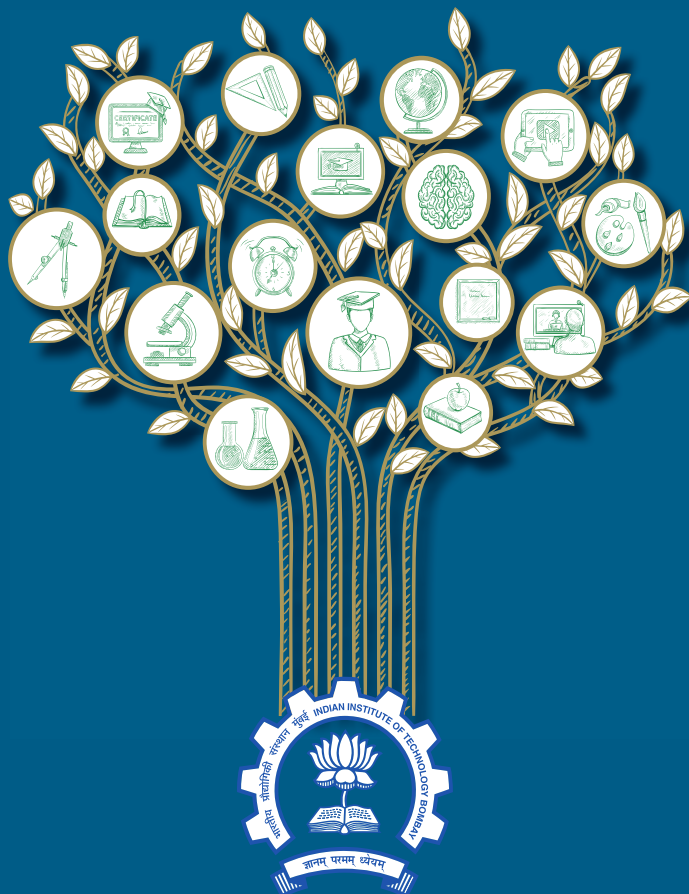


# FACULTY HANDBOOK

2021



## IIT BOMBAY

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## Preface

The Faculty Handbook is an extremely useful document since it consolidates much of the information that the faculty members need during their careers at IIT Bombay. The first edition was brought out in 2014. Over the years, there have been several far-reaching changes in the governance, recruitment policies, salary structure, etc. This second edition of the Handbook has been thoroughly revised and updated to take all the changes into account.

There are many written (and some unwritten) rules that govern any institution like IIT. Many such rules have been captured succinctly, although some have no doubt been left out inadvertently. A handbook such as this, I believe, is particularly useful for young faculty members of the institute. Significant efforts have therefore been made to address the issues that concern young faculty members.

Disclaimer: While every effort has been made to keep the Handbook up-to-date and accurate, it should not be regarded as authoritative. Going by the very name, it should be viewed as a guide; the details of rules and regulations concerning specifics require confirmation from the authorities of administration as and when needed.

The need to update the Handbook was originally brought to the fore by Prof. Abhay Karandikar (erstwhile Dean (FA)) in 2017. A committee with Prof. Swaroop Ganguly as the Convener prepared the first draft of the handbook with crucial inputs from faculty members. Prof. K. P. Kaliappan, the former Dean (FA) has invested a tremendous amount of time to document as many details as possible in the handbook and bring it to this current form. Special thanks to Prof. Kumar Appaiah (Department of Electrical Engineering) for his hard work, dedication, and consistent support that helped to publish this document. The revised draft was reviewed by Prof. Devang Khakhar (former Director, IIT Bombay), Prof. S. Sudarshan, DD (AIA), Prof. Avinash Mahajan, Dean (AP), Prof. A.M. Pradeep, Associate Dean (R&D), Prof. Santanu Banerjee (Earth sciences Department, other functionaries and Heads of academic units and their very valuable suggestions have been incorporated. The timely help and efforts of Dr. K.V.Reghuthaman, Joint Registrar, Mr. Sanjay Shah, Assistant Registrar, Ms. Falguni Banerjee Naha (PRO) and the staff from their offices and Ms. Archita Patil, Dean (FA) office who checked the details for accuracy deserve special appreciation. Finally, the Director, Prof. Subhasis Chaudhuri, has always offered constant support and encouragement throughout the handbook revision process.

I trust that this version will serve as a handy reference on day-to-day matters for all faculty members.

Prof. Neela Nataraj  
(Dean, Faculty Affairs)

**Committee Members**

- Prof. Swaroop Ganguly (Convener)
- Prof. Kumar Appaiah
- Prof. Ronita Bardhan
- Prof. Himanshu Bahirat
- Prof. Subimal Ghosh
- Mr. Sanjay K. Shah

**Staff Acknowledgements**

- Ms. Tejaswi Kamath
- Ms. Seena Shyjo
- Mr. Sachin Shirishkar
- Ms. Sneha Chavan
- Ms. Madhavi Biwalkar
- Ms. Rajashri Ghegad
- Ms. Vandana Hate
- Ms. Archita Patkar
- Ms. Ashwini Shirsat
- Mr. Vaibhav Patil
- Ms. Shamal Padwal
- Ms. Madhavi Borkar

## CHAPTER 1

# The Institute

The Indian Institutes of Technology (IITs) were established on the recommendation of a Committee headed by Sir Nalini Ranjan Sarkar, a businessman, educationist, industrialist and public figure. The Committee had recommended the establishment of institutes of national importance to be set up in different regions of India. The first of the IITs was set up in Kharagpur in 1950 at a site in Hijli village which used to be a British-era detention camp.

Four more IITs followed in quick succession. IIT Bombay (officially ‘Indian Institute of Technology Bombay’) was established in 1958, followed by those at Madras (1959), Kanpur (1959) and Delhi (1961). Though the names of the cities Bombay and Madras were later changed respectively to Mumbai and Chennai, the Institutes at these two places retain the original names. Thus our institute is IIT Bombay. IIT Bombay celebrated its Golden Jubilee in 2008 and Diamond Jubilee in 2018.

In 1994, a sixth IIT was established in Guwahati, Assam. Seven years later, in the year 2001, one of the oldest engineering colleges of the country situated in Roorkee, Uttarakhand, was given the status of an IIT in its 150<sup>th</sup> anniversary year. The Government of India decided to open eight more IITs from the academic year 2008-2009. These are located in Bhubaneswar (Odisha), Gandhinagar (Gujarat), Hyderabad (Telengana), Indore (Madhya Pradesh), Mandi (Himachal Pradesh), Patna (Bihar), Ropar (Punjab) and Jodhpur (Rajasthan). In 2012, the Institute of Technology of Banaras Hindu University at Varanasi (Uttar Pradesh) was conferred the status of an IIT. Then, in 2015-2016, a few more IITs were set up in Tirupati, Goa, Palakkad, Bhilai, Dharwad and Jammu; at the same time, the Indian School of Mines, Dhanbad (Jharkhand) was converted to IIT Dhanbad, making a total of 23, as of 2021.

### Who’s who

There are two statutory documents that stipulate the way the Institute is to be run. The first one is [The Institutes of Technology Act, 1961](#), passed by the Indian Parliament. The act stipulates that the IITs are institutions of national importance and prescribes the broad

framework of their governance. The second one is the Statutes of I.I.T. Bombay, which gives the detailed [rules of governance](#).

**The Visitor.** Formally, the President of India is officially the chief of the IITs; (s)he is called the Visitor of the Institutes. In reality, the Institute does not deal directly with the Visitor, but routes all paperwork requiring their approval through the Ministry of Education (MoE).

**The IIT Council.** At the very top of all the IITs' administration is the [IIT Council](#). The Chairperson of the Council is the Minister of Education, which is the central ministry under which our Institute belongs to. The Council is an organization with a large (ex-officio) members, e.g. the Chairpersons and the Directors of all IITs, Chairperson and Director of IISc, Bangalore, Director General of CSIR, Chairperson UGC and a few nominated members.

**The Board of Governors.** Each IIT has its own Board of Governors (BOG), the highest governing body of the Institute, which meets, at least four times a year. Almost all major policy decisions have to be approved by the Board. For instance, all appointments, major purchases, constructions etc. require approval and authorization of the Board. The meetings of the Board are generally held once in three months. The Chairperson of the Board approves urgent items that cannot wait for the next Board Meeting; these are approved *post facto* by the BOG.

The Board has 11 members. In addition to the Chairperson (appointed by MoE) and the Director of the Institute, who are *ex officio* members of the Board, one nominee from each of the governments of the states Maharashtra, Goa and the Union Territory of Dadra and Nagar Haveli, which comprise the zone in which the Institute is situated, are members of the Board. There are four members, having special knowledge or practical experience in respect of education, engineering or science, nominated by the IIT Council to the Board. The remaining two members are nominees of the Senate of IIT Bombay. These members are, in practice, recommended by the Senate Nominations Committee. The Registrar of the Institute is the *ex officio* Secretary of the Board of Governors.

Two crucial Institute committees, namely the *Finance Committee* and the *Building and Works Committee* report to the Board. Any proposal, which requires major fund allocation is generally routed through the Finance Committee that acts as the watchdog of the Institute funds. The Financial Advisor to MoE is a member of the Finance Committee. The Building and Works Committee is responsible for all the major construction projects in the Institute and has the power to make recommendations related to these.

**The Senate.** The Senate is the highest academic body of the Institute, which approves courses of study, frames rules of academic programmes, conducts evaluations and finally recommends the award of degrees to the Board of Governors. For example, any new academic programme or change to an existing one have to be first proposed by the Department/other academic unit to the programme committees (UGPC/PGPC) of the Senate where it is discussed and approved, possibly with revisions, for final presentation to the Senate for approval. Likewise, evaluation committees (UGAPEC/PGAPEC) of the Senate formally scrutinize academic performance evaluated by the individual instructors or boards of examiners, before it is presented to the Senate for approval.

All (full) Professors of the Institute are *ex officio* members of the Senate. It also has some rotating members from the non-professorial faculty, student representatives and a few members from outside the Institute. The Registrar of the Institute is the Secretary of the Senate.

**Who's who at the Institute.** The Director is the “head” of the Institute and runs the Institute as per the policies decided by the Board. The Director is appointed by the Government of India and usually has a tenure of five years, which may be extended until (s)he reaches the age of superannuation (70 years).

The Director is helped in the administration by a committee of Deputy Directors and Deans ([listed here](#)). At the time of writing, there are two Deputy Directors, Deputy Director (Academic and Infrastructural Affairs or AIA) and Deputy Director (Finance and External Affairs, or FEA), one of whom serves as Acting Director whenever the Director is away. The powers vested in the Director have been delegated by the Board, up to certain limits, to various Deans in the interest of smooth administration. There are eight (8) Deans. They are as follows:

1. The *Dean (Faculty Affairs, FA)* The Dean (FA) is responsible for conducting faculty recruitment, hiring Institute postdoctoral fellows, appraisals and recommending special leaves of absence in consultation with the relevant academic unit. Similarly, the Dean (FA) Office might interface with the offices of other Deans on other matters pertaining to faculty welfare.
2. The *Dean (Alumni Corporate Relations, ACR)* looks after relations with alumni, and coordinates donations received from alumni, corporate and philanthropic sources ([more details](#)). There is also a Development Office under the Dean (ACR) which catalyses the alumni relations and funding.
3. *Dean (Research and Development, R&D)* leads a large office called the [Industrial Research and Consultancy Center](#) (IRCC) to take care of sponsored projects and



consultancy matters as well as filing patents. There is an Associate Dean (R&D) who assists the Dean (R&D) to discharge his/her responsibilities. [Later sections](#) of this handbook will provide more detail on a few R&D related topics.

4. The *Dean (Academic Programmes, AP)* leads the [Academic Office](#), which is the repository of all records connected with academic performance of students. The Dean (AP) also presides over the undergraduate and postgraduate programme committees (UGPC and PGPC) of the Institute which processes all academic proposals received from academic units such as Departments, Schools and Centres. The Dean (AP) is assisted in his/her work by an Associate Dean (AP). [Later sections](#) of this handbook will provide more detail on a few topics related to Academic Programmes.
5. The *Dean (Infrastructure, Planning and Support, IPS)* looks after all matters connected with creation of new civil infrastructure and maintenance of the existing civil infrastructure and all related facilities, such as roads, electricity and water supply ([more details](#)). (S)he is also responsible for all estate related matters, including allotment of accommodation. As such, the Dean (IPS) leads four offices: the Estate Office, which is responsible for civil infrastructure maintenance, the Electrical Maintenance Division, which is responsible for power supply and electrical maintenance (including air conditioners), the Design Cell, which is responsible for interior design and renovation and the Public Health Office. Associate Dean-I (IPS) and Associate Dean-II (IPS) assist the Dean in discharging these responsibilities. Associate Dean - I (IPS) focuses on civil infrastructure maintenance, while Associate Dean -II (IPS) focuses on power supply and electrical maintenance including air-conditioners. Associate Dean - II (IPS) also serves as the Chairperson, Accommodation Allotment Committee (AAC); that is, (s)he is directly responsible for housing related matters. [A later section of this handbook](#) will provide more detail on this. The post of Associate Dean - III (IPS) has also been proposed and is awaiting approval as of mid-2021.
6. The *Dean (International Relations, IR)* promotes and administers international linkages (see [International Relations Office](#)). The Institute has a very large number of MoUs with many foreign and national institutions, including for joint/dual degree programmes. All foreign students in the Institute are required to report to the IR office for all their interactions with the Institute. The IR office also co-ordinates visits to the Institute by foreign nationals, whether for conferences or other types of academic exchanges, including Visiting faculty. This office also runs foreign language courses for the campus community.

7. The *Dean (Students Affairs, SA)* is responsible for student activities and welfare ([more details](#)), other than academic matters (which are dealt with by the Dean (AP)). These include hostel, sports and cultural affairs. The Dean (SA) also chairs the Disciplinary Action Committee (DAC) to look into infringement of disciplinary rules applicable to the students. The Dean (SA) is assisted in their duties by an Associate Dean.
8. The *Dean (Administrative Affairs, AA)* deals with broad policy issues relating to administration, such as the management of staff manpower, continuous planning and reworking of administrative workflows and automation of administrative procedures.

The Registrar is officially the custodian of all records and funds received by the Institute. (S)he signs the cheques issued by the Institute and all payments payable to the Institute are paid to the Registrar, IIT Bombay. (S)he is also the Member-Secretary of the Senate and the Secretary of the Board of Governors. (S)he is also the Head of the administration.

### Academic Units & their administration

The broad disciplines in which IIT Bombay has its teaching and research activities are those of Engineering, Science, Humanities & Social Sciences, Management, Design, Educational Technology, Entrepreneurship and Policy ([more details](#)). Academic programmes in these areas are hosted in 16 Departments, 2 Schools, 19 Centres and 4 Interdisciplinary programmes.

Broadly speaking:

- A **‘Department’** is a unit that offers a whole range of academic programmes ranging from undergraduate to doctoral degrees.
- A **‘Centre’** hosts only postgraduate and research programmes.
- **Interdisciplinary programmes (IDPs)** are nucleated by faculty coming together from different disciplines to define a common research agenda and over time, as the activities take a definite shape and build up enough strength, IDPs may be converted to Centres.
- **Schools** are set up in targeted areas, with significant funding from external sources.
- In addition, there are **service centres** such as the **Computer Centre**, which do not host any academic or research programmes.

Below is a list of departments, centres, schools and other functional units.

### **Academic Units**

1. Aerospace Engineering
2. Biosciences and Bioengineering
3. Chemical Engineering
4. Chemistry
5. Civil Engineering
6. Computer Science and Engineering
7. Earth Sciences
8. Electrical Engineering
9. Energy Science and Engineering
10. Environmental Science and Engineering
11. Humanities and Social Sciences
12. Mathematics
13. Mechanical Engineering
14. Metallurgical Engineering and Materials Science
15. Physics

### **Schools**

1. Shailesh J. Mehta School of Management
2. Desai Sethi School for Entrepreneurship
3. IDC School of Design

### **Centres**

1. Centre for Research in Nanotechnology and Science (CRNTS)
2. Centre for Policy Studies (CPS)
3. Centre of Studies in Resources Engineering (CSRE)
4. Centre for Technology Alternatives for Rural Areas (CTARA)
5. Centre for Urban Science and Engineering (C-USE)
6. Centre for Liberal Arts, Science and Engineering (C-LASE)
7. Centre for Machine Intelligence and Data Science (C-MInDS)
8. Koita Centre for Digital Health (KCDH)

### **Interdisciplinary Programs**

1. Climate Studies
2. Educational Technology (ET)

3. Industrial Engineering and Operations Research (IEOR)
4. Systems and Control Engineering (SYSCON)

### Functional Units

1. Application Software Centre (ASC)
2. Centre for Aerospace Systems Design and Engineering (CASDE)
3. Computer Centre (CC)
4. Centre for Distance Engineering Education Programme (CDEEP)
5. Centre for Formal Design and Verification of Software (CFDVS)
6. IITB-Monash Research Academy
7. National Centre for Aerospace Innovation and Research (NCAIR)
8. National Center of Excellence in Technology for Internal Security (NCETIS)
9. National Centre for Mathematics (NCM)
10. Parimal and Pramod Chaudhari Center for Learning and Teaching (PPCCLT)
11. Sophisticated Analytical Instrument Facility (SAIF)
12. Tata Center for Technology and Design (TCTD)
13. Wadhwani Research Centre for Bioengineering (WRCB)
14. Continuing Education Programme

In addition, while not academic units, the following units help liaise with industry and promoting startups based on research done at IIT Bombay:

- **Society for Innovation and Entrepreneurship** for start-up incubation support
- **Research Park** for engagement with companies on campus

The academic units mentioned above are headed, usually by a faculty member of the unit itself and usually of the rank of Professor in the role of the Head. The Head of an academic unit has a term of three years. All paperwork and online approvals from the academic unit are routed through the Head. This includes nearly all official applications going from a faculty member to the Institute.

The Head of an academic unit functions with the aid of several committees.

- The largest and most important of these is the faculty itself, which meets **at least once every semester** for a Faculty Meeting (**DFM**), and takes major decisions of broad impact.
- The Departmental Policy Committee (**DPC**) meets **at least twice** every semester and has the responsibility of framing policy on matters of interest to the Department. The DPC has the important role of ensuring continuity in broad policy

directions and is an elected body with representation of all constituent cadres and groups of faculty in the department.

- The Departmental Undergraduate Programme Committee (**DUGC**) and the Departmental Postgraduate Programme Committee (**DPGC**) to decide on matters related to respective academic programmes and issues pertaining to students therein.
- The Department Post-doctoral Committee looks into matters concerning the Institute Post-Doctoral Scholars associated with the academic units.

The deliberations of these committees, in the form of minutes, **is communicated to concerned functionaries in the central administration**, who are updated of the issues of the faculty in the academic unit.

## CHAPTER 2

### **When You Join**

Welcome to IIT Bombay's faculty fraternity! The Institute promises you interesting times ahead. Setting up home and workplace might appear to be a tough proposition at first, especially if you are arriving from a more orderly place (North America, Europe, Japan, Australia etc.). Things you might have taken for granted abroad, may not be so straightforward here. The Institute administration is constantly improving its systems and processes - in particular, to smooth the transition for new faculty - and is open to your suggestions in this regard. The Head of your academic unit is officially your liaison with the Institute and, as such, may be freely approached for help if you face any issues. Also, most senior colleagues would be more than happy to guide and help informally - please do not hesitate to ask! What follows is a quick look at what you need to do just before and after your arrival.

#### **Joining and settling down**

Once you have decided on the date of your arrival, please write an email to your Head of the academic unit with a copy (cc) to the Dean (FA), requesting her/him to arrange an accommodation in the Institute Guest House, where you can check in upon arrival. You may also request to arrange for a transportation to bring you to the campus from airport/railway station.

The Institute provides a relocation allowance of up to Rs 1,00,000/- for faculty returning from abroad as reimbursement of air fare for self and spouse and transportation of belongings. The limit is Rs 50,000/- for faculty joining from within India. As soon as you complete the joining formalities and relocate, you may submit the receipts and air tickets to claim this allowance. Settling accounts on time applies to all financial transactions! If you accept the relocation allowance, you have to agree to serve the Institute for a minimum period of three years. In case you choose to leave the Institute earlier, the relocation allowance paid by the Institute may have to be returned either partially or fully.

If you are joining as an Assistant Professor, you are eligible to receive the [Young Faculty Award \(YFA\) endowed by our alumni](#). Please do spend a few minutes to send a letter of appreciation to our Alumni Association - through the Office of the Dean (ACR). The paper-work for the YFA requires a legal process called Franking that can be completed with the assistance of the Administration Section in the Main Building.

