

**अभिशासक परिषद्  
की अट्ठाईसवीं बैठक का कार्यवृत्त  
MINUTES OF THE 28<sup>TH</sup> MEETING  
OF THE BOARD OF GOVERNORS**

**26<sup>TH</sup> AUGUST 2010**



**भारतीय प्रौद्योगिकी संस्थान रुड़की**

**रुड़की — 247 667 (भारत)**

**INDIAN INSTITUTE OF TECHNOLOGY ROORKEE  
ROORKEE - 247 667 (INDIA)**

**INDIAN INSTITUTE OF TECHNOLOGY ROORKEE**  
**ROORKEE - 247 667**



**28<sup>th</sup> MEETING OF THE BOARD OF GOVERNORS**

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# INDIAN INSTITUTE OF TECHNOLOGY ROORKEE

## ROORKEE – 247 667



### **Minutes of the 28<sup>th</sup> Meeting of the Board of Governors held on 26<sup>th</sup> August 2010 at 12.00 noon at Ghaziabad.**

The following were present:

- |    |  |                 |
|----|--|-----------------|
| 1. | Mr. Ashok Bhatnagar                            | Chairman        |
| 2. | Prof. S.C. Saxena, Director, IIT Roorkee       | Member          |
| 3. | Mr. Amit Khare, IAS, JS (ICC), MHRD, New Delhi | Member          |
| 4. | Prof. S.A. Abbasi, Pondicherry University      | Member          |
| 5. | Prof. I.M. Mishra, IIT Roorkee                 | Member          |
| 6. | Prof. D.K. Paul, IIT Roorkee                   | Member          |
| 7. | Prof. H.K. Verma, Dy. Director, IIT Roorkee    | Special Invitee |
| 8. | Lt. Col. (Retd ) A.K. Srivastava, Registrar    | Secretary       |


Mr. S.K. Ray, Additional Secretary & Financial Advisor, MHRD attended the meeting on invitation.

### **Communication received from the following members for not attending the meeting:**

1. Dr. D.V. Singh  
New Delhi
2. Shri Sirajuddin Qureshi  
New Delhi
3. Dr. Vinod Bhakuni  
Lucknow

At the outset, the Chairman welcomed the members to the 28<sup>th</sup> Meeting of the Board of Governors.

The agenda was then taken up.

  
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## **PROCEDURAL**

**Item No. 28.1.1: To confirm the minutes of the 27<sup>th</sup> meeting of the Board of Governors held on 10.3.2010.**

The minutes of the 27<sup>th</sup> meeting of the Board of Governors held on 10.3.2010, were confirmed.

**Item No.28.1.2: To receive a report of actions taken on the minutes of the 27<sup>th</sup> Meeting of the Board of Governors held on 10.3.2010.**

The position of action taken on the matters as reported was noted.

**Item No.28.1.3: To receive a report of the Director on the significant developments/issues since the 27<sup>th</sup> meeting of the Board held on 10.3.2010.**

The Board noted the Director's Report, which was tabled.

## **MATTERS DISCUSSED/ RECOMMENDED BY THE STATUTORY BODIES/ COMMITTEES.**

**Item No. 28.2.1: To consider revision of Ph.D. Ordinances and Regulations.**

**RESOLUTION NO.BG/25/2010: RESOLVED THAT** the revised Ph.D. Ordinances and Regulations as appended at **Appendix 'A'** are approved.

## **MATTERS FOR POLICY DECISION:**

**Item No. 28.3.1: To consider the adoption of changes in the Statutes due to revision in the age of superannuation of Director, faculty and non-faculty staff of IITs as approved by the Visitor.**

**RESOLUTION NO.BG/26/2010: RESOLVED THAT** due to revision in the age of superannuation of Director, faculty and non-faculty staff of IITs as approved by the Visitor, the Statutes 9(1) and 14 of IIT Roorkee be amended as under:

<b>Title</b>	<b>As approved by the Visitor</b>
Tenure of the Director	<b>Section 9(1)</b> The Director shall be appointed by the Council with the prior approval of the Visitor, on contract for a period of five years or till he/ <b>she</b> attains the

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	<p>age of <b>70</b> years, whichever is earlier.</p> <p>Provided that if the appointee on conclusion of the period of service mentioned above is below the <b>70 years of age</b>, his/<b>her</b> service shall continue till the 30<sup>th</sup> June of the academic year in which the appointee concludes the said period of service or till he/<b>she</b> attains the age of <b>70</b> years, whichever is earlier.</p>													
Terms and conditions of Service of Permanent Employees	<p><b>14(2)</b> Subject to the provisions of the Act and the Statutes all appointments to posts under the Institute shall ordinarily be made on probation for a period of one year after which period the appointee, if confirmed, shall continue to hold his/<b>her</b> office subject to the provisions of the Act and the Statutes, as follows:</p> <table border="1"> <tr> <td>(a)</td><td><b>Teaching staff (faculty)</b></td><td><b>Till the end of the month in which he/she attains the age of 65 years. (Effective from 15.03.2007)</b></td></tr> <tr> <td>(b)</td><td><b>Scientific &amp; Design Staff</b></td><td><b>Till the end of the month in which he/she attains the age of 62 years.</b></td></tr> <tr> <td>(c)</td><td><b>Registrar and Librarian</b></td><td><b>Till the end of the month in which he/she attains the age of 62 years. (Effective from 16.09.2009)</b></td></tr> <tr> <td>(d)</td><td><b>Group 'A' 'B' 'C' and 'D' non-faculty staff (other than Scientific &amp; Design Staff, Registrar and Librarian)</b></td><td><b>Till the end of the month in which he/she attains the age of 60 years.</b></td></tr> </table> <p>Provided that where the Board considers that in the interest of the students and for the purpose of teaching and/or guiding the students registered for the Ph.D. programme, any member of the <b>teaching</b> staff should be re-employed, it may re-employ such a member till the end of the semester or the academic session <b>in which he/she attains the age of superannuation</b> as may be considered appropriate in the circumstances of each case.</p> <p>Provided further that where it becomes necessary to re-employ any such member <b>of teaching staff</b>,</p>		(a)	<b>Teaching staff (faculty)</b>	<b>Till the end of the month in which he/she attains the age of 65 years. (Effective from 15.03.2007)</b>	(b)	<b>Scientific &amp; Design Staff</b>	<b>Till the end of the month in which he/she attains the age of 62 years.</b>	(c)	<b>Registrar and Librarian</b>	<b>Till the end of the month in which he/she attains the age of 62 years. (Effective from 16.09.2009)</b>	(d)	<b>Group 'A' 'B' 'C' and 'D' non-faculty staff (other than Scientific &amp; Design Staff, Registrar and Librarian)</b>	<b>Till the end of the month in which he/she attains the age of 60 years.</b>
(a)	<b>Teaching staff (faculty)</b>	<b>Till the end of the month in which he/she attains the age of 65 years. (Effective from 15.03.2007)</b>												
(b)	<b>Scientific &amp; Design Staff</b>	<b>Till the end of the month in which he/she attains the age of 62 years.</b>												
(c)	<b>Registrar and Librarian</b>	<b>Till the end of the month in which he/she attains the age of 62 years. (Effective from 16.09.2009)</b>												
(d)	<b>Group 'A' 'B' 'C' and 'D' non-faculty staff (other than Scientific &amp; Design Staff, Registrar and Librarian)</b>	<b>Till the end of the month in which he/she attains the age of 60 years.</b>												

  
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	<p>beyond the end of the semester or academic session <b>in which he/she attains the age of superannuation</b>, as the case may be, the Board may, with the previous approval of the Visitor, re-employ any such member <b>against sanctioned vacant posts for a period up to three years in the first instance and up to two years thereafter</b> and in no case exceeding the end of the academic session in which he/she attains the age of <b>70</b> years.</p> <p>Provided also that in no circumstances such member shall be re-employed for any purposes other than those of teaching and guiding the students registered for the Ph.D. programme.</p>
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**Item No.28.3.2: To consider Proposed Revised Rules, Guidelines and other related information regarding the Industrial Consultancy and Sponsored Research Projects.**

**RESOLUTION NO.BG/27/2010: RESOLVED THAT** as recommended by the Board SRIC, the Revised Rules, Guidelines and other information related to Industrial Consultancy and Sponsored Research Projects as appended at **Appendices 'B' & 'C'** be approved. **Further Resolved** that an appropriate clause be added to the effect that "for IPR, The IPR policy of the Institute shall be applicable".

#### **ADMINISTRATIVE MATTERS:**

**Item No.28.4.1: To consider the minor change in clause III-2 of Medifare Scheme.**

**RESOLUTION NO.BG/28/2010: RESOLVED THAT** the clause III-2 of Medifare Scheme be amended as under:

A ceiling of the total amount of cumulative reimbursement (including direct payments made by the Institute to any Hospital for this purpose) for hospitalization that may be made to an employee, his/her spouse and the handicapped dependent children during their lifetime will be prescribed, which at present will be as follows:

Category A : Rs. 12.00 Lakhs  
Category B : Rs. 09.00 Lakhs  
Category C : Rs. 07.00 Lakhs  
Category D : Rs. 06.00 Lakhs

These categories A-D correspond respectively to the four categories defined in Clause III.1 for the purpose of

  
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subscription and the above-mentioned ceilings will be **inclusive** of reimbursements for OPD outside IIT Roorkee Hospital prescribed in Clause II.1

**NOTE: 1.** It is also clarified that if once opted for Medical Allowance of Rs.200/- p.m., the retired employee will not be eligible for any further medical reimbursement including OPD expenses. The OPD facility of IIT Roorkee Hospital will however be available to him/her as a retired employee.

**Item No.28.4.2: To consider the enhancement of the Group Insurance Scheme Cover in the IIT Roorkee.**

**RESOLUTION NO.BG/29/2010: RESOLVED THAT** the rate of monthly subscription and the amount of insurance cover under the Central Government Employees Group Insurance Scheme be enhanced as under:

Sl. No.	Group	Insurance cover Rs.	Rate of monthly subscription Rs.
01	A	7,20,000.00	720.00
02	B	3,60,000.00	360.00
03	C	1,80,000.00	180.00
04	D	1,80,000.00	180.00

This will be effective from 1<sup>st</sup> April 2010.

**Item No.28.4.3: To consider the extension of the existing tenure of one year of the post of Junior Laboratory Assistant in the Institute Instrumentation Centre, for another three years**

**RESOLUTION NO.BG/30/2010: RESOLVED THAT** the tenure of the post of Junior Laboratory Assistant in Institute Instrumentation Centre be extended beyond 17.8.2010 for a period of three years, on contractual basis.

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**Item No.28.4.4: To consider the action to be taken on the charges levelled against Dr. Ashok Kumar Ahuja, Professor in the Department of Civil Engineering of the Institute under Rule 14 Central Civil Services (Classification Control and Appeal) Rules 1965, for the violation of Rules 3(2) and 3(3) of the Conduct Rules of the Institute.**

The Board perused the report of the enquiry committee as well as the reply dated 26.2.2010 submitted by Prof. Ashok Kumar Ahuja in response to the Charge Sheet Memorandum, and noted that Prof. Ashok Kumar Ahuja had admitted three of the five charges listed in the Charge Sheet Memorandum. Although, the charge levelled at Point Number 4, was not admitted by Prof. Ashok Kumar Ahuja, the same was established by the enquiry committee. The charge listed at Point Number 5 was not established. The Board observed that prima-facie sufficient evidence had been adduced for initiating disciplinary proceedings in the matter, in accordance with the Central Civil Services (Classification, Control and Appeal) Rules, 1965. The Board then resolved as under:

**RESOLUTION NO.BG/31/2010: RESOLVED THAT** a copy of the enquiry committee's report should be furnished to Professor Ashok Kumar Ahuja along with a notice to make representation, if any, to the Board against the findings recorded in the enquiry report. On receipt of a reply from Professor Ashok Kumar Ahuja, the matter should be placed before the Board along with the Professor Ashok Kumar Ahuja's representation, if any, for further consideration.

**Item No. 28.4.5: To consider for modification/correction/amendment in the Resolution No. BG/12/2010 for the Agenda Item No. 27.4.5.**

**RESOLUTION NO.BG/32/2010: RESOLVED THAT** the old pension scheme be extended to such Institute employees who joined the Institute on or after 1<sup>st</sup> January 2004, and are covered under Office Memorandum No. 28/30/2004-P&PW(B) dated 28<sup>th</sup> October 2009 of the Ministry of Personnel, Public Grievances and Pension, Government of India, New Delhi.

  
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**Item No. 28.4.6: To consider the action to be taken on the report of the Enquiry conducted against Dr. Kamal Jain, Associate Professor in the Department of Civil Engineering under Rule 14 Central Civil Services (Classification Control and Appeal) Rules 1965, for the violation of Rule 3(1) of the Conduct Rules of the Institute.**

The Board perused the report of the enquiry committee as well as the reply dated 29.2.2008 submitted by Dr. Kamal Jain in response to the Charge Sheet Memorandum, and noted that he had denied all five charges that had been levelled against him. However, all the five charges levelled against him, had been established by the Enquiry Committee. The Board observed that prima-facie sufficient evidence had been adduced for initiating disciplinary proceedings in the matter, in accordance with the Central Civil Services (Classification, Control and Appeal) Rules, 1965. The Board then resolved as under:

**RESOLUTION NO.BG/33/2010: RESOLVED THAT** a copy of the enquiry committee's report should be furnished to Dr. Kamal Jain alongwith a notice to make representation, if any, to the Board against the findings recorded in the enquiry report. On receipt of a reply from Dr. Kamal Jain, the matter be placed before the Board alongwith the Dr. Kamal Jain's representation, if any, and the disciplinary proceedings, for consideration.

**Item No. 28.4.7: To consider for modification/correction/amendment in the Resolution No. BG/21/2010 for the Agenda Item No. 27.4.15.**

**RESOLUTION NO.BG/34/2010: RESOLVED THAT** the under-mentioned para be inserted in the resolution No. BG/21/2010 dated 10.3.2010:

"To fix salaries of Assistant Professors in the 6<sup>th</sup> CPC pay structure who joined as Assistant Professor at IIT Roorkee on or after 1.1.2003, after serving other Institutes, a Committee will be constituted by IIT Roorkee. The Board is being appraised accordingly."

  
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**Item No. 28.4.8: To consider the extension of tenure of 02 posts of Junior Engineers (Civil), 02 posts of Junior Engineer (Electrical) and 01 post of Technical Assistant (Sanitation) on contract basis for three years.**

**RESOLUTION NO. BG/35/2010: RESOLVED THAT** the tenure of the under-mentioned posts be extended for a period of three years on contractual basis, beyond the respective dates on which the current tenures end:

- |                                     |           |
|-------------------------------------|-----------|
| 1. Junior Engineer (Civil)          | Two posts |
| 2. Junior Engineer (Electrical)     | Two posts |
| 3. Technical Assistant (Sanitation) | One post  |

**Item No.28.4.9: To consider extension of tenure of 04 posts of Technical Assistants and 02 posts of Laboratory Assistants (now Junior Laboratory Assistants) on contract basis for three years beyond 23.11.2010.**

**RESOLUTION NO.BG/36/2010: RESOLVED THAT** the tenure of the under mentioned posts be extended for a period of three years in the Institute Computer Centre on contract basis beyond 23.11.2010:

- |  |            |
|--|------------|
| 1. Technical Assistants  | Four posts |
| 2. Laboratory Assistants<br>(now Junior Laboratory Assistants) | Two posts  |

**Item No.28.4.10: To report the receipt of MHRD letter No. F.17-8/2009-T.S.1 dated 5<sup>th</sup> July 2010 notifying the Modified Assured Career Progression (MACP) Scheme for the Group B, C and D employees of IITs.**

The Board noted the contents of the MHRD letter No. F.17-8/2009-T.S.1 dated 5<sup>th</sup> July 2010 notifying the Modified Assured Career Progression (MACP) Scheme for the Group B, C and D employees of the IITs.

**Item No.28.4.11: To consider the report of the committee on the grievances regarding the pensionary benefits of 15 employees absorbed as regular employees against vacant positions.**

The Finance Committee had considered the issue in its meeting held on 26<sup>th</sup> August 2010 vide item No.24.4. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

  
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**RESOLUTION NO.BG/37/2010: RESOLVED THAT** the 15 employees, named below, who were earlier quasi-regular, but had been regularized against vacant Technical Cadre posts, be sanctioned pension, family pension, retirement gratuity etc. under the old pension scheme, subject to examination of each individual case regarding (a) eligibility for confirmation as permanent employee on the basis of requisite length of continuous service, and (b) availability of a suitable grade post within the overall sanctioned strength. Specific orders to this effect should be passed in each individual case.

Sl. No.	Name of the Employee	Designation	Pay Scale (Rs)	Group
1.	Sh. Sunder Lal Sharma	Jr. Technical Superintendent	Rs.3200-4900	'C'
2.	Sh. Mustkim	Jr. Technical Superintendent	Rs.3200-4900	'C'
3.	Sh. Mehar Ali	Jr. Technical Superintendent	Rs.3200-4900	'C'
4.	Sh. Ashok Kumar	Jr. Technical Superintendent	Rs.3200-4900	'C'
5.	Sh. Som Pal	Jr. Technical Superintendent	Rs.3200-4900	'C'
6.	Sh. Mukesh Babu Sharma	Sr. Mechanic	Rs.3200-4900	'C'
7.	Sh. Mohan Lal	Sr. Mechanic	Rs.3200-4900	'C'
8.	Sh. Ramesh Kumar Sharma	Sr. Mechanic	Rs.3200-4900	'C'
9.	Sh. Adesh Kumar Sharma	Attendant (Unskilled)	Rs.2650-4000	'D'
10.	Sh. Vinod Kumar	Attendant (Unskilled)	Rs.2650-4000	'D'
11.	Sh. Shahroom	Attendant (Unskilled)	Rs.2650-4000	'D'
12.	Sh. Sukhbir Singh	Attendant (Unskilled)	Rs.2650-4000	'D'
13.	Sh. Mohd. Altaf	Attendant (Unskilled)	Rs.2650-4000	'D'
14.	Sh. Biram Singh	Attendant (Unskilled)	Rs.2650-4000	'D'
15.	Late Faiyaz Ali (expired on 19.5.2009)	Attendant (Unskilled)	Rs.2650-4000	'D'

**Item No.28.4.12: To consider the recommendations of the Standing Committee dated 17.8.2010 for making the compassionate appointment.**

**RESOLUTION NO.BG/38/2010: RESOLVED THAT** the recommendation of the Standing Committee for making an appointment on compassionate grounds in respect of

  
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Mr. Krishan Gopal S/o Sri Amar Pal at the post of JLA be **not** accepted.

**Item No.28.4.13: To consider the recommendations of the Committee on revision of emoluments to the 'Y' Pool workers and applicability of additional holidays.**

The Finance Committee had considered the issue in its meeting held on 26<sup>th</sup> August 2010 vide item No.24.5. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION NO.BG/39/2010: RESOLVED THAT**

- (a) On account of enhanced cost of living, the monthly emoluments of the 'Y' Pool Workers may be enhanced by 30% w.e.f. 1<sup>st</sup> April 2010, as per the details given at **Appendix 'D'**. Further recommended that the annual increase in the total monthly emoluments of these workers may also be raised by 30% and accordingly fixed at Rs.170/-, Rs.260/- and Rs.340/- for the Y-1, Y-2 and Y-3 categories, respectively.
- (b) Three holidays from the list of annual calendar of the Institute may be granted as per the choice of the individual Y-pool worker over and above the three national holidays already admissible to them.

**Item No.28.4.14: To consider for approval the criteria for movement of eligible Professor from AGP of Rs.10,500/- to AGP of Rs.12,000/-.**

The Financial Advisor, MHRD informed the Board that the Ministry was in the process of issuing an order notifying a new Pay Band in respect of Professors who are presently eligible for the Grade Pay of Rs.12,000/- in the Pay Band-4. In view of this, pay fixation of such Professors in the Pay Band-4 with the Grade Pay of Rs.12,000/- be put on hold.

**Item No.28.4.15: Permission for filling up of the posts of two (02) Deputy Registrars and six (06) Assistant Registrars (on contract).**

**RESOLUTION NO.BG/40/2010: RESOLVED THAT** the under-mentioned posts be filled up on contract basis for a period of three years:

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1. Deputy Registrar Two posts  
(PB-3, Rs. 15600-39100 GP Rs. 7600/-)
2. Assistant Registrars Six posts  
(PB-3, Rs. 15600-39100 GP Rs. 5400/-)

**Item No.28.5.1: To report the decisions/actions taken by the Chairman, Board of Governors, on behalf of the Board of Governors.**

The Board ratified the approvals accorded by the Chairman, Board of Governors on behalf of the Board.

**RESOLUTION NO.BG/41/2010: RESOLVED THAT** the approvals accorded by the Chairman, Board of Governors on behalf of the Board are ratified:

- (i) Signing of MoU between Prama Jyoti Foundation, New Delhi and Indian Institute of Technology Roorkee **(Appendix 'E')**.
- (ii) Renewal of MoU between The University of Western Ontario, London, Canada and Indian Institute of Technology Roorkee **(Appendix 'F')**.
- (iii) Revocation of suspension of Dr. R. Balasubramanian, Assistant Professor, Department of Mathematics, w.e.f. 26<sup>th</sup> February 2010.
- (iv) Continuation of the under-mentioned faculty members as Joint Faculty in the Department of Management Studies for another terms of three years w.e.f. 28<sup>th</sup> June 2009.
  - (i) Prof. T.R. Gulati, Department of Mathematics.
  - (ii) Prof. (Mrs.) Renu Rastogi, Department of Humanities & Social Sciences.
  - (iii) Prof. Pradeep Kumar, Department of Mechanical & Industrial Engineering.
- (v) Extension of the contractual appointment of Dr. Amit Kumar Dhiman as Assistant Professor (on contract) in Department of Chemical Engineering for a period of two years w.e.f. 05<sup>th</sup> April 2010 to 04<sup>th</sup> April 2012.
- (vi) Extension of the contractual appointment of Dr. Vimal Chandra Srivastava as Assistant Professor (on contract) in the Department of Chemical Engineering for a period of two years w.e.f. 03<sup>rd</sup> April 2010 to 02<sup>nd</sup> April 2012.

  
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- (vii) Acceptance of resignation of Dr. Praveen Kulshrestha from the post of Assistant Professor, Department of Humanities & Social Sciences w.e.f. 09<sup>th</sup> January 2009 to join as Associate Professor at IIT Kanpur.
- (viii) Re-employment of the following faculty members, upto the end of Academic Session i.e. 30<sup>th</sup> June 2010.
- (i) Dr. S.K. Verma, Professor, E & C. E.
  - (ii) Dr. Kuldip Singh, Professor, E & C.E.
  - (iii) Dr. Satya Prakash, Professor, Met. & Matl. Engg.
  - (iv) Dr. P.S. Mishra, Professor, Met & Matl. Engg.
  - (v) Dr. Ranvir Singh, Professor, Hydrology.
- (ix) Extension of the contractual appointment of Dr. Dheeraj Kumar Khatod as Assistant Professor (on contract) in Alternate Hydro Energy Centre for a period of one year w.e.f. 09<sup>th</sup> May 2010 to 08<sup>th</sup> May 2011.
- (x) Upgradation of the following Professors from AGP of Rs. 10,500/- to AGP of Rs. 12,000/- w.e.f. 01<sup>st</sup> January 2006.
- (1) Dr. H.K. Verma, Electrical Engineering
  - (2) Dr. Satya Prakash, Met & Matls. Engineering
  - (3) Dr. H.O. Gupta, Electrical Engineering
  - (4) Dr. R.C. Joshi, E & C.E.
  - (5) Dr. A.K. Awasthi, Earth Sciences
  - (6) Dr. D.K. Paul, Earthquake Engineering
  - (7) Dr. Ranvir Singh, Hydrology
  - (8) Dr. J.D. Sharma, Electrical Engineering
  - (9) Dr. I.M. Mishra, Chemical Engineering
  - (10) Dr. S.C. Jain, Mech. & Industrial Engineering
  - (11) Dr. Subrat Ray, Met. & Matls. Engineering
- (xi) Permanent absorption of Mr. Salek Chand, Executive Engineer, UPPWD, Lucknow on the post of Institute Engineer at IIT-Roorkee on his existing pay in PB-3 plus GP Rs. 7600/-
- (xii) Extension of the contractual appointment of Dr. Arun Kumar, Chief Scientific Officer & Head, Alternate Hydro Energy Centre in the revised Pay Structure PB-4, (Rs. 37400-67000) and AGP of Rs. 10,500/- for a period of two years w.e.f. 01<sup>st</sup> June 2010 to 31<sup>st</sup> May 2012.

