman, the candidates will be selected.

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 will be called for a 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). Such candidates have to do additional course work in the registered discipline and the degree will be awarded in the registered discipline.

For those candidates who qualify UGC (NET) / CSIR (JRF examination /SLET/GATE, teacher fellow ship holder or have passed 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.

6.   REGISTRATION

Candidates, whose selection is approved by the VC, after receiving selection proceedings, are required to be registered 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. Every candidate shall go through the selection process as prescribed by the University.

7.   ALLOCATION OF SUPERVISOR

a) The allocation of the supervisor for a selected candidate shall be decided by the RPAC Chairman 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 as indicated during interview by 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 journals which are indexed.

8.2 Scrutiny of applications for recognition of Supervisors

Faculty desirous to guide the scholars of KLU 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 Dean (R&D) and then forwarded with due comments to the Vice Chancellor for obtaining final approval.

8.3 Number of Scholars with a Supervisor

A supervisor shall not have, at any given point of time, more than eight (8) Ph.D. scholars, and may have another eight (8) scholars as a co-supervisor.

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 following will be composition of the Doctoral Committee (DC):

1. Senior faculty possessing a Ph.D. degree in relevant research area   - Chairman
2. Research Supervisor or Supervisors   - 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   - Members

The Dean (R&D), after due consideration of the recommendations of the RPAC Chairman, will accord approval for Doctoral Committee of each scholar.

10. CONVERSION OF THE REGISTRATION STATUS

A candidate registered as Part time can be converted into Full – time scholar and Vice versa. Rules pertaining to the respective admissions shall prevail. Time spent as part – time scholar be treated as 2/3rd of the time spent as a full time scholar. A scholar shall submit an application to the Dean (R&D) thorough the research supervisor, DC & RPAC for conversion of registration status and the RPAC shall notify the decision of the Dean (R&D).

11. CHANGE OF SUPERVISOR OR APPOINTMENT OF CO-SUPERVISOR

The DC of a research scholar may recommend change of Supervisor or appointment of 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 member 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 DC. The DC will consider the proposed research area/topic, approve the same and prescribe pre-Ph.D. courses of study. The DC shall forward such list of courses to Dean (R&D) through RPAC Chairman.

13. 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.

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 15 in number and preferably from the PG Program being offered by their department), which enable the DC 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.Research Methodology At least 2 other courses (for candidates with PG) and 5 courses for UG in Engineering.

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

d. A scholar may be permitted three attempts to pass the Pre-Ph.D examination.

e. A scholar may not be normally permitted to submit the thesis within one year from the date of completion of Pre-Ph.D. examination.

f. 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 the nearest two evaluations will be considered.

g. Pre-PhD course work done at other Universities is not transferable to the KL University. However, if the candidate completes the course work during M.Phil, in the same area, exemption from the course work may be given.

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 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. 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.

14.2 Progress Reports

i. After registration, every scholar should submit a half-yearly progress report (ANNEXURE-E) through the Supervisor and DC to the RPAC.

ii. At 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.

iv. If a scholar fails to submit two consecutive half-yearly progress reports within one month after completion of every six months, or the progress made by the scholar is not satisfactory, the RPAC may recommend to the University through Dean (R&D) for Cancellation of the registration of the scholar.

15. MINIMUM DURATION OF THE PROGRAMME

The minimum duration of the Ph.D. programme 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 PROGRAMME

Full-time/Part-time Ph.D. research scholars may submit the thesis within 6/8 years (Refer to regulation 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, which should be approved by the 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.

b.   The registration of a research scholar who has not submitted his/her thesis before the end of the maximum permissible period as in regulation 16 shall 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. When the scholar, after having pursued the research work for the minimum length of period and feels that he/she has carried out sufficient research work, should inform this to the DC through his/her supervisor along with a summary on the research work done by him/her.

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 Pre Talk (Open Talk) by scholar at the University 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 recommendation of RPAC. If synopsis is approved, the scholar will be required to submit 6 hard copies and 6 soft copies (CD's) of synopsis within 30 days to the Controller of Exams through Dean (R &D). After the submission of synopsis, maximum of two months' time will be given for submission of the thesis. If the scholar fails to submit the thesis within 2 months, the scholar will be required to present the Open Talk again, and shall resubmit the synopsis.

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 two papers (after the date of registration for PhD)** in refereed indexed journals, confining to his/her area of research as prescribed & approved by the Department.

    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 RPAC shall issue Anti Plagiarism certificate on the originality of the submitted work stating that the match is up to or less than 30%.

    f) The Scholar must have paid all fees without any dues.

    g) The Scholar shall produce No Objection Certificate from Dean (R&D).

19. PANEL OF ADJUDICATORS

The thesis shall 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 among the panel of eighteen, six adjudicators from Universities within 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 from Abroad. The panel of Adjudicators will be recommended by DC and duly forwarded by Chairman, RPAC to Dean (R&D) for VC's approval.

20. EVALUATION OF Ph.D. THESIS

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

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

20.2 The adjudicators may be requested to raise 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
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 EXAMINATION

21.1 The viva-voce examination when the thesis is accepted as indicated above of the scholar shall be open and shall be conducted in the University by a Board comprising of the following members.

1. Chairman, RPAC — Member
2. One of the Indian Adjudicators who has adjudicated the thesis — Member
3. Supervisor — Convener
4. 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 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 thesis to explain the observations made in the field of study.

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

21.5 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. AWARD OF Ph.D. DEGREE

Upon successful completion of viva-voce examination 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 shall 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 shall be eligible for one casual leave per month to be sanctioned by respective HOD. The scholar shall also be eligible for a maximum of 15 days of medical leave per annum and in case of female scholar 45 days of maternity leave (max 2 times during period of research) to be sanctioned by the DEAN (R&D).

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 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 will be 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
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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. 2013-14 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.