The relocation allowance and YFA are also admissible to Assistant Professors (Grade - II), appointed through statutorily constituted selection committees.

The following are the things to do immediately after joining. As you embark on the necessary running-around, it is better to call the concerned office before you land up (here, to that end, is a link to the [Institute's telephone directory](#)).

Immediately on joining:

1. You have to make a visit to the Administration Section in the Main Building to complete the joining formalities. For this purpose you need:
  - a. Original and copies of all academic certificates from SSC (10<sup>th</sup> Board) to PhD and proof of date of birth.
  - b. Several passport size photographs for various purposes.
  - c. If you were previously employed, a certificate stating that you have been relieved of your position there. Proof of last drawn salary may be also be submitted.
  - d. Bank details.
  - e. PAN card.
  - f. Aadhar card.
2. The Administration section will, in turn, give you several letters and forms. Two letters of immediate importance are the ones to: (i) Associate Dean-II (IPS), requesting that a quarter be allotted to you and (ii) IIT Hospital, to certify that you are medically fit.
3. Please take the Accommodation Committee letter to the office of the Associate Dean-II (IPS) where your options for *ad hoc* accommodation will be explained to you. At the time of writing, most new faculty members spend the first few years in off-campus accommodation. This could be an accommodation already leased out to IIT Bombay, or one of your choice that you can get IIT Bombay to lease for you. IIT Bombay will take care of the rent up to a limit of about ₹ 40,000 per month, which should get you a flat in the vicinity of the campus. If you are

keen to stay on-campus, you may be allotted a Staff Hostel flat/quarter - 1 BHK (1 Bedroom, 1 Hall, 1 Kitchen) allotted to you.

After two to three years, you may expect to get a better accommodation on campus allotted to you as 'regular accommodation'. (If you happen to have joined the Institute directly as a Professor, you may be eligible to get a C-type quarter - 2 or 3 BHK - as your ad-hoc allotment). Regular accommodation is done by a seniority rule (for details, please see [Seniority and Allotment Criteria](#)).

The on-campus quarters do not come furnished and you will have to furnish it yourself. A home telephone connected to the internal exchange will be provided which does not have external call facility. You may decide to get a personal landline or mobile phone connection either from MTNL or from one of the other private operators. The Manager Telephones, whose office is in the Telephone Exchange (Main Building) generally would be able to share information of some special mobile plans for IIT Bombay Faculty and Staff. Your quarter would also have internet facilities connected to the Institute network.

Please retain your accommodation allotment letter in a safe place, as it will serve as proof of address for various purposes; in particular, it will come in handy for various purposes like applying for a LPG cooking cylinder connection, opening a bank account etc. Keeping a scanned copy for easy access is highly recommended, so that printouts can be taken on demand.

For more on housing related matters, please refer to the [relevant section of the appendix](#).

4. An LPG connection is essential if you plan to cook at home. The simplest way is to take your accommodation allotment letter to Maharashtra Gas Service, which is located in the building known as 'Powai Plaza' on the main road outside IIT (Adi Shankaracharya Marg or Jogeshwari Vikhroli Link Road - JVLR). The gas connection comes in a few days and the hard copy record thereof can serve as an address proof in most places.
5. The letter to IIT Hospital is to be presented to the Hospital reception, where an appointment will be scheduled for your medical examination. Please proactively follow-up with the hospital to get the tests done in a timely manner.
6. There are a few more forms to be filled up, viz. an attestation form, a form declaring your dependents, a form for joining the New Pension Scheme (NPS) and Group Term Scheme Insurance (GTIS).



- a. New faculty have to join the NPS mandatorily, details of which are given in a the [chapter on retirement benefits](#). (For people who joined on or before 1<sup>st</sup> January, 2004, there was a Pension scheme or a non-pension Contributory Provident Fund).
- b. You also need to join the compulsory Group Term Insurance Scheme (GTIS) and the premium for this will be deducted from the monthly salary.

Please find a circular in respect of Group Term Insurance Policy implemented from 01-05-2021 [here](#). You also need the [nomination form](#).

- b. Attestation Form is to be filled up so that the Institute can do a mandatory background check. You will have to provide all addresses where you have resided during the preceding five years. **A clearance from the police is mandatory before your services are made permanent (a process termed as confirmation).**
  - c. You will have to make a declaration of your dependents who will be eligible for various service facilities like Leave Travel Concession, medical benefits etc. Your spouse is treated as a dependent, whether employed elsewhere or not. Sons are dependents till the age of 25 or till they start earning, whichever is earlier (no age bar for permanently disabled sons). Daughters are considered dependents till they start earning or till they get married, whichever is earlier. You can declare your parents as dependent provided that they do not have independent income exceeding a certain limit as per prevailing policy (about ₹ 120,000 per annum at the time of writing).
7. Now that you have completed the formalities of Administration Section, please return to your academic unit and fill up a joining report form which will be signed by the Head of the academic unit and sent to the Administration. The academic unit will provide you with an office space equipped with a telephone (with limited local and long distance calling facility), a personal desktop computer or laptop with printer and internet connection.
  8. Once the Administration processes your joining report, intimation of your having joined is sent to various sections such as the Library, Security Section, Hospital etc. Identity cards will be issued to you and family members after a visit to the Security section, located on the ground floor of the Main Building. For the employee, the identity card doubles as the Library card as well. You will have an employee salary code number that is needed for all payments and financial transactions within the

Institute. It will be useful to memorize this even though you have your identity card handy.

9. After joining formalities are completed, you may have to pay attention to other important matters, like getting your child/children admitted to a school. The campus has two schools: one Kendriya Vidyalaya (Central School), affiliated to the Central Board of Secondary Education (CBSE) and the other, the Campus School, affiliated to the Maharashtra State Board. Campus School is exclusively for the children of IIT Bombay employees, while in the Kendriya Vidyalaya, most of the seats are reserved for children of IIT Bombay employees. The Campus School also has a kindergarten school for children above the age of three. For younger kids there is a private creche (Shishu Vihar, located at the time of writing in bungalows A-4 and A-5 in the Lakeside area of Campus near the Main Gate) and run by an NGO. Detailed information on all of the above is provided in [the appendix](#).
10. You will need to apply for a Permanent Account Number (PAN) (if you don't have one already), which is used to file income tax returns. You need to provide copies of your photograph and address proof for the same. It may also be possible to get the PAN card online at [this website](#). While you are at it, it is good to get a PAN for your spouse as well.
11. Among the first things you will want to get is a mobile connectivity. As much for communicating with family, friends, colleagues and students as for the fact that it is the preferred medium of authentication for many kinds of digital transactions (through a One Time Password, or OTP). The Manager (Telephones) in the Institute (internal number 8997), next to the Exchange in the Main Building, can help you to get a prepaid or postpaid mobile connection (prepaid or postpaid).
12. If you do not already have one, it is advisable to also get an Aadhar card <https://uidai.gov.in/>. The Administration Section will be able to provide you with details of the nearest data collection center at which an application can be lodged. It is a good idea to take this for your whole family in one go. The post-office in campus accepts Aadhar applications.
13. You need to open a bank account where your salary will be deposited. There are branches of two banks on campus, viz. State Bank of India and Canara Bank. Please drop in there with your identity proof and a photograph and open a bank account. You may require one of your colleagues holding an account in the same branch to provide an introduction. There are several private banks (HDFC, ICICI,

Axis Bank, South Indian Bank), public sector banks (e.g. Oriental Bank of Commerce, Andhra Bank, Vijaya Bank etc.) and foreign banks (HSBC) around IIT Bombay, particularly in the area known as Hiranandani Gardens. However, please note that salary is normally credited to either Canara Bank or State Bank of India accounts.

### **Regularization/Confirmation of Service**

Under the current norms (viz. [7th Pay Commission rules](#), in particular 1(b)), IITs cannot offer a confirmed faculty position to one with less than 3 years professional/postdoctoral experience (not counting any experience gained during the PhD and pre-PhD years). In such cases, the Institute makes an appointment at the Assistant Professor Grade-II through its regular selection process. Such appointees are entitled to all facilities that regular faculty members may avail. If you are appointed at this level, the administration keeps track of when you complete the requirement of 3 years of experience (the experience gained after the date of PhD defence is counted) and sends a form to you through your academic unit which you should fill as a part of regularization process. In this form you have to fill in details of all your academic accomplishments obtained after your PhD degree and a summary of your academic activities after joining IIT Bombay. This form is forwarded to Dean (FA) by the Head of academic unit after adding appropriate recommendations. The Dean (FA) forwards this to the Director with his/her recommendations. In case you have prior experience which is declared in the application form for faculty position, or if you have acquired the experience after submission of application to the Institute that you feel should be counted against the 3 years requirement, you may make a representation through your Head of Department to Dean (FA), along with documentary evidence of the experience you are claiming.

A faculty member recruited to any cadre is placed on probation for a period of 1 year. At the end of this period, administration requires you to fill another form (where you fill in your academic accomplishments during the probation year) and submit the same to Dean (FA) through the Head of your academic unit for confirmation of your appointment. Faculty members are eligible for the Post Retirement Medical Scheme (PRMS) after confirmation in the service of the Institute and PRMS is mandatory for every confirmed employee.

### **ERP-SAP Activities**

IIT Bombay has recently deployed leading Enterprise Resource Planning software (ERP) from SAP which provides an IT enabled platform for managing business processes such as purchase, payment, payroll, HR actions as well as estate management. Student life cycle

management, however, is handled through the homegrown software created by the Application Software Center (ASC). Several other home grown and open source IT systems continue to handle key business processes.

Currently, following IT systems are available to faculty members:

- **ASC** is the home grown system for managing academic processes. Faculty members use this interface for viewing academic programs, courses, bulletin and students related information. The ASC portal allows online submission of course grades and viewing past grading statistics. Access to ASC is available through your LDAP credentials. Helpdesk e-mail is [asc.help@iitb.ac.in](mailto:asc.help@iitb.ac.in).
- **Drona** is the homegrown IT system which is used for submitting sponsored and consultancy project proposals and managing all project related activities. Drona is integrated with ERP and is independently managed by IRCC. Access to Drona is available through LDAP credentials.
- **Employee Self Service Portal** is the SAP portal to view and manage all personal actions such as leave, salary, staff assessment and various HR actions. This portal is currently undergoing enhancements. When fully deployed, the portal shall allow 40 different actions including ‘application and settlement’ of advances, loans, CPDA, LTC, TA and IR-ITPP payments. The ERP portal requires allocation of user license as well as a SAP user ID which is same as your employee code. On-line application form is available on ASC portal for requesting new SAP user id. Helpdesk: [helpdesk.hcm@iitb.ac.in](mailto:helpdesk.hcm@iitb.ac.in).
- **ERP portal** is available to faculty members for managing all purchase and payment activities. This portal allows execution of a variety of transactions and allows faculty members to view status of purchases, payments as well as fund availability in personal projects. ERP portal is accessible through your SAP login credentials. Several ERP support services are available post login on ASC portal through series of interfaces at ASC → ERP Master data → Helpdesks. For more information, contact [helpdesk.basis@iitb.ac.in](mailto:helpdesk.basis@iitb.ac.in), [EDP@iitb.ac.in](mailto:EDP@iitb.ac.in).
- Teaching and learning management is handled through the **Moodle open source portal** which is integrated with ERP servers. Helpdesk: [moodle.help@iitb.ac.in](mailto:moodle.help@iitb.ac.in).

The following services for specific activities managed by ASC are available through LDAP login:

- <https://support.iitb.ac.in> is the complaints ticketing portal for maintenance related services.

- <https://surveys.iitb.ac.in> is a self-service portal used for creating your own surveys and content sharing pages.
- <https://portal.iitb.ac.in/IRBS> is the interface to book classrooms and view room occupancy/availability.
- <https://portal.iitb.ac.in/VRP> is a portal used for submitting/tracking ERP related service requests

### Resources for ERP support:

- **Department storekeeper:** For any problem related to purchase and payments from Institute funds.
- **Departmental ERP helpdesk stationed in each academic unit:** For any problem related to purchase from project funds, payment of honorarium to students and finding out project balances.
- [helpdesk.basis@iitb.ac.in](mailto:helpdesk.basis@iitb.ac.in): For ERP password not working, problems with authorization for carrying out ERP transactions.
- [Helpdesk.hcm@iitb.ac.in](mailto:Helpdesk.hcm@iitb.ac.in): For problems with leave application or any other issue on ESS portal.
- All services provided by ASC: [asc.help@iitb.ac.in](mailto:asc.help@iitb.ac.in).

### Resources for Teaching and Research

To get started in the Institute, you can familiarize yourself with the resources available for helping you teach and conduct research effectively. The [Academic Rules](#) discuss all aspects related to courses, curricula and other teaching related aspects and [Resources for Teaching](#) lists some resources to help with teaching. The Institute, while encouraging you to apply for external grants to support your research, also provides you a Seed grant to get you started on your research projects. More details on this are available [here](#). You also have access to a Research and Development Fund (RDF) that can be used with more flexibility for your research related activities. Your academic unit would also have a Department Development Fund to support development activities of interest to your academic unit as a whole. These are discussed in greater detail [here](#).

In addition to research projects, one may also take on [consultancy projects](#) for external organizations. Finally, the [Continuing Education Programme \(CEP\)](#) permits you to conduct courses for external organizations through the Institute.

### Lab Space Allotment

As a new faculty (and if you need lab space), you need to contact the Head of your academic unit discuss with him / her about your requirements in advance.

1. After you have been allocated lab space, it may take time to convert it into a proper, functional lab and this would need your active involvement. You may also need to talk to the Head of the academic units about the funding required to get the civil, air-conditioning and interior work done through the Estate Office, Electrical Maintenance Division and Design Cell, respectively. Some senior faculty members may also be able to informally mentor you on getting these jobs done efficiently.
2. Please talk to the Head of your academic unit and find out about existing facilities on campus that might help you get started with something quickly.
3. You may also consider building shared labs with other faculty who work in similar research areas. This might help reduce the resources required (including space), get you a partner to share in the effort and thereby move things faster till you establish your own laboratory.

Please consider volunteering to help your Head of your academic unit on resource planning so that these issues become progressively easier for future colleagues who come after you.

### Medical Facilities

During the period of service, a staff member and his/her dependents (the term *dependent* is clearly defined in the Service Rules) are provided medical facilities at the IIT Hospital, and whenever required, at various hospitals in the city which are empanelled by the Institute. Medical facility for employee and spouse is also available after retirement on a contributory basis (see the section on PRMS below).

**IIT Bombay Hospital.** The Institute has a reasonably well-equipped Hospital with both in-patient and out-patient facilities. In addition to several full time doctors, there are several visiting specialists who attend the Hospital on certain days and are available for consultation. The Hospital also provides for dental care as well as for homeopathic medicine. Basic diagnostic facilities are provided at the Institute Hospital. These include pathology, X-Rays, Sonography, ECG etc. The Hospital also has a physiotherapy section. The Hospital administration is headed by a Chief Medical Officer (CMO)<sup>1</sup>. A Committee known as the “[Hospital and Health Advisory Committee \(HHAC\)](#)”, headed by a Professor of the Institute acts as a general policy watchdog for the Hospital and related issues. This Committee reviews Hospital policies from time to time and recommends measures that need to be taken to improve Hospital services. All major reimbursement claims are also recommended for approval by this committee.

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<sup>1</sup>Currently, Dr. Nisha Shah.

**Your medical file.** The Hospital maintains a family file for every employee, which is available in the outer office. For an outpatient (OPD) consultation, the file has to be presented at the Hospital reception, who will print out a blank prescription slip. The slip along with the file is to be taken to the doctor who you wish to consult. Each visit to the doctor costs you *one rupee* which is directly debited from the salary.

**Healthcare.** For regular medical officers (doctors) of the Hospital, there is no system of taking an appointment. For visiting specialists, one has to take an appointment. Some of the specialists will give appointments only when recommended by a regular medical officer. For scheduling such an appointment, you have to contact the reception.

Any medicine prescribed by the doctor on duty can be obtained from the Pharmacy attached to the Hospital. If a prescribed medicine is not available, one has to take a separate prescription for the same to purchase it from a medical shop outside the campus. The Institute reimburses the cost of medicines purchased from medical shops outside which could not be supplied from the Institute Pharmacy. Similarly, the cost of consultation, pathological or radiological investigations carried out outside the IIT Hospital on recommendation of the Institute doctors are also reimbursable. In some cases, only 80% of the cost is reimbursable. There are some fine prints to reimbursement rules (for instance, cost of spectacles or contact lenses or the cost of dental treatment in an outside clinic or hospital etc. are not reimbursable even when recommended by a medical officer of the Hospital). You can get a list of recognized hospitals and reimbursements at [https://www.iitb.ac.in/hospital/hindi/RecognisedHospitalList\\_tabular.html](https://www.iitb.ac.in/hospital/hindi/RecognisedHospitalList_tabular.html).

In case of illnesses which require hospitalization of a specialized nature (as may be determined by the C.M.O.), a patient may be referred to one of the many hospitals in the city which are recognized by IIT Bombay. The entitlement in the hospitals (that is, the type of room or bed that can be availed) depends on the employee's salary and it is useful to enquire about exact entitlement from the administration. While expenses in all Government Hospitals and several charitable hospitals (such as Sushrusa Hosp., Dadar and the Tata Memorial Hospital) is reimbursed 100%, the Institute only reimburses 80% of the cost in recognized Hospitals with sophisticated facilities and some specialty Hospitals<sup>2</sup>.

While basic pathology is available in the Hospital, the Institute Hospital has an arrangement with a few specialized pathology laboratories<sup>3</sup> for some advanced tests. For this purpose

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<sup>2</sup>The hospital website <http://www.iitb.ac.in/hospital/> has a link to the list of recognized hospitals. This list is updated as and when new hospitals are added and hospitals removed.

<sup>3</sup>Such as Ranbaxy Clinical Reference Laboratories, Raptakos Brett Testing Lab, Sanjeevani Diagnostic Centre.

staff from these labs visit the Institute Hospital on specified days to collect samples. Hospital Doctor's recommendation is required for use of this facility.

The Institute recognizes a few radiological centres for investigations with MRI, C.T. Scan, Digital X-rays etc. Hospital Doctor's recommendation is required for use of this facility.

The Institute Hospital provides all major vaccinations for children. You are advised to retain records of such vaccinations, as such data is increasingly being required for various purposes in future. In the current times, IIT Bombay hospital is also facilitating vaccination against COVID.

The hospital has an ambulance which works  $24 \times 7$  for transportation of patients within the campus and for transporting patients to hospitals outside when referred to by the IIT Hospital.

**OPD Facilities for Visiting Parents [Limited Contributory Medical Scheme (LCMS) Facility].** Though they may not be officially your dependents, the Institute offers OPD facilities to visiting parents of the employee and of employee's spouse. This facility is offered for a period of six months on payment of ₹ 1,500 and for a year on payment of ₹ 3,000. They will be treated on 'non-entitled' basis; however, medicines etc. will have to be purchased from outside without any reimbursement.

**Medical advance, reimbursement, etc.** When an employee or a dependent is admitted to an outside hospital, up to 90% of the estimated cost can be provided as an advance to the employee.

For the benefit of staff members staying outside the campus (as also for staff on vacation/leave), a list of Medicare Centres/Hospitals<sup>4</sup> is approved for OPD treatment. Medicines purchased on prescription by doctors from these hospitals are reimbursed fully. However, further referrals from these hospitals to outside hospitals need to be sanctioned by the IIT Bombay Hospital.

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<sup>4</sup>These hospitals, at present, are: Pragati Mitra Mandal (Mulund(W)), Smt. Nand Kunverben Rasiklal Seth Hosp. (Borivali (W)), Malad Jain Yuvak Mandal Med. Relief Centre (Malad (W)), Lions Clinic (Matunga), Vasani Diagnostic Centre (Andheri) and Seth Nanji Gangji Charitable Polyclinic (Dombivali). See the hospital website for up-to-date information.



For reimbursement, separate forms for OPD (inclusive of cost of medicine purchased from outside) and indoor treatment, available in the Hospital office<sup>5</sup>, should be filled up and submitted along with cash memos within six months. Please note that **except in case of emergency**, no reimbursement is permissible unless the reference was made by the IIT Bombay Hospital to the outside hospital.

### **Life in Powai and beyond**

The city of Mumbai offers a wealth of cultural and entertainment resources to its residents, befitting a global metropolis. This includes famous places of worship, ancient historical caves, several art and science museums, many theatres for plays and musical performances, restaurants/cafes featuring cuisines from around the world, amusement parks for children and adults and one of the few national parks inside a big city anywhere in the world (from where we get periodic Campus visits by leopards!).