  
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- (xiii) Extension of the contractual appointment of Dr. (Mrs.) Pratibha as Assistant Professor (on contract) in Mathematics Department for a period w.e.f. 08.05.2010 to 31.07.2010.
- (xiv) Acceptance of resignation of Dr. Satya Prakash Dubey from the post of Assistant Professor, in the Department of Electrical Engineering w.e.f. 20<sup>th</sup> July 2010.
- (xv) Extension of the contractual appointment of Dr. (Ms.) Pooja Garg as Assistant Professor (on contract) in the Department of Humanities & Social Sciences for a period one year w.e.f. 30.06.2010 to 29.06.2011.
- (xvi) Extension of the contractual appointment of Dr. (Mrs.) Nisha as Scientific Officer Grade - II (on contract) in the M.G. Central Library for a period one year w.e.f. 29.06.2010 to 28.06.2011.
- (xvii) Acceptance of resignation of Sri Pradeep Kumar from the post of Assistant Engineer (Horticulture) on deputation, Construction Division, w.e.f. 31.05.2010.
- (xviii) Recommendations of the Committee for the grant of enhanced consolidated fellowship of Rs. 45,000/- per month and enhanced contingency amount of Rs. 30,000/- to the Emeritus Fellows as per approved guidelines.
- (xix) Acceptance of resignation of Dr. K.L. Pruseth from the post of Assistant Professor, in Institute Instrumentation Centre w.e.f. 30<sup>th</sup> July 2010.
- (xx) Implementation of the recommendations of 6<sup>th</sup> Central Pay Commission with respect to Cumulative Professional Development Allowance for Rs. 3.00 lakhs for every block period of 3 years (Rs. one lakh per year) w.e.f. 01.09.2008.
- (xxi) Recommendations of the Institute Committee to select candidate for the position of Emeritus Fellow in the Department of Hydrology.
- (xxii) Recommendations of the Institute Committee to select candidate for the position of Emeritus Fellow in the Department of Metallurgical & Materials Engineering.

  
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- (xxiii) Acceptance of technical resignation of Dr.V. Ravikant from the post of Assistant Professor, Institute Instrumentation Centre w.e.f. 30<sup>th</sup> June 2010.
- (xxiv) Acceptance of Voluntary Retirement of Dr. (Mrs.) Kum Kum Garg from the post of Professor, Department of Electronics & Computer Engineering w.e.f. 03<sup>rd</sup> August 2010.
- (xxv) Extension of appointment of Lt. Col. A.K. Srivastava, Registrar on contract to the post of Registrar in the pay scale of Rs. 16,400-22,400 (in the corresponding revised scale of Rs. 37,400-67,000 with GP Rs. 10,000/-) for a period of five years w.e.f. 12.07.2010 or till the date of his superannuation whichever is earlier.
- (xxvi) Signing of MoU between India Meteorological Department, New Delhi and Indian Institute of Technology Roorkee(**Appendix 'G'**):
- (xxvii) Signing of MoU between University of Peradeniya, Srilanka and Indian Institute of Technology Roorkee(**Appendix 'H'**)
- (xxviii) Panel of Board's Nominee on the Selection Committees of the Administration Group 'A' posts.

**Item No. 28.5.2: To report certain matters for the Information of the Board of Governors.**

**RESOLUTION NO.BG/42/2010: RESOLVED THAT** the matters, as listed below, were noted and recorded:

- (i) Minutes of the 23<sup>rd</sup> Meeting of the Finance Committee of the Institute held on 10.3.2010.
- (ii) Reconstitution of zones for State representation on the Board of Governors.

The Ministry of Human Resource Development vide letter F.No. 7-18/2001-TS.1 dated 6<sup>th</sup> July 2010 has reconstituted the zones to avoid duplication, in the manner given below:

  
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Sl. No.	Name of the IITs	Existing zone	Reconstituted zone
1.	IIT Roorkee	H.P., Haryana, Uttaranchal	Haryana, Uttarakhand

**(iii) The following appointments were made:**

Sl. No.	Name	Designation	Department	Date of Joining
1	Dr. P.S. Mishra	Emeritus Fellow	Metallurgical & Materials Engineering	01.07.2010
2	Dr. Satya Prakash	Emeritus Fellow	Metallurgical & Materials Engineering	01.07.2010
3	Dr. Ranvir Singh	Emeritus Fellow	Hydrology	01.07.2010

**(iv) The following Faculty Members and other staff have superannuated / resigned:**

Sl. No.	Name	Designation	Department	Date of superannuated/ Resigned
1	Dr. Praveen Kulshrestha	Assistant Professor	Humanities & Social Sciences	09.01.2009 (Resignation)
2	Dr. (Mrs.) Anibha Sarje	Medical Officer	Institute Hospital	28.02.2010
3	Dr. S.K. Verma	Professor	Electronics & Computer Engineering	31.03.2010
4	Dr. Satya Prakash	Professor	Metallurgical & Materials Engineering	31.03.2010
5	Dr. Dukhabandhu Sahoo	Assistant Professor	Department of Paper Technology (Saharanpur Campus)	26.04.2010 (Resignation)
6	Dr. P.S. Mishra	Professor	Metallurgical & Materials Engineering	31.04.2010
7.	Dr. G. Ramswamy	Professor	Civil Engineering	31.05.2010
8	Dr. Kuldeep Singh	Professor	Electronics & Computer Engineering	31.05.2010
9	Dr. Ranvir Singh	Professor	Hydrology	31.05.2010
10.	Mr. Pradeep Kumar	Assistant Engineer (Hort) On deputation	Construction Division	31.5.2010 Repatriated
11.	Dr. Ram Pal Singh	Professor	Water Resources Development & Management	30.06.2010

12.	Dr. Arvind Kumar	Professor	Civil Engineering	30.06.2010
13.	Dr. V. Ravikant	Assistant Professor	Institute Instrumentation Centre	14.07.2010 Technical Resignation
14.	Dr. S.P. Dubey	Assistant Professor	Electrical Engineering	20.07.2010 Resignation
15.	Dr. K.L. Pruseth	Assistant Professor	Institute Instrumentation Centre	31.07.2010 Technical Resignation
16.	Dr. (Mrs.) Pratibha	Assistant Professor (on contract)	Mathematics	31.07.2010 (term expired)
17.	Dr. (Mrs.) Kum Kum Garg	Professor	Electronics & Computer Engineering	03.08.2010 Voluntary Retirement

(v) **The following Faculty members and other staff have been brought on the regular cadre:**

Sl. No.	Name	Designation	Department	Date on Which brought on the Regular Cadre
1.	Shri Kishan Pal Singh	Security Officer	Administration	20.04.2010

**Item No. 28.5.3: To report about the Annual Account/Balance Sheet for the F. Y. 2009-10.**

Noted that the Chairman, Board of Governors on behalf of the Board of Governors approved the Balance Sheet/ Annual Accounts for the Financial Year 2009-10 (**Appendix 'I'**) and the same were submitted to A.G. Uttarakhand on 22.6.2010 for subsequent auditing by the CAG auditors.

**Item No. 28.5.4: To report the receipt of MHRD letter F.No. 1-15/2010 IFD dated 11.8.2010 regarding the agenda "Implementation of Enhanced Annual Increment to Officers"**

The Board noted the contents of the MHRD letter F.No.1-15/2010 IFD dated 11.8.2010 that the decision in the matter of Implementation of Enhanced Annual Increment to Officers has been held in abeyance till further instructions in the matter are issued by the Government.

The meeting ended with a vote of thanks to the Chair.

  
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**Ph.D. Ordinances and Regulations**

**PREAMBLE**

Indian Institute of Technology (I.I.T.) Roorkee offers academic programmes leading to the award of Ph.D. degree through its Departments/Centres. The award of Ph.D. degree is in recognition of high academic achievements, independent research and application of knowledge to the solution of technical and scientific problems in Science, Technology, Humanities & Social Science and Management; creative and productive inquiry is the basic concept underlying the research work.

The academic programme leading to the Ph.D. degree is broad-based and involves a minimum course credit requirement and a research thesis. The institute also encourages interdisciplinary areas through a system of Co-supervision and provides excellent opportunities for such programmes. The institute undertakes sponsored research and development projects from industrial and other organizations in the public as well as private sector.

The degree of Doctor of Philosophy shall be abbreviated as Ph.D. The Degree of Doctor of Philosophy is granted for research work in areas recognized by the Academic Departments/centres of the Institute subject to the conditions and regulations contained hereinafter.

The research work shall be an original work characterized either by the discovery of facts, or by a fresh approach towards the interpretation and application of facts, or development of innovative products and technologies. It shall evince the candidate's capacity for critical examination and sound judgment and shall represent original contribution to the existing knowledge.

The degree of doctor of philosophy (Ph.D.) of the Indian Institute of technology, Roorkee shall be conferred on a candidate who fulfils all the requirements specified in these ordinances and regulations, which were approved by Board of Governors/Senate.

**1. Definitions**

- (i) "DRC/CRC" shall mean the Research Committee of the Deptt./Centre.
- (ii) "Applicant" shall mean an individual who applies for admission to the Ph.D. programme of Indian Institute of Technology, Roorkee on a prescribed Application Form.
- (iii) "BOR" shall mean the Board of Research of Indian Institute of Technology, Roorkee.
- (iv) "Candidate" shall mean a person registered for the Ph.D. Degree and who has successfully completed the course requirement, the written and oral comprehensive examinations, and has submitted and presented the research plan and approved as per R.9 and R.10 of the Regulations.
- (v) "DAR" shall mean the Dean, Academic Research.
- (vi) "Research Student" shall mean a person registered for the Ph.D. programme of Indian Institute of Technology, Roorkee before becoming the candidate.
- (vii) "Supervisor(s)" shall mean member(s) of the academic staff of the Institute approved by Dean AR (DAR) on the recommendation of DRC/CRC to guide/supervise the research/academic work of the research student/candidate.

  
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- (viii)
- (ix) "Caretaker Supervisor" shall mean a member of the academic staff appointed to look after the research interests of a research student/candidate in the absence of the Supervisor(s) and after the submission of the thesis, if necessary as per R.7.3(A)[b] of the Regulations.
- (x) "Course Advisor" shall mean a faculty member appointed to advise a research student on the programme of study and on the courses to be taken by him/her. If a supervisor(s) has already been appointed, he/she shall be the Course Advisor for that student. When supervisor is yet to be appointed, then Chairman, DRC/CRC shall be the Course Advisor.
- (xi) "Course Work" shall mean courses of study prescribed by the Department/Centre through the Course Advisor, to be undertaken by a research student registered for the Ph.D. Degree.
- (xii) "Degree" shall mean the Degree of Doctor of Philosophy (Ph.D.) of the Indian Institute of Technology, Roorkee.
- (xiii) "Educational Institution" shall mean those Institutes, which offer Bachelor's or higher Degree.
- (xiv) "Institute" shall mean the Indian Institute of Technology, Roorkee (IIT Roorkee).
- (xv) "Full-time Research Student/Candidate" shall mean a person registered for the Ph.D. Degree devoting full time at the Institute for completing the degree requirements.
- (xvi) "Part time Research Student/Candidate" is a person who is registered for the Ph.D. degree and has been allowed to devote part of his time towards this pursuit.
- (xvii) "Registration Period" shall mean the length of time span commencing with the date of initial registration at the Institute.
- (xviii) "Minimum Registration Period" shall mean the minimum period for which a candidate must be registered, including the time spent as research student before becoming a candidate, prior to submission of the thesis.
- (xix) "ODC" shall mean Oral Defence Committee.
- (xx) "Residency" shall mean the minimum period for which a student/candidate must attend the institute.
- (xxi) "SRC" shall mean Student Research Committee.
- (xxii) "Sponsored Research Student/Candidate" shall mean a research student/candidate sponsored by an organization /his employer who provides full financial support for doing Ph.D.

**NOTE: 'HE' & 'HIS' IMPLY 'HE'/'SHE' AND 'HIS'/ 'HER' RESPECTIVELY.**

## **R.1 ADMISSION CATEGORIES**

1. The applicant for admission to the Ph.D. programme shall be classified under any one of the following categories which will be decided and recommended by DRC/CRC.

### **(I) Full-time Research student/Candidate**

- a) Research student/Candidate getting Institute MHRD assistantship.
- b) Research student/Candidate including foreign nationals getting financial support from Govt. / Semi Govt. agencies (QIP, CSIR, UGC,

  
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DAE, DST, DBT, NBHM, JEST, ICCR, NDF, etc.)

- c) Research student/Candidate including foreign nationals supported by a sponsoring organization, the applicant (Sponsored Research Student/ Candidate) having TWO years experience out of which at least ONE year experience with the sponsoring agency.

- d) Self Financed Research student/Candidate

—**Indian:** This category refers to persons with experience and with good track record to join the doctoral programme. They will be admitted along with the regular research students through the usual admission procedure.

—**Foreign:** Admission of Foreign nationals to Ph.D. programme will be made as per policy and direction of the Govt. of India from time to time

—**Study Leave:** This category refers to persons who are released from governmental or educational institutions on study leave for a period of not less than three years for pursuing Ph.D. programme. They will be admitted along with the regular research students through the usual admission procedure.

- \*e) Research student / Candidate regularly working full time in an R & D project at IITR. His Ph.D. topic is in confirmation to the project as certified by the SRC.

## **II) Part-time Research Student/ Candidate:**

- a) Research student/Candidate working as a regular employee in the Institute

- \*b) Research student / Candidate working regularly full-time in an R&D project in the institute. The project must have tenure of at least next 2 years.

- c) Research student / Candidate working in other organizations / institutes, approved by IIT Roorkee as Research Centre or having MoU for research purposes.

\* The research student / candidate working in a project will be given full time status, provided his research for Ph.D. is related to the project as certified by the SRC. However, part time research student/candidate may be given full time status when the project tenure is completed.

## **R.2 ADMISSION ELIGIBILITY**

1. An applicant belonging to the above admission categories in R.1 should possess the following qualifications in appropriate areas to be eligible to apply for admission for the Ph.D. programme of the Institute.

- a) Masters degree in Engineering/ Technology/ Architecture/ Urban & Rural Planning / Pharmacy / Computer Applications of 3 years duration after graduation in respective discipline or equivalent with a minimum Cumulative Grade Point Average (CGPA) of 6.00 on a 10 point scale or equivalent as determined by the Institute wherever letter grades are awarded; or 60% marks in aggregate (of all the years/semesters) where marks are awarded.

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- b) Masters degree in Sciences/Humanities & Social Sciences/ Management in respective discipline or equivalent with a valid NET or valid GATE or valid GPAT score and minimum Cumulative Grade Point Average (CGPA) of 6.00 on a 10 point scale or equivalent as determined by the Institute where letter grades are awarded; or 60% marks where marks are awarded.

OR

- c) B.Tech. / B.Arch. degree or equivalent in respective discipline with excellent academic record (with a minimum CGPA of 7.0 on a 10 point scale or equivalent or 70% marks) and in possession of a valid GATE score.
2. The admission eligibility requirements may be relaxed to 5.5 on a 10 point scale or equivalent, or to 55% marks to the following categories:
- a. SC/ST candidates with Master's degree.
- b. Any category of PD (Persons with disabilities) Candidate holding B.Tech. degree or equivalent degree.
- c. Academic staff of the Institute who has an experience of more than 5 years.

**3. Eligibility for Part-time Ph.D.**

- a) The applicant possesses the minimum entry qualifications for the degree as given in R.2.1;
- b) The applicant proves that his official duties permit him to devote sufficient time to research;
- c) He / She will be required to reside at the Institute for a period of not less than 6 months during his/her registration for the degree. (This condition of minimum residence period will be automatically waived for candidates who are working in Roorkee or in Organizations / institutions located within a distance of 100 km from the Institute).
- d) The facility of part time registration will also be available to all employees of the IIT Roorkee or candidates working in organizations having MoU with IITR or organizations approved by IIT Roorkee as Research Centres. Such applicants are exempted from the requirement of having valid GATE/NET/GPAT.
- e) The applicants must have been in continuous service with the sponsoring organization for at least two years at the time of submitting the application form for admission.
- f) The candidates working in Institute/University awarding Ph.D degree itself are not eligible for admission as part-time candidate.
4. Employee seeking admission to the Ph.D. programme with minimum of two years service in an organization or confirmed regular employee may obtain and submit 'No Objection Certificate' from the employer to the effect that the duties allotted by the employer will allow the required time for this pursuit.

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### **R.3 RESERVATION**

15% (Fifteen percent) of seats are reserved for Scheduled Caste applicants, 7.5% for Scheduled Tribe applicants and 27% for Other Backward Classes. A total of 3% of the sanctioned strength will be reserved horizontally for PD (Persons with disabilities) Applicants in the Ph.D. programme of the Institute put together. The reservation is extended to research students/candidates of reserve categories as per the policy of the Government of India, Ministry of Human Resource Development.

### **R.4 SHORT LISTING**

1. The short listing of applications for the purpose of admission test/interview will be carried out by the DRC/CRC of the concerned department/centre.
2. The DRC/CRC of the concerned department/centre may set the short-listing criteria, if considered necessary, higher than the minimum eligibility criteria defined in R.2.
3. The basic guidelines/instructions for short listing will be issued by the Dean, Academic Research.

### **R.5 REGISTRATION, APPOINTMENT OF SUPERVISOR AND SRC**

1. Fresh research students admitted to the Ph.D. programme are required to join the Institute and report to the Head of the Department/Centre one week in advance before the scheduled date of registration.
2. The admission to Ph.D. programmes at any time during the session is allowed to give opportunity to candidates with high accomplishments. Such candidates, recommended with or without financial assistantship, must have merit index comparable with the top candidate selected in the last admission. Such admissions shall be approved by the Director on the recommendations of DRC and DAR.
3. The research supervisor(s) of a student admitted to a department/ centre may be recommended by the DRC/CRC as per preference given in writing by the student before the date of registration, subject to approval of Dean, Academic Research.
4. The Student Research Committee (SRC) for a research student shall be appointed within a week but not later than a month from the date of initial registration by HoD on the recommendation of Chairman, DRC. The SRC shall consist of:
  - a) Chairman, DRC/CRC or his nominee: **Chairman**
  - b) One expert in the field from the department/centre.
  - c) One institute faculty expert, preferably in the concerned area, from outside the department/ centre to which the student belongs.
  - d) Supervisor (s)

**Note:** Names for 4(b) and 4(c) shall be proposed by the supervisor(s).

5. Every research student/candidate will be required to carry out online subject registration prior to candidacy during stipulated dates and register for the Ph.D. Degree programme every semester till the submission of the thesis

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irrespective of their category and status. However, after candidacy no on-line registration is required.

#### **R.6 Minimum and Maximum Time for Thesis Submission**

- a) A candidate who has a B.Tech./M.Sc./M.A. degree or its equivalent shall be required to be registered for the degree for a period of not less than three years (36 months) from the date of his initial registration; in exceptional cases, the minimum period of registration may be reduced to two years (24 months) with the approval of the Senate. For a candidate who has an M.Tech. degree or its equivalent the minimum period of registration shall be two years (24 months).
- b) The candidates of all categories shall submit their thesis within a period of five years from the date of their initial registration for the Ph.D. Programme. However, as a special case, this limit may be extended on the recommendation of SRC to a maximum of six years for Full time research candidate and seven years for Part time research candidate by the Dean, Academic Research (DAR) after which the registration shall stand cancelled automatically.

#### **R.7 SUPERVISOR(S)**

1. Supervisor(s) can be any full-time faculty member of the Institute with a Ph.D. degree. Regular/full time faculty members who do not have Ph.D. degree may be allowed to supervise a research student/ candidate provided such faculty members have been engaged in research at least for five years as evidenced by publications in refereed/reputed journals. No person who himself is registered for Ph.D. degree at this Institute or any other Institution, would qualify to act as a supervisor. Those without a Ph.D. degree, if appointed Supervisor(s), would cease to be Supervisor(s) if they themselves register for Ph.D. Faculty on contract is not allowed to supervise research student/candidate singly.
2. The Dean, Academic Research, on the recommendations of the SRC, may appoint one or more Supervisor(s) not exceeding a total of three to supervise the research student/candidate. These may be from inside or outside the Institute and there should not be more than two supervisors from within the Institute and not more than one supervisor from outside Institute. Addition/deletion of Supervisor(s) would not be made after the lapse of 12 months from the date of admission to candidacy. In such cases, the minimum association period of new supervisor shall not be less than one and a half year.

3. Change of Supervisor(s) and Appointment of Caretaker Supervisor for Ph.D. students

A faculty member appointed as a Ph.D. Supervisor(s) is expected to be available to a research student/candidate in the Institute till the thesis is submitted. However, under unavoidable circumstances, such as: long leave of more than 12 months, resignation, retirement, death or withdrawal by the supervisor, a new Supervisor(s) may be appointed following regulations as under:

##### **A. Supervisor(s) proceeding on long leave of more than 12 months**

- a) (i) Where there are more than one Supervisor for a research student/ candidate, if one of the supervisor proceeding on long leave for more than 12 months other alone may continue to be a Supervisor.

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- (ii) Where only one Supervisor exists for a research student/candidate, another supervisor may be appointed by the SRC in cases where SRC has not yet found the research work fit for submission following R.12 sub-clause 1c) in the area of his research work.
- b) (i) If SRC has recommended the research work for submission following R.12 sub-clause 1c) before the supervisor proceeds on leave, only a caretaker supervisor will be appointed.
- (ii) If the thesis has been submitted before the supervisor proceeds on leave, only a caretaker supervisor will be appointed.
- (iii) Further, if a major revision becomes necessary, and the supervisor(s) is (are) on leave, he should be asked to specifically state whether he would effectively help the Research Scholar in carrying out the major revisions within a reasonable period. In case the supervisor(s) expresses his inability due to one reason or the other, the caretaker supervisor, if he/she provides the required help in carrying out the major revision, will automatically be treated as a supervisor of that candidate.
- c) If a supervisor(s) proceeds on leave for a period less than 12 months initially, but later extends his leave beyond 12 months, the above procedure as applicable for leave beyond 12 months, will be followed. The extension granting authority will inform the Dean, Academic Research (DAR) accordingly.
- d) If the supervisor(s) proceeds on leave for more than 24 months during the Ph.D. registration of a research student/candidate and in the opinion of SRC, he has not already contributed significantly to the thesis, he/she will cease to be the supervisor(s).

**B. A Supervisor retiring**

A faculty member who is due to retire within the next two years may be appointed as an additional supervisor(s) and may continue to be the supervisor(s) even after his retirement provided the SRC is convinced of his availability/continued guidance to the student. In other cases, a faculty member on retirement may continue as a supervisor(s), if reemployed or appointed Emeritus Fellow; or, If SRC has recommended the research work for submission following R.12 sub-clause 1c). Appointment of another supervisor(s) / caretaker supervisor may be done in similar circumstances as in A above.

**C. A Supervisor(s) resigning**

A new supervisor(s) will be appointed, if necessary, in similar circumstances as in 'A' above

**D. Death of Supervisor(s)**

A new supervisor(s) will be appointed, if necessary on the recommendation of SRC.

**E. Supervisor(s) declining to supervise**

In case a Supervisor(s) declines to supervise a research student, another faculty member qualified to be Supervisor(s) and actively engaged in the same area of research, consents to supervise the research student, new Supervisor(s) may be appointed by the department as per the choice of the student on the recommendation of the remaining members of SRC. After that, SRC may be reconstituted consisting of new

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Supervisor(s) and keeping the same internal and external experts.

**F. Change/drop of Supervisor(s) by the research candidate**

If a research student before admission to candidacy wants to drop one of the supervisors, or wants to change the Supervisor(s), a new Supervisor(s) will be appointed by Dean, Academic Research, on the recommendation of DRC/CRC.

In case, research student wishes to change the area of research with new supervisor, SRC be constituted a fresh.

**5. Maximum Number of Institute (MHRD) supported Scholars under supervision of a faculty will be two.**

The maximum number of Scholars supervised by a faculty member at any time at IIT Roorkee shall not be more than 8 jointly or 5 singly or a combination of both, the aggregate not exceeding eight (including internal/outside scholars) as per table given below:

Students under supervision

	<i><b>Singly</b></i>	<i><b>Jointly</b></i>
a)	5	0
b)	4	2
c)	3	4
d)	2	6
e)	1	7
f)	0	8

However, this will be as decided by the Senate from time to time.

Joint supervision of a Ph.D. scholar will be treated as 0.5 per faculty member.

**R.8 COURSE CREDIT REQUIREMENTS**

1. Each research student will satisfy the credit requirements as given in Table-1 by crediting courses as advised by course supervisor and approved by SRC. Student earns credits for a course only if he/she obtains a minimum of B Grade for successfully completing the course. However, if any subject-class is having more than 80% research scholars, absolute grading be carried out.
2. SRC may recommend additional course(s) as Audit course(s), if required, in a particular case. A research student is deemed to have fulfilled the requirement of additional course(s) as Audit Course(s) if he/she obtains 'Audit Pass' for successfully completing each of such course(s).
3. The pre-Ph.D. courses including Audit course are to be completed successfully in first three/four semesters (counted from the date of initial registration) by full time/part time research students respectively.
4. The courses offered for the Ph.D. programmes may be Lecture Courses, Laboratory Courses, Design Courses, Self-Study Courses, Mini Project and Seminars.

**A. Self-study Courses shall satisfy the following conditions:**

- a) A self-study course should be preferably outside the courses listed in the Courses of Study and offered to a research student/candidate following sub-clause d) below.