One caveat is that traffic outside of campus may be a nightmare, especially during office commuting hours (and even more so during the very long monsoon season), so one may be well-advised to venture out on weekends. In many situations, the well-developed train network may get you to your destination on time with more certainty. A lot of hope rests on the upcoming metro network. Its construction, however, has added to traffic woes right now, but upon completion, it will benefit commuters from IIT Bombay and the nearby areas. [This is the dream anyway.](#)

Powai and neighbouring areas beyond the campus, particularly Hiranandani Gardens, have evolved into a bustling part of Mumbai with regard to restaurants, cafes etc. It is also generally well-provisioned, in terms of everything from doctors and chemists to yoga and arts classes - however, one does not need to leave campus for most of these!

### **Should you choose to leave**

While we sincerely hope that you will find the Institute and its environment comfortable to live in and stimulating for your academic pursuits, and that you will be with us until you retire (the age whereof is 65 years, at the time of writing), should you decide to resign and leave beforehand for any reason, you may do so giving a three months' written notice. In principle, the Institute may terminate the service of any employee by giving a three months' notice or salary in lieu thereof along with sufficient reason justifying such termination. During the period of probation, however, the Institute needs to give only a month's notice for termination and no reason may be given for such an act. Those who are covered under the old pension scheme may also opt for 'voluntary retirement' from the service of the Institute

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<sup>5</sup>These and most other forms you may require are also downloadable from <http://asc.iitb.ac.in>.

by giving a three months' notice after having served the Institute for a minimum period of 20 years. Voluntary retirement is discussed in the chapter on [retirement benefits](#).

## CHAPTER 3

# The Institute's Hopes and Expectations

For most faculty members joining this Institute, this will be the first 'job', at least in an academic set-up. Since, in such a set up, it is largely up to the individual to plan out her activities and career, it is but natural that one is a little apprehensive as to how to manage one's time in the initial years. While there are always some senior faculty and elder statesmen in the academic unit who will guide you in this respect, the following sections give some idea of what is expected of you and introduce you to the various Institute-supported activities that you will probably get involved in as a faculty member.

### What the Institute expects of you

When you join as an Assistant Professor, in order to assist you to settle in and get your research underway quickly and efficiently, the Institute and the academic unit extend certain facilities. These are:

1. A seed grant of ₹ 20,00,000 plus support for one PhD student in the project mode. Higher seed grant amounts may be considered for equipment intensive research (you need to consult Dean (R&D) office for information regarding this, soon after you join).
2. Space: A minimum of a faculty cabin (10' × 15') and a working space of 300 sq. ft. to be identified by the academic unit before he/she joins and made available on joining. 10 feet × 30 feet space is called a "bay" in IIT Bombay parlance, so a faculty cabin is typically half a bay.
3. Reduced teaching load (say a course associateship) in the first semester (unless the faculty member wants to be involved in intensive teaching right from the start). Similarly, administrative load to be kept to a minimum in the initial semester.

In return, the Institute has certain expectations from the new faculty members. These are:

1. At least one grant proposal submitted within the first 6-8 months after joining and independent research funding secured within about a year.
2. Independent handling (as sole instructor) of at least one teaching-intensive course within the first two years.
3. Demonstrated research productivity in terms of lab development and publications as relevant to the faculty member's nature of work, as well as evidence of research guidance (in the form of PhD scholars and completed Masters' projects) within a reasonable time period.

**Typical activity profile of a Faculty member and Annual self-assessment.** The three main areas in which faculty members contribute to the Institute are Teaching, Research and Service<sup>1</sup>. It is expected that, averaged over the year, a young faculty member spends of the order of 30% of one's time during the working week on teaching, and up to 20% on service-related activities, leaving the rest of the time (50% of the working week, in addition to weekends) for research. It may therefore be expected that, at various points where one's contributions are to be assessed, these weightages shall apply.

It is possible, as one grows into one's career and gets into the positions of an Associate Professor and Professor, that these profiles may change somewhat: teaching may become easier, one may get more involved with the academic unit and Institute's administration, etc. The Institute therefore recognizes that these weightages may change at these levels, at the choice of the faculty member.

The various designations of faculty in the Institute, along with their responsibilities, is listed in the [next chapter](#).

### Academic Rules

As a faculty member, the academic responsibilities include: (i) teaching existing courses (ii) starting new courses (iii) evaluating student performance in courses (iv) supervising research performed by students at various levels and (v) evaluating research performed by students (supervised by oneself, or colleagues).

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<sup>1</sup>Service includes administration as well as contributions to the society at large and to the profession. The latter contributions are usually through participation in extension activities (continuing education, consultancy, etc., on which more in further sections), membership of professional bodies, governmental committees, journal reviewerships and editorships and so on.

As a core activity (along with research), teaching involves delivery of courses (and performance of associated activities such as evaluation) as part of the Institute's academic programmes. The rules governing various aspects of administration and conduct of the academic programmes are determined by the Senate. IIT Bombay prides itself on a flexible curriculum for its programmes, which gives each student ample opportunity to pursue her academic interests irrespective of the discipline to which she belongs.

**Proposing a new course.** As a faculty member, you can propose new courses as electives in your area of expertise. Such courses go through a process of approval, first at the academic unit level, then at the level of the appropriate Programme committee (PC) of the Senate, and finally at the Senate.

**Evaluation Scheme at IIT Bombay.** IIT Bombay follows a credit system for its educational programmes, in which the credits assigned to an academic activity are indicative of the quantum of work involved in that activity. Thus, the credits for a course, for example, depend on the number of Lectures per week (2 credits per lecture hour), the number of tutorials per week (2 credits per tutorial hour) and the number of Practicals or Laboratory hours per week (1 credit per hour). Most theory courses are worth 6 credits and are made up of 2 lecture hours and a tutorial hour per week (that is, a 2-1-0-6 structure). Credits are also assigned to activities such as seminars and projects. The assessment of a student's performance in a course is by continuous evaluation through the duration of the course, and the Instructor has considerable freedom in deciding the components of evaluation and their relative weights.

Typical components are assignments, tests and other activities such as course projects which run through the semester, a mid-semester examination (typically worth 30% towards the final grade) and the end-semester examination (typically worth 50%). The final percentage marks obtained by a student are converted to a letter grade, usually based on the performance of the student relative to the class (the conversion can also be on an absolute basis, for example if the student strength is very small for a course). These and other details are available on the [Academic office webpage](#).

Instructors are expected to announce the evaluation methodology at the beginning of the course, and also make available the corrected answer scripts for every assignment, quiz or examination (including the end-semester exam) for the students' inspection. The instructor gets a feedback on the effectiveness of her teaching through a system of online course evaluation by students, which happens at the end of the teaching semester.

Students should be encouraged to participate in the mid-term and end-term course feedback processes. The feedback from midterm evaluation process may be used constructively for

improvement in the course delivery. Teaching evaluations should be taken seriously, and introspection helps one become a better teacher.

**PhD supervision.** Apart from teaching and instructing courses, you are also expected to do a fair amount of supervision at the UG/PG and PhD levels. While basic rules for guidance varies across academic units, the PhD supervision entails certain basic criteria.

1. Only full time faculty are entitled to undertake PhD supervision.
2. At any given time, the number of Institute research scholars (TAs and/or RAs) working with under your supervision shall not exceed five. The DPGC/PGC of the academic unit can decide on the total number of research students of all categories working with him/her.
3. As a supervisor, you are expected to supervise the student till satisfactory results are achieved.
4. A supervisor must keep a check that the students being supervised deliver the Annual Progress Seminar (APS) every twelve months after joining the program. The APS report must contain information describing the research that has been performed in the completed year and submit it to the Research Progress Committee. The student must then deliver an open seminar, which all interested members of the academic unit are free to attend, where he/she will be examined by the RPC. The objective of the seminar is to provide feedback about the research completed by the student in the past year, and provide suggestions for continuing and refining his/her research. With the progress of a student's PhD, the work presented is expected to evolve from a thorough understanding of fundamental concepts and reported literature to an in-depth solution to a novel research problem. The RPC lays emphasis on publications in reputed international journals, filing invention disclosures and patents based on nature of the research output, and also encourages the student to present his/her work in international conferences and workshops.
5. You can also serve as a co-supervisor if any student chooses to have more than one supervisor, and if this is approved by the DPGC.
6. If you are going on long leave, such as lien/sabbatical leave/special leave/deputation etc., you must propose an alternate arrangement to continue the academic activities of your students.
- a. Whenever a Supervisor leaves the Institute permanently or temporarily for a period greater than or equal to one year, the DPGCs/IDPCs/PGCs shall provide new supervisor(s) for the students being supervised by him/her before his/her departure.

- b. Whenever a Supervisor leaves the Institute temporarily for a period less than one year, the DPGCs/IDPCs/PGC shall make an alternate arrangement for the guidance of his/her students.
  - c. The DPGC/ IDPC/ PGC may consider continuation of the original Supervisor upon his/her return to the Institute, as Co-Supervisor of his/her students depending on the period for which he/she has supervised the PhD programmes of the students concerned.
  - d. Any such arrangements made shall be forwarded to PGAPEC for prior approval.
7. Change of supervisor is generally not advised and should be sought as a last resort. Under exceptional circumstances, if a student chooses to terminate the relationship, then it will only be permitted on recommendation of the DPGC/IDPC/PGCA. Every effort should be made to allow a fair transition for both the faculty and the concerned student.
  8. Student supervision can also be done jointly with faculty or staff of other universities or educational institutes. In some cases, such as the IITB-Monash Research Academy, the Institute facilitates joint advising of students across Institutes. In other cases, permission may be sought from the Dean (AP) having co-guides from outside IIT Bombay.

### **Resources for Teaching**

Teaching is considered to be an important component of faculty activities. That said, most new faculty come in with strong research experience, but modest teaching experience, if any. It helps that most new faculty are given about a semester off from teaching in the beginning - this is often academic unit's policy; in some cases, there may not be a choice if the faculty member joins after a semester has started. Here are a few tips to help with teaching, and preparing for it.

1. When you are assigned a course to teach, you can look at the Academic section of the ASC website (<https://asc.iitb.ac.in/acadmenu/index.jsp>) for course details such as syllabus and textbooks, as well as timing and venue. In general, it is mandatory to adhere to the specified syllabus, especially for core courses. However, instructors can enhance their course offerings with additional topics and learning content.
2. You may talk to the Head and ask for details of the previous instructors (this information is also available on ASC). That is assuming this is an existing course, not a new one you are starting; the procedure for starting a new course is described in the [form for proposing a new academic course](#). Senior faculty members who have

taught the course may be able to help you with teaching material such as slides, homework problems, recommendations for textbooks, capable teaching assistants (TAs) and so forth.

3. A recent alumni supported initiative, called the Parimal and Pramod Chaudhari Centre for Learning and Teaching (PPCCLT), now provides a plethora of resources for teaching, drawing on internal and external expertise and experience. These include:
  - a. (Annual) Faculty Development Workshops
  - b. TLC Café - featuring training sessions for faculty on effective teaching
  - c. Community of Practice (CoP) platform for sharing best teaching practices
  - d. Active learning classroom (under construction at the time of writing). Please check out the [PPCCLT website](#) for more details. They welcome and need faculty involvement to be effective, so please consider it.
4. There are several resources available to you to prepare video lectures (getting your regular lectures recorded, or, recording in a studio), and put them online if you desire. These include:
  - a. Centre for Distance Engineering Education Programme (CDEEP) – which helps to prepare video lectures. Details are available on their [website](#). Please look in the Related Projects section, for information on pedagogy-related projects, usually MoE-supported, like TEQIP, GIAN and NMEICT.
  - b. [NPTEL](#) - a nationwide program supported by MoE for high-quality content development in science/technology and dissemination through Massive Open Online Courses (MOOCs), with facility for testing and certification.
  - c. [IITBx](#) – this is an online platform for MOOCs, specializing in hybrid MOOCs that feature flipped classrooms, live interaction and so forth; in addition to more academic content, it provides skills training, teachers training, and life-long learning type content.
5. IIT Bombay is one of the few institutes in the country to have an academic program in Education Technology. Faculty here pursue research in technology-enhanced learning, pedagogical tools and strategies. If you are interested in exploring new technologies/methodologies in your class, they might be happy to collaborate with you. Details about this Inter-Disciplinary Programme is available [here](#).



### **Research Funding**

Research funding could be one of the following three types 1. (Institute) Seed Grant 2. (External) Sponsored Research Project 3. (External) Consultancy Project

**Seed Grant.** IIT Bombay, through the Industrial Research and Consultancy Centre (IRCC), offers seed grant to new faculty members to encourage and facilitate their research activities at the Institute. Details of this grant are as follows:

1. The faculty member should request for a seed grant within 6 months from the date of joining the Institute.
2. The duration of the seed grant project will usually not be more than 3 years and will be closed after that.
3. Seed grant proposals should highlight the objectives, expected outcome, time frame, budget with appropriate justification (especially for equipment) and other relevant details. Specify the equipment proposed to be procured under the seed grant.
4. Seed grant consists of a base amount up to ₹ 7,00,000 that can be apportioned under EQP (equipment), CON (consumables) and CTE (contingency) budget heads. Reallocation of funds between different budget heads is allowed. The following conditions apply on expenditures from the seed grant (base amount):
  - a. Procurement of small equipment, consumables and other contingent expenditure is allowed.
  - b. Procurement of a laptop or a hand-held device (iPad, Tablets, etc.) is allowed. However, purchase of laptop / hand-held devices should normally be from allocations made by the academic unit. Such a purchase from the seed grant is allowed only with a self-declaration from the faculty to the effect that the purchase is made from only one of the sources (in the first three years).
  - c. Travel within India using seed grant is allowed only for the concerned faculty member to defend research proposals and with prior permission of the Dean (R&D).
  - d. Seed grant cannot be used for international travel, holding workshops or conferences, hiring administrative or project assistants or attendants, payment of honoraria, office furniture, air-conditioners, etc.
5. An additional ₹ 13,00,000 (₹ thirteen lakhs) will be provided, if needed, for purchase of (basic) equipment. Reallocation of this amount to other budget heads is not allowed.

6. Faculty members needing additional funding should seek the same from the concerned Academic Unit, which could review the request and provide support from its own funds such as DDF as per its own policies / guidelines.
7. Equipment grant may be augmented by up to ₹ 1 crore subject to the following:
  - a. This augmentation is to be used exclusively to procure major equipment / facility of a specialized nature, if required for the proposed research work. It is NOT meant as a general grant to be used over time for miscellaneous EQP purchases; these should be procured out of the 13,00,000 or 20,00,000 (basic equipment + part or whole of base amount).
  - b. Faculty member must have secured at least one research proposal to an external agency for funding. If need be, Institute will give a letter of 'additional financial support' to be used while seeking funding from external agencies.
  - c. Request for additional support will be evaluated the Research Infrastructure Fund Committee (RIFC). Based on the review by RIFC, a suitable recommendation is made for possible funding to Deputy Director (Finance and External Affairs) and Director for approval.
  - d. Faculty member must give an undertaking that the equipment will be made available to other users in the Institute. Potential users of the equipment and the extent to which the equipment will be made available to other users must be included in the proposal seeking additional funding.
  - e. Purchase of equipment with this additional amount must be initiated within 3 months of the date of approval of the grant.
  - f. Request for the augmented funds may be made anytime within the first two years of the Seed Grant project, so that the total period of Seed Grant support remains 3 years.
  - g. Annual maintenance for 3-5 years must be built into the purchase.
  - h. This augmented funds cannot be utilized to setup individual high-performance computing facilities. This augmented support is meant to
    - Supplement any shortfall in the equipment grant from external agencies
    - Enhance capability of the equipment / facility proposed in the project
    - Support additional accessories to the equipment funded by external agencies
8. Proposals, duly complete in all respects, must be submitted online on DRONA (<http://drona.ircc.iitb.ac.in>). There is no need to send a hard copy of the proposal.

9. **Completion Report:** A project completion report highlighting the utilization of seed grant and the manner in which the seed grant helped the faculty to 'seed' his/her research must be submitted to the Dean (R&D) while closing the project. In case the faculty member received augmented EQP grants, the report should also include the following:
  - How the facility supported research of other users and the utilization data
  - Research plans / targets for further utilization of the special equipment / facility in the next few years
  - Plans for further R&D projects to be proposed to fully utilize the potential of the equipment / facility.
10. Institute will make an annual budget for seed grants. Source of funds can be either MoE grants or IRCC funds. Disbursals of seed grants will be subject to availability of funds under this budget.

**Sponsored Research Project.** Sponsored research projects may be initiated by submitting project proposals to various/appropriate funding agency. The project proposals should be submitted in a suitable format given by the concerned funding agency.

Some of the sponsoring agencies and their URLs are given below:

- [Aeronautics Research & Development Board \(ARDB\)](#)
- [Board of Research in Nuclear Sciences \(BRNS\)](#)
- [Central Board of Irrigation and Power \(CBIP\)](#)
- [Central Mine Planning and Design Institute \(CMPDI\)](#)
- [Department of Science and Technology \(DST\)](#)
- [Department of Biotechnology \(DBT\)](#)
- [Indian Council for Medical Research \(ICMR\)](#)
- [Indo-French Centre for the Promotion of Advanced Research \(IFCPAR\)](#)
- [Indian National Science Academy \(INSA\)](#)
- [Indian Space Research Organization \(ISRO\)](#)
- [Ministry of Electronics & Information Technology \(MeitY\)](#)
- [Department of Telecommunications \(DoT\)](#)
- [Ministry of Education \(MoE\)](#)
- [Naval Research Board \(NRB\)](#)
- [Science and Engineering Research Board \(SERB\)](#)

The agencies which can be approached for travel grants for attending conferences, seminar, workshops, etc. include DST, CSIR, INSA, UGC and the [All-India Council for Technical Education \(AICTE\)](#).

Project proposals, duly completed in all respects, will have to be submitted online by logging in through your LDAP login id.

This will automatically be routed through the concerned Head / Convener of the Academic Unit to Dean(R&D).

After the proposal is approved online by the Dean(R&D), IRCC will issue the “Endorsement of the Institution” letter which will have to be submitted by the Project In-charge to the funding agency.

### **Assessment and Promotion Policies**

**Application Process.** The schedule of faculty assessment and promotion is announced by Dean (Faculty Affairs) after due approval by the Director.

Applications are invited from faculty members who satisfy the minimum qualifications and experience criteria as per MoE norms for the respective position. The application form requires each candidate to furnish information about their work during the assessment period (that is, period being held in the current position).

**Experience (Required on the date of application):** *Professor:* A minimum of ten years teaching/research/professional experience of which at least 4 years should be at the level of Associate Professor in a research organization or industry as on the date of application. The candidate should have demonstrated leadership in research in a specific area of specialization in terms of guidance of PhD students, strong record of publications in reputed journals and conferences, patents, laboratory/course development and/or other recognized relevant professional activities.

*Associate Professor:* A minimum of six years’ teaching/research/professional experience of which 3 years should be at the level of Assistant Professor Grade I, Senior Scientific Officer/Senior Design Engineer in a research organization or industry. The candidate should have demonstrated adequate experience of independent research in terms of guidance of M.Tech. and PhD students, publications in reputed journals and conferences, patents, laboratory/course development and/or other recognized relevant professional activities.

**Institute Faculty Advisory Committee.** The Institute Faculty Advisory Committee (IFAC) as an advisory body to the Dean (FA) on various matters of faculty interest, and matters of faculty development.

*IFAC Composition:* The committee is constituted by the Director and chaired by the Dean (FA). IFAC has the Deputy Director (AIA) as a permanent invitee. The committee is re-constituted every two years with the existing members in each category being replaced by Heads of academic units not represented in the committee.

*IFAC Role:* The IFAC has the following broad roles. Apart from these roles, the Director may request IFAC to consider and make recommendations on matters related to faculty affairs.

1. Consideration of short listing criteria of academic unit for entry level as well as promotion for different faculty positions
2. Pre-processing of applications of internal candidates for promotions
3. Processing of nominations for Chair Professor positions
4. Nominations of faculty members for various national /international awards
5. Faculty development and mentorship
6. Faculty self-assessment

**Shortlisting Process.** The applications submitted by the internal candidates are first shortlisted by their respective academic units through the Department their Policy Committee or Professors' Committee as per the academic units shortlisting criteria as approved by Institute Faculty Advisory Committee (IFAC). The shortlisting criteria framed by each academic unit ensures that (i) the effort put in by the candidate in the current position is adequately recognized and (ii) promotion to the next higher position in the minimum period (that is, just after the minimum mandated number of years of experience have been completed) requires performance at a high level as judged by the standards of the average performance of the academic unit or subgroup within the academic unit to which the candidate belongs. Each academic unit recognizes the contributions of the candidate in research, teaching and professional/department/institute Services. In addition to the performance criteria of the academic unit approved by the IFAC, guidance of one PhD scholar (in an advanced stage of her research) for the Associate Professor's post, or two completed PhDs under the candidate's guidance (at least one completed + one past the pre-synopsis stage) for the Professor's post would normally be considered necessary. Any deviation from this norm would have to be appropriately justified at the IFAC meeting. During the shortlisting process, the academic unit may note, and give due importance to, instances of exceptional performance, such as sustained excellence in teaching, publications of high impact/ in high impact-factor journals, highly successful translation and commercialization of the faculty's research.