- b) A course listed in Courses of Study but not offered in a semester due to lack of sufficient number of students registering for it, may be offered as a self-study course in that semester with the prior approval of Dean, Academic Research (DAR).
- c) A course already running in a semester shall not be offered as a self-study course.
- d) The SRC shall examine proposals for self-study courses, not listed in the course of study, along with the course contents, textbooks, mode of assessment and name(s) of the instructor(s) and shall recommend the proposal and the credit to be assigned to Dean, Academic Research for his approval.
- e) All self-study courses shall carry a maximum of four credits.
- f) A student shall not take more than one self-study course during the entire Ph.D. programme.

**B. Seminars shall satisfy the following conditions:**

- a) Seminar in a semester shall carry a maximum of two credits and every research student must deliver at least one seminar as a part of course requirement and may be within or beyond the minimum limit of credits for course requirement.
- b) Seminar shall be treated as a course for the purpose of registration and evaluation.
- c) Seminar coordinators shall be appointed by the DRC/CRC. They shall arrange the seminars and forward the grades awarded by the panels of examiners to the Dean, Academic Research by the end of the semester.
- d) A student shall not get credits for more than one Seminar during the entire Ph.D. programme.

**Table 1 COURSE CREDIT REQUIREMENTS**

S. No.	Candidate Having	Range of Credit Requirements	Remarks
1.	M.Tech, MCA or M.Tech. (Integrated/IDD) or Equivalent Degree	<ul style="list-style-type: none"> <li>- 8-12 credits</li> <li>- should earn at least 2 credits by delivering seminar</li> </ul>	Course From the existing M.Tech and/or pre-Ph.D. courses offered by own Deptt./ other Deptts.
2.	M.Sc/M.A./ M.B.A. or Equivalent admitted to Science/ HSS / Management department	<ul style="list-style-type: none"> <li>- 12-15 credits.</li> <li>- Should earn at least 2 credits by delivering seminar</li> </ul>	Course From the existing PG level and/or pre-Ph.D. courses offered by own Deptt./ other Deptts.

  
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3.	B.Tech. or equivalent, or M.Sc. or equivalent, admitted to anyone of the Engg. Disciplines	— 6-20 credits — hould earn at least 2 credits by delivering seminar	Course Form the existing PG level and/or pre-Ph.D. courses offered by own Deptt./ other Deptts.
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### **R.9 Comprehensive Examination**

1. Soon after successfully completing the pre-Ph.D. course requirements, each research student will request for and appear in a comprehensive examination which has three segments (i) written comprehensive examination and (ii) oral comprehensive examination to test comprehension of the research student in the broad area of study, and (iii) submission of research plan and its oral presentation to SRC, which will examine his/her academic preparation and potential to carry out the proposed research plan. Comprehensive examination shall be conducted by the SRC of the research student appointed under R.5 sub-clause 4, within the stipulated time frame of 20/26 months for Full Time/Part Time.
2. On the basis of the performance of student in the comprehensive examination, SRC will make one of the following recommendations under each a), b) and c), to the Dean, Academic Research:
  - a) Written comprehensive examination
    - (i) passed
    - (ii) to reappear in the written comprehensive examination after a certain period of time specified by the SRC and after taking additional courses recommended by it, if any.
    - (iii) failed
  - b) Oral comprehensive examination
    - (i) passed
    - (ii) to reappear in the oral comprehensive examination after a certain period of time specified by the SRC and after taking additional courses, if recommended by it.
  - failed
  - c) Research plan and its oral presentation
    - (i) approved
    - (ii) not approved
3. **A STUDENT WILL BE PROVIDED A MAXIMUM OF TWO ATTEMPTS TO QUALIFY IN EACH SEGMENT OF THE COMPREHENSIVE EXAMINATION, BY OBTAINING THE SRC RECOMMENDATION OF A(I), B(I) AND C(I).**
4. **THE RESEARCH STUDENT IS REQUIRED TO OBTAIN A MINIMUM OF 'B' GRADE (OR SCORING 64%) IN WRITTEN AND ORAL COMPREHENSIVE EXAMINATIONS RESPECTIVELY.**

## **R.10 ELIGIBILITY FOR THE CANDIDACY**

1. The Dean, Academic Research will approve admission of a research student to candidacy on the recommendation of SRC which will satisfy that a research student has fulfilled the following:
  - a) completed the required course work;
  - b) passed the written and oral comprehensive examination
  - c) submitted a research plan and defended it to the satisfaction of SRC.

Thereafter, the research student will be admitted to candidacy from the date on which SRC recommended and be called a research candidate.

2. If a research student fails to get admission to candidacy within the 20/26 months for Full Time/Part Time, his/ her registration for the Ph.D. Programme will be terminated.

## **R.11 RESEARCH PERFORMANCE MONITORING**

1. The research progress of each research candidate in a semester will be monitored by the supervisor(s), who will assess the performance to be 'satisfactory' or 'unsatisfactory' at the end of each semester. For this purpose, each research candidate will be asked to submit a progress report to the supervisor(s) by the dates stipulated in R11.6.
2. The supervisor(s) shall forward his/her recommendation regarding the performance of the research candidate to the Chairman, DRC/CRC in the Department/ Centre before the beginning of the next semester. The Chairman, DRC/CRC will forward the recommendation to the Dean, Academic Research for necessary action.

There is no need to send progress report to Dean, Academic Research. Only those cases where some action is required be sent to the Dean, Academic Research.

3. if the progress of a research candidate in a semester is evaluated as 'satisfactory' by the supervisor, 'S' grade will be awarded to the research candidate for that semester and need not be forwarded to Dean, Academic Research.
4. If the progress is evaluated as 'unsatisfactory' by the supervisor(s) , the evaluation will then be submitted to SRC, which will make suitable recommendation to the Chairman, DRC/CRC for the award of 'U' grade and other appropriate actions for forwarding it to the Dean, Academic Research. For the first award of 'U' grade, a warning will be issued to the Research Candidate by the office of Dean, Academic Research.
5. If there are 'U' grades awarded in two consecutive semesters to a research candidate, his/her registration for Ph.D. programme will stand terminated.
6. The academic calendar will include the following dates for the submission of the progress reports by the research candidate. Such as:

**Autumn Semester:** 1<sup>st</sup> November (Receiving of blank progress forms from the office of Dean, Academic Research / Department / Centre)

15<sup>th</sup> December (submission of progress report by the research candidate to the supervisor)

**Spring Semester:** 1<sup>st</sup> May (Receiving of blank progress forms from the office of Dean, Academic Research/ Department/Centre)

15<sup>th</sup> June (submission of progress report by the research candidate to the supervisor)

## **R.12 THESIS SUBMISSION**

1.a) The research candidate is required to publish

- i) at least one paper or accepted for publication in refereed journal of repute (preferably journals included in SCI) or at least one patent filed and
- ii) another paper published/accepted in refereed journal of repute or in the proceedings of a refereed International Conference before submission of thesis.

In case no paper(s) are published/accepted in referred journal of repute, the SRC will give justification and supervisor(s) will ensure to make efforts to publish paper in future out of the Ph.D. thesis.

- b) When the supervisor is of the opinion that the research work as planned in the research proposal has been completed and the quality of work is up to the mark for submission of Ph.D., he/she will ask the research candidate to prepare a synopsis of the work and submit 8 hard copies and one soft copy of the synopsis to the Chairman, SRC with the request to convene the meeting of SRC.
- c) The research candidate will deliver a seminar on his research work and the seminar shall be adequately notified by the Chairman, SRC, so as to enable interested staff members and students to attend it. If the SRC is satisfied about the quality of the work and considers it fit for submission as a Ph.D. thesis, it will send its recommendation to Dean, Academic Research along with five hard copies and one soft copy of the synopsis and the proposed panel of examiners.

The research candidate shall be required to submit fresh synopsis if he fails to submit his thesis within 4 months of SRC recommendation for submission of thesis. However, in case a candidate fails to submit his thesis within the stipulated time and has suitable justification for the same, the Dean, Academic Research may, on recommendations made by the SRC and on individual merits of each case, grant him extension in time beyond more than four more months, i.e. the candidate may be allowed to submit his thesis within a period normally not exceeding 8 months from the date of SRC meeting recommending submission.

### **2. Panel of Examiners**

A panel of at least ten experts in the area of the Ph.D. thesis would be suggested by the supervisor(s) and recommended by the SRC while forwarding its recommendation for submission of thesis. The panel so recommended would include at least 50% of the examiners from outside India and out of the bibliography list of references as submitted by the candidate with synopsis. Any person working in the laboratory(ies)/ Institution(s) where the research candidate or supervisor(s) from outside the institution, if any, is employed, cannot, however, appear in the panel of examiners. Any person related to the candidate or supervisor(s) should not appear in the panel of examiners.



### 3. Board of Examiners

On receipt of the recommendation of SRC for submission of thesis along with synopsis and panel of examiners, the Dean, Academic Research (DAR) will seek consent of the examiners and appoint the Board of Examiners for each research candidate. The Board will consist of internal examiners - the Supervisor(s), and two external examiners - one from within India and the other from abroad, who shall be experts in the subject of the thesis except for cases covered under R.12.2(b). These external examiners shall be chosen from the panel of examiners recommended by the SRC.

### 4. Submission of thesis

- (i) The thesis shall be written in English in the specific format available in the office of Dean, Academic Research / Department.
- (ii) The thesis shall contain a critical account of the candidate's research. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or development of innovative products and technologies or a combination of these. It should bear evidence of the candidate's capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development.
- (iii) The Ph.D. thesis must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side:

**© INDIAN INSTITUTE OF TECHNOLOGY, ROORKEE, 200..  
ALL RIGHTS RESERVED**

The research candidate shall submit n+3 copies of the thesis with a soft cover, where 'n' is the number of supervisor(s), and also a soft copy (pdf file) on a CD.

### R.13 THESIS EVALUATION

1. The thesis will be sent to the examiners by the office of the Dean, Academic Research with the request for a detailed assessment report and his/her recommendations on the prescribed proforma within six weeks of the date of receiving the thesis.
2. In the event of the thesis report not being received from an examiner within a period of two months, the Dean, Academic Research may appoint another examiner in his place for evaluating the thesis, from the panel of examiners recommended by SRC.
3. a) Examiners will examine the thesis individually with a view to judge that the thesis is a piece of research work characterized by;
  - i) The discovery of facts, or
  - ii) A fresh approach towards interpretation and application of facts or theories, or
  - iii) Development of innovative products and technologies
- b) Each examiner will send detailed comments on the research work along with a clear recommendation stating one of the following:
  - A) The thesis is recommended for the award of Ph.D.,  
or
  - B) The thesis is recommended for the award of Ph.D. Degree subject to the candidate giving satisfactory answers to queries specifically

  
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- mentioned in the report at the time of oral defence,  
or  
C) The candidate be allowed to resubmit his thesis in the revised form,  
or  
D) The thesis be rejected.

4. The Dean, Academic Research will, on the basis of the recommendations of the examiners will take one of the following actions:

- i) If all the examiners recommend acceptance of the thesis, their recommendations shall be accepted.
- ii) If majority of the examiners recommend rejection, their decisions would be accepted. The candidate may, however, be allowed to resubmit the thesis at least after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis. In case of resubmission of the thesis, a fresh fee for the examination shall be paid by the candidate. No candidate shall be allowed to resubmit the same thesis more than once.
- iii) If some of the examiners, although in minority, recommend rejection, the candidate's replies to the comments made by the examiners shall be sent to these examiners and their clear verdict sought. The examiners may then recommend acceptance, rejection or revision of the thesis.

In case the thesis is accepted, sub-clause 4(i) above will be applicable. In case of recommendation for revision, sub-clause 4(iv) below will apply. However, if these examiners still recommends rejection, alternate examiners would be appointed from the panel of the examiners recommended by SRC by the Dean, Academic Research. In such cases sub-clause 4(v) will apply.

- iv) In case some examiners recommend revision of the thesis, the thesis would be revised normally within one year, if the candidate so desires. The revised version of the thesis would be sent to all the examiners for their recommendations.

If the candidate does not agree for revision, he may ask for appointment of the fourth examiner under sub-clause 4(v) below.

- v) A new examiner, if appointed, shall be Indian or Foreign depending on whether the thesis was rejected/to be revised on the recommendation by an Indian or a Foreign examiner in the first instance. The reports of all the examiners will be sent to the new examiner without revealing the identity of the previous examiners, along with the response of the candidate, if any, to the grounds for such recommendation as given in the detailed comments. The thesis shall be deemed to be acceptable if majority of the examiners including the new examiner recommend acceptance.

If the newly appointed examiner recommends revision, the thesis would be suitably revised and resubmitted at least after 3 months and sent for examination to all the examiners except the ones in whose place the new examiner was appointed.

In case the newly appointed examiners recommend rejection or their recommendations for revision is not accepted by the candidate, the thesis would be rejected. The candidate may then avail the benefit of sub-clause 4(ii) above.

- vi) If the majority of examiners recommend revision of the thesis, the candidate may revise the thesis accordingly and resubmit it within a period of one year for the evaluation by the same set of examiners.
- vii) If there is no clear majority opinion and there are recommendations for rejection by some and also, revision of the thesis by some others, the candidates may revise the thesis and resubmit it within a period of one year, for evaluation by the same set of examiners.
- viii) Any doubt arising out of following the procedure laid down in R.13.4 shall be referred to the Director for a decision.
- ix) In case of ambiguous recommendations by the examiner, Dean, Academic Research will approach the examiner for a clear recommendation. In case clear recommendation is not forthcoming, the matter may be referred to the Director for his decision.
- x) In case any examiner gives comments to be incorporated in the thesis and also states that the revised thesis need not be sent again to him / her, the revised thesis will not be sent to the examiner. The supervisor(s) shall certify that the comments have been incorporated, before the viva-voce examination.

#### **R.14 ORAL DEFENCE OF THESIS**

1. If the thesis is recommended for the award of degree, the candidate shall be required to defend his / her work / thesis orally (viva-voce examination) before a duly constituted committee hereinafter referred to as the Oral Defence Committee (ODC). The Dean, Academic Research shall request the thesis supervisor and Chairman, SRC to arrange the conduct of oral thesis defence. The copies of the report of the thesis examiners shall be sent to the supervisor with the request to provide them to the candidate so that he/she may prepare to answer the queries raised in the report during oral defence. The oral thesis defence shall be adequately notified so as to enable interested staff members and students to attend it.
- 2.(i) The ODC shall be chaired by the Head of the department / centre and shall consist of Chairman, SRC, supervisor(s) (internal examiner(s)), and one Indian external examiner. The Chairman, SRC and the supervisor in the capacity of internal examiner shall arrange the viva-voce examination of the candidate and the Head of the department/centre will notify it. The oral defence of the thesis of the candidate shall be arranged as early as possible and normally within two months from the date of receipt of communication from the Dean, Academic Research for holding the viva-voce examination.
- (ii) In case of the inability of the supervisor in the capacity of internal examiner to arrange the conduct of the oral defence of the thesis due to any reason whatsoever, the Director may appoint another Internal Examiner(s) for oral defence from amongst the faculty of the department concerned belonging to the particular field of the thesis, in consultation with Dean, Academic Research, and the Head of the Department/Centre concerned and he may assist the Chairman, SRC to conduct the oral defence of the thesis. In such cases also, the Ph.D. work will be deemed to have been carried out under the guidance of the supervisor only.
- 3.a) In case of non-availability of the Indian External Examiner in conducting the viva-voce examination, the Dean may appoint another examiner to conduct the oral defence of the thesis from the panel of Indian examiners

recommended by SRC.

If need be, the SRC may suggest a fresh panel of examiners.

- b) The examiners in Oral Defence Committee (ODC) shall be provided with the comments made by the examiners before the viva-voce examination.
- c) If there is a difference of opinion among the viva-voce examiners in Oral Defence Committee (ODC), the recommendations of the ODC will be put up to the Director for a decision who may either direct that a fresh viva be held with a new ODC or recommend acceptance or otherwise to the Senate.
- d) On the completion of the oral Defence, the Oral Defence Committee shall recommend to the Dean, Academic Research, one of the following courses of action:
  - (i) that the degree be awarded;
  - (ii) that the research candidate be re-examined at a later specified time in a specified manner;
  - (iii) that the degree shall not be awarded. The thesis will be rejected on the conclusion that the thesis is not genuinely the work of the research candidate.

In case of (i) and (ii), the Oral Defence Committee shall also provide to the research candidate a list of all corrections and modifications in the thesis (if required) including suggestions made by the examiners during the thesis evaluation.

The second viva-voce examination may be held in case of (ii) normally after a period of 3 months.

Any other matter not explicitly provided herein or of an exceptional nature, may be referred to the Director for his decision.

#### **R.15 AWARD OF Ph.D. DEGREE**

- 1. The Degree of Ph.D. shall be awarded by the Senate, provided that:
  - a) The Oral Defence Committee so recommends;
  - b) The candidate produces a 'No dues Certificate' in the prescribed form.
  - c) The candidate has submitted one soft and two hard cover copies of the thesis; one for the Library of the Department/Centre and the other for the Central Library. The thesis should incorporate all necessary/ corrections/ modifications listed by the Oral Defence Committee (ODC).

#### **R.16 FINANCIAL ASSISTANCE (Institutional Assistantship)**

- 1.a) Those students who are admitted on full-time basis are considered on request, for the award of Institutional MHRD Assistantship of the amount as decided by the Government of India from time to time, under specified terms and conditions.
- b) The students getting Institute MHRD Assistantship will provide 8-10 hours of assistance per week in teaching, laboratory development, and research.
- c) The total number of MHRD assistantships in a department will be as decided by the institute from time to time.

2. The maximum duration for which assistantship can be awarded to any Ph.D. research student/candidate is 4/5 years or till the end of the semester in which the thesis is submitted, whichever is earlier. Continuation of the fellowship is contingent on satisfactory academic and research performance and satisfactory performance in the discharge of responsibilities for assistance assigned under the scheme.

It is to be noted that admission to the Programmes and award of assistantship are not linked. Admission to any programme does not guarantee the award of fellowship/ assistantship. Those who are not awarded assistantship can continue with the programmes as a self financing student.

However, based on their performance as evaluated and recommended by DRC, eligible students may be awarded assistantship for the remaining part of their four year registration period, if available. Such performance shall be evaluated after first year of admission.

#### **R.17 TUITION FEE WAIVER TO Ph.D. STUDENTS**

Tuition Fee Waivers is given to research students/ candidates following the policy of the Government of India, Ministry of Human Resource Department.

#### **R.18 LEAVE AND ATTENDANCE**

A research student/candidate will be entitled to avail leave as approved by the Head of the department/centre following Leave Rules/Attendance Rules formulated and amended from time to time by the Senate. Presently these are as under: 1

##### **1. Leave Rules**

A full-time research student/candidate, during his/her stay at the Institute will be entitled to leave for 30 days per academic year including leave on medical grounds, in addition to Public Holidays. He/she will not be entitled to mid-semester breaks, summer and winter vacation. The leave due can be carried over to the next year and accumulated up to 90 days.

Leave beyond 30 days in an academic year may be granted to a Research student/ candidate in exceptional circumstances, on the recommendation of the supervisor, by the Head of the Department/Centre concerned, subject to the following conditions:

- a) The leave beyond 30 days will be without Assistantship/Scholarship/ Fellowship.
- b) An extension of leave up to additional 30 days will be granted only once during the programme of the scholar.
- c) A proper leave account of each research student/ candidate shall be maintained by the Department/ Centre concerned.
- d) Women scholars are entitled for maternity leave with full fellowship/assistantship as applicable, for a period not exceeding 135 days, once during the tenure of their award. The application for maternity leave should be supported by medical certificate.
- e) Male Scholars are entitled for 15 days paternity leave once during the tenure of their award. The application for paternity leave should be supported by medical certificate.

  
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- f) Special leave may be granted with the permission of Dean, Academic Research, to attend Seminars/ Conferences in India /abroad and present paper.
- g) Research student/candidate supported by a Govt./ semi - Govt. agencies may be governed by their own rules, if applicable.

## **2. Attendance**

A research student/candidate irrespective of the source of support including self financing, while pursuing course work, must have at least 75% attendance in each course in which he/she is registered. A research student falling short of 75% attendance in a course shall not be permitted to appear in the examination of that course.

A research student/candidate after having completed the course work must attend to his/her research work on all the working days and mark attendance except when he/she is away from the campus on duty/sanctioned leave. The requirement of 75% attendance will apply as above on daily attendance on monthly basis except in the cases where longer leave have been duly sanctioned within the leave entitlement of the research student/candidate.

In case the attendance of a research student/candidate falls below 75% during a month, he/she will not be paid his assistantship/support, if applicable, for that month. Further, if his/her attendance again falls short of 75% in any subsequent months in the same semester his/her studentship/candidacy and support will be terminated.

For the above purpose, if 75% works out to be a number which is not a whole number, the immediate lower whole number will be treated as the required 75% attendance.

## **R.19 WITHDRAWAL FROM SEMESTER/COURSES**

1. A research student/candidate may be permitted by the Dean, Academic Research to withdraw from all the courses registered by her/him in the entire semester, on medical grounds supported by a medical certificate from the Institute Medical Officer. The medical certificate issued by a registered Medical Practitioner will also be acceptable in those cases where the research student/candidate has valid reasons for his absence from the Institute. Withdrawal may also be granted by the Dean, Academic Research provided he/she is convinced that the research student/candidate cannot pursue his studies for the reasons beyond his control.
2. Research Student/Candidate should present the medical certificate in support of his absence on health reasons within two days of his rejoining the Institute, if not produced already. Under no circumstances a request for semester withdrawal from a research student/candidate will be entertained after the major tests in courses have begun. Withdrawal will not be granted retrospectively.
3. The period of authorized absence in the semester should not be less than three weeks in a Semester, for which withdrawal is to be granted. Regularity in attending the classes / department and satisfactory performance in research/ the mid-term examinations, if any, held prior to the date of application for withdrawal are the factors which would be taken into account while recommending/granting withdrawal.

4. Any semester withdrawal will count towards the maximum limit of registration for six years for full time /seven years for Part time research student/candidate as R.5.6 (b).

#### **R.20 CANCELLATION OF REGISTRATION**

1. Registration of a Research student/candidate shall be cancelled in any one of the following eventualities, after due approval of Dean, Academic Research.
- a) If he/**she** absents himself for a continuous period of four weeks without prior intimation/sanction of leave.
  - b) If he/**she** resigns from the Ph.D. Programme and the resignation is duly recommended by the supervisor/ Chairman, DRC/CRC/HoD.
  - c) If he/she fails to renew his/her registration in any semester following the provision contained in R.5.5.
  - d) If his/ her academic and research progress is not as per requirement. R.11(4 & 5).
  - e) If all the prescribed courses including Audit course(s) are not successfully completed within the stipulated time frame of 20/26 months for full time/part time Research student respectively from initial registration following provisions of R.8.
  - f) If he/she does not clear the comprehensive examination as stipulated in R.9.3 and R.10.2.
  - g) If he/she is found involved in an act of misconduct and/or indiscipline and termination has been recommended by a competent authority.

#### **R.21 TO TAKE UP JOBS/ASSIGNMENTS**

The Full time research student/candidate can not take up any job/assignment during Ph.D. programme.

If he takes up a job / assignment, his status will be converted from Full time to Part- time student in accordance with clause R.2.3.

#### **R.22 SUPERVISION OF Ph.D. STUDENTS OF OTHER INSTITUTES/ UNIVERSITIES**

A faculty member of IIT Roorkee may supervise and guide Ph.D. students of other institutes/universities subject to following conditions.

- a) The host Institution/University is recognized by MHRD-UGC/AICTE.
- b) The request must be forwarded by the competent authority of the host institution.
- c) The concerned faculty should have guided/guiding at least one Ph.D. student registered at IIT Roorkee.
- d) The total number of such externally enrolled Ph.D. students under any faculty of IIT Roorkee, should not be more than 2 (two) at any point of time.
- e) Due to extension of this facility to the host institution, the work of the IIT Roorkee should not suffer.
- f) If the concerned faculty of IIT Roorkee, as supervisor of thesis of students of another institute/university is required to visit outside, he/she shall

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seek specific approval for the visit on Casual Leave/leave as due, by the competent authority and shall not be on duty for the visit. Further, the expenses, facilities etc. in this regard shall not be borne by the IIT Roorkee.

- g) If the external candidate wishes to avail the facilities at IIT Roorkee, he/she shall register as casual student for a period not exceeding six months by paying tuition fee being charged from the research student/candidate of IIT Roorkee as per rules and regulations.
- h) The host Institution/University as per regulations, appoints a foreigner as one of the examiners for Ph.D. thesis or else it is recognized by IIT Roorkee for this purpose. Wherever, the foreign examiner is not appointed, the Director is authorized to take such a decision. A Standing committee of Dean, Academic Research, Dean (Faculty Affairs) and the concerned Head of the Department/Centre is constituted to consider such requests from the host institution.