**IFAC Review.** Each application is required to have eight (8) peer reviews. Out of these 8, at most 4 reviewers can be suggested by the candidate while the remaining reviewers would be identified by the academic unit. All applications considered by the academic units with their recommendations are presented to the IFAC by the Heads of the respective academic units for consideration. IFAC takes into account the shortlisting done by the academic unit and verifies that the criteria approved by the IFAC have been satisfied.

**Peer Review.** Applications approved by IFAC enter into the next stage of peer review. The Administration sends the application dossiers to the selected academic referees, primarily for their inputs on the research carried out by the candidate, as seen by her important publications (reprints of such publications may form part of the dossier sent). The letters requesting peer input also state in concise terms the range of activities considered as important for a faculty member in IIT Bombay, so that the referees can judge the quantum of research output in a proper context. A minimum of three to four peer reviews are considered necessary before a selection committee can be constituted.

**Selection Committee and Interview.** The Dean (FA) recommends to the Director the setting up of a selection committee for the candidates of an academic unit with composition as per IIT Bombay statutes. All the applications received by the academic unit, the shortlisting criteria of the academic unit and all candidates considered by the academic unit are placed before the selection committee for its consideration and approval. After the due constitution of the statutory selection committees, interview schedules are published by the administration, and the candidates are invited for personal interview. All the internal candidates must present a seminar based on the research performed during the assessment period in the academic unit. External expert members of the selection committee may be invited for the seminar. In addition, candidates are also asked to present a research summary during the personal interview. The selection committee recommends to the competent authority whether or not a candidate may be promoted.

**Chairperson BoG Approval.** The selection committee recommendations and decisions are placed before the Chairperson BoG for approval. The appointment letters are then issued by the Director after necessary approval by the Board and following other Institute norms and procedures regarding salary and other terms etc.

### **Method for Determining Professors to be Moved to HAG scale.**

1. *Composition of D-HAG Committee:* Scoring should be done by a committee called Departmental committee for Higher Administrative Grade (D-HAG) constituted by the Head of the academic unit. The committee is to consist of 3 to 4 members, all of whom must be on HAG scale. In case there are not enough people on HAG

scale in a academic unit, faculty on HAG scale from other academic units may be inducted into the committee.

2. *Submission of HAG form to D-HAG:* Heads will be provided a list A of professors on HAG scale as well as those recommended for HAG in earlier years and another list B of professors who have at least six years of experience from the date of joining as professor and thus deemed eligible. Eligible professors in list B will fill up the data in the HAG form and submit it with their CV to the Convener of the D-HAG.
3. Computation and scrutiny of scores as per the new guidelines: D-HAG is responsible for computing scores for each faculty member who has submitted the form. Score computation is to be done based on the guidelines below. Scores awarded to a faculty member by the D-HAG committee (with category-wise split) must be made available to the faculty member for feedback, before it is sent to IFAC. The Conveners of D-HAG committees will present the cases of professors who qualify for HAG scale in a meeting of IFAC. Justifications for each score, including any additional academic unit policies, and academic unit averages (such as number of courses and publications) must be provided to IFAC. IFAC will release a list of professors recommended for HAG scale.

The list of professors eligible and recommended by IFAC will be updated every year. However, once a faculty member is recommended for HAG, she/he will continue to remain recommended in future years, and need not apply again.

Scores approved by IFAC will be used to create a combined list of recommended professors (from current and earlier years) who are not yet in HAG scale. In case there are more recommended faculty than vacancies, the list is to be sorted by seniority based on date of promotion as professor (joining date for those who join directly as professor); ties are to be broken by date of birth as per existing practice. Vacancies in HAG scale are to be filled as per this seniority list.

Those Professors of CFTIs who are appointed as Director in CFTIs by the MoE, shall deemed to have placed in the HAG scale notionally from the day they took charge as Director in CFTIs or from the day guidelines were issued by MoE vide its letter No. F.23-1/2008-TS.II dated 18.08.2009, whichever is later.

*Score calculation method.* Points are computed for the applicant based on the following criteria.

- **Teaching (A1):** A teaching score that is not less than half of the six year annual academic unit average teaching score counts for 1 point. A teaching score that is more than the six year annual academic unit and less than twice the academic unit average counts for 3 points. Finally, a teaching evaluation score in excess of twice the academic unit average counts for 5 points. In addition, the following recommendations are considered:
  1. Courses taught by the faculty member in the evaluation period (that is, after promotion to professor) are to be counted.
  2. “1” course is defined as a full semester lecture course. This includes summer courses delivered in full lecture/lab.
  3. For a course with sections, each section of a course can be considered as a separate course.
  4. Lab course = 0.3, 0.5 or 1.0 of a regular lecture course, based on credits, academic unit norms and actual effort per faculty.
  5. Academic unit’s average is to be computed based on course load in the previous 6 years.
  6. Academic unit may consider lab development as equal to 0.5 or 1 course depending on the effort involved.
  7. A shared lecture courses by two instructors may be given 0.5 credit of a full Course.
  8. A half-semester course is to be given 0.5 credit of a full course.
  9. Academic units which run/maintain facilities used extensively by other entities may optionally consider operation of such facilities as equivalent to 0.5 course.
  10. No credit to be given for course that consists entirely of coordination and uses external resources/lecturers.
  11. If score is 3 by above rules, and further the teaching score computed for excellence in teaching award for the previous 5 years (under the new scheme) is at or above the 80<sup>th</sup> percentile of academic unit faculty scores, increment score to 5.
  12. If score is 3 by above rule-set, plus a textbook published during period of evaluation, increment score to 5.
- **Academic Research (A2):** 1 point is awarded if M.Tech. / M.Sc. theses are guided. 3 points are awarded if the Ph.D and M.Tech./M.Sc. theses have been guided *and* the number of publications is 1.5 to 3 times current academic unit publication norms for promotion from Associate to full Professor. Finally, if in



addition to the previous point, the number of publications is more than 3 times current academic unit publication norms for promotion from Associate to full Professor, 5 points are awarded. In addition, the following recommendations are considered:

1. B.Tech/M.Sc. project guidance of a research kind may be optionally included (Departmental option).
  2. Publication norms approved by IFAC for promotion are to be followed when counting number of publications (e.g. quality requirements on venue, extra weightage for very high quality venues, averages by specialization within the academic unit, etc.)
  3. 2 extra points (subject to maximum total of 5) may be awarded for national/international recognition of research, such as national level awards (Swarna Jayanti award, S. S. Bhatnagar award, Infosys award), Fellowship of recognized national/international academies (NASI, INSA, INAE, IAS, AAS). Awards/Fellowships/other recognition other than those listed may be considered subject to approval of IFAC. Date of conferment of recognition need not be in assessment period.
  4. 2 extra points (subject to maximum total of 5) may be awarded for any other exceptional achievements, subject to approval of IFAC.
- **Sponsored Research (B1):** Applicants with no projects get a score of 0. The total count of projects of candidate initiated during the assessment period (see notes below for fractional counts) are to be compared with  $6 \times$  the academic unit average of projects initiated over last 6 years. Candidates with count  $< 6 \times$  the academic unit average will receive 1 point. Those with scores in (1 to 2) times ( $6 \times$  academic unit average) will get 3 points. Those with score  $> 2$  times ( $6 \times$  academic unit average) will receive 5 points. The additional recommendations are:
    1. Information about projects and funding are to be taken from IRCC online records
    2. For multi-investigative projects, fractional share of a professor should be as per share declared in IRCC.
    3. For large departmental projects such as FIST, IRHPA etc., the academic unit's committee to consider contributions while apportioning credit.
    4. A transferred technology = 1 sponsored project
    5. Number/scope of projects and/or funding initiated in the assessment period may be taken into account when comparing with academic unit average

6. Count of projects and funding as per IRCC.
  7. 2 extra points (subject to maximum total of 5) may be awarded for exceptional achievements in sponsored research projects, subject to approval of IFAC.
- **Extension Activities (B2):** Significant participation in any one activity would yield in 1 point. Participation in any three activities yields 3 points, while any five yields 5 points. Activities include those listed below. Participation level in each activity may be judged as indicated with each activity.
    1. Consultancy assignments handled (total value of consulting assignments handled may be taken into account)
    2. Number of national technical programmes coordinated (e.g. SERC schools)
    3. Number of workshops and conferences conducted
    4. Number of membership of boards, national committees, editorships
    5. Number of Continuing Education Programmes (Courses) conducted
    6. Outreach activities
    7. 2 extra points may be given for exceptional performance in any one or more activities, subject to approval of IFAC
    8. Committee to consider deciding “Significant/ Extensive” based on academic unit average over last 6 years)
  - **Administration (B3):** Points are to be awarded for each year of administrative service on Senate approved positions, as per list below. Maximum score is 5, and fractional parts of total score are to be discarded after addition.
    1. Warden, Associate Warden, Associate Dean, Heads of Centres, Professor in Charge, Convener of IDPs, UGAPEC, PGAPEC: 0.5 point per year
    2. Dean, Head of academic units: 1 point per year
    3. Director, Deputy Director: 1.5 points for each year
    4. GATE/JEE Chair: 1.5 points per term
    5. GATE/JEE Vice Chair: 1 point per term
    6. Points for any other positions may be put up to IFAC for approval

Candidates who meet the following criteria after IFAC approval are to be recommended for HAG scale: 1. Total score is calculated based on A1 score + A2 score + best TWO of (B1,B2,B3) scores 2. A score of at least 1 in each of A1 and A2 is mandatory 3. Total score must be at least 10

**Annual performance appraisal.** The annual performance appraisal process is in the form of a self-assessment. The process should be completed by 31<sup>st</sup> March of every year

and the forms will be filled up online by individual faculty member. The self-assessment form includes sections on Teaching, Research and Administration being mandatory and the sections on Professional and Extensional activities being optional. The methodology of self-assessment, the manner of quantifying performance in various areas, as well as the concept of a single performance index that combines performance in different areas, shall be reviewed by IFAC at the end of 3 years. At this stage, with appropriate modifications introduced as a result of the experience gained, IFAC may consider using the cumulative record of self-assessments as a basis for shortlisting candidates for selection to higher posts.

### Awards

While good teaching and research is likely reward enough, both you and the Institute would benefit from greater visibility and recognition of your achievements. Within IIT Bombay, the S. P. Sukhatme Excellence in Teaching Award is awarded to 15 faculty members across the Institute every year. Department teaching awards also recognise your teaching efforts. The teaching awards are based on student feedback. Since the guidelines for Excellence in Teaching Awards are currently undergoing revision, you may refer to recent Senate meeting minutes for updates on this.

There are several categories of research awards in IIT Bombay, among which the Rakesh Mathur awards for the Excellence in Research are instituted in honour of two former Professors of the Institute, and each of these awards carries a cash incentive of ₹ 1,50,000. They are

- Prof. S.C. Bhattacharya Award for Excellence in Pure Sciences
- Prof. H.H. Mathur Award for Excellence in Applied Sciences

Earlier recipients of this awards are available at the [IRCC website](#).

Guidelines for nominations for these two awards are:

- This is a one-time award given based on research work undertaken at IIT Bombay during the last ten years.
- There is no age bar for these awards.
- Nomination for the award can be made by any full Professor of the Institute. Self-nomination is not allowed.
  - Institute functionaries, with the exception of Heads of Academic Units, are not eligible for these awards.

The IRCC Research awards include:

1. *Research Publication Award (up to 5 awards for the year)*: To recognize original research results which have appeared in peer reviewed publications and/or other forms such as exhibits (e.g., design, film). Individuals as well as teams can be nominated.
2. *Impactful research award (up to 3 awards for the year)*: To recognize “research results which have had a tangible impact on practice” on industry/ government/other stakeholders. Individuals as well as teams can be nominated.
3. *Research dissemination award (up to 2 awards for the year)*: To recognize “outstanding efforts to disseminate their/others’ research through monographs/ books/review chapters/review papers”. Individuals as well as teams can be nominated.
4. *Early research achiever award (up to 3 awards for the year)*: To recognize young researchers who have already shown their potential for producing outstanding original work. Only individuals can be nominated for this award - the person being nominated should preferably have completed 2 to 3 years but should not have completed 4 years of service in IIT Bombay and must not be more than 40 years of age. An individual can get this award only once in his/her career. Each of the IRCC awards will consist of a citation and a cash prize of ₹ 50,000 (Rupees Fifty Thousands only). The cash prize will be given to nominated researcher (candidate) at IIT Bombay. In addition, the awardee(s) will be invited to submit a research proposal to IRCC for possible funding of up to ₹ 5,00,000 (Rupees Five Lakhs only).

Other IRCC awards include the Dr. P.K. Patwardhan Technology Development awards and the Prof. Krithi Ramamritham Award for creative research. More details and the procedure to apply for these awards is available on the [IRCC Awards webpage](#).

There are also several external awards and fellowships that you can apply for. One such list (from IIT Kanpur) is available [here](#).

### **Continuing Education Programmes**

The Institute has an active ‘Continuing Education Programme (CEP)’, which is managed by the CEP cell. This cell also co-ordinates the ‘Quality Improvement Programme’, a programme of the Government of India to upgrade the skills of practicing teachers in Engineering colleges in the country. You can offer courses to Industry in specific areas of your

expertise, through the CEP cell. Courses to academics are offered under the QIP programme. Details are available on the [CEP webpage](#).

### **Consultancy**

The Institute has rather liberal rules on consultancy, in order to facilitate the interaction of its faculty members with industry. All your consultancy work must be processed through the Institute (Dean R&D). The rules thereof are summarized [here](#).

IIT Bombay offers Consultancy services to industries, the service sector, Government academic units and other National and International agencies in all areas of expertise available in the Institute. The service offered shall be along the lines of 'Professional Services' and will hence carry with them obligations and ethical requirements associated with such services as indicated in the standard terms and conditions of IIT Bombay.

The request can be to solve for almost any type of problem / need in almost every discipline of engineering, technology and science. The Institute, through its Faculty / Scientist / Technical Staff, can handle such external requests of the industry/agency that can come under the term consultancy in its broadest sense. Since these services are along the lines of 'Professional Services', offered at the request of a client for solving their issues and problems pertaining to the above, a fee is charged for undertaking such projects.

**Types of Consultancy Projects.** Each project shall be undertaken either under

- Standard Terms and Conditions (obtained from the Dean R&D office)
- Specific research agreement or Memorandum of Understanding describing the details of contract.

In the former case, the work is taken up in good faith between the consultant and the client, the obligations and responsibilities of both parties being limited by the standard terms and conditions. The latter case refers to projects that usually involve non-disclosure agreements, detailed negotiations of contract terms and signing of contracts in the form of agreement or MOU.

Consultancy and related services offered will be divided mainly into two categories:

- *Category E:* Expert Advice and Development Projects:- This type of project will be expertise intensive and based on the expertise of the consultant. For example,
  - Analytical studies Cause - and - remedy studies
  - Simulation/ modeling/ optimization
  - Design of systems/components/processes

- Development of industrial products/systems
  - Development of systems software/application software for offline/online applications.
  - Development of laboratories
  - Human Resource development programmes
  - Recruitment/entrance examinations
  - Validation of designs/drawings
  - Retainership of faculty in advisory capacity over specified periods
- *Category T: Testing Projects:-* This type of project will be Infrastructure intensive and will be based on extensive usage of the Institute infrastructure. For example
- Calibration
  - Testing of industrial products/samples

**Capital Equipment on Consultancy Projects.** Since there are no overheads on the purchase of capital equipment in consultancy projects, it has been decided that only major equipment purchase should be allocated under this head, which would have a minimum value of ₹ 1,00,000, procured through a purchase order.

*Eligibility:* Consultancy and related assignments can be taken up by full time faculty and Core Research Scientists and Engineers of Departments / Centres / Schools / IDPs.

**General Consultancy Rules.** Consultancy work taken up by Consultants is subject to the following limits:

1. The time spent on consultancy and related assignments shall be limited to the equivalent of 52 working days in a year at the rate of one working day per week. In addition, Consultants may be permitted to utilize, on an average one non working day per week.
2. Consultancy assignments may be taken up by all faculty members and implemented, within the constraints indicated above, provided it does not affect their primary functions and responsibilities to the Institute.
3. Students who are willing to work on consultancy projects may be permitted as per Institute norms to do so provided it does not affect their academic commitments and performance. Such work by students may be compensated by suitable honoraria.

4. Travel out of the campus on account of consultancy activities should be undertaken with intimation to the Head of the Department / Centre / School / IDP. In case of Heads of these entities, intimations should be sent to the Director.
5. Consultancy projects are normally initiated by requests / enquiries from the industry directly to the Institute or by discussion between the industry and the Consultants.
6. When the enquiry is directly received by the Institute, the work will be assigned to specific consultants or groups of consultants depending on their expertise, and existing commitments, by the Dean R&D.
7. In the event of a client preferring the services of a specific consultant, the assignment may normally be assigned to the identified person. All acceptance letters will be sent by the Dean (R&D).
8. Consultancy project proposals (prepared in response to a client's request) are to be approved by the Dean (R&D) who may examine the scope of the work and cost estimates. It is essential to discuss proposed work plans with a client vis-a-vis the scope, in order to obtain clarity before the consultant prepares the cost estimates.
9. In extreme emergencies, a consultant may take up an assignment with intimation to the Dean (R&D), and then seek approval, for tasks entailing total charges not more than ₹ 50,000 or, two days of faculty time, and payments are made immediately, well before submission of any formal report.
10. The charges, once finalized, will not be negotiable. However, if the scope is altered, a fresh estimate may be considered.
11. The minimum charges applicable in respect of consultancy jobs will be ₹ 10,000 excluding any applicable tax.
12. It is desirable that Preliminary Diagnostic Discussions / Site Visits, leading to the generation of consultancy proposals may be charged at a minimum rate of ₹ 5,000 (or US\$200 or equivalent in the case of international assignments) per day or part thereof, in addition to travel and incidental expenses as applicable.
13. Consultant should be aware of the potential for the generation of Intellectual Property during the execution of projects. The Intellectual Property Policy of the Institute will govern all decision and actions concerning the generation, handling, protection and commercialization of the Intellectual Property.

14. The services of external consultants (especially retired Faculty / Research Scientists / Research Engineers) may be utilised to a limited extent in order to provide comprehensive services to clients. The consultant fees payable to External Consultants may not, normally, exceed 40% of the total project cost.
15. The charges for any assignment are normally payable in advance. However, exceptions may be made in respect of assignments involving charges exceeding ₹ 1,00,000 and with implementation periods exceeding 3 months, and a payment schedule linked to milestones can be worked out.

### **Costing of Consultancy Projects.**

1. Consultant Fees (CF): This will include charges for the time of the Institute and External Consultants. The CF is limited to 20% of the project cost for Category T (testing projects) jobs.
2. Charges for Personnel engaged in Technical Services (CPTS) are charges payable to the permanent employees of the Institute for their effort in the execution of the project. The CPTS is limited to 30% of the project cost for Category T jobs.
3. Project Staff Salaries (PSS): This refers to the salaries payable to temporary staff employed specifically for the project. The project shall also provide for 30% of PSS as House Rent Allowance (HRA).
4. Operational Expenses (OE): These include expenses incurred on consumables, contingencies, travel and daily allowance, honoraria for students and all other expenses related to the consultancy project.
5. Overheads (OH): Overheads will be charged at the rate of 20% of PSS, and OE (see #3 & #4 above) as applicable.
6. Capital Equipment (CE): This will include charges for the purchase of specific equipment for implementation of consultancy projects. No overheads are charged on this.
7. Service tax and other taxes as applicable shall be provided for in the project cost.

**Applying and Approval for undertaking Consultancy Projects.** Once a consultancy project request is directed to PI the following steps are to be followed:

1. A PI needs to login to the Drona system using his own **LDAP** (Lightweight Directory Access Protocol) Login name and Password.
2. The Project request directed to you are visible as ‘Consultancy Project Assigned to me’ on the screen
3. The Request sent by the party can be seen by clicking on the Letter Description



4. If the PI wants to apply for a particular project, he must click the “Apply” button on the bottom of the screen
5. There are two categories of consultancy projects, viz Testing and Expertise. For Cost Estimate Form, click as appropriate.
6. When the project application is made, it is forwarded to the academic unit HOD for approval. The PI can see the status of his application in Project Details.
7. All the actions taken on your request will be informed to you by email.