### **R.23 GENERAL**

1. Notwithstanding anything contained in these Ordinances & Regulations, all categories of the research students/candidates shall be governed by the regulations, guidelines and procedures framed by the Senate in this regard, and in force from time to time.
2. Unfair means and Plagiarism
  - a) In case a research student/candidate is found adopting or suspected of adopting unfair means before, during and after the examination or lifting of some other's work(s) and inserting it in his/her project, seminar and dissertation, etc. without proper acknowledgment, credit and reference or plagiarizing the dissertation/project report etc., such penal action shall be taken by the Institute as may be necessary to uphold the sanctity and integrity of the examination system and the credibility of the Institute.
  - b) All such cases may be taken suo-moto cognizance of by the Institute Standing Committee (ISC) appointed by the Senate for this purpose. Such cases may also be reported by examiners/invigilators/ supervisor(s)/ Chairman, DRC/CRC or any person to Dean, Academic Research and or the Institute Standing Committee for consideration. After giving an opportunity to the concerned research student(s) /candidate(s) to explain the conduct/defend against the charge, the Chairman, Senate on the recommendation of Institute Standing Committee shall take action to impose on the concerned research student(s) /candidate(s) appropriate penalty including termination of registration or award of F Grade in the concerned course(s) etc.

### **R.24 INTERPRETATION**

1. Any doubt or dispute about the interpretation of these Ordinances and Regulations shall be referred to the Chairman, Senate whose decisions shall be final.
2. Eligibility for admission to Ph.D. programmes in different disciplines is summarized in **Annexure-I**. This may be reviewed from time to time by the concerned department/centre and approved by the Senate.

Note: The recommendations of SRC in respect of a research student/candidate are to be made on prescribed proforma available in the office of concerned department/ centre as well as institute website.



## Minimum Qualification for admission to Ph.D. Programme in Different Discipline

### 1. **Architecture & Planning**

Master's degree in Architecture/ Planning or its equivalent viz. P.G. Diploma in Planning awarded by CEPT/ SPA or Diploma in TCPI awarded by ITP (India).

### 2. **Department of Biotechnology**

- i. Master's degree in any disciplines of Science
- ii. Bachelor's/ Master's degree in medical sciences, engineering, pharmacy, veterinary and related disciplines

### 3. **Department of Civil Engineering**

- i. B.Tech./M.Tech. or equivalent degree in Civil Engineering. Candidate having an M.Tech. Degree but not having a Bachelor's degree in Engineering must have studied Mathematics at the Bachelors level.
- ii. B.Tech./M.Tech. degree in any branch of Engineering may be considered for research areas consistent with the academic background and experience.
- iii. M.Sc. Degree in any branch of Science or MCA (with mathematics at the Bachelors level for both M.Sc. and MCA) may also be considered for research areas in Geomatics Engineering.

### 4. **Department of Chemical Engineering**

- i. B.Tech./M.Tech. or equivalent degree in Chemical Engineering.
- ii. B.Tech./M.Tech. or equivalent degree in any branch of Engineering/ Chemical Technology and interdisciplinary areas.
- iii. M.Sc. in disciplines consistent with the research areas of the department.

### 5. **Department of Chemistry**

- i. M.Sc. or equivalent degree in Chemistry/Physics.
- ii. M.Sc. in Bio-technology or M.Sc. in Biochemistry

### 6. **Department of Electronics and Computer Engineering**

- i. M.E./M.Tech. in Solid State Electronics/Microwaves / Communication Systems / Control Systems / Information Technology / Instrumentation/ Computer Science & Engg./ Information Science/ MCA or equivalent.
- ii. B.E./B.Tech. in Electronics & Communication/ Computer Sc. & Engg./ Electrical Engg. /Information Technology or equivalent.
- iii. M.Sc. in Physics/ Maths/ Instrumentation/ Electronics.
- iv. Candidates not covered by (i), (ii), (iii) above but having B.E./M.Sc./M.Tech. in any other area may also be considered provided they have sufficient background and experience in the areas of interests to the department.

### 7. **Earthquake Engineering**

- i. B.Tech. / M.Tech. or equivalent degree in Civil Engineering/ Earthquake Engineering / any branch of Engineering .
- ii. M.Sc./ M.Tech. in Geophysics/ Physics/ Mathematics/ Geology for research areas in Engineering Seismology and Seismotectonics.

### 8. **Department of Earth Sciences**

- i. B.E./Masters degree in Earthquake, Civil, Mechanical, Electrical, Electronics, Hydrology, Geology, Geophysics, Geochemistry or equivalent.

- ii. M.Sc./M.Tech./M.Sc.(Tech.) degree in Physics, Chemistry, Mathematics, Statistics, Life Sciences, Marine Sciences, Environmental Science, Atmospheric Sciences or equivalent.

#### **9. Department of Electrical Engineering**

- i. B.Tech./M.Tech. or equivalent degree in Electrical Engineering.
- ii. B.Tech./M.Tech. or equivalent degree in a branch of Engineering consistent with the research areas as mentioned by the Department from time to time.
- iii. M.Sc. in a discipline consistent with the research areas as mentioned by the Department from time to time.

#### **10. Department of Humanities and Social Sciences**

- i. M.A. or equivalent degree.
- ii. Master's degree in Science/Graduate Degree in Engineering/ Technology with 60% marks (or equivalent grade) may be considered for research areas consistent with the academic background and special interests.

#### **11. Hydrology**

- i. Master's degree in Civil Engg./ Water Resources Development/Hydrology.
- ii. Master's degree in Agricultural Engg./ Environmental Engg./ Instrumentation/ water use management
- iii. M.Sc./M.Tech. in Geology/Geophysics/Soil Science/Forestry or natural Resources/Chemistry/Meteorology/Atmospheric Physics/ Mathematics/ Nuclear Physics & Environmental Sciences
- iv. M.Sc. Hydrology with Mathematics at Bachelor's level

#### **12. Department of Management Studies**

- i. B.E./B.Tech. or equivalent, M.E./ M.Tech or equivalent qualifications.
- ii. M.Sc./M.A./M.Com.
- iii. Master of Management/M.B.A. or equivalent.

#### **13. Department of Mathematics**

- i. M.A./M.Sc. in Applied Mathematics/ Statistics/ Computer Science / Mathematics / Ind. Mathematics
- ii. M.Stat.
- iii. M.C.A.

#### **14. Department of Mechanical & Industrial Engg.**

- i. B.Tech./M.Tech. degree or equivalent degree in Mechanical/ Industrial/ Production Engg.
- ii. B.Tech./ M.Tech. degree in Aerospace/ Chemical/ Civil/ Electrical/ Metallurgical Engg. may be considered for research areas consistent with the academic background and special interests.

#### **15. Department of Metallurgical and Materials Engineering**

- i. B.Tech./M.Tech. in Ceramic, Chemical, Electrical, Electronics, Electrochemical, Mechanical, Metallurgical, Materials Engineering, Engineering Physics or an M.Sc. degree in Chemistry/ Materials Science, Physics are eligible for admission. For those with M.Sc. degree, Mathematics as a subject at B.Sc. degree level is an essential requirement.
- ii. The candidates are eligible for research in areas consistent with their academic background and special interests.

#### **16. Department of Physics**

- i. M.Sc. in Physics/ Applied Physics

  
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- ii. M.Sc. in Chemistry/ Mathematics/ Biophysics/ Geophysics/ Computer Science, provided Physics was a subject at B.Sc. level.
  - iii. B.Tech. or equivalent in Electrical/ Electronics/ Chemical/ Metallurgical/ Engineering Physics.
- Candidates at Category (ii) and (iii) may be considered for research area consistent with the academic background and special interests.

**17. Department of Paper Technology**

- i B.Tech. /M.Tech. or equivalent degree in Pulp & Paper, Chemical, Mechanical, Electrical, Electronics, Computer, Instrumentation, Metallurgical, Environmental Engineering.
- ii M.Sc. or equivalent degree in Physics, Chemistry, Mathematics, Applied Mathematics, Industrial Mathematics, Bio-Science, Bio-Technology, Environmental Science and Material Science.

**18. Water Resources Development & Management**

**i Water Resources Development**

B.E./ B.Tech. /M.E./ M.Tech. or equivalent degree in Civil, Electrical, Mechanical & Agricultural Engineering.

**ii Irrigation Water Management**

Master's Degree in Agricultural Sciences/ Social Sciences/ Chemical Engineering/ Biological Sciences/ Environmental Sciences/ Engineering/ Natural Sciences with at least one paper of Mathematics at the graduate level.

**19. Alternate Hydro Energy Centre**

- i. B.Tech./ M.Tech. or equivalent in Civil/ Electrical / Mechanical/ Industrial/ Chemical/Environmental/ Agricultural/ Computer/ Electronics Engineering
- ii. M.Sc. in disciplines consistent with research areas of the centre.

  
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## RULES FOR INDUSTRIAL CONSULTANCY

<b>1. DEFINITIONS</b>
<b>1.1 Institute</b> means Indian Institute of Technology Roorkee, Roorkee
<b>1.2 Department</b> means all the academic departments, academic centres, centres of excellence and academic service centres at the Institute.
<b>1.3 Director</b> means Director, Indian Institute of Technology Roorkee, Roorkee.
<b>1.4 Dean of Sponsored Research &amp; Industrial Consultancy (Dean,SRIC)</b> means Dean of Sponsored Research & Industrial Consultancy (Dean SRIC), Indian Institute of Technology Roorkee, Roorkee.
<b>1.5 Board for Sponsored Research &amp; Industrial Consultancy (BSRIC)</b> means Board for Sponsored Research & Industrial Consultancy, Indian Institute of Technology Roorkee, Roorkee, constituted in accordance with Institute Senate manual para 3.2.3
<b>1.6 Individual Consultancy Project</b> means a Consultancy Project which is not a Departmental Consultancy Project.
<b>1.7 Type-I Consultancy Project</b> means a Consultancy Project without the use of laboratory facilities.
<b>1.8 Type-II Consultancy Project</b> means a Consultancy Project involving use of laboratory facilities of the Institute. Such projects will cover field testing and field measurements, calibration of equipment/ instruments and testing of material/ equipment in laboratory and development work using laboratory facilities
<p><b>1.9 Type- III Departmental Consultancy Project with/without use of lab facilities</b> means a project referred to the Head of the Department or a functionary of the Institute (i.e. Deans or Director) which may be taken up as a Departmental or individual Consultancy Project. Further, a project referred to an individual faculty member may also be taken up as Departmental Consultancy Project at the request of that faculty member. Normally, Consultancy Projects involving multi disciplinary/ inter departmental inputs or requiring use of large facilities, likewise projects which were expected to run for a long period may be considered by a department to be taken up as Departmental Consultancy Projects. A Departmental Consultancy Project will have at least three investigators.</p> <p>All routine Testings in the Departments shall be undertaken only as departmental consultancy. The concerned Head of the Department will be the PI.</p>
<b>1.10 Project Staff</b> means a person appointed on contract in conformity with the guidelines to work on a sponsored research or consultancy project. The project staff includes research, technical and office personnel.
<b>1.11 Project Research Staff</b> means a person appointed on contract in conformity with these guidelines in a sponsored research or consultancy project as a Fellow or Associate or with a similar designation and receiving fellowship.
<b>1.12 Institute Development Fund (IDF)</b> means a part of the Institutional Overhead Charges (IOC) received for sponsored research and a part of the Institute share from Industrial Consultancy project credited to a separate fund operated by Dean (SRIC) as per budget approved by the Budget Committee of the fund called as SRIC fund and which is to be operated by Dean (SRIC). A part of the SRIC fund will be transferred every year to Institute Development Fund, which will form the Corpus of the Institute. Objectives and Rules of IDF are annexed at Annexure-I.
<b>1.13 Departmental Development Fund (DDF)</b> means a fund of the Department to which a part of the Institute share from Consultancy Projects and Sponsored Research Projects are transferred of the concerned academic department(s)/ centers. The objective of this fund is to provide additional grant to the department for its developmental activities.
<b>1.14 Professional Development Fund (PDF)</b> means a fund for individual academic staff, the objective of which will be to help individuals in their professional development. A part of the Institute share from Consultancy Projects will be transferred to the P.D.F. of the concerned academic staff and utilized by them as per norms.

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<b>1.15 Principal Investigator (P.I.)</b> means a member of the faculty/scientist of the Institute with necessary expertise and competence to conduct a consultancy work. Normally, the faculty who submits the project proposal and negotiates with the sponsor and is instrumental in getting the project funding is the Principal Investigator (PI).
<b>1.16 Investigator (I)</b> means a person from amongst the faculty/scientist (including Emeritus Fellow) co-opted by the Principal Investigator to work jointly with him/her on the project or any other Group 'A' employee so permitted by the Director.
<b>1.17 Consultant</b>  Consultant is a person engaged as consultant for a specific period to carry out specific job.
<b>2. GENERAL</b>
<b>2.1</b> Individuals or Departments may take up Consultancy work only after taking approval of the Dean (SRIC) through the Head of the concerned Department. The report of Departmental Consultancy Projects will be signed by the Head of the Department and the report of the individual Consultancy project will be signed by the Principal Investigator.
<b>2.2</b> In emergent cases where only advice at Roorkee is involved or, where testing of materials/ products in the Laboratory is concerned, the work may be accepted with the approval of the Head of the department under intimation to Dean (SRIC). However, normally the report may be given only when the Consultancy Project has been duly approved.
<b>2.3</b> All fees in connection with Consultancy Projects should be received in the name of the IIT, Roorkee. The Board of Governors (BOG) may permit individual departments to receive and disburse Consultancy funds, if it is considered necessary in the interest of the work / Institute.
<b>2.4</b> For projects involving only site visits for consultation work and/ or personal discussion, fees may be charged on per day basis at mutually acceptable rate which shall normally be a minimum of Rs.10,000/- per man-day for P.I./I., including the days spent on travel.
<b>2.5</b> For technical and other non-academic staff, making only site visits outside the scope of an on-going Consultancy Project, fees may be charged on per day basis at minimum of Rs.1,000/- per man-day.
<b>2.6</b> No Consultancy project from any agency can be taken up for an amount less than Rs. 20,000/-. This limit will not apply to the Routine Testings in the different departments. Routine Testing project implies those testing works where the rates are fixed by the department/centre. The routine testing consultancy project should however be not less than Rs. 10,000/-
<b>2.7</b> For Departmental Consultancy Projects, the Principal Investigator will be decided by the Head of the Department in consultation with the Professorial Committee of the Department.
<b>2.8</b> Each Consultancy project will be classified either as Type-I or Type-II and will not be bifurcated. In case of multi-disciplinary/ inter departmental projects, a single project can be divided into sub-projects on mutually agreed terms, by the consenting departments.
<b>2.9</b> For Departmental Consultancy work, faculty and staff members sent out in connection with consultancy work by the Head of the Department, will be treated on duty.
<b>2.10</b> Faculty members may be granted project leave upto 15 days during a calendar year for work related to Sponsored Research/ Individual Consultancy Projects, in addition to the special casual leave available as per Institute norms. Head of the Departments are empowered to approve project leave.
<b>2.11</b> The laboratory staff proceeding on field work for Consultancy Project may avail project leave upto 15 days during a calendar year. Head of the Departments are empowered to approve this leave.
<b>2.12</b> Report(s) and data collected/ originated out of Consultancy project are the joint Intellectual Property of the sponsoring agency of the project and the investigators which can be used by the sponsoring agency for its own use only and can not be disclosed to a third party without prior approval of the sponsoring agency and the Principal Investigator.  However, if there is a condition in MoU signed between the Sponsoring Agency and PI, regarding the IPR issue, that will take precedence over the condition laid down in the above para.
<b>2.13</b> A sitting fee of Rs. 2000/- per day per expert may be paid to an expert other than P.I. or I for attending consultation meetings duly notified by PI in connection with the consultancy project work chargeable to manpower/ contingency head.

**2.14** If a prima-facie case of malpractice and/or misconduct is established by a fact finding committee against a staff member in connection with consultancy project(s), the Director, on the recommendation of Dean, SRIC may prohibit the concerned staff member to take part in any new consultancy project either as Principal Investigator or investigator, till such time that a final decision is taken by the appropriate authority in the matter. However, in such cases the concerned staff member will be expected to complete his/her obligations in the ongoing consultancy project(s) with which he/she is connected, in order that the ongoing projects and obligations to the client do not suffer.

**2.15** Conduct Rules: The project staff shall

- (a) maintain record and secrecy of the findings/technical information and shall not communicate in any manner without the approval of the P.I any official document or information to any person or agency.
- (b) follow general code of conduct as proposed by the BSRIC and approved by the Director.

**2.16** All Research and project staff working on project shall be entitled for following types of leave:

Casual leave: 8 days per year on prorata basis

Earned leave: 2½ days per completed month of work

Maternity leave: 135 days (Only for the appointment for a year or more)

**2.17** Dean (SRIC) may, at his own discretion or on the recommendation of the PI, constitute committee(s) to conduct disciplinary proceedings against project staff/project research staff, if necessary. On the basis of the report of the committee, suitable disciplinary action may be initiated and penalty be imposed by the Dean (SRIC).

**2.18** Annual premium for medical insurance (from nationalized insurance company only) for illness requiring hospitalization may be reimbursed to research and project staff appointed for 1 year or more with the limit of sum assured of Rs. 1.00 Lac for self, Rs. 1.00 lac for spouse and Rs. 0.50 lac for each child (upto two children) on the recommendation of PI chargeable to manpower head of the project, if funds are available in the project.

**2.19** Insurance cover may be provided to project staff going on site visit on the recommendation of PI chargeable to manpower head of the project, if funds are available in the project.

### **3. EXPENDITURE NORMS**

#### **3.1 Job Work**

The Principal Investigator may get specific job work done on payment from outside. However, such payment may not exceed 5% of the total amount contracted for the project. While making such expenditure all the rules/regulations as applicable to Consultancy Projects should be followed. For higher expenditure Dean(SRIC) prior permission will be necessary.

#### **3.2 Student Assistants**

The Principal Investigator may engage Institute Students (who may or may not be getting fellowship) as Student Assistants with the approval of Dean SRIC for consultancy and testing work on payment of Rs. 150/- per hour subject to a maximum of 50 hours per month. The expenditure on this account can be booked under manpower charges/ contingency.

#### **3.3 Hospitality**

Expenses incurred on reasonable hospitality not exceeding Rs.600/- per head per meal and Rs.250/- per head for snacks etc. in connection with the consultation work can be charged as expenses.

#### **3.4 Travel**

##### **(a) For P.I and I.**

The most expeditious and convenient mode of travel should be used to minimize period of absence from the Institute. There will be no restriction placed by the Institute on the mode of travel. In addition to admissible DA as per rules of the Institute, Actual boarding & lodging expenses will be paid on production of receipt, subject to a maximum of twice the daily gross salary at the ceiling of the person's pay scale. Expenses on local travel by taxi will be reimbursed against cash receipt as per actuals. All these expenses will be met out of the Consultancy project funds.

Approval for travel under Industrial Consultancy Projects may be accorded as per table given below:

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Person Undertaking the Travel	Approving Authority for Travel	1. In all cases the leave is to be approved by the competent authority as per institute norms. It will be the duty of the traveling person to get the leave approved from the competent authority. 2. Advance for travel will be approved by the Dean SRIC.
P.I.	Head of the Deptt.	
If P.I. is Head of the Department	Dean, SRIC	
Investigators	P.I.	
Other regular institute staff	Head of the Department on the recommendation of the P.I.	
Staff appointed under the Project	P.I.	
Consultants	Dean, SRIC on the recommendation of P.I.	

Payment of charges to travel agents for Air Ticket purchase assistance, Visa assistance, Insurance may be paid as per Institute rules from project funds.

(b) Approval of Dean, SRIC will be required for any deviations from the T.A. rules of the institute, for which the recommendation will be made by the P.I.

For PI and I(s) travel by large vehicle or involving total travel of more than 500 km to a station connected by rail will be treated as deviation and will require permission of the Dean, SRIC. Furthermore, travel of persons other than PI/I will be as per entitlement unless the deviation is approved by the Dean, SRIC.

### 3.5 Out of Pocket Expenses for Field Work

The payment of "Out of Pocket Expenses" to the faculty and other Institute staff, project staff, and person engaged on contract sent for field work connected with the Industrial consultancy projects will be admissible on the following conditions:

- Out of pocket expenses will be admissible for the "field work" which will comprise of collection of field data from natural environment, mapping of an area, installation and maintenance of instruments in the field, performance of test in the field, etc. for the purpose of project.
- Out of pocket expenses will be payable for the actual period of work at the work place and will not be admissible for the journey period.
- Out of pocket expenses will be permitted in addition to D.A.
- The rate of payment of Out of pocket expenses will be as under:

<u>Category of Staff</u>	<u>Rate</u>
Class 'A' and 'B' and Consultants	Rs.800/- per day <u>or</u> <u>part of a day</u>
Class 'C' and 'D'	Rs.250/- per day <u>or</u> <u>part of a day</u>
Project Staff and Persons Engaged on contract/Time bound basis	Rs.250/- per day <u>or</u> <u>part of a day</u> .

### 3.6 Consultants

3.6.1 The PI may, with the prior permission of Dean (SRIC) avail the services of persons not in the Institute service as Consultants, provided that the PI certifies that the services are of a nature for which the expertise is not available in department/ Institute.

3.6.2 Ordinarily provision for involving individual experts from outside the Institute including retired faculty as consultants, if necessary, will be made at the time of acceptance / approval of the project and in case of large consultancy project the involvement will be decided by monitoring committee as per clause 12 of guidelines for industrial consultancy. The hiring of consultant(s) should be sought with adequate justification. In case of large consultancy project, the project PMC will act as the Standing Committee for approval of engagement of consultants.

3.6.3 An amount upto 100,000 or 20%, which ever is lower, of the Consultancy fee, can be paid to Consultant(s) after obtaining approval from the Dean (SRIC).

3.6.4 For payment between 100,001 and 200,000 or over 20% and upto 30%, which ever is lower, of the total fees, approval of a Standing Committee set up for this purpose by the Director under the Chairmanship of Dean (SRIC) would be required.

<b>3.6.5</b>	For payments over 200,000 or over 30% of the Consultancy fee, Director may approve payments on the recommendations of the Committee mentioned above.
<b>3.6.6</b>	Payment exceeding 40% of the total Consultancy fee shall not be allowed to consultant(s).
<b>3.7</b>	<b>Standing Committee</b>
<b>3.7.1</b>	A committee as at 3.6.4 duly proposed by the Dean (SRIC) and approved by the Director shall be the Standing Committee for Consultancy Projects.
<b>3.7.2</b>	The composition of the Standing Committee shall be as under :
(i)	Dean SRIC (ex-officio) - Chairman
(ii)	Three Professors from different Departments - Members
<b>3.7.3</b>	Functions of Standing Committee :
(i)	To consider involvement of consultants/ outside experts as per rule '3.6 Consultants'
(ii)	To consider the sub-contract, if any, as proposed by the PI/ Monitoring Committee of the project.
<b>3.7.4</b>	The PI while submitting a proposal for approval of consultant(s) should indicate consultant's approximate involvement in man days/months, scope of work and amount to be paid.
<b>4.</b>	<b>DISTRIBUTION OF CONSULTANCY FUNDS</b>
<b>4.1</b>	<b>Individual Consultancy Projects</b>
	For Consultancy work without use of Laboratory facilities, the norms for calculation of various percentages for distribution of the total money received from client (excluding service tax in every case) will be as follows:
<b>4.1.1</b>	<b>Consultancy work without use of laboratory facilities (Type-I)</b>
	Total money received from client = G Service Tax = L Total contracted amount $T = (G-L)$ Amount paid as Institute share in the beginning = $0.20 T$ Remaining amount $(F) = 0.80 T$ Total expenditure on the project = E Savings $(S) = (F-E)$ Amount S to be distributed to Investigators, technical and other staff on the recommendation of PI
<b>4.1.2</b>	<b>Consultancy work involving use of laboratory facilities (Type-II)</b>
	For Consultancy work involving use of Laboratory facilities, the norms for calculation of various percentages for distribution will be as follows:  Total money received from client = G Service Tax = L Total contracted amount $T = (G-L)$ Amount paid as Institute share in the beginning = $0.30 T$ Remaining amount $(F) = 0.70 T$ Total expenditure on the project = E Savings $(S) = (F-E)$ Amount S to be distributed to Investigators, technical and other staff on the recommendation of PI
<b>4.2</b>	The guidelines of distribution for office support and staff welfare fund will be decided by the Board for Sponsored Research & Industrial Consultancy (BSRIC) from time to time.
<b>4.3</b>	<b>Departmental Consultancy Projects</b>
<b>4.3.1</b>	In 'Departmental Consultancy Projects' Type - III (with & without use of lab facilities ) the norms for calculation of various percentages for distribution will be as follows:  Total money received from client = G Service Tax = L

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Total contracted amount  $T = (G-L)$   
Amount paid as Institute share in the beginning =  $0.40 T$   
Remaining amount  $(F) = 0.60 T$   
Total expenditure on the project =  $E$   
Savings  $(S) = (F-E)$   
Amount  $S$  to be distributed to Investigators, technical and other staff on the recommendation of PI

**4.3.2** However, in case of a large consultancy project to be funded by a Government Organisation, Institute share may be negotiated with the approval of Director.

**4.3** Sale proceeds of software products developed by a faculty member/ Scientist/ Research Worker, will be shared between the Institute and the individual as per the norms of TYPE-II Consultancy Project. If a student is involved in developing a software, he/she will be paid due share. A list of computer programmes developed by a student as a part of the thesis will be included in the thesis as an Annexure.