**Disbursement.** The disbursement of CF and CPTS will entail a deduction of 30% as the Institute share for Consultant’s (or CPTS) earnings. This deduction will be on the actual amount disbursed as CF (CPTS). For example, a disbursement of ₹ 1,00,000 as consultancy fee would entail a deduction of ₹ 30,000 as Institute share, and the remaining ₹ 70,000 will be sent to the salary account, where TDS will be deducted as appropriate.

Note: Earnings for Technology Transfer, Revenue Sharing and Royalty will be governed by the Intellectual Property Policy of the Institute.

### **Directorship in Companies**

The Institute encourages faculty to develop industrial relations and permits employees to be on the Board of Directors of companies. However, you are required to obtain the Director’s consent before taking up such a position; the application for the same may be sent to the Director through the Dean (FA), with the approval of Dean (R&D). You may accept a sitting fee given to members of the Board for attending meetings.

### **Starting a company based on your research/ technological breakthroughs**

The Institute encourages you to capitalize on your research findings which have an application potential, through starting your own company or enterprise on campus. This requires that permission be obtained by applying to the Director, through the Dean (FA)<sup>2</sup>. The application process involves, among other things, application of due diligence to ensure there is no conflict of interest involved. A company called the *Society for Innovation and Entrepreneurship (SINE)*<sup>3</sup> has been created for the sole purpose of facilitating the transition from laboratory to marketplace by providing incubation facilities, and is the sole vehicle for

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<sup>2</sup>See link at <http://internal.iitb.ac.in/imcwork/faculty/> , also linked from the main IIT Bombay webpage, for details.

<sup>3</sup>Details of the vision and mission, as well as the rules and procedures for incubating a company under SINE are available at <http://www.sineiitb.org/>

translation of research/technological breakthroughs by the Institute's faculty members to commercial enterprises. The [National Innovation and Startup Policy](#) also offers incentives to promote student driven startups and innovations.

## CHAPTER 4

# Rules & Regulations

### Salary, allowances etc.

Your salary is paid directly to your bank account on the last day of the month. The *Financial Year* for tax purposes is from April 1<sup>st</sup> of a given year to March 31<sup>st</sup> of the following year. The income tax uses *assessment year* for submission of Income Tax Returns, which is the financial year in which the return is filed<sup>1</sup>. The salary slip is made available to every employee around the end of the month in their SAP login, and it provides details of earnings, deductions and the net pay that will be credited to the bank account of the employee. The salary slip of every employee is uploaded on the internal website of the Institute <http://ep.iitb.ac.in>.

**Components of salary.** The salary that you get has several components.

1. *Pay at Pay Level:* Since several readers may be familiar with the provisions of the 6<sup>th</sup> Pay Commission, and new readers are likely to join directly under 7<sup>th</sup> Pay Commission rules, we outline the pay scales with reference to the 7<sup>th</sup> Pay Commission.

What used to be the *Pay Band and Academic Grade Pay (AGP)* in the 6<sup>th</sup> Pay Commission has been replaced, after implementation of the 7<sup>th</sup> pay Commission, by an amount defined by a salary at a *Pay Level*. The position to which you are appointed (or move to after selection to a higher post) defines the salary. All Government servants in India are placed in one of these *pay levels*. Faculty members in Institutes such as IITs are placed in one of the following pay levels. D.A. stands for “Dearness Allowance”, described subsequently.

- *Pay Level 10:* Salary range ₹ 57,700 to ₹ 98,200 (plus D.A.) per month.
- *Pay Level 11:* Salary range ₹ 68,900 to ₹ 117,200 (plus D.A.) per month.
- *Pay Level 12:* Salary range ₹ 101,500 to ₹ 167,400 (plus D.A.) per month.

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<sup>1</sup>As an example, at the time of writing (August 2021), the financial year is 2021-22, while the assessment year for this period would be 2022-23.

- *Pay Level 13A1*: Salary range ₹ 131,400 to ₹ 204,700 (plus D.A.) per month.
- *Pay Level 13A2*: Salary range ₹ 139,600 to ₹ 211,300 (plus D.A.) per month.
- *Pay Level 14A*: Salary range ₹ 144,200 to ₹ 211,800 (plus D.A.) per month.
- *Pay Level 15*: Salary range ₹ 182,200 to ₹ 224,100 (plus D.A.) per month.

Your salary within the pay band is fixed at the time of your appointment and increases every year by an *increment*, as defined in the 7<sup>th</sup> Pay Commission Pay Matrix. The various cadres, processes for selections, and salary scales (that is, Pay Levels as listed above) for the faculty are as follows. Note that they are automatically moved to the higher levels as they gain experience through their career.

- *Assistant Professor*: Assistant Professors fall into the following levels, based on their experience:
  - *0 to 1 year of post-PhD experience (Assistant Professor Grade II)*: Pay Level 10, with starting a salary of ₹ 84,700 plus D.A. per month.
  - *1 year of post PhD experience (Assistant Professor Grade II)*: Pay Level 11, with a starting salary of ₹ 89,900 plus D.A.
  - *2 years of post PhD experience (Assistant Professor Grade II)*: Pay Level 11, with a starting salary of ₹ 92,600 plus D.A.
  - *3 years or more of post-PhD experience (Assistant Professor Grade I)*: Pay Level 12, with a starting salary of ₹ 101,500 plus D.A. per month.
  - *After 3 years in Pay Level 12 (Assistant Professor Grade I)*: Pay Level 13A1 with a starting salary of ₹ 131,400 plus D.A. per month.

If you have joined IIT after having served for some time as Assistant Professor in another IIT or a central University or NIT, your previous experience will be counted for movement to Assistant Professor (Grade I).

As mentioned earlier, selected candidates with less than the requisite experience as specified in the advertisement may be taken as *Assistant Professor (Grade II)* in Pay Level 10 or 11 (the selection committees can give one or two increments over and above this, based on the credentials and experience of the candidate)<sup>2</sup>. While, technically, appointment to this position does not automatically imply ultimate absorption in the IIT, we have adopted a system of internal assessment as explained [in the section on regularization](#).

- *Associate Professor*: Pay Level 13A2

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<sup>2</sup>Thus, a fresh PhD will be appointed in Pay Level 10, which will be upgraded to Pay Level 11 after 1 year of experience. Candidates with more than a year's experience will be directly placed at an Pay Level 11.

- *Professor: Pay Level 14A*

The Institute website (see ‘Recruitment’ link) carries the minimum eligibility criteria for all the above positions.

In addition, the following scales are applicable as appropriate to faculty:

- *Professor (HAG Scale):* From 18<sup>th</sup> August 2009, a senior cadre of Professors has been created. The scale pay for this cadre is known as HAG (Higher Administrative Grade). The minimum eligibility criteria for this scale is six years of service as a Professor. A maximum of 40% of the total number of Professors can be placed in this scale. The corresponding Pay Level is 15, and the salary range is from ₹ 182,000 to ₹ 224,100 per month. Currently, it takes about 12 years to become a HAG scale Professor after becoming Professor. Those Professors of CFTIs who are appointed as Director in CFTIs by the MoE, shall be deemed to have been placed in the HAG scale notionally from the day they took charge as Director in CFTIs or from the day guidelines were issued by MHRD vide its letter No. F.23-1/2008-TS.II dated 18.08.2009, whichever is later.
  - *Institute and Endowed Chairs for faculty:* As a means of recognizing outstanding performance, the Institute has several Chair Professor positions. While most of these are at the Professor’s level, there are a few at other levels also. Funding for several of these comes from endowments, and is managed by the Dean (ACR)’s office, which also takes an active role in raising funds for further Chairs. The selection to these Chairs is done by a Selection Committees. The tenure of the Chair Professorship position is for a period of three years, and the chair is re-advertised at the end of that period. Faculty who hold Chairs receive a salary top up of ₹ 30,000 per month and a contingency grant of ₹ 90,000 per year, in addition to their salaries.
2. *Dearness Allowance:* A component termed as Dearness Allowance to take care of rising prices due to inflation is also a part of your pay package. The rate of Dearness Allowance is revised by the Government every January and July based on consumer price indices.
  3. *House Rent Allowance (HRA):* If you do not stay in Institute-provided accommodation, you will also receive House Rent Allowance (HRA) which is 27% of your basic pay. The allowance is payable even when you stay in an accommodation owned by you. (Interestingly, if both spouses are employees of the Institute, both

can claim HRA if the accommodation is rented or is owned. However, if either of them has a Government accommodation, HRA cannot be claimed by either). HRA is taxable. If, however, you live in a rented accommodation, the HRA that you receive may be fully or partially exempt from income tax. The amount of exemption that can be claimed is the least amount out of the following three: (i) the HRA received, (ii) rent that you actually paid over and above 10% of your basic pay and (iii) 50% of your basic salary.

4. *Transport Allowance:* All employees, irrespective of whether they live within the campus or commute from outside, are eligible to receive a transport allowance. For those in the faculty cadre, the rate of transport allowance is ₹ 7,200 per month. In addition, the Dearness Allowance at prevailing rate is payable on this amount as well. (Note: The transport allowance payable to the blind or orthopedically handicapped employees is double this rate).

**Annual Increment.** Every year employees are given an increment in their salary. The pay in the pay band increases to an amount that is the next cell in the Pay Matrix (corresponding to an approximately 3% increase in salary). The yearly increment is given from the first day of January or July of every year. However, the first increment can be availed only after completing six months in a given pay. This means that, if you are appointed between July and 1<sup>st</sup> January, (of the following year), you are eligible for an increment in the following July but if the date of appointment is between 2nd January to June, you will get the first increment in January of the following year. If the employee is on leave, other than casual leave, on the first day of the increment, the increment is given from the day when the employee rejoins the duty.

Table 1: 7<sup>th</sup> Commission Pay Matrix

Level →	10	11	12	13A1	13A2	14	14A	15
Cell ↓								
1	57700	68900	101500	131400	139600	144200	159100	182200
2	59400	71000	104500	135300	143800	148500	163900	187700
3	61200	73100	107600	139400	148100	153000	168800	193300
4	63000	75300	110800	143600	152500	157600	173900	199100
5	64900	77600	114100	147900	157100	162300	179100	205100
6	66800	79900	117500	152300	161800	167200	184500	211300
7	68800	82300	121000	156900	166700	172200	190000	217600
8	70900	84800	124600	161600	171700	177400	195700	224100

<i>Level</i> →	10	11	12	13A1	13A2	14	14A	15
9	73000	87300	128300	166400	176900	182700	201600	
10	75200	89900	132100	171400	182200	188200	207600	
11	77500	92600	136100	176500	187700	193800	213800	
12	79800	95400	140200	181800	193300	199600	220200	
13	82200	98300	144400	187300	199100	205600		
14	84700	101200	148700	192900	205100	211800		
15	87200	104200	153200	198700	211300			
16	89800	107300	157800	204700				
17	92500	110500	162500					
18	95300	113800	167400					
19	98200	117200						

**Deductions.** When you receive your salary slip, you will find some deductions as well. The primary deductions are:

1. **Income Tax:** Income tax rates are as per finance bill passed by the Parliament every year. It is possible to minimize your tax liability through some tax saving mechanisms. Almost every academic unit has a local expert on such matters for advising you on this. Filing an income tax return every year is compulsory. Unless the last date is extended, returns have to be filed by 31<sup>st</sup> July of the following financial year for which the return is being filed. From the assessment year 2013-14 e-filing of your income tax return has been made mandatory. While initially you may find the process a bit cumbersome, it is actually fairly straightforward. You will need to complete a one-time registration process at the [Income Tax e-Filing website](#). Your PAN number will be your user-id. You will also be required to link your Aadhaar to your PAN at this stage. You can view your tax credit (form 26AS) once you login (you will also be able to see it at your net banking website). The income tax return can be filled up directly on the e-Filing website. On successful submission of your return, the system will generate an acknowledgement (called ITR-V). You can either choose to e-verify your return submission using an Aadhaar based OTP. Otherwise, take a print out of this acknowledgement, sign it and send it to the address mentioned in this form by ordinary post or speed post and you are done. (Incidentally ITR-V is password protected with a long 18 digit password consisting of your pan number in lower case followed by your date of birth in ddmmyyyy format.) You can get all the necessary information from the Income Tax Department website <http://incometaxindia.gov.in>.

Please note that if you have income from sources other than from the Institute and the bank deposits, or if you are expecting a refund of income tax, you have to add these while filing your return.

2. *Professional Tax*: Currently ₹ 2,500 per year.
3. Contribution to CPF/GPF/NPS.
4. License Fee and utility charges for your quarter in the campus.
5. There will be deductions for Group Term Insurance and Scheme (GTIS) and Post Retirement Medical Scheme (PRMS).

**Leave Travel Concession (LTC).** Once every two years, you are eligible for a paid travel to your home town. For the purpose of LTC, block years are defined for two years starting 1<sup>st</sup> January of an even year (e.g. 2020) to 31<sup>st</sup> December of an odd year. If you do not avail LTC during this block year it generally lapses. However, it has been the practice of the Government to allow for a grace year, that is, LTC for the block year 2020-21 can be availed (that is, outward journey commenced) up to 31<sup>st</sup> December 2022.

Two of the above blocks are combined together to define a four year block, e.g. the current block year is 2018-19 and 2020-21 and the next block year would be 2022-23 and 2024-25, defining a four year block of 2022-25.

In this four year block, one can avail LTC for home town travel in one two-year block and another LTC to anywhere in India (including home town) in the other second two-year block. The four year block also has a grace period of one year, that is, the 2020-21 block must be utilized (that is outward journey commenced) before 31/12/2022.

*Eligibility:* The employee appointed on scale must have completed one year of service in the block to be eligible for LTC in the block, that is, those who are appointed up to 31-12-2020. are eligible for LTC in the block year 2021 but those appointed after this day are not eligible.

All the declared dependents are eligible for LTC and the travel need not be taken up together. All return journeys must be completed within six months of outward journey.

If both the spouses are working for the Institute, they can claim LTC separately only if the declared dependents are different. The children can avail LTC only from one of the parents. If you take LTC for spouse under your LTC entitlement, he/she cannot independently claim LTC for self. Each spouse can declare separate “Home Town” and take LTC for their respective hometowns.



*Special provision for New Appointees:* Fresh appointees are eligible for LTC once every year for two blocks of four years each. This means that, during the first eight years of service, an employee can avail one LTC every year. The definition of the block years remain the same. (Illustration: Suppose an employee joined in 2019. He/she can travel on LTC to his/her hometown in 2020, 2021 and 2022 and one anywhere in India LTC in 2023. In the next block, that is 2024-2027 he/she can avail three home towns and one anywhere in India, till he/she completes eight years of service.) After the first 8 years of service, the regular LTC rules described earlier apply.

The all India LTC can be availed only on the 4th occasion of the block and not at random.

*Encashment of Leave for LTC:* Normally, Government employees cannot encash their accumulated earned leave excepting at the time of retirement. However, at the time of taking LTC an employee is permitted to encash up to 10 days of accumulated earned leave with prior approval, subject to the condition that such encashment will not exceed 60 days during the entire career of an employee for which a balance of at least 30 days of earned leave is must. The request for each encashment should be made prior to availing the LTC. If both husband and wife are employees, each can encash such earned leave even when they are traveling together. The encashment of earned leave for the purpose of LTC will not have any bearing on the maximum number of days (300) for which earned leave can be cashed at the time of retirement.

*Travel Eligibility:* Faculty and all dependents are eligible to travel by air<sup>3</sup>. Employees in Pay Level 9 to 13 are eligible for Economy Class<sup>4</sup>, while those in Pay Level 14A are eligible for Business Class. Similarly, employees in Pay Levels up to 11 are eligible for Second Class AC train fare, while those in Pay Levels 12 and above are eligible for First class AC train fare. Please note that no taxi or road mileage is admissible to reach the airport/railway station or for internal travel to destination except where road travel is done by buses run by Government organizations (for which you will have to produce the tickets). LTC rules are strictly observed, and it is necessary to attach Xerox copies of your tickets along with your claim (in case of air travel, boarding passes must be retained and produced along with e-tickets; production of an e-ticket without the boarding passes is not acceptable as proof of travel.) For journeys which involve water transport, detailed rules are available with the administration.

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<sup>3</sup>At present, for all official purposes, travel is permitted only by Air India. Waivers can only be granted (on a case-by-case basis, by the Ministry of Civil Aviation (MCA).

<sup>4</sup>As what is (hopefully a temporary) austerity measure, business class travel is presently suspended for LTC. Extending the same logic, at IIT Bombay, faculty members are strongly advised to travel only by economy class irrespective of eligibility, even when on official travel.

*LTC Advance:* 90% of the estimated cost of journey can be taken as an advance, only where the journey is expected to be completed by all persons travelling (including the return journey) within 90 days of taking the advance. In case the expected date of completion is more than 90 days, please draw advance only for outward journey.

When LTC advance is drawn and the tickets purchased for an amount lower than the advance drawn, the excess amount should be refunded to the Institute immediately. If this is not done penal interest on the excess amount is charged, which cannot be waived by authorities.

The employee must take formal leave for availing LTC for self. You cannot avail LTC using only the officially closed days. Faculty members can avail LTC during vacation also, but with prior intimation (with the destination specified) to administration. Submit the final LTC claim as soon as the return journey is completed.

Final LTC claim settlement: Where advance has been drawn, the claim for reimbursement shall be submitted within one month of the completion of the return journey. Failing which outstanding advance will be recovered suo-moto with penal interest @ 2% over GPF interest from the date of drawal to the date of recovery, as per rules.

Where no advance has been drawn, the claim for reimbursement shall be submitted within three months of the completion of the return journey.

Tickets for LTC travel are required to be booked directly from the AIR INDIA site or booking through authorised agents viz. M/s Balmer Lawrie & Company, M/s Ashok Travels or IRCTC.

**Telephone Expense Reimbursement.** A faculty member is entitled to reimbursement of telephone (landline at home and/or mobile connection) expenses up to ₹ 18,000 (₹ 21,600 for a Professor) per financial year. The amount includes ₹ 4800 towards internet connection at home. Since internet connections for all campus residents are provided by the Institute, the amounts accordingly reduce to ₹ 13,200 (₹ 16,800 for a Professor) for campus residents. For those not staying on campus (including those staying in Institute-leased accommodation off campus) the full amount is available for reimbursement provided they have supporting evidence for internet connection at home.

To claim this, telephone bills (including mobile bills and bills for internet charges) should be submitted to the accounts section. The faculty may choose to submit bills monthly, semi-annually or annually. As it is a reimbursement, no tax liability is due on this amount.

**Children's Education Allowance.** Expenses incurred in admitting upto two children through school (from Jr. KG to twelfth class) can be reimbursed. As per 7th CPC, the procedure for claiming the reimbursement of CEA/Hostel subsidy is changed to once in a year after completion of the financial year/end of Academic year. The CEA amount is fixed to Rs.2,250/- per month per child irrespective of the actual expenses incurred by the Government Servant and Hostel subsidy ceiling amount is Rs.6,750/- per month. The reimbursement will be done against the submission of a bonafide certificate issued by the Head of the Institution OR self attested copy of the report card OR self attested fee receipts confirming that the fee has been deposited for the entire academic year or for the period /year for which claim has been preferred. The Hostel Subsidy and Children Education Allowance can be claimed concurrently.

In order to claim reimbursement of hostel subsidy for an academic year, a certificate is to be produced from the Head of the Institution confirming that the child studied in the school along with amount of expenditure incurred by the Government servant towards lodging and boarding in the residential complex.

### **Cumulative Professional Development Allowance (CPDA)**

The CPDA is an MoE provision under which the Institute provides faculty at all levels with some level of support for travel (including international) and contingency expenses. At the time of writing, the allowance amounts to ₹ 3,00,000 for a block period of 3 years. It is to be noted that CPDA cannot be utilised by the faculty when he/she is under any extraordinary leave.

**Rules governing CPDA.** The CPDA funds are primarily intended to support travel to make oral/poster presentations at international or national conferences. Please note that most government-supported projects do not allow travel funds to be used for international travel. CPDA funds can also be utilised on reimbursement basis for paying the membership fee of various professional bodies, books and contingent expenses.

Out of ₹ 3,00,000, a minimum of ₹ 2,00,000 is earmarked for presenting papers at conferences and a maximum ₹ 1,00,000 can be spent towards membership of professional bodies, contingent expenses (includes purchase of books and stationery items)<sup>5</sup>. Expenses for a conference includes cost of travel (by Air India), local transport, overseas medical insurance, visa fees, registration fee and living expenses @ US \$ 365 per day for the period of conference and two additional days (for travel) preceding/succeeding the conference, subject to a

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<sup>5</sup>The rule is under consideration with higher authorities. In case of any changes, the same would be available [here](#).

maximum of (5+2) days. In case of shortage of funds, the excess expenditure can be met from projects and travel grants from other funding agencies.