**4.4** Electricity charges: All Consultancy Projects will be required to contribute an amount @ 1.5% of the total contracted amount (excluding service tax) towards use of electricity by Laboratories/offices.

## **5. LIMIT ON TOTAL REMUNERATION BY THE FACULTY AND OTHER ACADEMIC STAFF FROM CONSULTANCY/ TESTING WORK**

**5.1** The total remuneration to be received from Consultancy projects including departmental consultancy and testing during a financial year by the faculty and other academic staff will be at a maximum of 150% of the gross salary drawn by him /her excluding arrears if any. Further there will be a limit to the remuneration received from testing which will be 30% of the gross salary received by him/her in the financial year. For departmental consultancies the present limit of 40% of the gross salary in a financial year will remain unchanged. For technical staff, the limit of total remuneration will be 40% of his gross salary received during the financial year. For departmental consultancies this limit will be 20% with the provision that the total remuneration from all consultancies does not exceed 40%. If the total remuneration payable to a staff member exceeds the prescribed limit, the excess amount will be deposited in the Professional Development Fund (PDF).

**5.2** For all ministerial staff, the upper limit for remuneration from Consultancy Projects and other sources is 33% of the gross salary received in a financial year and for all Technical Staff it remains 40%.

**5.3** If any of the academic staff wishes to divert part or whole of his/her own remuneration to his/her Professional Development Fund, the same will be permissible.

## **6. RULES FOR GENERATION & UTILIZATION OF PDF AND DDF**

### **6.1 Generation of PDF & DDF**

The Professional Development Fund (PDF) of a faculty member or other academic staff member may be generated by crediting a certain percentage of the following:

- Institutional overhead charges received in a Sponsored Research/ Consultancy Project from the funding agency.
- Institute share from a Consultancy Project and unspent balance, if any,
- Institutional overhead charges received from HRD Programmes.
- Any other source

The proposed percentages to be credited to the PDF of the concerned faculty/academic staff are as per the following table. Another portion of the Institutional overhead charges / Institute share will be credited to the Departmental Development Fund (DDF) of the concerned Department/Academic Centre as shown in the table:

### **Distribution of Institute Share in % age**

Type of Project and Component available for distribution	Distribution			
	IDF (SRIC Fund)	DDF	PDF	Incentive to office Staff & Staff Welfare Fund
(A) Sponsored Research Project/ HRD Programmes Institutional Overhead Charges Received from agency (I)	50%	20%	20%	10%

<b>(B) Industrial Consultancy Project</b>				
(i) Type-I, Individual (without Laboratory)	50%	15%	25%	10%
(ii) Type-II, Individual (with Laboratory)	70%	10%	15%	5%
(iii) Type-III, Departmental (with Laboratory/without Laboratory)	70%	10%	15%	5%

## 6.2 Utilization of PDF

The PDF can be utilized by the concerned faculty member for the following purposes:

**6.2.1** Payment of fee & related expenditure in connection with acquiring specialized training/certification/qualification(s) for self.

**6.2.2** TA/DA and registration fee, visa fee, visa assistance and insurance charges for attending a conference/workshop/ symposia/ seminar/meeting / training programmes, etc. or deliver a talk without restriction on number of such visits (subject to sanction of appropriate leave by competent authority) to a place in India or abroad with advance approval of the competent authority.

In such cases if the journey is within India, the request will be approved by the Dean, SRIC. For visits involving foreign travel the approval may be sought from the Director through Dean SRIC.

In case a student is a co-author of a paper being presented in a conference etc. and the PI wishes to pay from his PDF for the students registration fees and travel, the same will also be permissible.

**6.2.3** The request for exploratory visits for seeking consultancy/research project/collaboration should be made on prescribed proforma, indicating, purpose and duration of the visit, the person(s) to be contacted, itinerary and nature of proposed consultancy project/collaboration/discussions and will submit a report on the visit after completion of the visit including details of the discussions and outcome of the visit. The payment of expenditure will be subject to submission of the report of the visit to Dean SRIC.

In such cases if the journey is within India, the request will be approved by the Dean, SRIC. For visits involving foreign travel the approval may be sought from the Director through Dean SRIC.

**6.2.4** The travel and allowances shall be admissible as per para 3.4 (Travel) and para 3.5 (out of pocket expenses for field work)

**6.2.5** One office assistant can be hired as per the norms of work hire/contract on reimbursement basis, with the approval of Dean, SRIC.

**6.2.6** Reimbursement of payment of overpage / color printing charges, in journals/ publication.

**6.2.7** Reimbursement of membership fee of Professional Societies.

**6.2.8** Purchase of Professional Books, Journals, Stationery, Computer Stationery, Software or data on any storage medium.

**6.2.9** Equipments/Phone/Fax Facilities/air-conditioner for laboratory /office, can be purchased with the prior approval of the Dean SRIC, which shall be treated as major/minor assets as per the existing norms of the Institute and therefore shall remain property of the Institute.

**6.2.10** Upgradation or outright purchase of one laptop and one desktop computer and related peripherals like digital camera/ web camera, External Hard Disk, Storage device or other electronic items of professional use like data card for internet, e-book reader, electronic white board etc. for use by the faculty member at any location as per the work requirement.

**6.2.11** Purchase of office and laboratory furniture.

**6.2.12** Cost of handset (Cellular Phone) once in two years and Rs.1000/- p.m. on any type of telephone calls including pre-paid cash card. In addition data card connectivity charges upto Rs. 1500/- p.m., may be paid.

In case of a theft, repurchase may be allowed by Dean SRIC on furnishing of a copy of FIR along with the request for repurchase. On subsequent incident of theft, repurchase shall however, be allowed after the completion of two years period.

<p><b>6.2.13</b> Donations to IDF/DDF from PDF may be allowed by willing faculty member(s) /academic staff. Any unutilized amount of PDF after expiry of the time limit for utilization will be transferred to the IDF, by Dean SRIC.</p>
<p><b>6.3 Rules for utilization of PDF</b></p>
<p><b>6.3.1</b> All purchases shall be made as per the institute rules.</p>
<p><b>6.3.2</b> The items procured out of PDF shall be properly accounted for by the concerned department /centre and shall remain as the property of the Institute. However, items purchased under 6.2.8, 6.2.10 and 6.2.12 (excluding major assets) can be retained by the concerned faculty members permanently during the period of service and/or on retirement/leaving the service of the Institute. Any items purchased under clauses 6.2.9 and 6.2.11 and any major assets procured under clause 6.2.8 and 6.2.10 may be retained by the concerned person on payment as per clause 6.3.3.</p>
<p><b>6.3.3</b> For clause 6.3.2 the depreciated value (for which the rate of depreciation will be a flat 25% per year) or 5% of the purchase value, whichever is higher, will be payable.</p> <p><b>Note :</b> The following conditions will also apply for retaining items under this clause :-</p> <ul style="list-style-type: none"> <li>(i) He/She served the Institute for a minimum period of 10 years.</li> <li>(ii) He/She has purchased these items from the Professional Development Fund (PDF).</li> <li>(iii) Only one Desktop PC and one Laptop, peripherals and other electronic items (one of each type, like only one printer, one scanner etc.) can be retained by the concerned person.</li> </ul>
<p><b>6.3.4</b> (a) For clause no. 6.2.2, prior approval of Dean (SRIC) will be necessary irrespective of the amount involved.</p> <p>(b) Expenditure upto Rs.15000/- from the PDF can be made by the person concerned. If expenditure at one time exceeds Rs.15,000/-, prior approval of Dean (SRIC) will be necessary.</p> <p>(c) For any expenditure not covered above, recommendation of Dean (SRIC) and prior approval of the Director will be necessary.</p>
<p><b>6.3.5</b> (a) PDF will be available to the concerned person upto the date of leaving the Institute for utilization under clauses 6.2.1 to 6.2.13.</p> <p>(b) After leaving the Institute the PDF will be available to the concerned person for 3 years for expenditure under clauses 6.2.2., 6.2.5 and 6.2.7 only.</p> <p><b>Note:</b> Leaving the Institute means not serving the Institute in any capacity like faculty/re-employed faculty/Emeritus Fellow/Chair faculty/visiting faculty etc. Serving as consultant will not be counted as serving the Institute.</p>
<p><b>6.3.6</b> For the faculty members coming from different IITs, who carry out projects and other activities involving contribution towards their individual professional development funds, on request the fund so accumulated could be transferred from one IIT to another, within IIT system with the approval of the competent authority, which will help towards the goal of professional development fund of the concerned members of faculty.</p>
<p><b>6.3.7</b> The account of PDF will be maintained by SRIC Office and controlled by Dean (SRIC). The person concerned through Head may submit expenditure bills to Dean SRIC for payment.</p>
<p><b>6.4. Rules for Utilization of DDF</b></p>
<p><b>6.4.1</b> This fund can be utilized for the following purposes:</p> <ul style="list-style-type: none"> <li>a. Development of Departmental Infra structure facilities like equipment laboratories, class rooms, committee/ conference rooms.</li> <li>b. Repair, maintenance and A.M.C of equipment.</li> <li>c. Seed money for holding conferences/ workshops and seminars etc.</li> </ul> <p>The budget for utilizing DDF may be recommended by the Professorial Committee of the Department and approved by the Dean, SRIC.</p> <p>For any special requirements not covered under (a),(b) &amp; (c), a proposal may be sent by the DPC of the Department for consideration of the Director through Dean SRIC.</p>
<p><b>6.4.2</b> The account of DDF will be maintained by SRIC Office and controlled by Dean (SRIC). The departments concerned may submit expenditure bills to Dean SRIC for payment.</p>

<b>7. EXCEPTION</b>
These rules shall normally be applicable to all Consultancy Projects. Any exception/deviation or anything not specifically covered may be considered for approval by Director on the recommendation of Dean (SRIC) in the interest of the Institute / project.
<b>8.</b> In order to streamline procedures and functioning of the Office of Dean SRIC, the BSRIC may, from time to time design forms required for seeking approval etc. for different purposes for use by the applicants/ Office of Dean SRIC. The forms will be approved by the Director.
<b>9.</b> Rules for creation of post, minimum qualifications for different categories/post, emoluments and Selection Procedure for Research Staff for Sponsored Research / Industrial Consultancy Projects will be as recommended by the BSRIC and approved by the Director, unless specifically mentioned by the sponsoring agency.
<b>10. REVIEW</b>
Wherever a certain limit has been stipulated in terms of an absolute sum (and not in terms/ by way of percentages), this will be reviewed by the Dean (SRIC) every three years and the recommendations as approved by the Director will be reported to the Board of Governors.
<b>11. IPR</b>
The IPR policy of the Institute shall be applicable.

  
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**INSTITUTE DEVELOPMENT FUND**  
**OBJECTIVES AND RULES**

1. There will be an Institute Development Fund. This will be a basic corpus comprising generally of the following:

- (a) Funds generated through non-plan savings
- (b) Funds generated by the Institute through various activities, e.g., SRIC, entrance examinations etc.
- (c) Endowments
- (d) General donations – unattached/ unassigned types of money received
- (e) Interest received on overall deposits.

Name: The fund shall be called the IITR, Development Fund, hereinafter called IDF.

2. Aims and objectives:

The aims and objectives of IDF shall be as follows:

- (a) To provide assistance for common cause of students and staff
- (b) To provide assistance for developmental activities in the Institute

3. (a) The IDF shall be managed by a Committee consisting of:

- (i) Director
- (ii) Dean, SRIC
- (iii) Chairman, Investment Committee
- (iv) Professor-In-Charge Planning
- (v) Professor-In-Charge Finance
- (vi) One staff member nominated by the Director (for two years)

Chairman


- (b) This Committee known as the 'Governing Body' of IDF shall be responsible for the administration of all the funds existing under this head.

The Governing Body shall be responsible for administration of funds with respect to both earning and expenditure.

- (c) The Governing Body may co-opt any other member to the Committee whenever considered necessary.
- (d) The annual return of IDF will be prepared/ submitted by the Governing Body every year to the Board of Governors in the month of August or in the very next meeting of Board of Governors after August.

4. Guiding Principles

- (i) Corpus cannot be spent for any purpose at least till the corpus money becomes Rs 100 crores. However, loans may be given out of the corpus for Institute level activity only.

  
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- (ii) The interest on the total investments of IDF may be ploughed back normally till the corpus becomes Rs 100 crores.
- (iii) Expenditure be made generally out of accrued interest with the approval of Governing Body.
- (iv) Expenditure may be made on
  - (a) Common cause of students and staff
  - (b) Developmental activities in the Institute

5. Assets of the Fund:

- 5.1 The Governing Body may accept any donation or contributions in cash or kind or of immovable property. The donation received in the form of immovable property may be either absolute or subject to conditions or charges as accepted by the Governing Body provided such terms and conditions are not inconsistent with the objective of IDF and the policies of the Institute.
- 5.2 The assets, moneys and property of IDF shall vest and remain vested in the Board of Governors of IIT Roorkee.
- 5.3 In the cause of carrying out the objects of IDF the Investment Committee of the Institute may invest the IDF money in any manner considered in the interest of IDF and the Institute.

6. Rules and Regulations:

- 6.1 The Governing Body may frame rules and regulations for carrying out the objects of IDF. It may amend them from time to time as considered appropriate.

7. Accounts:

- 7.1 The Governing Body shall cause regular accounts of IDF to be maintained as per procedure followed for Institute accounts. The accounts will be maintained in the name of IDF.
- 7.2 The Governing Body shall prepare an Annual Budget for IDF and operate the accounts according to the same. Reallocation of the budget may be carried out whenever necessary with the approval of Governing Body.
- 7.3 The Chairman may authorize any expenditure in emergent circumstances and report to the Governing Body.
- 7.4 The annual accounts of IDF shall be audited every year in accordance with the procedure laid down for the Institute accounts.

  
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## **GUIDELINES FOR INDUSTRIAL CONSULTANCY**

### **1. INTRODUCTION**

In the light of changing economic scenario, government policies and Institute priorities, the Institute considers Consultancy projects as an important means for extending benefit of scientific research work at the Institute to the sponsoring agencies broadening the experience base of the Institute community and as a tool for contributing to the country's industrial and economic growth. Therefore, as a matter of policy, the Institute encourages its faculty members to undertake Consultancy work as a measure of scientific/technical collaboration with outside agencies. Appropriate Consultancy projects, in addition, for providing much needed service to the industry, also benefit the concerned faculty members and the Institute in several ways. They enrich the professional experience and knowledge of faculty members and thus make them better educators. Consultancy projects provide a first hand knowledge of the current problems of industry which is very helpful in tuning the curriculum to the national needs. The faculty members get an opportunity to apply their ideas under practical experience useful in finding good jobs at the end of their studies. Furthermore, the consultancy work also provides incentives for their contributions to all categories of staff. While the Institute encourages the faculty members to undertake Consultancy projects, it is expected that the time spent by a faculty member on Consultancy projects will not exceed one day per working week.

### **2. PROJECT INITIATION AND MANAGEMENT**

**2.1** Each Consultancy project will have a Principal Investigator (P.I.) who will be a faculty member / Scientist in the service of the Institute and who will be responsible for :

- (i) Formulating the project proposal which may include
  - (a) planning of the work to be done,
  - (b) estimating costs according to the guidelines provided in the later section, and
  - (c) if necessary, identifying other Investigators, who shall also be faculty member(s)/Scientist(s) in the service of the Institute,
- (ii) Co-ordination and execution of work,
- (iii) Handling all communications with the clients,
- (iv) Writing of intermediate and final reports according to the project proposal,
- (v) Making recommendations to the Dean (SRIC) regarding expenditure from the Project and remuneration to be paid to faculty, staff and students,
- (vi) Ensuring that all reports / certificates bear the name of the Principal Investigator and his/her signatures and the name(s) of the Investigator(s) who participated in the project,
- (vii) Signing the Memorandum of Understanding (MoU) or Agreement with the client/ sponsor, if required. Guidelines for MoU/Agreement are given at Annexure 'A'.
- (viii) Ensuring that all expenditure in the project is in accordance with the project budget. Any modifications/ deviations in the budget allocations can only be done with the prior approval of the Dean, SRIC (subject to conditions as described in section 3.3.2)

#### **2.2 Appointment of Principal Investigator (PI)**

**2.2.1** The client (sponsoring organization which gives the consultancy) usually approaches the Institute for Consultancy work through a faculty member or a functionary of the Institute (i.e. Head of the Department, Dean (SRIC) or Director). When a faculty member is approached for the work, he will be the Principal Investigator. If he does not wish to be the Principal Investigator, the Head of the Department will identify a suitable person as the PI. If the project is referred to a functionary, the Principal Investigator would be identified by the Head of the Department to whom Dean SRIC refers the project.

**2.2.2** No retiring faculty member be allowed to submit a project as Principal Investigator (PI), if its duration extends to one year or more beyond his/her date of retirement, or if more than half of the proposed duration of the project falls beyond the date of retirement of the PI.

- 2.2.3** (a) If the P.I., retires or proceeds on leave, Dean SRIC, on the recommendation of the P.I. (if he/she is available) appoint a new P.I., who will assume the powers and responsibilities of the P.I. The new P.I. should be agreeable to become P.I. The new P.I. will also give an undertaking to complete the project in the remaining funds and time period, to the Dean (SRIC) through H.O.D. However, in exceptional circumstances, a retired faculty member may continue to work as P.I. with the approval of the Director, if he/she continues to serve the institute in some other capacity.
- (b) In case of departmental consultancy project the new PI in the circumstances will be appointed by Dean, SRIC on the recommendation of the DPC of the concerned department.
- (c) In case the PI is not available for some reason the Head of the Department may recommend appointment of a new PI for the project to the Dean SRIC from amongst other investigators in the project for individual consultancy project and through DPC for departmental consultancy project.

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2.3	<p>The Emeritus Fellows, Chair Faculty, Visiting Faculty, etc. can be appointed/ nominated as investigator and not Principal Investigator.</p> <p>The retired teachers working under Emeritus Fellowship be allowed to continue as Principal Investigators, if the sponsors do not have any objection. Such Principal Investigator may not be allowed to have the power of the Head of the Department.</p>
2.4	<p>Normally the agreed charges of the project are to be deposited by the client, in full, before the work commences. However, this stipulation is negotiable. In cases where the work is started with only partial cost deposited in advance, the arrangements of subsequent receipt of funds from the client have to be clearly spelled out in advance and approved by Dean (SRIC). All payment from client will be received by the Dean (SRIC) on behalf of the Institute.</p>
2.5	<p>Principal Investigator will take approval for undertaking the Consultancy project through the H.O.D. on the prescribed form obtainable from Dean (SRIC) office, who will assign a number to the project and inform the same to the Principal Investigator and the Head of the concerned Department. This completes the process of initiation of a Consultancy project. The above project number must be quoted in all subsequent correspondences within the Institute. Project file will be closed with the submission of final project report and final settlement of accounts etc.</p> <p>While submitting the project proposal for approval to the Dean SRIC through the Head of the Deptt., the PI will enclose the copies of the following documents with the proposals.</p> <ul style="list-style-type: none"> <li>(i) Letter from sponsor seeking consultancy</li> <li>(ii) Reply of the PI intimating the scope of work, consultancy charges, terms &amp; conditions and service tax.</li> <li>(iii) Response of the sponsor to the said reply of PI</li> </ul> <p>The faculty member while submitting proposal to the sponsor should clearly understand that all work done by him and or his team of investigators/consultants under the project are his/her teams responsibility.</p>
2.6	<p><b>Collaboration with Outside Organizations</b></p> <p>If collaboration with other Govt./Public Sector organizations is envisaged, the nature scope and financial budget of the proposed arrangements will also be specified at the time of submitting the project proposal for approval.</p>
<p><b>3. BUDGETARY NORMS FOR CONSULTANCY PROJECTS</b></p>	
3.1	<p><b>Total Charges</b></p> <p>The total agreed charges of a Consultancy project will consist of the Institute share, actual expenses and the remuneration to be distributed to the faculty and staff. The actual expenses should cover the following costs related to the project:</p> <ul style="list-style-type: none"> <li>(i) Permanent equipment to be procured / fabrication of equipment or models.</li> <li>(ii) Consumable materials.</li> <li>(iii) Travel expenses in connection with the project work.</li> <li>(iv) Computational or other charges the Principal Investigator may have to pay to the Institute or any other outside agency in the course of the execution of the work.</li> <li>(v) Charges to be paid for the use of specific equipment in the departments or central facilities.</li> <li>(vi) Contingency expenses to cover cost of supplies, preparation of report, typing, word processing, drawing, drafting, stationery, reproduction, literature (books, journals, membership fee for professional societies), postage, courier, FAX and telephone (including rental and STD/ ISD call bills of telephone at residence or mobile phones), cost of insurance of personnel/ equipment being used for the project and medical reimbursement on duty (excluding major ailments) for staff etc.</li> <li>(vii) Expenses for work to be carried out on payment basis, remuneration to student assistants.</li> <li>(viii) Any other costs considered appropriate.</li> </ul>
3.2	<p>Estimates for the above expenses should be carefully prepared by the Principal Investigator keeping in mind the market rates for equipment, material and services to be procured from market and the time required for the project. It is normally expected that the time spent by a faculty member on Consultancy project will not exceed one day per working week. The norms laid down by the Dean (SRIC) for salaries and work purchase etc should be kept in mind while preparing the budget estimates for the client and the Consultancy fee be charged accordingly.</p>
3.3	<p>While preparing proposal, provision of Service Tax, as applicable, shall be made over and above the total contracted amount.</p>

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<b>3.3.1</b>	The service tax will be applicable as per government rules.
<b>3.3.2</b>	The allocations made to the different heads of the approved project budget should be carefully kept in view by the P.I. Variations upto 20% of the budget in a particular head can be made by the P.I. However, such a variation will be allowed subject to availability of the funds and the total expenditure being within the total allocation of the project.
<b>3.3.3</b>	The P.I. while seeking approval of expenditure from Project funds should specifically mention the project budget head to which that expenditure will be debited.
<b>3.3.4</b>	The approval of the Dean SRIC to make any expenditure from the project funds assumes that funds are available in the project for the purpose. It shall be the responsibility of the P.I. to ensure that the expenditure being made is within the approved limits and availability of funds in the project.
<b>3.4</b>	<b>Consultancy fee</b>  There are no rigid norms for calculating the Consultation fee. This depends upon several factors such as the time spent, the importance of the advice and the experience of the faculty, etc. While estimating the Consultancy fee chargeable to the client, the Principal Investigator should keep in mind that only part of the total fee is available for distribution among the faculty, staff, and students. The remuneration will be paid to the faculty / staff as per norms and on the recommendation of the Principal Investigator. Saving from the Consultancy charges will be divided between the Institute and the faculty/ staff after taking into consideration all expenses as per norms for the purpose.
<b>4.</b>	<b>BUDGETARY NORMS FOR TESTING JOBS</b>  The Institute may undertake testing jobs at a standard fee where stipulated; otherwise the charges may be estimated by the faculty member who will supervise the testing work. The testing report will be countersigned by the Head of the Department, if required by the client.
<b>5.</b>	<b>COMPLETION / CLOSURE OF PROJECT</b>
<b>5.1</b>	For projects with an outlay of less than Rs. 20 lacs, the distribution of consultancy fee will take place only along with the closure of the project.
<b>5.2</b>	For project with an outlay of Rs. 20 lacs or more, yearly part distribution may be permitted subject to the condition that the total distribution does not exceed 75% of the total estimated distribution amount for the project and that the amount of distribution is commensurate with the work completed.
<b>5.3</b>	A project is normally expected to be closed soon after the date of completion as stipulated in the original project proposal, unless an extension has been sought and granted. For the consultancy projects, which are not closed by the PI as expected, the SRIC office will take action for project closure at the end of the financial year in which the stipulated date of completion falls. The unspent balance in such cases will be transferred to the DDF after due notice to the PI and Head of the Department.
<b>5.4</b>	All stock registers pertaining to projects will be deposited in the Departmental Office when the concerned projects are completed and closed.
<b>6.</b>	<b>GENERAL</b>
<b>6.1</b>	A retiring/retired technical staff member may be paid remuneration/honorarium out of the consultancy projects during the year of retirement for the work done by him/her during the year or in the previous years. For this purpose 40% of the gross salary received during the previous financial year will be taken as the limit.
<b>6.2</b>	In case a Consultancy Project involves testing of samples which are to be drawn by the Investigator and not supplied by the sponsor, it will be necessary that at least one of the Investigators should be present at the time of drawing samples, so that authenticity of the samples and sampling process is ensured.
<b>6.3</b>	All equipment purchased under projects/PDF/DDF should normally be insured. In case of equipment which is to be carried outside, the PI should get them insured before they are taken out.
<b>7.</b>	<b>LIMITATION</b>  It is expected that only those Consultancy projects will be accepted by the Institute, which provide challenge befitting professional competence of the faculty members.

## 8. LIABILITY

In case any legal dispute arises between the Investigator(s) and the sponsor such that the Investigator(s) are in any way, held responsible to make good the losses incurred by the sponsor, such liability will be restricted to a maximum limit which will be calculated as follows:

Maximum Liability = The total amount charged for the project – the expenditure / liabilities on the project. It is in the interest of the Investigators to bring this fact to the notice of the sponsors. The expenditure / liabilities as determined by the Institute will be calculated as the expenditure / liability till such date on which the sponsors inform the Investigator in writing to stop work on the project for on going projects, or till the end of the project for completed projects. This amount does not include the remuneration paid to the Investigator(s) and staff of the Institute. The Institute may take a suitable insurance for this purpose on a rolling basis. The expenditure on this account may be charged to the IDF.