As per Institute rules following expenses are not allowed using CPDA funds:

1. Hiring of staff
2. Non consumable items (asset items)
3. Purchase of computers, laptops, tablets or any similar items by any name.
4. Computer peripherals such as printers, scanners, other accessory equipment, recording equipment such as cameras, audio/video recorders, etc.

Out of the maximum allocation of contingency fund of ₹ 1,00,000 in the block of three years, an amount up to ₹ 33,000 can be spent in the first year, a further ₹ 33,000 plus the unused portion of the first year's allocation in the second year, and the entire unspent balance out of the total allocation in the last year.

Availability of 1,00,000 contingency fund is divided as follows: a. Up to ₹ 33,000 available in first year b. Unspent from (a) + ₹ 33,000 available in second year c. Unspent from (a) + (b) + ₹ 34,000 available in third year - If ₹ 2,00,000 from the CPDA conference funds are not used to attend a conference, up to ₹ 50,000 may be availed for expenses towards books. - CPDA will not be available to the Faculty members who will proceed on lien and extraordinary leave (During the period of lien or extraordinary leave).

The daily allowance provided to Faculty Members for participation in International conferences are as follows:

Country/ Region	Per Diem (USD)	Hotel charges per day (USD)
Outside India for Conferences or Seminars	\$115	Up to \$ 250; amount payable at actuals (with bills/receipts)
Outside India for Faculty and Staff Members sent by the Institute on assignments or as a part of delegation on Government work.	\$115	Would be reimbursed on actual expenditure incurred (with bills/receipts) with special approval of Director.

If the full hospitality has been provided (boarding and lodging) by the organizers, only per diem of 25% of the rates mentioned in the table above, that is, \$28.75 will be paid.

### **IRCC International Travel Patent and Publication (IR-ITPP) grant**

IRCC provides support for international travel, international patenting charges and publication through its IR-ITPP scheme, which is over and above the CPDA. Details may be found [here](#).

**Overview.** The salient features of IR-ITPP grants are as follows: A grant of ₹ 3,00,000 will be provided from IRCC to all faculty members, to be spent over a block of three year period (which is concurrent with the CPDA block period) for the following activities:

- Support for international travel related expenses (IR-IT) – only after the CPDA is exhausted
- matching costs for international patenting activities and (IR-IP)
- costs for publications related activities (IR-P)

#### **General guidelines.**

- a. This is provided to all regular faculty members through a separate project code at IRCC for individual faculty and is implemented online.
- b. Any unspent amount at the end of a block period will lapse and a new block will begin thereafter.
- c. This amount may be utilised for any or all of the three purposes as mentioned above, within the limit of the said amount of ₹ 3,00,000, that is, the grant may be used for any of the components IR-IT, IR-IP or IR-P, fully or partially in any combination.
- d. Expenditure above ₹ 3,00,000 within the block period have to be met by sources other than IRCC funds.
- e. The excess expenditure, if any, is not permitted to be met from the next block grant.
- f. Settlement in respect of all three activities should be completed within one month of incurring such expenditure.
- g. If any new faculty member joins during a given three year block period, the grant eligibility will be:
  - For service period of 2 years and above: ₹ 3,00,000
  - For service period of more than 1 year but less than 2 years: ₹ 2,00,000
  - For service period of 1 year and less: ₹ 1,00,000

The details of the use of the grant for the three activities are given below.

**International travel related support (IR-IT).** The IR-IT component in the block grant may be used for the following:

- a. Faculty attending conferences to present posters or invited talks
- b. Conducting specialised experimental research work in major research facilities abroad, if unavailable in India (TA/DA only). Charges for usage of such facilities, if applicable, should be met from other sources.
- c. Chairing a session in international meetings
- d. Contribution towards travel awards, similar to INSA travel grants
- e. Giving invited talks and initiating or continuing on-going collaborative research work, where partial support towards the visit is made available by the host institution (such as local travel / hospitality, partial travel support etc.)
- f. Attending specialised workshops based on invitation and partial support by the organisers

The grant use is subject to the following:

- a. The grant is available only for faculty member for his/her travel and not for students or project staff.
- b. All Institute terms and conditions of international travel (CPDA norms), such as air carrier, TA/DA rules, class eligibility, etc., will be followed for the IR-IT related activities.
- c. A request by faculty for support related to international travel should be sent to Dean R&D, with recommendation by Heads of the respective academic entities.
- d. Prior permission from Dean (FA) should be obtained for the international travel. A copy of the approval letter and conference related documents should be made available to Dean R&D office.
- e. The component of the Institute CPDA grant for international travel for the applicable block period should have been utilised first, before utilising the IR-IT grant. When the available CPDA fund is not sufficient to cover the visit, then it can be combined with IR-IT fund / other sources such as project fund / RDF.
- f. While claiming the IR-IT grant component, a self-declaration shall be made by the faculty member that the international travel component of the CPDA fund has already been utilised.
- g. Administrative order for the travel will be issued by Registrar as per existing procedure. If Institute CPDA is used in combination with any funds managed at IRCC

(including the new IR-IT scheme, RDF, project fund, etc.), then the claim should be submitted to Main Accounts as per usual practice.

**International patenting activities (IR-IP).** The IR-IP component of the block grant may be used for meeting 50% costs of international patenting expenditure.

Guidelines:

- a. Faculty may use the IR-IP grant for defraying 50% of international patenting cost with the balance 50% being provided by IRCC fund. Such costs may include Government fee, professional fee, translation fee and other costs, as per bills received and approved.
- b. The international patenting will include all activities related to PCT filing and foreign country filing.
- c. At any time in the block period, if the balance in the IR-ITPP grant is not sufficient for patenting contribution, such excess amount will be paid by IRCC as an advance against the next block grant. The amount available for other activities under IR-ITPP scheme in the next block grant will therefore stand reduced by such amount.
- d. Faculty members may continue to bear the patenting cost through RDF / project funds in conjunction with the IR-IP component as per their choice.
- e. In view of this support, IRCC will not consider any other requests for defraying international patenting expenses beyond 50% from IRCC fund.

**Publication related activities (IR-P).** The IR-P component of the block grant may be used for the following:

- a. For publishing faculty research in good journals, where special circumstances require page charges to be paid.
- b. For publishing with colour pages or other such special printing requirements
- c. To a very limited extent, for publishing in SCI/Web of Science Indexed open access journals

Guidelines:

- a. A request by faculty for support related to any publication should be recommended by Heads of the respective academic entities with a strong justification for such requests.
- b. Support for publications will be based on 'essentiality' of the need and subject to approval by Dean R&D.

- c. Such support shall not be given for papers being published in open access journals even if they are SCI / Web of Science indexed unless there is a very strong certification of good quality of the journal, by the Academic entity.
- d. It is desirable that part of the costs for publications as above is claimed from other sources such as projects / RDF / DDF and part from the IR-P component of the block grant.

### **Research Development Fund (RDF) and Department Development Fund (DDF) rules**

The Institute incentivizes faculty to pursue extramural R&D funding by ploughing a portion (15% at the time of writing) of the overheads from sponsored projects back into the Principal Investigators' Research Development Fund (RDF); unspent funds in private industry funded projects or consulting projects may also be moved into the RDF account at the time of closing, with the requisite approvals. Thus, there is an RDF account for every faculty member in the IRCC website (Drona), which practically runs like an open-ended project account. Details are available [here](#).

IRCC ploughs back another percentage (again, 15% at the time of writing) of the overheads from sponsored projects back into a Departmental Development Fund (DDF). The funds therein are intended to be utilized by the Head of the academic unit for departmental needs, usually in the nature of Consumables, Maintenance, and Travel – these could range from teaching lab consumables and maintenance to student conference travel support.

### **Entitlement for work related travel**

While you travel on duty, your TA/DA entitlement is governed by your Pay Level alone. According to the new rules, all Professors (including those on HAG scale) are entitled to travel by business class while traveling by Air. However, one needs to confirm austerity measures, if any imposed by Government on travel related entitlement. All other faculty members are entitled to travel in Economy class<sup>6</sup> (see however the austerity-related policy described in the footnote to the section on *Travel eligibility*). For all faculty (except Assistant Professors Grade-II<sup>7</sup>), AC First class travel is permitted in train travel. Please remember to submit your TA bill along with boarding passes and e-ticket copy. (This is also Government of India's policy on International travel but please contact the Accounts section for business class International travel).

For road travel, Professors may use AC taxis, while for all others, ordinary taxis are permitted. All faculty are entitled to travel by any type of public bus including air-conditioned

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<sup>6</sup>Currently, if you are using Government funds, you have to travel by Air India only.

<sup>7</sup>For these faculty the entitlement is limited to 2<sup>nd</sup> AC class by rail.



buses. If you travel by your own car or taxi (in places where metered taxis are not available), you could claim up to ₹ 24 per kilometer.

Please note that the travel entitlements for HAG scale professors is currently being reviewed, and may be different from those presented here.

**Daily allowance.** As per the 7<sup>th</sup> Pay Commission rules, the daily allowance entitlements are given below:

<i>Pay Level</i>	<i>Entitlement</i>
14 and above	Reimbursement of hotel accommodation/guest house of up to ₹ 7,500 per day. Reimbursement of AC taxi charges as per actual expenditure commensurate with official engagements for travel within the city and Reimbursement of food bills not exceeding ₹ 1,200 per day
12 and 13	Reimbursement of hotel accommodation/guest house of up to ₹ 4,500 per day. Reimbursement of AC taxi charges of up to 50 km per day for travel within the city and Reimbursement of food bills not exceeding ₹ 1,000 per day
9 to 11	Reimbursement of hotel accommodation/guest house of up to ₹ 2,250 per day. Reimbursement of non-AC taxi charges of up to ₹ 338 per day for travel within the city and Reimbursement of food bills not exceeding ₹ 900 per day

### **Leave and Vacation**

During the period of service, an employee is eligible for various forms of leave. Technically, no leave is a matter of right and has to be sanctioned/approved by the competent authority. However, except under unusual circumstances (for instance, if a group of employees wish to take mass casual leave to register protest against something) and discipline related cases, leave is generally NOT refused. Academic units may sometimes have reasons for not recommending sanction of leave in case your services are required for any purpose. The following are general guidelines and are not exhaustive. For complete information, faculty members should refer to the Institute's statutes or consult the Administration section of the Institute.

**Casual Leave.** As the name suggests, this form of leave is to meet casual requirements of an individual.

1. A faculty member can avail a maximum of 8 days of casual leave in a calendar year. However, the maximum contiguous period for which casual leave can be

availed is not more than 5 days. Saturdays/Sundays and holidays may be prefixed or suffixed to casual leave and will not count towards casual leave. For those who join in the middle of a calendar year, proportionate amount of casual leave is allowed. Casual leave can even be taken for half a day, that is, morning session or afternoon session.

2. Casual leave cannot be appended to any other form of leave other than vacation.
3. Unutilized casual leave expires on 31<sup>st</sup> December every year and is not carried over.
4. Generally, no reason has to be given for going on casual leave. The ERP interface has a provision to apply for casual leave. Strictly speaking, one has to take an advance sanction for casual leave as well. However, in case of unforeseen circumstances one can apply on ERP post-facto. It is a good practice to keep the Head or at least one of your colleagues informed of such an absence.

**Special Casual Leave.** Special casual leave for a period not exceeding 15 days in a year may be granted to a faculty member for legitimate academic/administrative absence, for instance, for attending conferences, undertaking examinership in an university, etc.

**Vacation.** Vacation is available only to the faculty members of the Institute.

1. A faculty member is entitled to 60 days of vacation during the year. The year for the purpose of vacation is the academic year, that is, from 1 July to 30 June of the following year. A faculty member joining the Institute any time during the first semester (July-November) is eligible for full vacation while those joining in the second semester (January-April) will be entitled to 30 days of vacation in the year of joining.
2. The conventional vacation period comprises the months of May, June and December. However, the Institute announces the exact dates every year depending on its academic schedule.
3. No separate application is made for availing vacation. Each faculty member has to provide his/her vacation plans by filling up the appropriate section on the ERP leave form online.
4. If a faculty member does not avail the full 60 days vacation in any academic year,  $1/3$ rd of unavailed vacation is converted to Earned leave, and is credited to the earned leave account of the faculty member on 1<sup>st</sup> July of the next academic year. Thus, if a faculty avails of a total of  $x$  days of vacation during the vacation period,  $(60 - x)/3$  days of earned leave is credited to his/her earned leave account.

**Earned Leave.** Earned Leave, unlike vacation, can be availed any time during the year with prior sanction. Unlike non-academic staff, faculty members are entitled for advance credit of EL for 5 days in January and July. Further faculty accumulates earned leave by virtue of not having availed the entitled vacation in a given academic year. One third of the unutilized vacation is credited as earned leave on July 1<sup>st</sup> of every year, or completion of vacation.

1. Earned leave can be accumulated up to a maximum of 300 days. The unutilized amount of earned leave can be encashed only at the time of superannuation from service. However, a limited number of days of earned leave can be encashed at the time of availing LTC. Such encashment will not exceed 10 days in each instance with a cumulative maximum of 60 days during the entire span of service.
2. Overflowing of Earned Leave: Half of unutilized vacation is credited as earned leave on July 1<sup>st</sup>, even when a faculty has already accumulated 300 days of earned leave in his account. This overflowing earned leave must be availed during the same academic year after which it lapses.
3. Earned leave can be combined with all types of leave other than casual leave.

**Half-Pay Leave and Commuted Leave.** Please note that half-pay leave has been discontinued with effect from 01/07/2019. Earlier, an employee is entitled to 20 days of half-pay leave for every completed year of service. As the name suggests, the employee will be paid half the salary during such leave period.

1. The existing HPL on credit (accrued before 01/07/2019) can be availed for personal reasons or for medical purposes.
2. An employee can avail half-pay leave even when he/she has earned leave to his/her credit.
3. When a half-pay leave is sought to be availed for employee's medical requirement, an employee may opt to avail Commuted Leave by surrendering two days of half pay leave for every day of leave required. In such a case, the employee draws full salary.
4. Leave can be commuted for non-medical purposes (i) by women employees, for a maximum of 60 days, if taken in continuity of a maternity leave or when she adopts a child less than one year old (ii) for pursuing a course of study for a total period not exceeding 90 days during entire service.

#### **Maternity and Paternity Leaves.**

1. Maternity leave with full pay for a maximum of 180 days at each instance can be availed by female employees with less than two surviving children. Leave of any

kind due and admissible (including commuted leave for a period not exceeding 60 days and leave not due) can be granted in continuation with maternity leave for a maximum period of two years.

2. Paternity leave of 15 days can be granted to a male employee with less than two surviving children. Such leave can be taken in the period up to 15 days before delivery and 6 months after the delivery.

**Child Care Leave.** Women employees may be granted child care leave to take care of their two eldest surviving children below the age of 18 years at the time of need (such as sickness, examination etc.) for a period not exceeding two years (730 days) during the entire period of service. Such leave must be pre-approved by the authorities. It can be availed for not less than 15 days at a time, and on not more than three occasions in a year. During the period of such leave, the employee is eligible to draw salary received by her immediately before proceeding on such leave. Please note the following:

1. One child care leave may be granted at 100% of the leave salary for the the first 365 days and .80% of the leave salary for the next 365 days.
2. Child care leave may be extended to single male parents who may include unmarried or widower or divorcee employees.
3. For single female Government servants, the child care leave may be granted for six spells in a calendar year.

**Special Leave & Sabbatical Leave.** During the entire period of service, a faculty member is permitted to avail long leaves for a total duration not exceeding three years for academic purposes. The two primary categories of such leave with full pay are Special Leave and Sabbatical Leave. Applications should be forwarded through the Head of the academic unit to the Dean (FA) who makes suitable recommendation to the Director (the approving authority). All such applications must be forwarded with recommendation from the Head of the academic unit. The academic unit must be satisfied that the academic programmes of the academic unit will not be adversely affected by granting of such leave and also make alternative arrangements for taking care of students who may be working under the concerned faculty member. Further, the faculty member is also required to make arrangements for ongoing projects, and such arrangement must be intimated to the Dean (R&D) in a form available with the IRCC.

1. Special leave is generally granted to faculty members to accept academic assignments abroad for availing scholarships and fellowships such as Humboldt Foundation fellowship, Boyscast fellowship, Commonwealth fellowship etc. The faculty member must have put in at least 3 years of service and should have applied for

such fellowships through proper channel (that is, the applications should have been forwarded by the Institute). During the special leave, the faculty draws full salary in the Institute in addition to the fellowship amounts.

2. Sabbatical leave is granted for accepting temporary academic assignments in Indian or foreign universities or research institutions, availing fellowships, writing a book etc. The faculty member should have put in a minimum of six years of service in the Institute for availing a one year sabbatical. The Dean (FA) may recommend a shorter and proportionate amount of sabbatical for a faculty who falls short of the minimum requirement. For a subsequent sabbatical, there must be a gap of at least 3 years for a one semester sabbatical and six years for a two semesters sabbatical.
3. The Institute requires a bond to be executed by the faculty members proceeding on a sabbatical, undertaking to serve the Institute for a minimum period of three years on return from sabbatical (the period of bond is two years for a one semester sabbatical). If the faculty member resigns before completion of the bond period, he/she will be required to refund the salary paid by the Institute during the sabbatical period.
4. As a policy, the Institute does not extend a sabbatical. However, a faculty member may request for appending a maximum of 4 months of earned leave to the sabbatical. In case the faculty does not join back the duty after this period, the entire period of sabbatical will be considered as leave without pay or adjusted fully or partially against leave due to the faculty.

**Extraordinary Leave (EOL).** Leave without pay, which does not normally count towards increment or other service and retirement benefits may be granted to a faculty member at the Director's discretion when no other form of leave is available to the employee, or, when in spite of leave being available, the employee specifically desires for the same.

**Leave not due.** Leave not due, at half-pay salary may be granted to an employee who has no leave to his/her credit. Such leave will be adjusted against half-pay leave that may accrue at future date.

**Lien.** A faculty member may request for keeping lien on his/her post for accepting a job either in India or abroad. Such jobs may be for assignments in private or public sector undertakings. To be eligible for lien, a faculty member must have put in at least 5 years of service after confirmation. The period of lien can be one year at a stretch or two years if the period of service is over 10 years. (Lien period can be for a period of five years for those appointed as Directors or CEOs in a government organization or a public sector unit.)

1. The employee has to sign an agreement on a stamp paper with the Institute before proceeding on lien.
2. No salary is paid to the employee from the Institute while on lien. However, the service during period of lien qualifies for retirement benefit. The employee (or his employer during the lien period) pays a contribution towards pension-cum gratuity benefit determined by the Institute as per standard Government calculation, an amount which depends also on the length of service rendered in the Institute. This contribution must be received by the Institute by 31<sup>st</sup> March of every year, or if the employee so desires, every month. It must be emphasized that when the Institute sanctions a lien to the employee, it does not enter into an agreement with his/her temporary employer and the responsibility of remitting all amounts payable to the Institute lies with the employee only.
3. The employee should continue to pay his/her own contribution to CPF/GPF/NPS during the period of lien. Such contribution should be remitted to the Institute every month or before 31<sup>st</sup> March of every financial year.
4. The employee has to pay the leave salary contribution. When an employee pays the leave salary contribution, the Institute leave account of the employee is credited or debited when the employee takes leave in his/her host organization. The leave salary contribution to be paid is roughly 11% of the pay drawn from the host organization (or the pay that the employee would have drawn, had he/she not gone on lien.) The payment of leave salary contribution may be waived by the Director on request in which case the leave account of the employee remains frozen during period of lien.
5. Keeping your accommodation during Lien: The Institute generally permits a faculty member to retain the quarter allotted for a period of one year only during the lien period. The license fee payable during this period will be the same as the employee normally pays. The Director may permit a faculty to keep the quarter during the second year of lien, but on an enhanced license fee which is fifty times the normal license fee. The employee has to arrange to pay the bills received from the Estate Office towards license fee and other utility charges every month.

In case of online transfer of Leave, Salary and Pension Contribution details, the intimation mentioning the UTR number should be sent to the Registrar, IIT Bombay.

**Foreign visits.** Visits to foreign countries, whether for personal or official purposes, requires consent of the Institute. A letter addressed to the Dean (Faculty Affairs) for permission for overseas travel before undertaking travel is mandatory.