The amount charged by the Institute is on lump sum basis. Submission of the requisite report on the work itself shall constitute the Utilization Certificate / final bill.

## 9. DISAGREEMENTS / DISPUTES

- 9.1 Any disagreement within the Institute arising at any stage of a Consultancy project will be resolved in consultation with Dean (SRIC) / Director to ensure an expeditious removal of bottlenecks and smooth functioning of the project.
- 9.2 In case of any dispute arising at any stage of Consultancy project between Investigator(s) and the sponsor(s), the Investigator(s) will be responsible for settlement of the dispute.
- 9.3 All legal action will be subject to jurisdiction at Civil Courts at Roorkee/ Haridwar/ High Court at Nainital.

## 10 ARBITRATION

In the event of any dispute or difference at any time arising between the parties relating to Consultancy project or any other clause(s) or any content of the right and liabilities of the parties or other matters specified therein or with reference to anything arising out of the Consultancy or otherwise in relation to the terms, whether during the Consultancy or thereafter, such disputes or differences shall be endeavoured be resolved by mutual negotiations. If, however, such negotiations are infructuous, the dispute should be finally settled through Arbitration and Conciliation Act, 1996 by three arbitrators appointed in accordance with the said Act. The arbitrators shall give reasoned and speaking award.

## 11 PUBLICATION OF RESULTS

PI will have the right to publish the work carried out by him/her unless the sponsors have an agreement under which there prior permission is required. In such cases the draft paper before publication will be submitted to sponsors and if no objections are raised within one month of the submission of the proposal to publish the result, it will be assumed that the sponsors have no objection to the publication.

## 12 LARGE CONSULTANCY PROJECTS

For projects with an outlay of more than Rs.50 lacs, the P.I. will ensure that the project proposal before it is submitted to the sponsoring agency is vetted by the Head of the Department and Dean(SRIC). The project, after it is approved by Dean, SRIC, will be monitored by a Monitoring Committee, appointed specially for each such project by the Director on the recommendations of the Dean, SRIC.

### 12.1 Composition of Project Monitoring Committee


The Principal Investigator of the Consultancy Project (having outlay of more than Rs.50.00 lac) may propose a Monitoring Committee for approval with the following composition:

- |   |   |                      |
|---|---|----------------------|
| (1) Dean, SRIC                                  | - | Chairman             |
| (2) Head of the concerned Deptt                 | - | Member               |
| (3) Head of one more Deptt. from relevant field | - | Member               |
| (4) One faculty Member from relevant field      | - | Member               |
| (5) Principal Investigator                      | - | Member               |
| (6) Asstt. Registrar (SRIC-Admn.)               | - | Non-Member Secretary |

### 12.2 Functions of Project Monitoring Committee

The role of Monitoring Committee will be as follows:

- 12.2.1 To assess the progress periodically for timely completion of the projects.

  
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**12.2.2** To consider and approve involvement of outside experts.

**12.2.3** To consider and approve the budget of the project(s) including modifications, if any.

**12.2.4** To advise Dean, SRIC in any other matter related to the project.

**Note :** The amount to be paid to each consultant will be approved by the Dean, SRIC as per para 3.6 of rules of industrial consultancy.

### **13. RECRUITMENT OF RESEARCH STAFF AND PROJECT STAFF**

The selection procedure recommended by BSRIC and approved by the Director will be followed for recruiting research/project staff under Consultancy Projects. If the person (including persons appointed on ad-hoc basis) is residing within the IIT Campus, House Rent Allowance (HRA) upto entitlement or actual payment made whichever is less will be payable.

### **14. FORMS**

To ensure smooth administration & management of Consultancy Projects, only the forms recommended by BSRIC and approved by the Director will be used by the PIs and others concerned.

  
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## RULES FOR SPONSORED RESEARCH

<b>1. DEFINITIONS</b>
<b>1.1 Institute</b> means Indian Institute of Technology Roorkee, Roorkee
<b>1.2 Department</b> means all the academic departments, academic centres, centres of excellence and academic service centres at the Institute.
<b>1.3 Director</b> means Director, Indian Institute of Technology Roorkee, Roorkee.
<b>1.4 Dean of Sponsored Research &amp; Industrial Consultancy (Dean, SRIC)</b> means Dean of Sponsored Research & Industrial Consultancy (Dean SRIC), Indian Institute of Technology Roorkee, Roorkee.
<b>1.5 Board for Sponsored Research &amp; Industrial Consultancy (BSRIC)</b> means Board for Sponsored Research & Industrial Consultancy, Indian Institute of Technology Roorkee, Roorkee, constituted in accordance with Institute Senate manual para 3.2.3.
<b>1.6 Sponsored Research Projects</b> means Sponsored Research Projects referred from time to time and cost bound projects sponsored by Government, public, private, national/international agencies and autonomous bodies. Generally the entire project cost including costs towards contractual manpower, deputed manpower, equipments, consumables and supporting services of the Institute is borne by the sponsor.
<b>1.7 Sponsor</b> means the organization that offers a Sponsored Project to the Institute and provides necessary financial support for successful completion of the project in time.
<b>1.8 Principal Investigator (P.I.)</b> is a member of the faculty (including Emeritus Fellow/Chair Professor/ Visiting Professor) of the Institute with necessary expertise and competence to conduct a Sponsored Research work. Normally, the faculty who submits the project proposal and negotiates with the sponsor and is instrumental in getting the project funding is the Principal Investigator (PI) under these rules. In a special case, Principal Investigator may be appointed by the Director on the recommendation of the Dean (SRIC) and in consultation with concerned Head of Department for administrative reasons if the original PI leaves his/her service or is not available for the project for any other reason.
<b>1.9 Co-Principal Investigator (Co-P.I.)</b> is a person from amongst the faculty/scientist co-opted by the Principal Investigator to work jointly with him/her on the project
<b>1.10 Investigator (I)</b> means a person from amongst the faculty/scientist (including re-employed faculty/Emeritus Fellow/Chair faculty/visiting faculty) co-opted by the Principal Investigator to work jointly with him/her on the project or any other Group 'A' employee so permitted by the Director.
<b>1.11 Individual Research and Development Grant</b> means a research and development grant-in-aid offered to an individual faculty member or a research fellow by the sponsor towards the cost of equipment, contingency and overhead expenses, fellowship etc.
<b>1.12 Project Staff</b> means a person appointed on contract (excluding project research staff) following the provisions of these guidelines to work on a sponsored research project. The project staff includes research, technical and office personnel.
<b>1.13 Project Research Staff</b> means a person appointed on contract in conformity with the provisions of these guidelines in a sponsored research project as a fellow or associate or with a similar designation and receiving fellowship.


<b>1.14 Consultant</b> means a person engaged as consultant for a specific period to carry out specific job.
<b>1.15 Institute Development Fund (IDF)</b> means a part of the Institutional Overhead Charges (IOC) received for sponsored research and a part of the Institute share from Industrial Consultancy project credited to a separate fund operated by Dean (SRIC) as per budget approved by the Budget Committee of the fund called as SRIC fund and which is to be operated by Dean (SRIC). A part of the SRIC fund will be transferred every year to Institute Development Fund, which will form the Corpus of the Institute.
<b>1.16 Departmental Development Fund (DDF)</b> means a fund of the Department to which a part of the Institute share from Consultancy Projects and Sponsored Research Projects are transferred of the concerned academic department(s)/ centers. The objective of this fund is to provide additional grant to the department for its developmental activities.
<b>1.17 Professional Development Fund (PDF)</b> means a fund for individual academic staff, the objective of which will be to help individuals in their professional development. A part of the Institute overhead charges from Sponsored Research Projects will be transferred to the P.D.F. of the concerned academic staff and utilized by them as per norms.
<b>1.18 Transfer of Staff Costs out of Sponsored Research Project to Institute Fund:</b>  In the Sponsored Project amount charges under the budget head of faculty time, staff costs and salary of the regular faculty will be transferred to the Institute receipts. Further, if any amount is provided by the sponsoring agency as honorarium to the investigators as one of the components in a Sponsored Research Project, the same may be distributed among them. The ceiling will be subject to the over all limits defined in the consultancy rules.
<b>2. Manpower</b>
<b>2.1</b> Open selections will be held for all project staff positions. The selection procedure will be as recommended by BSRIC and approved by the Director.
<b>2.2</b> Project research staff shall be paid a consolidated fellowship per month and other project staff shall be paid consolidated amount of compensation per month.
<b>2.3</b> The designations available for the project staff, qualification and experience requirements, age limit and consolidated fellowship / emoluments shall be as recommended by BSRIC and approved by the Director.
<b>2.4</b> Appointments on all project posts shall be on contract only.
<b>2.5</b> The Project Research Staff shall work for fulfilling the objectives of the project.
<b>2.6</b> Transfer of project staff from one project to another, either on completion or midway, may be permitted by Dean (SRIC).
<b>2.7</b> The tenure of appointment of a project staff will be at the most for the remaining duration of the project. The severance notice may be issued to the project staff by the PI one month prior to the termination of appointment.
<b>2.8</b> On the completion of one or two years and on the recommendation of an Assessment Committee to be appointed by Dean (SRIC) for the purpose, the enhancement of fellowship of a project research staff may be considered by the Dean (SRIC). The composition of Assessment Committee will be as specified under clause 8.
<b>2.9</b> A contractual project staff appointed under budgeted provision shall execute a Contract Agreement with PI and Head of the Department at the time of joining with the explicit provision that the contract may be terminated by either side, the staff or PI and Head of the Department, by giving one month's notice or one month's consolidated emoluments in lieu of the notice. The contracts will be complete when countersigned by Dean (SRIC) who will retain the original contract agreement.

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<b>2.10</b>	Selection of project research staff shall normally be made as per the Institute norms. However, guidelines provided by the sponsoring agency shall be adhered to as far as possible.
<b>2.11</b>	The appointment letter to be issued to project staff should spell out all terms and conditions of the contract including the time limit.
<b>2.12</b>	In special circumstances, ad-hoc appointment on a research post of a person having the prescribed qualification can be considered by Dean (SRIC) on the recommendation of the PI for a period normally not exceeding one year.
<b>2.13</b>	In special circumstances, short term assignment on contract on per hour basis or per unit-of-work basis may be permitted by the Dean (SRIC) on the request of the PI.
<b>2.14</b>	The project research staff (including those appointed on ad-hoc basis) shall be entitled to HRA as per the Institute rules, if accommodation in the campus is not made available to him/her. If the person is residing within the IIT Campus House Rent Allowance (HRA) upto entitlement or actual payment made whichever is less will be payable. HRA shall be charged to the salary head of the respective project.
<b>2.15</b>	The rules for leave for all Research and project staff working on project will be the same as for Consultancy Projects Rule No. 2.16 or as per the norms of the sponsor.
<b>2.16</b>	The rules for Conduct Rules will be the same as for Consultancy Projects Rule No. 2.15.
<b>2.17</b>	This rule under Sponsored Research Projects will be the same as for Consultancy Projects Rule 2.17
<b>2.18</b>	This rule under Sponsored Research Projects will be the same as for Consultancy Projects Rule 2.18.
<b>2.19</b>	This rule under Sponsored Research Projects will be the same as for Consultancy Projects Rule 2.19.
<b>3.</b>	<b>Finance and Accounts</b>
<b>3.1</b>	At the time of submission of a project proposal, the PI shall make a provision of Institutional Overhead Charges (IOC) at the rate of 20% of the total project cost or at the rate permitted by the sponsor. However, this will not be treated as a condition for accepting the award of project.
<b>3.2</b>	All purchase proposals will be routed through the Head of the Department and be processed through the Central Purchase Office of the Institute, as per purchase rules of the Institute.
<b>3.3</b>	PIs/Head of the Departments shall arrange to maintain stock/asset registers. These shall be submitted to the Audit/Institute as and when called for.
<b>3.4</b>	A separate account shall be maintained for each project by SRIC office. Asstt. Registrar (SRIC Accounts) shall be responsible for the submission of audited statement of accounts as and when required by the sponsors.
<b>3.5</b>	SRIC office will provide an account of expenditure to the PI either periodically or as and when needed by the PI.
<b>3.6</b>	All the project funds for Department of Paper Technology (DPT) shall be handled by the SRIC Office as for other departments.
<b>3.7</b>	Accounts for sponsored projects shall be maintained under the budget heads specified in the sanction letter from the sponsor. Minor adjustments in approved budget heads may be permitted by the Dean (SRIC).
<b>3.8</b>	All expenditure shall normally be made within the proposed date of completion (PDC) of the project. Exceptions may be permitted by the Dean (SRIC) with the consent of the sponsor.
<b>3.9</b>	In the event of non-availability of fund in a project, to meet the excess expenditure (if any) due to unforeseen reasons, the Sponsoring Agency will be approached by the PI through Head of the

Department and Dean (SRIC) to sanction additional fund to permit the expenditure from another project of the same sponsor.
<b>3.10 Travel</b>  The rules for travel under Sponsored Research Projects will be the same as for Consultancy Projects Rule No. 3.4. Any condition laid down by sponsoring agency regarding travel will override the above rules.
<b>3.11 Out of Pocket Expenses for Field Work</b>  The rules for Out of Pocket Expenses for Field Work under Sponsored Research Projects will be the same as for Consultancy Projects Rule No. 3.5.
<b>3.12</b> The rules for engagement of institute student by the Principal Investigator will be the same as for Consultancy Projects Rule No. 3.2
<b>3.13</b> As per Institute norms prevailing at present, the payment of an advance as per purchase rules to PI or Co-PI or Investigator may be duly forwarded by the concerned PI and Head of the Department, may be considered for approval by Dean (SRIC). Further, imprest for the duration of the project may be sanctioned to PI by Dean (SRIC).
<b>3.14</b> Adjustment account for an advance drawn shall be submitted within 30 days of return from the journey or date of issuing the cheque, whichever is later.
<b>3.15</b> An individual shall normally be allowed to draw another advance only after adjusting the previous one taken by him/her.
<b>3.16</b> All payments to project staff, persons engaged on work hire and students engaged for project work will be made by SRIC Office by cheque (and not in cash).
<b>3.17</b> The rules for sitting fee for expert will be the same as for Consultancy Projects Rule No. 2.13.
<b>4.0 Duties and Responsibilities of the Principal Investigator (PI)</b>
<b>4.1</b> Only the faculty and other academic staff in the service of the Institute can be PIs of a Sponsored Research Project.
<b>4.2</b> The PI will, at his discretion, co-opt the names of other faculty members as Co-PIs or Investigators. Any other Group 'A' employee so permitted by the Director can be co-opted as Investigator.
<b>4.3</b> The PI will prepare research project proposal in conformity with: <ul style="list-style-type: none"> <li>(i) permitted designation and emolument/fellowship rates for project staff, with qualification and experience as specified</li> <li>(ii) provision for Institution overhead charges as per the rules of the Institute,</li> <li>(iii) other guidelines for Sponsored Projects, and</li> <li>(iv) Rules, Regulations &amp; Statutes of the Institution</li> </ul>
<b>4.4</b> All research proposals shall be submitted to the sponsors through the concerned Head of the Department and Dean (SRIC).
<b>4.5</b> It shall be the responsibility of the PI to get project work completed satisfactorily within the sanctioned grant and duration.
<b>4.6</b> The PI shall ensure that the head-wise expenditure does not exceed the budgetary allocation.
<b>4.7</b> The PI shall maintain the details of equipment purchased out of project funds separately for each project and send a copy of the record to Dean (SRIC) for placing the same before the Govt. of Audit, for verification or as and when required for any other purpose.

4.8	The PI shall be responsible for maintenance of Laboratory Record Book (LRB) as required for IPR submission, periodical and/or final technical report(s) of the project work to the sponsoring agency as required. He/she will also send a copy of the final technical report to Dean (SRIC).
4.9	The PI shall write to the sponsor for timely release of funds with a copy to the Dean (SRIC) for follow up, if necessary.
4.10	The PI/Head of the Department shall sanction/control leave due to research and other contractual staff working in their projects.
4.11	If the PI leaves the Institute, retires or goes on leave, Co-Investigator or Co-Principal Investigator will assume the powers and responsibilities of the PI with the approval of the Dean (SRIC) but a retired person shall not be appointed as P.I. However in exceptional circumstances, a retiring faculty member may be allowed to work as PI with the permission of the Director if he/she continues to serve the institute in some other capacity. No retiring faculty member be allowed to submit a project as PI if its duration extends to one year or more beyond his/her date of retirement or if more than half of the proposed duration of the project falls beyond the date of retirement.
4.12	The rules for a prima-facie case of malpractice and/or misconduct is established by a fact finding committee against a staff member in connection with consultancy/research project(s) will be the same as for Consultancy Projects Rule No. 2.14.
<b>5.</b>	<b>Project Leave</b>
5.1	Faculty members may be granted project leave up to 15 days during a calendar year for work related to Sponsored Research/ 'Individual' Consultancy Projects, in addition to the special casual leave available as per Institute norms. Head of the Departments are empowered to approve project leave.
5.2	Group B/C/D staff proceeding on field work/ outstation visit for Project may avail project leave up to 15 days during a calendar year. Head of the Departments are empowered to approve this leave.
<b>6.</b>	<b>Professional Benefits to investigator and project staff</b>
6.1	The PI and other Investigators from the institute shall be entitled to receive contribution to their Professional Development Funds out of the Institutional Overhead Charges actually received as per Institute rules.
6.2	Depending upon the availability of funds under travel head, Dean (SRIC) may permit the PI/Co-Investigator to charge TA/DA and Registration Fee to the project account for presenting papers in National/ International Seminars, Conferences etc. within the country in a subject relevant to the project from travel/contingency grant. In case of foreign travel for the same purpose, approval may be given by the Director on the recommendation of Head of the Department & Dean (SRIC), provided the funding agency has allowed this facility specifically.
6.3	Project research staff and students working in projects may be permitted by Dean (SRIC) on the recommendation of PI to present papers in conferences, seminars etc. within the country with TA/DA and Registration Fee support, provided adequate funds are available under travel head/contingency of the project.
6.4	Depending upon the availability of funds under the contingency / books head, the PI/Co-PI/Investigators may individually charge the membership fee of one Professional Society in a year to the project funds with the permission of Dean (SRIC), provided the funding agency has not disallowed the facility specifically.
<b>7.</b>	<b>Project Evaluation Committee</b>
	In case the sponsor desires the constitution of a Project Evaluation or Monitoring Committee, the same will be constituted by the Director on the recommendation of the Dean (SRIC) as per the guidelines of the sponsor. In other cases, Dean (SRIC) may recommend to the Director for appointment of such a Committee, if he feels it desirable or necessary.

  
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<p><b>8. Assessment Committee</b></p> <p>Progress of research staff working in a Sponsored Research Project will be assessed at the end of one or two years as per the requirements of the sponsor by a Committee comprising the following:</p> <ul style="list-style-type: none"> <li>(i) Head of the Department concerned</li> <li>(ii) One faculty member from the Department</li> <li>(iii) Principal Investigator</li> <li>(iv) One expert from outside the Institute in relevant field, as and if required by the funding agency.</li> </ul>
<p><b>9. Admission of Project Research Staff to Academic Programmes</b></p> <p><b>9.1</b> A project research staff is eligible to register for Ph.D. or Master's Programme of the Institute as per Institute norms subject to his/her satisfying the admission requirements of the Institute.</p> <p><b>9.2</b> The concerned project research staff will be required to give an undertaking that he/she will not be automatically eligible for award of Institute fellowship and shall finance himself/ herself beyond the tenure of the appointment if Institute fellowship is not awarded.</p> <p><b>9.3</b> The project staff admitted to Ph.D./ Master's programme will be governed by the relevant ordinances and fulfill his/her obligations towards the PI &amp; the research project in which he/she is appointed.</p>
<p><b>10. Exception Clause</b></p> <p>These guidelines shall normally be applicable to all Sponsored Research Projects. Any exception/deviation or anything not specifically covered may be considered for approval by Director on the recommendation of Dean (SRIC) in the interest of the Institute / research project.</p>
<p><b>11. Forms</b></p> <p>To ensure smooth administration &amp; management of Sponsored Research Projects, only the approved forms will be used by the PIs and others concerned.</p>
<p><b>12. RULES FOR GENERATION &amp; UTILIZATION OF PDF and DDF</b></p> <p>Rules for Generation and utilization of PDF and DDF will be the same as for Consultancy Projects Rule No. 6.</p>
<p><b>13.</b> Report(s) and data collected/ originated out of Sponsored consultancy project are the joint Intellectual Property of the sponsoring agency of the project and the investigators which can be used by the sponsoring agency for its own use only and can not be disclosed to a third party without prior approval of the sponsoring agency and the Principal Investigator.</p>
<p><b>14.</b> Rules for creation of positions, Minimum Qualifications for different categories/positions, emoluments and Selection Procedure for Research Staff for Sponsored Research / Industrial Consultancy Projects will be as recommended by the BSRIC and approved by the Director, unless specifically mentioned by the sponsoring agency.</p>
<p><b>15.</b> These rules shall normally be applicable to all Sponsored Research Projects. Any exception/deviation or anything not specifically covered may be considered for referring to sponsoring agency with the recommendation of Dean (SRIC) in the interest of the Institute / research project.</p>
<p><b>16.</b> There will be two Faculty Initiation Grant as Scheme 'A' and Scheme 'B'. The rules for the same will be proposed by the BSRIC and approved by the Director. For Faculty Initiation Grant under Scheme 'B' with an outlay of over 10 lacs will be approved by Chairman Board of Governors on the recommendation of the Director.</p>
<p><b>17. REVIEW</b></p> <p>Wherever a certain limit has been stipulated in terms of an absolute sum (and not in terms/ by way of percentages), this will be reviewed by the Dean (SRIC) every three years and the recommendations as approved by the Director will be reported to the Board of Governors.</p>

  
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**GUIDELINES FOR THE SANCTION OF GRANT UNDER FACULTY INITIATION GRANT-  
SCHEME 'A'**

1. The grant of a maximum amount of Rs. 5.00 lacs may be sanctioned to new faculty members for developing his/her research infrastructure for a period of three years. The new faculty members must apply for this grant within one year from the date of his/her joining the Institute under funding for this grant which will be met from SRIC Fund. The guidelines for sanctioned of faculty initiation grant are appended with these rules.
2. The faculty member will submit a research proposal on a format prescribed by the Office of the Dean, SRIC (including phase-wise budget for three years) and submit it to the office of the Dean (SRIC) through the respective Head of the Department/Centre.
3. The proposal will be considered by the following Expert Committee consisting of :

(i) Dean (SRIC)	-	Chairman
(ii) One expert from the concerned Department/ Centre	-	Member
(iii) One expert from outside the Department/Centre but within the Institute	-	Member
(iv) Head of the concerned Department/Centre	-	Member
4. The recommendation of the Expert Committee will be submitted to the Director for his approval.
5. The grant will be utilized for the purpose of laboratory equipment, consumables & software and for technical visits only, and the release of grant will be on yearly basis.
6. Yearly progress report will be submitted by the concerned faculty member to the office of Dean (SRIC) through his/her respective Head of the Department/Centre before the release of grant for the next year and this report will be put up to a Monitoring Committee.

  
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**GUIDELINES FOR THE SANCTION OF GRANT UNDER FACULTY INITIATION GRANT-SCHEME 'B'**

The Board of Governors has approved a grant of 1.00 crore from MHRD plan grant for funding faculty initiation grant Scheme-B vide Resolution No. BG/36/2006 dated 28.8.2006. Some of the relevant provision of the Scheme as approved earlier is extracted below for the benefit of those who want to submit the proposals :-

1. A grant upto **Rs. 10.00 lacs** will be sanctioned out of **MHRD plan grant** to those faculty members who wish to pursue research work in an emerging area with a high potential for IP for the Institute.
2. This will be applicable to all faculty members including new faculty members.
3. The project proposals will be submitted through Head of the concerned Department after evaluation by the Professorial Committee of the Department.
4. There is two tier evaluation of the proposals. In the first tier an expert Committee appointed by the Director for each project evaluates it on the basis of its scientific content, merit, novelty and IP potential and recommends it to the approving Committee chaired by the Director. There is presentation of the proposals by the proposers and the decision is taken about funding by the approving Committee. Only outstanding proposals are generally funded.
5. The Chairman, B.O.G. can sanction an amount beyond Rs. 10.00 lacs out of MHRD plan grant to new faculty members after due consideration of the recommendations of the Committee and the same is reported to the B.O.G.
6. The grant can be utilized for the purchase of **laboratory equipment, consumables, software and for technical visits.**
7. The funds are available for a maximum period of **03 years** from the date of sanction.