### **Obtaining authorizations and certificates**

You might find yourself needing various kinds of certificates to be submitted for obtaining documents, such as PAN Card from Income Tax Department / their authorized delegated firm, Indian Passport from Passport Office, Voter ID card from Election Commission etc. The procedure for requesting these certificates may be categorized it into two:

- a. Where the faculty member may directly write to the concerned section of Administration (AR-Admin 1/Establishment Section) for issuance of certificate. The application can be made on plain paper directly to the Administration, addressed to the Registrar / Deputy Registrar / Assistant Registrar:

1. Address Proof
2. For obtaining Domicile certificate
3. Opening of Bank Account
4. Identity Certificate – for obtaining fresh passport (for self and spouse)
5. NOC – for renewal of Passport
6. NOC – for children above 18 years
7. Tatkal passport (for self and dependent)
8. For obtaining Ration Card
9. For obtaining PAN Card
10. For obtaining Housing Loan from Bank
11. LIC Policy
12. KG School Admission for grandchildren – Children should be in the Service record. (On roll and Retired employees)
13. KV School Admission for grandchildren – Children should be in the Service record. (On roll and Retired employees)
14. Senior Citizen
15. Octroi exemption
16. Other purpose

- b. Where the faculty member may directly write to the concerned section of Administration (AR-Admin) through Dean (Faculty Affairs). In these cases, the application should be addressed to the Dean (Faculty Affairs), and forwarded on plain paper through Head:

1. NOC - for test / interview
2. NOC - for VISA (for attending conference)
3. NOC - for VISA (Personal visit): should also apply through ERP Portal

4. Experience Certificate after resignation or termination: If resignation / termination letter is forwarded through proper channel and all closing formalities are completed, a formal request letter from applicant is enough.
5. Vigilance Certificate: Request should be forwarded through HoD.

### **General Financial Rules**

The General Financial Rules (GFR) are a set of rules to be followed in the government department for incurring expenditure and payment of public money. These are detailed in the [Department of Expenditure \(Ministry of Finance\) webpage](#). The salient features are outlined below. As a faculty member at IIT Bombay, it is useful to be cognizant of these as you get involved in receiving and spending money, particularly from government sources, for your research programmes, or for academic unit/Institute purposes.

As per GFR 2017, all money received by or on behalf of the government either as dues of government or for deposits, remittances or otherwise shall be brought into government accounts without delay. The rules stipulate that no authority may incur any expenditure or enter into any liability involving expenditure or transfer of money or investment or deposit from public fund, unless the same has been sanctioned by the appropriate authority. Any expenditure incurred for an activity (like conference expenditure, training expenditure, purchase, Leave Travel Concession, medical bills etc.) requires prior approval of the competent authority. The financial powers of the Institute have been delegated to various Institute functionaries with the approval of the BoG.

The GFR describe how to purchase goods (items), the different modes of purchase, like Single Tender Enquiry, Limited Tender Enquiry and Advertised Tender Enquiry procurement, along with local purchase committee rules based on market survey.

The GFR prescribe how to purchase high value plant, machinery etc. of a complex and technical nature under two bids systems that is, technical bid and financial bid. It also talks about vendor registration, rate contract, contents of bidding document, Earnest Money Deposit, and performance guarantee. It emphasises transparency, competition, fairness and elimination of arbitrariness in the procurement process to attract the best bidder. The Code of Integrity while pursuing procurement process is defined, which seeks to make the public procurement system efficient, economical and accountable.

GFR 2017 also describes Works, Grants-in-aid and Loans apart from Inventory Management and Contract Management. Works mean new construction, site preparation, additions and alterations to existing works, special repairs to newly purchase or previously abandoned buildings or structures including remodelling or replacement. At IIT Bombay, these are



done by the office of the Dean IPS. So the various Do's and Don'ts for "Works" are given in GFR 2017 under "Works" head.

Inventory Management contains the basic rules applicable to all Ministry or Departments regarding inventory Management. This addresses receipt of goods and materials from private suppliers, issue of goods within academic unit/Institutes, buffer stock, physical verification of assets and library books, disposal of goods etc. They may be viewed under "Inventory Management" section of the GFR-2017.

Contract Management talks about the general principles of a contract and its terms. These are outlined below.

1. Implementation of the contract should be strictly monitored and notices issued promptly whenever a breach of provisions occurs.
2. Proper procedure for safe custody and monitoring of Bank Guarantees or other Instruments should be laid down. Monitoring should include a monthly review of all Bank Guarantees or other instruments expiring after three months, along with a review of the progress of supply or work. Extensions of Bank Guarantees or other instruments, where warranted, should be sought immediately.
3. Wherever disputes arise during implementation of a contract, legal advice should be sought before initiating action to refer the dispute to conciliation and/or arbitration as provided in the contract or to file a suit where the contract does not include an arbitration clause. The draft of the plaint for arbitration should be got vetted by obtaining legal and financial advice. Documents to be filed in the matter of resolution of dispute, if any, should be carefully scrutinized before filing to safeguard government interest.

Recently, the purchase process for equipment and consumables through sponsored projects has been streamlined to use the [Government e-Marketplace](#) (often referred to as GeM). GeM is a portal where sellers can post products and price discovery occurs automatically. More details on purchasing processes can be found in the [GeM SOP](#).

### **Ethics and Code of Conduct**

As a faculty member of a premier Institute of the country, you are always under public scrutiny. It is necessary to maintain a high degree of decorum and integrity at all times. Clearly, it is not possible to give a complete list of what is acceptable and what is not. This section, therefore, deals only with such items as we believe you should be well informed about.

**Matters of general conduct.**

1. *Dealing with the Press:* Much as we like to see our name in print, the only place where your printed name can freely appear without raising eyebrows (or may be raising eyebrows in an agreeable way!) is in a professional journal. You do not need to take any permission to send a technical manuscript for publication. If what you are writing or talking about is of literary, artistic or scientific value only, you may even write to newspapers or periodicals. However, talking to the press (this includes all forms of interaction with print and electronic media) on any other matter should generally be avoided, and left to functionaries in the Main Building. If you would like to express your views on an issue, you need to take the Director's permission. If you want to have a press coverage of your published scientific article, you need to contact PRO after taking permission from the Director.
2. Joining a political party or canvassing in an election is banned. (You can, of course, contest an election in a professional body.)
3. Criticism of the Institute in any mass media (print or electronic) is not permitted. (To give vent to your frustration if any, the Computer Centre of the Institute has provided a discussion group called the 'discuss-faculty' where you can write and engage your colleagues in a debate on matters about which you feel strongly. This newsgroup is not moderated but it is good to use restrained language).
4. *Redressal of Grievances::* If you have a grievance, try to sort it out by meeting the concerned Dean, the Deputy Directors or the Director. If you would like to make a written representation, the first course is the Director. If his response leaves you dissatisfied, you may make representation to the Chairperson of the Board. Such representation should go through, Head, concerned Dean, Director and the Chairperson in that order. In extreme cases, you may take your grievance to the Visitor (who is the President of India). However, in all cases, you should go through what is known as proper channel, that is, route all your representation through HOD, Director and the Chairperson, in that order. The forwarding authority does not have the right to stop your representation being forwarded upwards excepting in circumstances such as (i) a similar petition made earlier has been disposed of and no new facts are brought out in the new petition, (ii) your representation is not to the appropriate authority, or (iii) the petition is against a decision which is final by any law or statute. In such cases, the appropriate authority will write you a reply explaining the reasons why your petition may not be forwarded.
5. You may, of course, seek to redress grievances in a court of law without any permission. However, it is in good taste to first exhaust all possibilities of finding a solution to your problems within the internal framework as stated above.

6. *Social media usage policy*: Social media posts from IIT Bombay connected official accounts are governed by rules specified in [this document](#).

**Sexual Harassment and Gender Cell.** As a teacher you would interact with a lot of students, who would be male, female or those of gender and sexual minorities. Likewise, you would interact with colleagues and other staff belonging to different sexes. In many cases, you would have a supervisory role in the interaction. Your behaviour in all such interactions must be impeccable. Please remember that they have a right to a place of work or study where they do not face sexual harassment in any form - and you have a responsibility to provide it. You are also responsible for the conduct of the staff and students who are working in your supervision and ensuring that they do not indulge in any acts of sexual harassment. The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 defines sexual harassment as unwelcome sexual behaviour, whether directly or by implication, such as through:

- physical contact and advances
- demand or request for sexual favours
- sexually colored remarks (this includes colored jokes in a mixed company, or a class room, or even within hearing distance of the complainant)
- showing pornography
- any other unwelcome physical, verbal or non-verbal conduct of sexual nature.

A victim of sexual harassment (or one who perceives sexual harassment to oneself) may lodge a complaint to the Gender Cell Internal Complaints Committee (GC-ICC), the Director, Deputy Director or to the Dean (FA), in addition to seeking redress under the Indian Penal Code. Students can also take their complaint to the Dean (SA).

Any woman can approach the Gender Cell for complaints against a member of the Institute (employee or student) regarding workplace related harassment. In addition, the Gender Cell can also be approached by a male student or a student belonging to sexual minorities for complaints against a male student or employee, when the sexual harassment is alleged to have taken place within the campus or the workplace. The Gender Cell inquires into sexual harassment complaints through its ICC. An inquiry by the ICC has the status of an official inquiry under the Civil Service Rules, and employees have to cooperate with the Cell in its investigations. In addition, sexual harassment is an offence under rule 3C of the Central Civil Services (Conduct) Rules. More details about the Gender Cell may be found [here](#); links to the IIT Bombay policy document, the Sexual Harassment at the Workplace Act, and a government handbook on sexual harassment, are given [here](#).

**Plagiarism.** Being an Institute of excellence, the Institute takes a very serious view of any act of plagiarism. While the penal codes are silent on it, there are guidelines issued by National Academies on what constitutes plagiarism. In technical publications, all joint authors are responsible equally for any offence of plagiarism. Punishment can be severe, including termination of service.

**Consultancy ethics.** Private consultancy is a serious breach of the code of conduct. Similarly, you should not take up remunerative assignments outside the Institute without explicit permission from the Institute. You should also not accept assignments in a Tutorial organization either as a consultant or for direct teaching.

In case you wish to participate in an external engagement of any kind (say with another university, industry or any other individual or organisation), it is mandatory to take permission or obtain a no-objection from the Dean (FA) to do so. Most reasonable requests are generally accepted, but breach of procedure is taken seriously by the Institute.

### **Right to Information**

In 2005, the Indian Parliament enacted a legislation known as the Right to Information (RTI) Act, which empowers a citizen to get any information from the Government or from any publicly funded institution. Exceptions are few and an educational Institute does not qualify for exemption. This requires faculty members to be extra careful. For instance, any one can ask for the marking scheme adopted while awarding grades or, for that matter, a copy of the mark sheets of all students in a course. A query from the Institute's Public Information Officer must be answered within a stipulated time limit. Details of RTI is available on IIT Bombay's website.

## CHAPTER 5

### Faculty designations and responsibilities

This chapter lists the various faculty designations and appointment details.

#### Regular faculty

- *Appointment details*: Full time permanent appointments at any level (Assistant, Associate and full Professors). These are made through a selection committee or through invitation by BOG. Assistant Professor (Grade-II) is offered by Selection Committee to candidates who do not have 3 year post-PhD experience. The regularization process is initiated once they complete three years post PhD requirement.
- *Academic activities*: Teaching, research, student guidance, other academic activities of the Institute.
- *R&D activities*:
  - Eligible for a one time seed grant from the Institute.
  - Can take up all types of R&D Projects, including consultancy projects.
  - Can promote companies in SINE.
  - Can be Directors of companies as per Institute norms.
- *Administration related activities*: Expected to be actively involved in administrative responsibilities as assigned by academic units and the Institute.

#### Professors of Practice

**Professors of Practice** are expected to be top professionals (CEO/CTO) with significant experience, typically about 20 years. They should have at least a Bachelor's degree Engineering / Sciences / Design / Humanities or a related technical field. A Master's or a Ph. D. degree would be welcome. Advanced degrees may be in business or related fields. Professors of Practice must be leaders who remain current with the best practices and emerging technological trends in their fields. Advanced degrees may also be in business or related fields.

The salary for Professors of Practice is fixed at ₹ 2,25,000 per month at the time of writing. They are entitled to all the benefits offered to regular faculty members such as CPDA and leave. In addition, they are also given a one time contingency grant of ₹ 2,00,000.

The following are the terms and conditions that govern Professor of Practice appointments and their duties:

- *Appointment details:*
  - Academic units must develop a job description, including qualifications consistent with the required credentials for the position.
  - Academic units should seek faculty feedback, faculty should interact with the PoP candidates, peer review may be sought if necessary and the candidates should give a seminar in the department before forwarding the case to the Standing Committee.
  - Appointments could be up to five years which can be extended based on the performance and requirements of the Institute.
  - The appointment will be approved by the Standing Committee of the Institute.
- *Academic activities:*
  - Design, development and offering of new practice-oriented courses.
  - Advise students in their projects linking them with appropriate external stakeholders.
  - Engage in department building activities including creation of new programmes and Centres and enhancement of scope and activities of the department.
  - Develop Continuing Education Programmes, undertake outreach activities and conduct extension programmes
  - Encourage students in innovation and entrepreneurship projects and provide necessary mentorship for these activities; and contribute to enhanced industry academia collaborations.
  - Professors of Practice are expected to guide Master's students in their research and be co-guides to Ph. D. students.

### **Foreign faculty**

**Foreign faculty** members can be appointed to work like regular faculty members, on similar pay scales. However, there are some notable differences in appointment terms:

- *Appointment details:* Appointed as full-time faculty members, and selection procedure is similar to that of regular faculty appointments through a Selection Committee meeting. However, Ministry approval must be sought before the offer is

made. It is a contract position for a period of five years that can be extended. They are entitled to all the benefits offered to regular faculty members such as CPDA and leave.

- *R&D activities*: All terms and conditions will be as for regular faculty.
- *Academic activities*: All terms and conditions will be as for regular faculty.
- *Administration related activities*: All terms and conditions will be as for regular faculty.

### Temporary faculty appointments

**Short term visiting faculty** positions are meant for faculty members or specialists employed elsewhere who are invited for research collaborations, or for delivering short courses, to research scholars and faculty members consisting of at least two lectures per week. Proposals are scrutinised by the academic unit's policy committee and its recommendations may be approved in the Standing Committee Meeting. The specific appointments in this category along with the salaries prevailing at the time of writing are:

- Visiting Assistant Professor (salary of ₹ 1,25,000 per month on pro rata basis)
- Visiting Associate Professor (salary of ₹ 1,75,000 per month on pro rata basis)
- Visiting Professor (salary of ₹ 2,00,000 per month on pro rata basis)
- Distinguished Visiting Professor (salary of ₹ 2,25,000 per month on pro rata basis, and are provided free guest house accommodation).

**Adjunct faculty** are can be retired IIT Bombay faculty members or external experts appointed to teach full or half courses. These may be for 1-3 days a week, depending on the frequency of the visits. The salary structure for these appointments is as follows:

- Adjunct Assistant Professor (salary of ₹ 25,000 for 1 day per week on pro rata basis)
- Adjunct Associate Professor (salary of ₹ 35,000 for 1 day per week on pro rata basis)
- Adjunct Professor (salary of ₹ 40,000 for 1 day per week on pro rata basis)

Adjunct faculty members do not get Institute accommodation. However, they may stay in the guest house on payment basis at official rates, provided rooms are available. Pension, if any, is not deducted from salary for such appointments.

**Professors on Contract** are eminent scientists and academics who take up full time faculty positions. They should have retired from Central or State government entities, autonomous bodies or private organisations, and are yet to attain the age of retirement of regular faculty members at IIT Bombay. They are appointed to take up full time contract positions for a

three year term extendable to five years or till they are 70, whichever is earlier. Their salary is fixed as the last drawn salary *minus* any pension that they may be receiving. They are entitled to some benefits offered to regular faculty members such as leave and OPD medical facilities. They are provided with a non-lapsable contingency grant with usage of ₹ 20,000 per year.

An **Emeritus Fellow** position is a prestigious appointment. The nominees for Emeritus Fellows should have consistently excelled in (a) service (b) research and (c) teaching. Their performance in at least two of the above three activities should be better than the academic unit average in the last 10 years. The appointees should have been recognized nationally through awards, Fellowships of national academies etc. Emeritus Fellowship should not be considered for teaching requirements alone. Departments may consider additional criteria to recommend/nominate retiring faculty members for Emeritus Fellowship. Departments may also decide not to recommend any faculty member for Emeritus Fellowship. The salary at the time of writing (August, 2021) is ₹ 1,20,000. They are provided with a non-lapsable contingency grant with usage of ₹ 20,000 per year.

**Guest faculty** are experts from other Institutions/Industry who are invited to deliver lectures/offer courses to the students of various academic programs of our Institute. The academic unit's policy committee recommends and the Institute Standing committee may approve the appointment of Guest Faculty. They are paid an honorarium of ₹ 3,000 per hour on a pro-rata basis.

### **Emeritus faculty appointments**

**Emeritus Professor** positions are honorary positions given to faculty for their contribution to the Institute. These are only titular appointments recommended by the academic unit.

**Emeritus Scientists** are retired professionals carrying out specific R&D projects funded by government agencies at the Institute. Institute's offer will be for a visiting honorary position.

### **Faculty Exchange Programme**

The Board of Governors, IIT Bombay has approved the recommendations of the Director of IITs, for Faculty Exchange Programme among the IITs for a period ranging between 3 to 12 months.

The features of scheme are as follows:

- Faculty exchange among the IITs should be encouraged. Such exchanges should not however affect the academic commitments of the faculty in the parent IIT.



So visit should be for a minimum of one semester, unless the visit is during the summer or winter vacation periods.

- The host institution should send an invitation to the faculty and the parent institution will have to give its consent to release the faculty for the proposed period.
- The faculty's designation will be the same in the host IIT as in the parent IIT.
- Furnished accommodation will be provided by the host IIT to the visiting faculty.
- The host IIT will not have to make any leave salary contribution or pension contribution for the faculty to the parent IIT. The faculty's PF contribution will be transferred to the parent IIT where the service record of the faculty will remain. The faculty will be entitled to casual leave and earned leave for the period of visit at the host IIT. Normally, accumulated leave at the parent IIT will not be utilized by the faculty during such visits. However, in exceptional circumstances, such accumulated leave may be utilized with permission from the parent IIT. This can include commuted leave, half pay leave, etc. as may become necessary during period of illness.
- The salary of the faculty will be protected by the host IIT (protection of basic only will be insisted on, as other parts may vary).
- The faculty will be provided for travel expenses to and fro. Family expenses may or may not be included.
- The faculty will be paid a relocation allowances of ₹ 5,000/- per month of stay over and above the salary.
- The terms and conditions may be modified on mutual agreement among the host IIT, the parent IIT, and the faculty.

## CHAPTER 6

# Retirement and Post-Retirement Benefits

### Post-retirement Benefits

While this chapter was originally written primarily for faculty who joined the Institute before 2004 (or who joined later, but with transfer of previous services rendered in Government or Institutions like IITs), suitable additions/provisions which apply to faculty who joined on or after 1<sup>st</sup> January, 2004 (National Pension System) have now been incorporated.

**Pension, Gratuity, Commutation of Pension etc.** What happens after you have served out your active life with the Institute? Most look at the period of retirement with a certain amount of anxiety because they anticipate a sharp drop in income. It is, therefore, prudent to do some planning reasonably early in life, certainly by the time you are approaching 50.

**Superannuation.** This is the term used for official completion of your regular appointment. It happens on the last day of the month in which you complete 65 years of age. For example, If your birthday falls on the 1<sup>st</sup> of the June, you will superannuate on the last day of the previous month (that is, May 31<sup>st</sup>). However, if your birthday is between 2nd and 30<sup>th</sup> of June, then you will superannuate on 30<sup>th</sup> June. Usually, the Director will meet the faculty over a cup of tea and will hand over a few retirement cheques on this day.

**Re-employment.** Faculty members are usually reappointed till the last day of the academic semester (that is, either till 31<sup>st</sup> December or 30<sup>th</sup> June, depending on the birth date) in the year in which they complete 65, based on a recommendation from the academic unit. During the period of re-employment, those who receive pension cheques as well as a component of salary in such a way that the two together do not exceed the last drawn salary. Further, many service benefits come to an end. The re-appointment letter from the Director will make it clear as to what benefits will still be available. As per the current practice, the medical facilities will continue during the period of re-employment. As per Government of

India rules, you will continue to be eligible for LTC provided there is no break between the regular appointment and the re-employment.

**Retirement schemes.** For those who joined the Institute before 2004, there were two retirement schemes to choose from, viz. Contributory Provident Fund-cum-gratuity Scheme (CPF) and General Provident Fund-cum-Pension-cum-gratuity Scheme (GPF). The salient features of these schemes are as follows.

1. *GPF*: If you have chosen this scheme, you are eligible to draw a pension throughout your remaining life at a rate to be shown below. Further, after your death, your spouse will be eligible for a *family pension* too.
  - a. *Pension*: The maximum rate of pension is half the basic pay at the time of retirement, or 50% of the average monthly remuneration drawn during the last ten months of service, whichever is beneficial<sup>1</sup>, along with the applicable rate of dearness relief (D.R.). This requires having put in a minimum of 20 years of service, for voluntary retirees, and 10 years of qualifying service for superannuating faculty (the duration not counting extra-ordinary leave or unauthorized absence or periods of suspension, which are followed by major penalties).
  - b. *Commutation of Pension*: It is possible to offer to the Institute that a percentage of your pension be commuted, that is, you opt to receive a one time lump-sum amount and a smaller pension. The maximum commutation possible is 40% of the basic pension. This offer may be made to the Institute either at the time of superannuation or even afterwards. However, if the offer is made after one year of superannuation, you may be required to undergo a medical examination. As experts will tell you that it is good to commute pension, an illustration of how it works is given below (the example is actually appropriate to a Professor retiring at the top of the Pay Level):

Suppose your basic salary was ₹ 224,100 per month at the time of retirement. Your basic pension is ₹ 112,050 per month at the time of superannuation (age 66 on your next birthday). You offer to receive 40% less as monthly pension, that is, receive ₹ 44,820 per month less as basic pension. The amount of lump sum payment is given by the following formula.

$$\text{Lump sum amount} = ₹ 44,820 \times 12 \times 7.591 = ₹ 40,82,744$$

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<sup>1</sup>50% of retiring salary will always be equal to or more than the 10 month average except in rare cases of a demotion or punishment during the last phase of service.

The unusual factor 7.591 is a factor representing the number of years the Government has decided that it is willing to pay you as a lump sum if your age next birthday is 66 at the time you opt for commutation<sup>2</sup>. Note that, though your basic pension will be reduced by ₹ 44,820 in the above example, the Dearness Allowance is payable on the regular pension amount of ₹ 112,050. Thus, the take home pension amount for a HAG scale Professor would be ₹ 67,230+ D.R. (28% of ₹ 1,12,050 = ₹ 31,374) = ₹ 98,604 Full pension will be restored to you after 15 years of receiving the commutation amount. As you grow older, till the age of 80, the pension amount changes because the D.R. changes. However, when you reach the age of 80, the basic pension increases by 20%, at 85: 30% at 90: 40% and at 95: 50%. And if you hit a century in your life, the basic pension doubles!

- c. *Family Pension*: After the death of the employee, a reduced pension is payable to dependent family members (not payable to dependent parents if spouse and/or dependent children exist). All such dependents must have been declared before superannuation and must have continued to remain qualified as dependents. The family pension is calculated as 60% of the basic pension defined earlier.

In case an employee dies while in service the rate of family pension will be 50% of the last salary drawn by the employee for a period of 10 years, after which it would revert to the regular rate stated above. In case an employee dies after retirement but before reaching 67 years of age, the family pension till such time will be equal to the pension that would have been payable had the employee not so died. In addition, applicable D.R. is also payable. Note that family pension amount is not affected by any commutation that the employee might have done. Family pension also accelerates with age beyond 80 as for regular pension.

- d. *General Provident Fund (GPF)*: This is basically what you keep aside every month from your salary. The minimum amount you have to save is 6% of your basic pay and the maximum cannot exceed basic pay. The amount of subscription can be increased and/or decreased once during a financial year. The attractive thing about this is when you receive it back, the amount is tax free in your hand. Further, the subscription qualifies for tax reduction too. Government of India announces the interest payable for deposits in GPF, which, at the time of writing, is 7.1%, one of the best rates of interest for securities. The rate is subject to change every quarter. Loans (called advances) can be taken from your GPF to

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<sup>2</sup>The factor reduces if you make the offer later, becoming 7.431, 7.262, 7.083 and 6.897 if the age on your next birthday at the time of making the offer is respectively 67, 68, 69 and 70. The factor for a person whose age next birthday is 65 is

meet various contingent expenditures like illness and education related expense of dependents, obligatory family expense like marriages and shradh, to meet the cost of legal proceedings, or simply to buy consumer durables. Such loans must be refunded in a maximum of 24 monthly installments and are interest free (as the amount actually belongs to you!). Facility of nomination is available. One can also make permanent withdrawals from GPF for all the above mentioned purposes after 15 years of service or for purchase of an accommodation (including renovating ancestral house) any time during the service. It may be noted that this is separate from the Public Provident Fund (PPF), in which additional amounts may be invested with tax benefits (please consult the Income Tax rules as applicable).

- e. *Gratuity*: A lump sum amount known as gratuity is payable to an employee on superannuation. The amount payable is a fourth of the emoluments for every completed six months of service, subject to a maximum of ₹ 20,00,000. The emolument includes basic pay and D.R. drawn by the employee on the day of superannuation.
2. *Contributory Provident Fund (CPF)*: If you have opted for this scheme, no pension is payable to you. However, the gratuity as described under GPF scheme is payable. In this scheme, your contribution is a minimum 10% of your basic pay with the maximum being 100% of the same. The Institute contributes 10% of your basic pay to this fund as well, hence the name contributory. The deposits under this scheme earn interest at a prescribed rate (currently, 7.1%) and like the GPF is tax free in the hands of the retiree. Loans and withdrawals may be made from the subscription account like the GPF scheme.

Please note that if the employees' subscription to provident fund on or after 1st April 2021 exceeds ₹ 5 Lakhs (for GPF) & ₹ 2.5 lakh (for CPF) in a financial year, the interest earned on contributions over ₹ 5 Lakhs (for GPF) and ₹ 2.5 lakh (for CPF) shall be taxable in the hands of the employee.

Accumulated GPF/CPF fund received at the time of retirement is tax exempted. — Pg. No 88

**Encashment of Leave at the time of Superannuation.** A maximum 300 days of earned leave may be accumulated by an employee. All unutilized earned leave up to this maximum duration is encashable at the time of superannuation. In case the amount of earned leave to the credit of the employee is less than 300 at the time of retirement, the shortfall can be made up from the half pay leave to the credit of the employee to the extent of such

shortfall. However, the half pay leave will only be cashed at half rate and no commutation is permitted (for instance, if an employee has, at the time of retirement, 200 days of earned leave and 300 days of half-pay leave to his/her credit, encashment will be for 200 full days and 100 half days, that is, a total of 250 full days; the balance of half pay leave will lapse). The rate of encashment is the total emoluments (basic + D.A.) per day on the date of retirement assuming a month to consist of 30 days. The approximate encashment of 300 days of leave that a Professor can expect at the time of superannuation is ₹ 224,100 + D.A. (28% at the time of writing) = ₹ 28,68,480. Thus, at the time of superannuation, a faculty member can expect:

- Commutation: ~₹ 40,82,744
- Gratuity: ₹ 20,00,000
- Leave encashment: ~ ₹ 28,68,480 This totals to about ₹ 89,51,224. This is in addition to the GPF balance of employee.

#### **National Pension System (for those who joined the service on or after 1.1.2004).**

The [National Pension System \(NPS\)](#) is applicable for all employees who joined the Institute on or after 1.1.2004. The funds are managed by the National Security Depository Ltd (NSDL). In particular, contributions into the NPS are eligible for tax benefits as mentioned at the [NPS CRA website](#). A subscriber can make partial withdrawal after joining the NPS after 10 years, not exceeding twenty-five per cent of the contributions made by him/her and excluding contribution made by employer, if any, at any time before exit from National Pension System subject to the terms and conditions, purpose, frequency and limits specified under Regulations 8 of PFRDA (Exits & Withdrawals under the NPS), Regulations, 2015. The guidelines for partial withdrawal can be accessed at [this link](#).

What follows is the information on NPS for Central Government servants. Note that this is a defined contribution scheme, which means that there is no guarantee of returns like in the general provident fund.

Under this scheme, an individual account will be opened in the name of every employee to which the employee will contribute 10% of his emoluments every month (plus a 14% contribution by the employer). This account number is known as the Permanent Retirement Account Number (PRAN). This, in turn, will provide you two personal accounts:

1. *A mandatory Tier-I Pension Account:* You will have to contribute a minimum of 10% of your basic pay plus D.A. to the Tier-I account every month. You will not be able to withdraw from this account till you retire from service. The Government (the Institute) will contribute to this account 14% of your basic plus D.A. Subject to a ceiling to be decided by the Government, your contribution, along with the

contribution by the employer, will be invested by NSDL in debt instruments and stocks (85% fixed income and 15% equity).

2. *A voluntary Tier- II Savings Account:* A purely optional savings scheme without any tax benefit, from which withdrawals and loans are permitted. No matching contribution from the employer/Government will be made. No tax benefits are available for investing in this account.

IIT Bombay is a nodal office for NPS accounts, thereby being able to facilitate opening and transferring NPS accounts. New employees should be provided the NPS enrolment form by the Institute. Those who already have an NPS account in the past (government, private, or any citizen of India modes) can get their account transferred by filling the appropriate forms and handing it to the administration.

*Benefits and restrictions.* The NPS is portable, which means that the account can move with you as you move jobs. The key benefit is that the corpus that accrues in the Tier-I account can be used to obtain income and benefits when you retire, though there are various conditions that define how withdrawals work, including:

- *Withdrawal on superannuation:* Assuming that you retire from your job at age 65 (or move on, but keep the account till you turn 60), you can then withdraw 60% of the accumulated corpus as a lumpsum, and the remaining 40% must be converted to an [annuity](#) that pays you a monthly income. The annuity has to be purchased through an annuity provider, and the actual monthly annuity received depends on various factors, such as your age, market conditions etc. Effective tax assessment year 2019-20, this withdrawal is tax free.
- *Full withdrawal before superannuation:* If you withdraw the corpus before you superannuate, then 80% of the corpus has to compulsorily be converted to an annuity. Only the remaining 20% is available as lumpsum.
- Since these rules have changed in the recent past, it is best to refer to the [NPS CRA FAQ](#) for accurate information.

Up to date information on NPS and details on accessing your account balance online are available at the [NPS CRA website](#).

### **Healthcare post-retirement**

The Institute has two schemes to take care of your and your spouse's medical requirements after retirement. Both the schemes are contributory.

1. *Contributory Medical Scheme (CMS)*: The scheme entitles you and your spouse to avail of OPD treatment in the IIT Hospital. You have to pay a one time ₹ 8000 to join the scheme. All OPD facilities of the IIT Hospital (consultancy, diagnostic tests etc.) can be availed by employee and his/her spouse. Medicines available at the Pharmacy are also given to CMS members without charge. However, no indoor hospitalization is possible and no reimbursement of any kind is provided.
2. *Post-Retirement Medical Scheme (PRMS)*: Under this scheme, there are two types of medical benefits provided to IIT Bombay employees. These are:
  - a) In-service medical benefits
  - b) Out-service medical benefits

In-service medical benefits are those given to Institute employee during their active service at the Institute. Here, the Institute employee, if eligible, can take the facility of the Institute Hospital for various purposes as available & further can be referred to Institute empanelled hospital on the recommendation of the CMO/MO/SMO, wherein the expenditure incurred is reimbursed as per Institute rules. More details are available here:

Out-service medical benefits afforded after retirement comprise the Post-Retirement Medical Scheme. Further, there are two types of scheme for retirees.

- a. Old PRMS
- b. New PRMS

The Old PRMS is for those who retired prior to March 11, 2015. Those who join/joined the Institute's service on or after that date are/shall be governed by New PRMS which is/will be a part of the service condition on joining the Institute.

Therefore, all those who were on roll of the Institute on March 11, 2015, as permanent employees were entitled to join the scheme on exercising an option in this regard within three months of adoption of the scheme by the Board of governors, whereas for those who join the Institute / confirmed after that date the scheme is mandatory.

Under this scheme, a monthly subscription is to be paid by all the members of the scheme based on their pay scales to avail the benefits of this scheme post retirement. To summarise, it is a cover of medical treatment on hospitalization up to a limit. It does not cover outpatient expenses, only expenses on admission to a (empanelled) hospital. A maximum of 50% of the eligible cover can be availed as claim in the first 5 years after retirement from the Institute.



The amount of contribution, sum assured, how the sum assured grows with time, empanelled hospitals and so on, are detailed in [this webpage](#).

### **Campus amenities for retired faculty**

Retired faculty are eligible for some miscellaneous benefits:

**Identity card for retired faculty and spouse:** Retired faculty members and their spouse are eligible to be issued Institute identity cards. One may fill the application form for this available with the Security section and submit the same to the faculty establishment section in the 2nd floor main building for necessary verification and further processing.

**Relationship manager:** In order to ensure that progress related to requests and pending matters pertaining to retired faculty members are monitored properly and to facilitate a single point of contact in case of any query from retired fraternity, a Relationship Manager is available in the Faculty Administration section. Currently, Ms. Rajshri Ghedag in Admin looks after this. She may be contacted at extension 7943.

**Guest house facility:** Retired Institute faculty members are eligible to avail the guest house facility of the Institute against concessional rates. Current chargers are ₹ 1,200 per single occupancy and ₹ 2,000 per double occupancy per day. Guest rooms can be booked by sending an e-mail request to the Registrar or Manager, Guest House, at [mangergh@iitb.ac.in](mailto:mangergh@iitb.ac.in).

**Gulmohar Lawn:** Facility to avail Gulmohar lawn for marriage of Son/Daughter or for functions like marriage anniversary of self etc. are open to retired faculty members. Current applicable charges for this facility is ₹ 22,000 along with a refundable deposit of ₹ 10,000. The facility can be availed by sending a written request in the format available in ASC website (downloadable forms) to the Executive Engineer (Estate) who will authorise payment after verifying the availability. Similarly, the facility to use Gulmohar 3rd floor and terrace is also available against nominal payment.

**LDAP Account:** Retired faculty will have to inform CC annually for continuation or extension of their LDAP account, either before the expiry or within a grace period of one year. This one-time activity at from the retired faculty within a span of 2 years is to keep a check and avoid misuse of dormant LDAP accounts after faculty retirements..

**Library access:** Faculty and Group A Officers retired from IIT Bombay are eligible for Library membership by paying ₹ 200 for annual membership, or by paying ₹ 1000 as life membership fee. Two books can be borrowed for a period of 30 days and reference and consultation services will be provided to them. Electronic Resources access facility (such as access to e-journals) is not available for retired faculty and Group A Officers.

## **Appendices**

### **More on Housing**

The Institute has undergone significant expansion and increase in number of students over the last decade and a half. The increase in student numbers has led to a commensurate increase in the number of faculty members on the campus. Thus, the present dwelling numbers on the campus are insufficient. Though, new constructions are underway, there is an expected shortage of housing on campus for some more time. In most cases, the new faculty may take up on-campus housing flatlets like the Staff Hostel, Vihar House and CSRE D Types. However, some faculty may want a “proper apartment” owing to family constraints or due to non-availability of the flatlets. In such situations, some may opt for off-campus housing. These off-campus housing once identified and allotted are treated as an extension of the IIT Bombay housing. There are several considerations to be made when scouting for an apartment. Below are a few points to be considered with regard to off-campus housing.

The Institute provides temporary accommodation in the Guest House to the new faculty member immediately after they join, up to a period of 1 month. The guest house charges are applicable and have to be borne by the faculty if this initial period of 30 days is exceeded. It is thus recommended that a search for off-campus housing be initiated as soon as the joining formalities are completed.

An off-campus rented apartment requires consideration of the amount of rent, brokerage, escalation clause and issues related to maintenance and movement charges. The Institute has evolved a policy on the amount of rent that can be paid. The decisions regarding the amount of rent, brokerage and escalation clause are usually handled by the Associate Dean IPS-2 and his/her Office. As a first step, new faculty members are advised to contact the office of Associate Dean-2 Infrastructure and Planning (IPS) to obtain information on the rental limits and other rules regarding off-campus accommodation. It is recommended that the initial negotiated rent is limited to within the stipulated amount. The terms and issues

regarding the escalation are handled by the Associate Dean IPS-2's office. The maintenance and movement charges are usually expected to be borne by the faculty.

The Associate Dean IPS-2's office may also offer help for searching and to identify estate agents who can facilitate the search for apartments. A list of previously rented apartments or apartments newly offered on rent may be already be available with the Office of the Associate Dean IPS-2. These may be considered by new faculty for potential allotment. The identification of the apartment could also be done personally with the help of an agent, or by consulting websites that offer such solutions.

The contract or the lease agreement is drawn with IIT Bombay as the party and the letter of allotment is then issued by the Accommodation Allotment Committee (AAC). The duration of the lease should be checked carefully, since, it may be possible that these rented premises may have to occupied for an extended period of time. After moving to the apartment, the usual day to day maintenance is expected to be handled by the allottee.

The Institute has rules and regulations regarding allotment and entitlement of housing to faculty and staff of the Institute. The details of these can be found on the Dean IPS website. The off-campus housing is treated as transit accommodation provided by IIT Bombay. Thus, availing the off-campus housing does not affect the entitlement or the seniority of the faculty within the ambit of the defined rules. The rented premises may have to vacated due to several reasons with the happy one being on-campus accommodation.

### **Schools in and around campus**

**Kendriya Vidyalaya (Central School) IIT Powai.** This is part of the Kendriya Vidyalaya Sangathan (KVS) network and is usually ranked among the top government day (that is, not boarding) schools in India. It has classes I through XII and is affiliated to the Central Board of Secondary Education (CBSE). Most of the seats here are reserved for the children of IIT Bombay employees; with a small fraction reserved for other Central Government organizations. You might have some anxious moments before your child gets admission, but eventually it works out, in almost all cases. In case of exceptional difficulty in getting admission into the Kendriya Vidyalaya, our Director, who is ex-officio the Chairperson of the Vidyalaya Management Committee can help out by exercising their discretionary quota. There is also a Professor-in-Charge who you may contact for helpful advice in case of difficulty. More details about KV IIT Bombay may be found on [its webpage](#).

**Campus School and Jr. College.** The IIT Campus School and Jr. College has classes I through XII and is affiliated to the Maharashtra State Board. It is exclusively for the

children of IIT employees. Here, the IIT Bombay Director is the Chairperson of the School Council and IIT faculty serve as Associate Chairperson and Conveners of Administrative and Academic policy. More details about the Campus School are available [here](#).

**KG School.** The Kindergarten (KG) School comprising two classes (Lower KG and Upper KG) and two shifts, is for children from three to five years of age. Details of admissions, facilities, etc. that the KG School offers may be found [here](#).

**Shishu Vihar Child Care Centre.** Shishu Vihar is a not-for-profit child care centre, managed by an association of parents, catering primarily to the child care needs of working parents in IIT Bombay. The Shishu Vihar Management Committee (SVMC) is a body of IIT Bombay Official Representatives and elected member parents. SVMC is responsible for the overall policy, human resources, and financial management of the centre.

SV has a group of people with backgrounds in education, psychology, special needs, child development, early childhood education and curriculum development. Their education and experience not only enables them to understand the needs of children, but also inspires them to choose healthy and effective practices in child care.

Shishu Vihar, which is located near Main Gate, has the following time slots and programs.

Slots	Hours	Timing
Morning Slot (MS)	5 hours	8:15 AM to 1:15 PM
Afternoon Slot (AF)	5 hours	1:15 PM to 6:15 PM
3/4 Day Slot (Lower KG School Children)	7.5 hours	Flexible
Full Day Slot (FD)	10 hours	8:15 AM to 6:15 PM

Programs	Eligibility	Description
Toddler Program (MS)	18 months	A planned program where toddlers are stimulated through music, rhymes, books and toys.
Play Group (MS)	2 years	A structured program that focuses on Sensory, Language and Social Development. Children are motivated to learn and explore through play.

Programs	Eligibility	Description
Junior Club (MS)	3 years	A systematic program that uses reasoning, math and language skills to facilitate thematic learning among children.
Day Care (FD/AS)	18 months to 12 years	Children are exposed to various activities such as art & craft, music, storytelling etc. Indoor and outdoor play is strongly encouraged.

Some more details about Shishu Vihar may be found [here](#).

## Epilogue

If you have made it this far, you should now be fairly conversant with the various procedures and rules that concern faculty at IIT Bombay. Naturally, with time, some rules and procedures undergo changes. Please do bring this to the Dean (FA) Office's notice, and they can make the necessary updates.

This edition of the Handbook was intended from the outset to also have a 'digital twin' of the printed version. This is to allow for more frequent and timely updates where needed. In other words, edits can be incorporated quickly into the digital version, at least. Please send in your suggestions for improvement to the office of the Dean FA: [dean.fa.office@iitb.ac.in](mailto:dean.fa.office@iitb.ac.in).