  
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**Appendix 'D'**  
**Item No. 28.4.13**

Current Monthly wages	Enhanced monthly emoluments w.e.f. 01.04.2010 =	Remarks
Y-1 Category		
Rs. 5080	Rs. 6490	Annual enhancement Rs.170/-
Rs. 5210	Rs. 6660	
Rs. 5470	Rs. 7000	
Rs. 5600	Rs. 7160	
Rs. 5730	Rs. 7330	
Rs. 5860	Rs. 7500	
Rs. 6770	Rs. 8690	
Y-2 Category		
Rs. 7040	Rs. 9040	Annual enhancement Rs.260/-
Rs. 7690	Rs. 9880	
Rs. 7950	Rs. 10,740	
Rs. 8990	Rs. 11,570	
Rs. 9900	Rs. 12,750	
Rs. 10160	Rs. 13,090	
Y-3 Category		
Rs. 10410	Rs. 13,420	Annual enhancement Rs.340/-
Rs. 10670	Rs. 13,760	
Rs. 12750	Rs. 16,460	
Rs. 13270	Rs. 17,140	

  
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AGREEMENT  
BETWEEN  
INDIAN INSTITUTE OF TECHNOLOGY ROORKEE  
AND

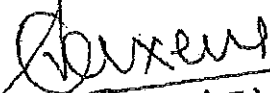
PRAMA JYOTI FOUNDATION,  
(D1, Second Floor, Defence Colony, New Delhi)


Whereas Prama Jyoti Foundation, D1 Defence Colony, New Delhi established to encourage and motivate educations in India through financial as well as counseling support to Educational Institutions/students is desirous of instituting awards at IIT Roorkee for the benefit of its students and the Indian Institute of Technology Roorkee has accepted the proposal from Prama Jyoti Foundation. Both parties have agreed to the following terms and conditions :

1. That Prama Jyoti Foundation will contribute Rs 3,00,000.00 per year to IIT Roorkee as least for an initial period of 3 years for making the awards.
2. That Prama Jyoti Foundation will transfer every year the sum of Rs 3,00,000.00 to the IIT Roorkee through its Registrar in two installments on the dates specified by the IIT Roorkee.
3. That the awards will be made to the students of IIT Roorkee who have excelled in sports, academics, extra curricular and co-curricular activities.
4. That the name, nature, value, selection criteria and number of awards will be decided every year in the month of December by mutual consent of both the parties. The total value of the awards in a year will be Rs 3,00,000.00.
5. That the Foundation will ensure and if required, provide necessary guarantee for regular transfer of funds to the satisfaction of IIT Roorkee.
6. That this agreement shall remain valid for an initial period of 3 years and may be renewed/reviewed or terminated with the mutual consent of both the parties.

Signed for IIT Roorkee


Signed for Prama Jyoti Foundation

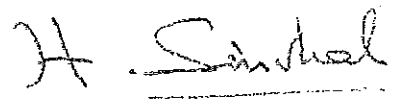
  
Prof. S.C. Saxena  
Director

  
( Ravi Sharma )  
Founder, Prama Jyoti  
Foundation

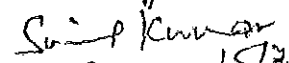
Witness :

Witness.

  
Prof. Surendra Kumar  
Dean, Finance & Planning  
Date :

  
3 March 2010

Copy to Meeting Section 1

  
Sunit Kumar  
अधीक्षक/Superintendent  
कुलशिक्षा विभाग (विद्यार्थी) कार्यालय 63 -  
Office  
आ.प्रौ.सं.सं. IIT Roorkee

  
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RENEWAL OF AGREEMENT OF MEMORANDUM OF UNDERSTANDING

This agreement made as of the 21<sup>st</sup> day of June, 2010

BETWEEN

INDIAN INSTITUTE OF TECHNOLOGY ROORKEE

AND

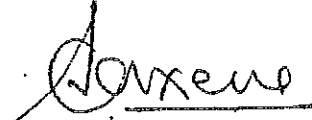
THE UNIVERSITY OF WESTERN ONTARIO  
London, Ontario, Canada

Indian Institute of Technology Roorkee and The University of Western Ontario agree to renew their Agreement dated March 16<sup>th</sup> 2005 and attached as Appendix "A", for an additional five years term commencing June 21, 2010 upon the same terms and conditions set out in the aforesaid Agreement.

IN WITNESS WHEREOF the parties hereto have executed this Agreement by their duly authorized representatives.

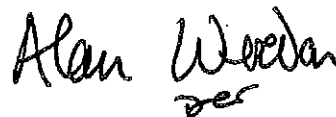
Signed for

Indian Institute of Technology  
Roorkee

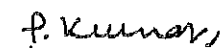
  
(Prof. S.C. Saxena)  
Director

Signed for


The University of Western Ontario

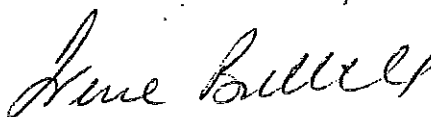
  
per  
(Dr. Fred Longstaffe)  
Provost and Vice President(Academic)

Witness:

  
(Prof. Pradeep Kumar)  
Dean, Finance & Planning

Witness:

  
(Dr. Ted Hewitt)  
Vice President (Research  
& International Relations)

  
(Ms Irene Birrell)  
Secretary of the Board of Governors

Date : June 21, 2010

Copy to Meeting Section  
to report in next BoG

  
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# Appendix "A"

## MEMORANDUM OF UNDERSTANDING FOR INTERNATIONAL RESEARCH COLLABORATION

between

Indian Institute of Technology, Roorkee  
Roorkee, India

and

The University of Western Ontario  
London, Ontario, Canada

  
08 OCT 2010

THIS AGREEMENT is effective as of the 16<sup>th</sup> day of March 2005 and is entered into between the Indian Institute of Technology Roorkee (IITR), India, and The University of Western Ontario (UWO), c/o Research Development Services—International Research, Stevenson-Lawson Building, London, Ontario N6A 5B8, Canada.

IN CONSIDERATION OF the mutual covenants of the parties set forth below, the parties agree as follows:

1. PURPOSE

The IITR and The University of Western Ontario believe that the quality of research and teaching is strengthened by the establishment of international cooperation links and wish to enter into research collaboration and exchange activities with a view to their mutual enrichment in scientific, academic, and cultural areas.

2. OBJECTIVE

The general objective of this agreement is to establish long-term research collaboration exchange programs in fields which are compatible with the orientation of each institution, and which are relevant to the industrial, scientific, social and cultural interests and needs of the countries in which the parties are respectively located.

The initial focus will be in the areas of civil, chemical, electrical and mechanical engineering. Other areas of cooperation may develop at a later time.

3. MANNER OF IMPLEMENTATION

The collaboration contemplated by the Agreement will be implemented by any one or more of the following:

- a. the exchange of researchers,
- b. the exchange of scholarly and materials,
- c. the coordination of collaborative research programs.

For purposes of this Agreement, "researchers" means the following:

- \* faculty members
- \* postdoctoral fellows
- \* graduate students participating in the exchange for the purpose of research

*[Signature]*  
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#### 4. EXCHANGE OF RESEARCHERS

- a. The participation of any researcher from either institution in the exchange will be subject to the prior approval of such researcher by the other institution.
- b. Each institution undertakes to maintain the salary and supplementary benefits of its own faculty members who participate in the exchange, consistent with its faculty leave policies and other policies in effect from time to time.
- c. Each institution will endeavour to raise funds for travel to the host institution for its own researchers wishing to participate in the exchange. On a case by case basis, each institution will endeavour to provide visiting researchers with financial assistance as possible and/or appropriate.
- d. Participants from each of the institutions, while in attendance at the other institution's facilities, shall abide by the rules and regulations of that host institution regarding the use of facilities and conduct, and shall be subject to the laws of the host country.

#### 5. RESEARCH PROGRAM MANAGEMENT

Each institution will appoint one (or, if appropriate, more than one) research program coordinator to ensure that the research collaboration proceeds according to a reasonable plan and to ensure that the purposes, objectives and terms of this Agreement are carried out. Each institution may at any time name a successor to, or replacement of, its research program coordinator(s).

#### 7. DURATION OF VISITS OF EXCHANGE RESEARCHERS

Visits may range for a period of 2 weeks to 2 years, subject to mutual agreement between the two institutions.

#### 8. INTELLECTUAL PROPERTY

In the context of their respective policies and procedures, both universities agree to share any intellectual property that is developed as a result of collaboration between the institutions pursuant to this agreement. Intellectual property that has been independently developed by a institution shall be retained by the originating

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institution. This provision is the over-arching agreement in principle, and shall be administered in accordance with the attached *Intellectual Property Statement*.

9. INSURANCE

The parties to this Agreement acknowledge that they do not provide visiting researchers with medical or hospital or personal property insurance. It is required that visiting researchers, or their home institution, ensure that adequate provision for their needs is made in these areas.

At The University of Western Ontario, visiting researchers are required to purchase coverage under the University Health Insurance Program (UHIP) from the Department of Pensions and Benefits, unless they can demonstrate that they already possess equivalent or greater coverage from another insurance program or plan.

IITR will provide visiting researchers and graduate students from UWO with access to the medical facilities as available in its Health Centre.

11. DURATION AND AMENDMENT OF AGREEMENT

This general Agreement shall have effect and be binding upon the parties hereto for a period of five (5) years from the date of approval / ratification by the appropriate authority of each signatory institution. Each institution represents that it has the authority to enter into this Agreement and to support the intended collaborative research initiatives. This Agreement may only be amended by the mutual consent of all parties in writing.

12. EARLY TERMINATION

This Agreement may be terminated at any time upon the written mutual consent of the parties, or upon either party giving twelve months written notice of termination.

13. FREEDOM FROM DISCRIMINATION

Each party acknowledges to the other that it subscribes to a policy of non-discrimination, which requires its employees not to discriminate on the basis of race, sex, sexual orientation, age, ethnicity, religion, or national origin. Each institution shall abide by these principles in the administration of this Agreement and neither institution shall impose criteria for the exchange of researchers that would violate these principles of non-discrimination.

14. LANGUAGE

  
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Although a translation of this Agreement may be prepared in another language, it is understood and agreed that this English-language version is the official and binding document between the parties.

IN WITNESS WHEREOF the parties have executed this Agreement with effect as of the date first written.

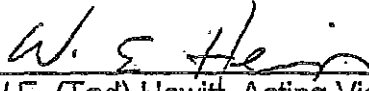
### THE UNIVERSITY OF WESTERN ONTARIO

The Board of Governors

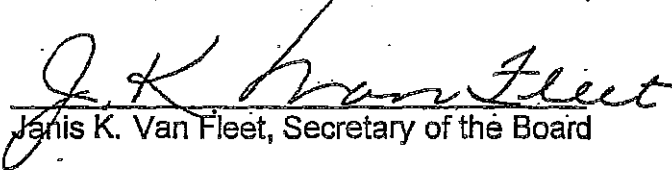
Per:

  
Gregory A. Moran, Vice-President (Academic) and Provost

Per:

  
W.E. (Ted) Hewitt, Acting Vice-President (Research)

Per:


  
Janis K. Van Fleet, Secretary of the Board

### Indian Institute of Technology, Roorkee

Per:

  
Prof. Prem Vrat, Director

Per:

 19 Jan 05  
Prof. Ravi Bhushan, Professor-In-Charge Finance, and Head, Chemistry Department

## AGREEMENT FOR INTERNATIONAL RESEARCH COLLABORATION

*Intellectual Property Statement (Clause 7)*

a) For purposes of this section:

i) "Intellectual Property" means, without limitation, any and all know-how, processes, technologies, software, specifications, drawings, flow charts, sketches, models, samples, technical or business information or data, inventions, discoveries, techniques, technical information and all related intellectual property rights worldwide arising under any law, and whether or not statutorily protected, including all i) patents, patent applications and patent rights; ii) copyright registrations, copyright applications and copyright rights; iii) industrial designs and industrial design applications; iv) trademarks, trademark applications, trademark registrations, and trademark rights; v) rights relating to the protection of confidential information; vi) any other proprietary rights relating to intangible property; and vii) divisions, continuations, renewals, reissues and extensions of any of the above (as and to the extent applicable) now existing or hereafter filed, issued or acquired;

ii) "Project" means any form of collaboration including, but not limited to, a training, research or service delivery program, project or subject area in which the parties collaborate or assist each other as contemplated by this Agreement; and

iii) Where a provision is to the effect that The University of Western Ontario owns any Intellectual Property, such provision shall be read to mean that The University of Western Ontario, or its faculty members, other employees or students that are participants in the Project, own such Intellectual Property in accordance with its policies and any applicable collective agreement.

(b) Unless the parties have otherwise agreed in writing with respect to a specific research program or Project prior to commencement of work on such Project:

(i) All Intellectual Property of an institution (and its third party licensors) that existed on the date of commencement of the Project or that is subsequently created or acquired solely by any such institution in performing the work under the Project shall be owned by that institution. The other universities shall have a personal, non-exclusive right to use such Intellectual Property provided by the first named institution for purposes of the Project and for internal teaching and research purposes.

(ii) Ownership of jointly developed Intellectual Property shall be determined by the participating universities on a Project basis, having regard to the nature, quality and extent of the contributions by the respective universities.

  
08 OCT 2010

(iii) Any commercialization of jointly-developed Intellectual Property, including publication or other disclosure, shall be as determined in advance by all the respective program directors of the contributing universities.

(iv) Any dispute in connection with the ownership, commercialization, publication, or other rights in connection with jointly-developed Intellectual Property shall be determined by arbitration in accordance with the rules of the International Chamber of Commerce:

  
08 OCT 2010

**MEMORANDUM OF UNDERSTANDING**  
*between*  
**INDIA METEOROLOGICAL DEPARTMENT**  
(Ministry of Earth Sciences, Government of India)  
*and*  
**INDIAN INSTITUTE OF TECHNOLOGY ROORKEE**  
for Weather Based Agro Advisory Services

1. This memorandum of Understanding made this day, i.e. July 21, 2010 between the President of India acting through the India Meteorological Department (IMD), Ministry of Earth Sciences (MoES) with its office at Mausam Bhawan, Lodhi Road, New Delhi — 110 003, hereinafter referred to as "IMD" which expression shall unless excluded by or repugnant to the context be deemed to include its successors and assignees in office of the one part AND the Indian Institute of Technology Roorkee established under act of Parliament to the state of Uttarakhand hereinafter referred to as "IITR" which expression shall, unless excluded by or repugnant to the context, be deemed to include its successors and permitted assignees of the other part.

Whereas the Government of India has entrusted upon India Meteorological Department (IMD) the task of Development of Integrated Agro Meteorological Services in the country. In pursuance hereof, IMD has set up in the country a network of about 128 Agro-Meteorological Field Units (AMFUs), which are multidisciplinary units responsible for preparation and dissemination of agromet advisories. Whereas the IITR is willing to continue AMFU set up and functioning under its jurisdiction. Now, it is hereby agreed as follows:

2. Each AMFU will be manned by an agro-meteorologist who would utilize the relevant meteorological products provided by IMD to generate specific advisories for agricultural management for the respective districts of Agro Climatic Zones (ACZ) identified under the area of its jurisdiction and disseminate the same to the farming community. The responsibilities of AMFUs would include preparation of weather based advisories for management practices in agriculture after due consultation with Subject Matter Specialists/Scientists/Professors of concerned disciplines and disseminate the same to the end users using all possible modes of communication. It will also liaise with Indian Council of Agricultural Research (ICAR), District Agriculture/Horticulture/ Animal Husbandry Officers, Krishi Vigyan Kendras and other agencies to render Agromet Advisory Service in a holistic manner. It will also disseminate advisories through all possible means to have outreach up to village level and arrange to provide necessary feedback to IMD for the development of:
- Relevant Agromet advisories for the stress crops/livestock
  - Region/locale-specific agromet predictive models;
  - Crop - weather relationships and
  - Forewarning models for weather and climate based pests and diseases etc.

**3. OBLIGATIONS OF IMD**

- 3.1 IMD agrees to provide Medium Range Weather Forecast in quantitative terms at district level to the IITR.

Copy to: Meeting Section

to report in next B.O.G.72 -

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08 OCT 2010

3.2 IMD agrees to provide grant-in-aid to IITR for AMFUs subject to personnel and budgetary limitations imposed by the Government from time to time and submission of duly audited Utilization Certificate, duly audited Statement of Expenditure and Demand for Grant-in-Aid by the grantee University/Institution, for:

- (a) Defraying expenditure towards salaries, travel expenses of the staff approved by IMD and appointed/engaged by the AMFUs exclusively for operating the agro-met advisory services.
- (b) Purchase and maintenance of equipment approved by IMD.
- (c) contingent expenses including consumables, telephone, fax charges, transportation charges, stationary, publications, etc. necessary for effective functioning of agro-met advisory services as approved by IMD; and
- (d) Development of human resources related to the AAS as approved by IMD.

3.3 IMD shall act upon the documentation prepared by AMFU's on services rendered by them in order to assess the efficacy of the services and carry out over all supervision.

3.4 IMD agrees to assist IITR in developing suitable meteorological observing system e.g. Automatic Weather Station (AWS), Automatic Rain Gauge (ARG), Surface Agromet Instruments etc.

#### **4 OBLIGATIONS OF THE IITR (AMFUs)**

The IITR (AMFU) agrees

- (a) To receive weather forecast, prepare and disseminate Agromet advisory bulletins for different districts of the Agro Climatic Zones.
  - (b) To organize awareness activities to popularize Agromet Advisory Service.
  - (c) To maintain Agro-meteorological observatory/Automatic Weather Station, record observation, prepare data base and transmit to IMD, both IMD and AMFUs will make use of the data generated from observatory/AWS for agricultural research and advisory purpose.
  - (d) To prepare local climatological information and data base and receive current weather observations and agricultural data from districts.
  - (e) To prepare annual report and submit to IMD Headquarter.
  - (f) To provide appropriate space for AWS/ARG. IITR also agrees to provide security and maintenance of the observatory.
  - (g) To make available experimental field data for calibration and validations of crop models and to identify weather sensitive of crops, animals, P&D and management practices.
  - (h) To submit Utilization Certificate/Statement of Expenditure duly audited and signed by the competent authority.
5. IITR hereby agrees to continue the support in respect of facilities established through grant-in-aid by IMD at the end of the five years when IMD support may be phased out.
6. The agro-advisory services are essentially a cooperative venture. Any matter not covered specifically in the Memorandum of Understanding (MoU) may be settled by mutual agreement. On points where disagreement persists, the matter may be

08 OCT 2010

referred to the Secretary, MoES for a decision, which shall be final and binding on both the parties.

## 7. EXTENSION/TERMINATION OF MOU

Three months prior to this Memorandum of Understanding (MoU) coming to an end the operation of this understanding may be extended by mutual consent for such period or periods as may be considered desirable.

Requests for any major change or termination of this MoU shall be furnished by either party to the other for consideration not less than 90 days in advance of the desired date for effecting change/termination. However, all liabilities for the parties accrued during the period of operation of MoU such as settlement of accounts, handing over of completed research works/results, final drawings, etc., will survive even after the expiry of the MoU. All the equipment and material purchased using the grant-in-aid and not consumed shall be the property of IMD and shall be restored to IMD in case of termination of MoU.

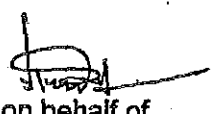
## 8. COMING INTO FORCE

This MoU shall be deemed to have come into force from the date specified herein and shall continue for a period of five years. All rights and obligations of IMD and IITR shall be deemed to have commenced and accrued from that specified date.

9. In witness whereof the parties here to have executed this Memorandum of Understanding.

For and on behalf of IIT Roorkee  
Uttarakhand

  
Prof. S.C. Saxena  
Director

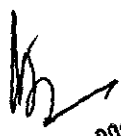
  
For and on behalf of  
Govt. of India, New Delhi

(राजिवर त्रयागी)  
(AJIT TYAGI)  
जीएस विभाग के सचिव/सहायक  
Director General of Meteorology  
आरक्षक जीएस विभाग विभाग  
India Meteorological Department  
जीएस भवन, लोदी रोड, नई दिल्ली-110008  
आरक्षक संचालक/सहायक (फोन) नं. 2331-110000

Witness:

  
Prof. Pradeep Kumar  
Dean, Finance & Planning

Dated : 21.7.10

  
08 OCT 2010



**MEMORANDUM OF UNDERSTANDING**

**BETWEEN**

**INDIAN INSTITUTE OF TECHNOLOGY, ROORKEE  
INDIA**

**AND**

**UNIVERSITY OF PERADENIYA  
SRI LANKA**

*Copy to: Meeting Section  
to report in next B.O.G.*

*[Signature]*  
08 OCT 2010

**Memorandum of Understanding  
between  
Indian Institute of Technology, Roorkee ( IITR), India  
and  
University of Peradeniya (UOP), Sri Lanka**

This agreement entered into this day of ~~Aug 16~~ <sup>2010</sup> 200~~0~~ by and between **Indian Institute of Technology, Roorkee, (IITR), Roorkee, India, and University of Peradeniya,(UOP), Peradeniya, Sri Lanka**

**Witness that**

- Whereas, Indian Institute of Technology, Roorkee (IITR), and University of Peradeniya, Peradeniya (UOP), desire to promote the enrichment of their teaching and research programs; and
- Whereas, Indian Institute of Technology, Roorkee (IITR), and University of Peradeniya, Peradeniya (UOP), desire to strengthen and expand the mutual contacts between the two universities; and
- Whereas, Indian Institute of Technology, Roorkee (IITR), and University of Peradeniya, Peradeniya (UOP) desire provide for an exchange of faculty and other collaboration between the two universities on the terms and conditions hereinafter set forth;

Now therefore, it is mutually agreed follows:

**1. Scope of Agreement**

The agreement shall initially cover the following types of faculty and graduate student exchanges, collaborative research and other forms of collaboration.

- 1.1. Faculty Exchange
- 1.2. Short-term Visiting Scholars for period of three months or less
- 1.3. Log-term Visiting Scholars for period either one (1) semester, one(1).academic year, one(1) calendar year or more.
- 1.4. Graduate Student Exchanges
- 1.5. Collaborative Research
- 1.6. Other mutually agreed educational programs.
- 1.7.

**2. Definitions**

As used herein the terms "host university "and "home university" shall have the following meanings:

- a. Host University – the university or institute accepting the exchanged scholar or student.
- b. Home University -. the university or institute providing the exchanged scholar or student.

### 3. Period of Agreement

This Agreement shall be effective 16 day of Aug <sup>2010</sup>~~200~~ and continue in full for five (5) years and effect subject to conditions in 12.

### 4. Initial of Exchange

Each exchange under the terms of this Agreement will be initiated by the respective departments or disciplines of IITR and UOP. The details of each exchange shall be agreed upon in writing by the respective authorities of the two universities/institutes.

### 5. Visiting Scholar Exchanges.

#### 5.1. Procedures:

- a. The cooperating institutions will exchange information describing the kinds of activities in which each would have the greatest interest.
- b. The process should begin by contacts between individual faculty from the cooperating institutions/university and the official procedure should be initiated by a hosting faculty through regular administrative channels.
- c. The host institution/university will accept qualified candidates in accord with availability of hosting faculty, facilities and funding.

#### 5.2. Responsibilities of Home University

- a. Assist each short-term visiting scholar in the process to get salary/scholarship and fringe benefits like travel, insurance, etc., from appropriate sources, including public enterprises.

#### 5.3. Responsibilities of the Host University

- a. Assist by providing facilities for the effective conduct of the program of work for visiting scholar, who will provide full information on research work plans and equipment requirements in the request to visit. The extent of provisions is to be mutually agreed upon in advance of finalization of each individual exchange. Such agreement shall involve appropriate liaison and involved faculty members at both host and home universities.
- b. Provide accommodation at nominal charges subject to availability.
- c. In case accommodation is not available, assist in locating adequate housing for the period of the visit of the scholar.

### 6. Graduate Studies

With aid from the designated liaison at both institutions, faculty of each institution will be encouraged to nominate quality students for graduate study and research at the other. Acceptance for graduate study and research will be in accordance with the established policies of the host institution. It is expected that students admitted for such graduate study and research will be considered as regular graduate students by the host institution.

### 7. Collaborative Research

With aid from the designated liaison at both institutions, faculty will be encouraged to develop linkages that can lead to productive collaborative search projects.

- 7.1. Normally proposal for such projects would emerge from the faculty of the two (2) institutions. Each collaborative research arrangement will be treated individually.
- 7.2. Faculty at both institutions will be encouraged to develop collaborative research proposals and obtain funding necessary to implement the research projects.
- 7.3. Projects requiring funding by institutions must be approved by both institutions before starting them.

#### **8. Other Collaborative Activities**

The text of this Agreement is not intended to limit the scope of future collaborative projects.

#### **9. Designated Liaison Officials**

Indian Institute of technology, Roorkee, IITR, India and University of Peradeniya, Peradeniya (UOP), Sri Lanka shall each designate to the other, within sixty (60) days after the execution of this Agreement, the liaison official(s) authorized to endorse exchanges and other collaborative activities.

#### **10. Termination**

This Agreement may be terminated by either party proving the other written notice of its intend to terminate. Such notice shall be given at least one (1) year prior to the effective date of termination.

#### **11. Intellectual Property - Disposition of Materials**

Inventions or materials developed under the terms of this Agreement by exchanged faculty members shall be assigned to the host university.

- 11.1. Proceeds from said invention or material shall be shared by Indian Institute of Technology, Roorkee, IITR, and University of Peradeniya, Peradeniya- UOP, in accordance with their input of personnel and facilities.
- 11.2. The host university shall provide the home university with an irrevocable, royalty-free, non-exclusive license to use the invention or materials for educational purposes, but not for commercial purposes
- 11.3. If the inventions or material are made or developed in the course of a sponsored program funded by grant or contract, the determination of rights shall be subject to, and limited to, the provisions of the contract or grant.
- 11.4. The host university shall notify the home university of such conditions by indicating such at the time of implementation of the exchange.
- 11.5. IITR and UOP agree to respect each other's rights to intellectual property. Further, the intellectual property rights that arise as a result of any collaborative research or activity under this MOU will be worked out on a case-to-case basics, and will be consistent with officially laid down IPR policies of the two institutions .

## 12. No-discrimination

Indian Institute of Technology, Roorkee- IITR, India and University of Peradeniya, Peradeniya (UOP), Sri Lanka agree that no person shall on the grounds of race, colour, national origin origin, sex or creed be excluding from participation under the terms of this Agreement.

## 13. Modification

The terms of this agreement may be changed or modified only by written amendment signed by authorized agents of the parties hereto.

## 14. Resolution and Disputes

Any dispute or differences which may arise between the members relating to any matter under this MOU shall be settled by consulation and negotiation, or failing that, though mediation by a mutually agreed third party.

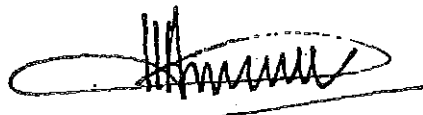
In Witness Whereof, Indian Institute of Technology, Roorkee, IITR, and the University of Peradeniya, Peradeniya, UOP, have executed this Agreement as of the date first above written

Prof. S. C. Saxena,  
Director,  
Indian Institute of Technology,  
Roorkee , India



डा. एस. सी. सखेना / Dr. S.C. Saxena  
निदेशक/Director  
भारतीय प्रौद्योगिकी संस्थान रुड़की  
Indian Institute of Technology Roorkee  
रुड़की/Roorkee-247 667

Prof. Harischandra Abeygunawardhena,  
Vice Chancellor,  
University of Peradeniya,  
Peradeniya- Sri Lanka



Prof. H. Abeygunawardena  
Vice - Chancellor  
University of Peradeniya  
Peradeniya  
Sri Lanka

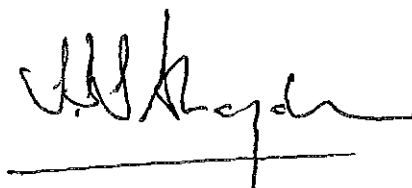
Witness

P. Kumar,

कुलेशासक वित्त एवं योजना  
Dean, Finance & Planning  
भारतीय प्रौद्योगिकी संस्थान रुड़की  
Indian Institute of Technology Roorkee  
रुड़की-247 667

16.8.10

Witness



DEAN  
FACULTY OF ENGINEERING  
UNIVERSITY OF PERADENIYA  
PERADENIYA, SRI LANKA

08 OCT 2010

**INDIAN INSTITUTE OF TECHNOLOGY ROORKEE**  
**ROORKEE-247667**

**Subject: Approval of Balance Sheet 2009-10 for subsequent audit by CAG auditors.**

The Board of Governors in its 7<sup>th</sup> meeting held on 11.10.2003 resolved (vide resolution No. BG/73/2003) that the Chairman be authorized to approve the Balance Sheet on behalf of Board of Governors for subsequent audit by CAG auditors.

The Balance Sheet for the year 2009-10 as mentioned above is enclosed for the kind approval of the Chairman.

Also enclosed (i) Balance Sheet 2009-10, (ii) Income and Expenditure Accounts 2009-10, (iii) Receipt and Payment Account 2009-10 and (iv) Significant Accounting policies & Notes on Accounts 2009-10 for your kind perusal.

The entire matter shall be reported in the next meeting of the Finance committee and Board of Governors.

*Secy*  
*2/18/10*

*S. C. Saxena*  
(S. C. Saxena)  
Director

Shri Ashok Bhatnagar Ji,  
Chairman,  
Board of Governors, I.I.T. Roorkee and  
Former Chairman, Railway Board and  
Principal Secretary to Government of India,  
117, Hauz Khas, Apartments, DDA (SFS)  
Aurobindo Marg,  
New Delhi-110016

Encl: As Above

UON/DIR/IITR/118

Dated: June 7, 2010

*[Signature]*  
08 OCT 2010

**INDIAN INSTITUTE OF TECHNOLOGY, ROORKEE  
ROORKEE - 247667**

**BALANCE SHEET AS AT 31ST MARCH 2010**

PARTICULARS	SCH. NO.	CURRENT YEAR		PREVIOUS YEAR	
		AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)
<b>SOURCES OF FUNDS</b>					
<b>CORPUS FUND</b>					
a. Capital Fund	1	10,845,722,467.64		9,462,751,441.95	
b. Institute Development Fund	1A	874,667,351.08		791,987,324.08	
c. Trusts Fund	1B	141,983,999.40		124,945,409.40	
d. JEE Fund	1C	75,336,736.45		57,993,366.45	
e. JAM Fund	1D	7,415,260.13		6,300,666.15	
f. GATE Fund	1E	54,259,552.38	11,999,385,367.10	47,057,938.38	10,491,036,146.41
<b>CURRENT LIABILITIES &amp; PROVISIONS</b>					
A. Current Liabilities:					
a. Univ. Grant Commission Fund	2A	10,161,085.38		9,770,029.38	
b. Govt. of India Fund	2B	44,329,949.16		36,012,648.16	
c. SRIC Fund	2C	1,152,016,175.09	1,206,506,609.63	912,334,471.73	958,117,149.27
UNUTILISED GRANT TOWARDS PAYMENT OF REMAINING ARREARS (40%) DUE TO SIXTH PAY COMMISSION			80,000,000.00		176,200,000.00
EXPENSES PAYABLE	3	71,530,858.00		47,693,453.00	
SECURITY DEPOSITS	3A-3C	39,391,443.87	110,922,301.87	29,582,298.87	77,275,751.87
<b>TOTAL (RS.)</b>			<b>13,396,814,478.60</b>		<b>11,702,629,047.55</b>
<b>APPLICATION OF FUNDS</b>					
<b>FIXED ASSETS</b>	4A-4C		10,568,032,178.35		9,179,422,379.85
<b>INVESTMENTS</b>	5A-5B		1,192,778,691.00		891,993,515.00
<b>CURRENT ASSETS, LOANS &amp; ADVANCES</b>					
A. Current Assets:					
a. Cash & Bank Balances	6A-6B	1,132,754,079.40		1,205,866,744.70	
b. Interest Accrued on Investments		176,198,143.00	1,308,952,222.40	146,944,289.00	1,352,811,033.70
Advances Recoverable in Cash or in Kind:					
a. Advance against Foreign Letters of Credit issued by banks (pending adjustment)	7-7A	286,407,173.00		226,964,593.00	
b. Sundry Advances	8-8B	32,307,610.85		43,878,701.00	
c. Securities	9	8,336,801.00	327,051,386.85	7,558,825.00	278,402,119.00
<b>TOTAL (RS.)</b>			<b>13,396,814,478.60</b>		<b>11,702,629,047.55</b>
<b>SIGNIFICANT ACCOUNTING POLICIES &amp; NOTES TO ACCOUNTS</b>	10				

(Yudhveer Singh)  
F.C.A., ISA (ICAI)

P. Kumar,  
(Pradeep Kumar)  
Dean, Fin. & Planning



(Suman Kumar)  
Asstt. Registrar (A & A)

(Ashok Bhatnagar)  
Chairman, Board of Governors

(S.K. Saxena)  
Asstt. Registrar (Finance)

(S.C. Saxena)  
Director

INDIAN INSTITUTE OF TECHNOLOGY, ROORKEE  
ROORKEE-247667

MAIN INCOME AND EXPENDITURE ACCOUNT FOR THE YEAR ENDED 31ST MARCH 2010

PARTICULARS	SCH. NO.	Current Year		Previous Year	
		AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)
<b>INCOME:</b>					
Grant Received from MHRD	1	2,894,050,000.00		2,575,975,000.00	
Less : Grant for Plan items for acquisition of Assets/ Other Capital Expenditure transferred to and Included in Capital Fund PLAN A/C - 273541 PLAN OBC A/C - 217041		310,000,000.00 <u>1,057,850,000.00</u>	1,526,200,000.00	600,000,000.00 <u>1,111,506,000.00</u>	864,469,000.00
Other Grants Received	2		34,590,982.00		23,095,590.00
Academic/Educational Receipts	3		213,092,595.00		152,976,432.00
Building Income	4		23,204,636.00		22,453,623.00
Interest Income	5		8,524,725.59		10,499,136.00
Examination Receipts [PG AD (M. TECH) - 01-112597]	-		5,410,920.00		5,753,372.00
Conference Receipts.	-		8,450,650.17		16,343,818.00
Other Misc. Incomes	6		4,393,416.53		4,656,615.65
<b>TOTAL [A]</b>			<b>1,823,867,925.29</b>		<b>1,100,247,586.65</b>

(Yudhveer Singh)  
F.C.A., ISA [ICAI]

P. Kumar,  
(Pradeep Kumar)  
Dean, Fin. & Planning

*Ashok Bhatnagar*  
(Ashok Bhatnagar)  
Chairman, Board of Governors

(Suman Kumar)  
Asstt. Registrar (A & A)

*S.C. Saxena*  
(S.C. Saxena)  
Director



INDIAN INSTITUTE OF TECHNOLOGY, ROORKEE  
ROORKEE-247667

MAIN INCOME AND EXPENDITURE ACCOUNT FOR THE YEAR ENDED 31ST MARCH 2010

PARTICULARS	SCH. NO.	Current Year		Previous Year	
		AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)
<b>EXPENDITURE:</b>					
Establishment Expenses	7		1,213,693,490.00		648,846,165.00
Departmental Expenses	8		41,687,819.00		36,167,383.00
Administrative & Other Misc. Expenses:					
A. Educational Expenses:					
(a). Scholarship/ Awards/ Fellowship	-				
Main A/c No. - 18601		133,351,124.00		115,451,869.00	
MCM SCHOLARSHIP - S.A A/c No. - 2929		15,547,500.00		12,140,500.00	
CSIR A/c 43610		15,115,988.00		13,405,547.00	
WRDTC A/c		23,022.00		5,782.00	
National Scholarship A/c - 17184		8,438,554.00		6,148,904.00	
(b). Other Educational Expenses (Main A/c - 18601)	-	4,770,427.00	177,246,615.00	4,554,254.00	151,706,856.00
(c). Convocation/symposium/ other function expenses	-				
National Conference & Syposium (Main A/c - 18601)		1,155,211.00		1,440,615.00	
Convocation and other Function Exp. (Main A/c - 18601)		1,175,641.00		1,130,538.00	
International Conference & Syposium (Main A/c - 18601)		3,189,570.00		3,479,756.00	
Conference Expenses (Conference A/c)		3,624,670.00	9,145,092.00	5,893,006.00	11,943,915.00
(d). Mess Expenses/ subsidy :	-				
Mess Subsidy (Main A/c - 18601)		18,029,546.00		11,387,486.00	
Mess Exp. - CCB A/c (S.A A/c No. - 2929)		32,550,768.00	50,580,314.00	1,799,198.00	13,186,684.00
(e). Contribution for Students Recreational Expenses	9		8,310,313.00		9,203,762.00
(f). Examination Expenses [ P.G A.D - M TECH A/C - 112597]	-		3,660,956.00		3,974,794.00
B. Other Administrative Expenses	10		147,384,792.15		97,838,553.89
Shawan Expenses					
S.A A/C-2929		474,300.00		424,500.00	
B.R.P A/C-18602		2,899,656.00	3,373,956.00	2,180,502.00	2,605,002.00
Repair & Maintenance Expenses	11		62,078,981.00		47,928,535.00
Trfd. To IDF out of Current Year Savings			39,200,000.00		29,900,000.00
<b>TOTAL [ B ]</b>			<b>1,756,362,328.15</b>		<b>1,053,301,649.89</b>
Balance being excess of Income over Expenditure [A-B]			67,505,597.14		46,945,936.76
<b>BALANCE BEING SURPLUS/ DEFICIT CARRIED OVER TO CAPITAL FUND</b>			<b>67,505,597.14</b>		<b>46,945,936.76</b>

(Yudhveer Singh)  
F.C.A., ISA [ICAI]

P. Kumar,  
(Pradeep Kumar)  
Dean, Fin. & Planning

*Ashok Bhatnagar*  
(Ashok Bhatnagar)  
Chairman, Board of Governors

(Suman Kumar)  
Asstt. Registrar (A & A)

(S.C Saxena)  
Director

INDIAN INSTITUTE OF TECHNOLOGY, ROORKEE  
ROORKEE-247667

MAIN A/C-18601

RECEIPTS AND PAYMENTS ACCOUNT FOR THE YEAR ENDED 31ST MARCH 2010

AMOUNT(RS.)	RECEIPTS	AMOUNT(RS.)	AMOUNT(RS.)	AMOUNT(RS.)	PAYMENTS	AMOUNT(RS.)	AMOUNT(RS.)
				861,957.00	A. Repair & Maintenance Expenses:		
				45,580,838.00	(a). For Equipment	2,072,226.00	
				544,695.00	(b). For Building & Roads	57,923,853.00	
					(c). For Vehicles	716,818.00	
				1,141,045.00	(d). For Computer		
					(e). For Furniture & Fixtures	1,366,084.00	62,078,981.00
				1,928,105.00	B. Payments-Others:		
				4,559,942.00	(a). Tender Security Refunded	1,272,945.00	
				45,300,000.00	(b). Rundry Advances pending	3,988,979.00	
				400,000,000.00	(c). Grant Trfd. To DFT, Sro.	80,100,000.00	
				97,600,000.00	(d). Temporary Loan Refunded To IDF A/c	395,000,000.00	
				29,900,000.00	(e). Grant For 2007-08 Trfd. To IDF A/c		
				65,000,000.00	(f). Trfd. To IDF out of C.Y. Savings	39,200,000.00	
				2,500,000.00	(g). Trfd. To Fee A/c 2929	50,000,000.00	569,561,924.00
					(h). Trfd. To JEE A/c		
				14,393,010.00	C. Payment of Expenses Payable of		
				11,389,095.00	Previous Year		
				6,400,274.00	Salary Teaching	16,967,189.00	
				1,517,740.00	Salary Non Teaching	16,806,588.00	
				208,776.00	Pension Self	7,130,097.00	
				3,071,046.00	Family Pension	1,770,114.00	
					Telephone Expenses	191,722.00	
					Electricity Expenses	2,261,524.00	45,127,234.00
				181,647,798.77	D. Closing Balances:		
				4,195,350.00	Bank Balance		80,466,788.30
					Cheques In Hand		58,596,555.00
					As At 31-03-2010		
1,767,955,021.77	TOTAL		2,298,505,717.30	1,767,955,021.77	TOTAL		2,298,505,717.30

(YUDHVEER SINGH)  
F.C.A., I.S.A (ICAI)

P. Kumar,  
(PRADEEP KUMAR)  
DEAN, FIN. & PLANNING

(ASHOK BHATNAGAR)  
CHAIRMAN, BOARD OF GOVERNORS

(SUMAN KUMAR)  
ASSTT. REGISTRAR (A & A)

(S. G. Saxena)  
Director

**INDIAN INSTITUTE OF TECHNOLOGY ROORKEE**  
**ROORKEE - 247667**

**SCHEDULE-10**

**SIGNIFICANT ACCOUNTING POLICIES AND NOTES TO ACCOUNTS**  
**ANNEXED TO AND FORMING PART OF FINANCIAL STATEMENTS FOR**  
**THE YEAR ENDING 31<sup>ST</sup> MARCH 2010.**

**I. OVERVIEW:**

- (1) Indian Institute of Technology, Roorkee has been set up on 21<sup>st</sup> September 2001 by Gazette Notification of Government of India, Vide the said notification: the erstwhile University of Roorkee (U.O.R.) has been converted into I.I.T.R. With the said conversion, the rules and regulations under the Roorkee University Act, 1947 have been replaced by the Statutes and Ordinances under the Institute of Technology Act, 1961.

Accordingly, all properties, immovable and moveable, belonging to University of Roorkee have been vested in the I.I.T. Roorkee. Similarly, all Rights and Liabilities of University of Roorkee have been transferred to and are the Rights and Liabilities of the I.I.T. Roorkee as per the provisions laid down in the IITR statute.

- (2) The Institute also provides support to the industry and commercial organizations by way of consultancy-sponsored research. For these purposes the funds are received from the industry as well as other funding agencies, which include both Governmental and non-governmental organizations.
- (3) The Annual accounts of the Institute is prepared on the revised form of Financial Statements for the Central autonomous Bodies (Non - Profit Organizations and similar Institutions) which is suggested by the Ministry of human Resource Development, Department of Secondary Education and Higher education, government of India, Shastri Bhawan, New Delhi vide D.O. No. 2892/JS&FA (HRD)/3/2002 dated 15<sup>th</sup> March 2002.

As per these formats the following accounts have been prepared:

- (a) Balance Sheet;
- (b) Income and Expenditure Account;
- (c) Receipts and Payments Account.

## II. SIGNIFICANT ACCOUNTING POLICIES AND NOTES TO ACCOUNTS:

### (1) Basis of preparation of financial statements:

- (a) The financial statements have been prepared under Historical Cost convention using Accrual method of accounting.
- (b) The accompanying final statements have been prepared by following "Going concern" concept and conform to the generally accepted accounting policies, except stated otherwise.

### (2) The Institute is organized into various departments, divisions and centers and accordingly these financial statements include accounting entries of the following department/ centers / units:

- i) Architecture & Planning;
- ii) Bio-Science & Bio-Technology;
- iii) Chemical Engineering;
- iv) Chemistry;
- v) Civil Engineering;
- vi) Earth Sciences;
- vii) Earth Quake Engineering;
- viii) Electrical Engineering;
- ix) Electronics & Computer Engineering;
- x) Humanities & Social Sciences;
- xi) Hydrology;
- xii) Paper Technology;
- xiii) Management Studies;
- xiv) Mathematics;
- xv) Mechanical & Industrial Engineering;
- xvi) Metallurgical & Material Engineering;
- xvii) Physics;
- xviii) Water Resources Development Management;
- xix) Alternate Hydro Energy Centre;
- xx) Institute Computer Centre;
- xxi) Estate & Work Division;
- xxii) Centre for Continuing Education;
- xxiii) Information Super Highway Centre;
- xxiv) Central Library;
- xxv) Q.I.P. Centre;
- xxvi) Sponsored Research & Industrial Consultancy;
- xxvii) Centre for Transportation;
- xxviii) Nano Technology Cell;
- xxix) Centre for Disaster Mitigation & Management;
- xxx) Educational Technology Cell;
- xxxi) Institute Instrumentation Centre;

In addition to the accounting entries of the aforesaid, these financial statements also include revenues / expenditures / Balances of I.I.T. Roorkee's administration, Recreational Centre, Entrance Examinations, Research projects, financial assistance, Employees retirement benefits and other Capital Account transactions etc.

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(3) REVENUE RECOGNITION:

- (a) The Institute is fully funded by the Ministry of Human resource and Development (MHRD), Government of India. The Government under two major heads i.e. Plan and Non - Plan releases the Grants - in - aid to the Institute in every financial year.

The aforesaid grants have been accounted for on accrual basis. However, grants for plan items (specific nature) have not been considered as revenue income as the same was sanctioned for development purposes, acquisition of assets and for other capital expenditures; and accordingly the same have been clubbed directly with capital fund.

- (b) Income of academic section comprising of fee from students, building receipts have been accounted for on the basis of receipts during the Financial Year even if some period of the course extends beyond the Financial Year.

- (c) Interest income has been accounted for on accrual basis. Interest earned by the institute is exempted under Sec 10(23C)(iiib) of the Income Tax Act 1961.

(4) EXPENDITURE:

- (a) The expenses on account of research work (including expenses of capital nature), departmental operating costs, deposit work payments, repair & maintenance expenses have been accounted for in the year in which they are incurred.

- (b) The expenses on account of Pay & Allowances, Pension, Telephone Expenses, and Electricity Expenses have been accounted for on accrual basis. Accordingly provision has been made for the outstanding expenses up to 31<sup>st</sup> March 2010.


(5) RETIREMENT BENEFITS TO EMPLOYEES:

- (a) The Institute maintains a separate Bank Account for contribution / subscription (Employer's & Employee's) towards Contributory Provident Fund, General Provident Fund, and New Pension Scheme.

**Accordingly separate financial statement showing the total fund balance of GPF, CPF & NPS and Fixed Deposits/ Investments/Bank Balance made out of G.P.F. A/c, C.P.F. A/c, NPS A/c representing the same fund balance have separately been added with the Institute's Balance Sheet as at 31<sup>st</sup> March 2010.**

- (b) Gratuity: Liability towards Gratuity payable on death/ retirement is accounted for on "Pay as you go method" i.e. on payment basis.

- (c) Pension: Liability towards pension is accounted for on accrual basis.

  
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- (d) However the Institute is in process for exploring the option towards evaluation of Retirement Benefits through Actuarial valuer to abide by the provisions of "Accounting Standard-15" and the same is expected to be implemented from next year onwards.

(6) FIXED ASSETS:

- (a) Fixed Assets are valued at historical cost basis, which includes installation charges, custom duty, freight charges and other incidental expenses related thereto. Moreover, there are around two thousand books of rare nature, the value of which cannot be ascertained, but will be taken into account in future after due evaluation.
- (b) Depreciation: As per the Government of India rules applicable to Educational Institutions, fixed assets are not subjected to depreciation and accordingly no depreciation has been charged on fixed assets vide GOI order no. F. 3-16/2002-TS-I dt. 4<sup>th</sup> July 2003.
- (c) As suggested by the AG, Fixed assets acquired from SRIC Accounts have been reflected separately in Schedule-4C.
- (e) Fixed assets acquired from Other Accounts such as JEE, JAM, GATE etc. have been reflected separately in Schedule-4B.


(7) INTERNAL AUDIT SYSTEM:

Indian Institute of Technology, Roorkee has been set up on 21<sup>st</sup> September 2001 by Gazette Notification of Government of India, Vide the said notification: the erstwhile University of Roorkee (U.O.R.) has been converted into I.I.T.R. With the said conversion, the rules and regulations under the Roorkee University Act, 1947 have been replaced by the Statutes and Ordinances under the Institute of Technology Act, 1961.

Accordingly, all properties, immovable and moveable, belonging to University of Roorkee have been vested in the I.I.T. Roorkee. Similarly, all Rights and Liabilities of University of Roorkee have been transferred to and are the Rights and Liabilities of the I.I.T. Roorkee as per the provisions laid down in the IITR statute.

Accordingly, keeping in view its statute, volume of transactions undertaken, legal framework, the institute is required to maintain an effective internal audit system covering all the transactions (Monetary & non Monetary both) of all the departments/centres/divisions etc. for properly organized and effectively operated Internal Auditing so as to equip the management with a tool to monitor the reliability & the integrity of financial and operating information.

Hence an Internal Audit Cell has been established during the last year comprising of a dedicated team of Learned Internal auditors.

  
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The team of Internal Auditors is covering the different areas of Finance, Accountancy, Compliance to Govt. Policies & Regulations and Control procedures including purchase procedures.

(8) INVESTMENTS:

- (a) With Banks: Investment in fixed deposits has been recorded at their face value as at 31<sup>st</sup> March 2010.
- (b) Other investment has been recorded at their face value as at 31<sup>st</sup> March 2010.
- (c) Interest Accrued on FDRs up to 31<sup>st</sup> March 2010 have separately been shown under the head current assets in the Balance Sheet.

(9) FOREIGN CURRENCY TRANSACTIONS:

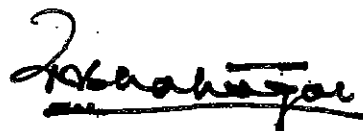
Transactions denominated in foreign currency are accounted for at the exchange rate prevailing at the date of the transactions. The exchange rate differences arising on foreign currency transactions are recognized as gain/loss in the period in which they arise except the gain / loss relating to the fixed assets which have been adjusted to cost there of. The same is in conformity with the **Accounting Standard - 11** applicable to the Institute as issued by the Institute of Chartered Accountants of India.

- (10) Advances made for Computer/Vehicle/HBA have been reflected separately in the Balance Sheet.
- (11) Advance made out of SRIC accounts have been reflected separately in the Balance Sheet.
- (12) During the year separate financial statements showing the total fund balance of GPF, CPF, NPS, MEDIFARE and Fixed Deposits/ Investments/Bank Balance made out of G.P.F. A/c C.P.F. A/c, NPS A/c, Medifare A/c representing the same fund balance has separately been added with the Institute's Balance Sheet as at 31<sup>st</sup> March 2010.
- (13) Previous year figures have been re-grouped and re-arranged wherever considered necessary to conform to the current year classification.

(Yudhveer Singh)  
F.C.A., I.S.A.(IC)



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(Pradeep Kumar)  
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