

Faculty Handbook

A Survival Guide for IITB Faculty



Office of the Dean (Faculty Affairs)
IIT Bombay

Foreword

The need for a handy booklet to consolidate the information a faculty member is likely to need in navigating through her career at IIT Bombay has been a long felt one, and a Faculty Handbook was put together some years ago to address this need. Printed copies of the handbook were made available to all faculty, and a soft-copy was placed on the internal website as well. Since then however, several far-reaching changes in the governance structure, recruitment policies and salary structure have taken place. Considering the magnitude of these changes, it was felt that a thoroughly revised second edition of the *Handbook* was due.

Prof Dipan Ghosh, Department of Physics, kindly agreed to prepare a first draft, and no better person could have been found considering his vast experience in academia and in the Institute's administration. The draft produced by Prof. Ghosh was supplemented with additional information thought desirable in such a handbook¹, and the revised draft was gone through by several people who provided valuable feedback and inputs. Particular mention must be made here of Dr. Ramesh, Deputy Registrar-Finance and Accounts, Mr. K.K. Bajre, Deputy Registrar-Administration and Mr. Marathe, Assistant Registrar-Administration (now retired), who checked the details for accuracy. Further feedback was obtained by providing web access to the draft version to all faculty members of the Institute. Prof Raja Mohanty (Industrial Design Centre) designed the cover. It is hoped that this final version, which incorporates all these, will be useful as a day-to-day reference for faculty members. While one gets to find out written and unwritten rules as one progresses through one's career in the Institute, a handbook such as this is particularly useful for young faculty, who then do not have to consult a senior colleague

¹For example, information on faculty assessment and promotion processes.

for everything. Particular effort has therefore been made to address the issues that concern young faculty.

Finally, a disclaimer. While every effort has been made to keep the *Handbook* up-to-date and accurate, it cannot be regarded as an authority; in the end, it is a guide and details of rules and regulations regarding specifics need to be confirmed from administration when the need arises.

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Dean, Faculty Affairs
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CHAPTER 1

History

The Indian Institutes of Technology were established on the recommendation of a Committee headed by Sir Nalini Ranjan Sarkar, a businessman, educationist, industrialist and public figure. The Committee had recommended establishment of Institutes of national importance to be set up in different regions of India. The first of the IITs was set up in Kharagpur (whose other claim to fame is its having the longest railway platform in the world) in the state of West Bengal in 1950 at a site in Hijli village which used to be a detention camp. The vision of establishing these Institutes is best stated in the words of India's first Prime Minister Pt. Jawaharlal Nehru in his convocation speech at the Institute:



"Here in the place of that Hijli Detention Camp stands the fine monument of India, representing India's urges, India's future in the making. This picture seems to me symbolical of the changes that are coming to India."

Four more IITs followed in quick succession. IIT Bombay was established in 1958, followed by those at Madras (1959), Kanpur (1959) and Delhi (1961). Though the names of the cities Bombay

and Madras were later changed respectively to Mumbai and Chennai, the Institutes at these two places retain the original names. Thus our Institute is IIT Bombay, or in short IITB. IIT Bombay celebrated its Golden Jubilee in 2008.

In 1994, a sixth IIT was established in Guwahati in the State of Assam. Seven years later, in the year 2001, one of the oldest engineering colleges of the country situated in Roorkee (in the State of Uttarakhand) was given the status of an IIT in its 150th anniversary year. The Government of India decided to open eight new IITs from the academic year 2008-2009. These are located in Bhubaneswar (Odisha), Gandhinagar (Gujarat), Hyderabad (Andhra Pradesh), Indore (Madhya Pradesh), Mandi (Himachal Pradesh), Patna (Bihar), Rupnagar (Panjab) and Jodhpur (Rajasthan). In 2012, the Institute of Technology of Banaras Hindu University at Varanashi (Uttar Pradesh) was conferred the status of an IIT, thus making it the latest entrant to the IIT family. There are thus 16 IITs in the country at present.

CHAPTER 2

Governance Structure

There are two sacred documents which stipulate the way the Institute is to be run. The first one is the *The Institutes of Technology Act, 1961*, passed by the Indian Parliament. The act stipulates that the IITs are institutions of national importance and prescribes the broad framework of its governance. The second one is the *Statutes of IIT Bombay* which gives the detailed rules of governance.

1. The Visitor

Formally, the President of India¹ is officially the chief of the IITs; (s)he is called the Visitor of the Institutes. In reality, the Institute does not deal directly with the Visitor, but routes all papers which require her approval through the ministry of Human Resource Development, MHRD for short.

2. The Council

At the very top of all the IITs' administration is the IIT Council. The Chairman of the Council is the Minister of Human Resource Development², which is the central ministry under which our Institute comes. The Council is a very large organization with a large

¹Currently, His Excellency Sri Pranab Mukherjee

²Currently, Hon'ble Sri Pallam Raju.



Dr. Anil Kakodkar

number of (ex-officio) members, e.g. the Chairmen and the Directors of all IITs, Chairman and Director of IISc, Bangalore, Director General of CSIR, Chairman UGC and a few nominated members.

3. The Board of Governors

Each IIT has its own “Board of Directors”, called the Board of Governors or BOG. The BOG meets often, at least four times a year. Almost all major policy decisions have to be approved by the Board. For instance, all appointments, major purchases, constructions, etc. require approval and authorization of the Board. The meetings of the Board are generally spaced every three months. The Chairman of the Board³ approves items which cannot await the next meeting of the Board and such decisions are approved *post-facto* by the BOG.

The Board has 11 members. In addition to the Chairman and the Director of the Institute, who are ex-officio members of the Board, one nominee each of the governments of the states of Maharashtra, Goa and the Union Territory of Dadra and Nagar Haveli which

³Currently Dr. Anil Kakodkar, former Chairman of the Atomic Energy Commission of India.

comprise the zone in which the Institute is situated, are members of the Board⁴. There are four nominees having special knowledge or practical experience in respect of education, engineering or science, who are nominated by the Council as members of the Board⁵. Note that, while there is no nominee of the Government on the Board, the provision of the Council nominees has often been used to have a Government representation on the Board. The remaining two members are nominees of the Senate of IIT Bombay. These members are, in practice, recommended by the Senate Nominations Committee (SNC)⁶. The Registrar of the Institute is the *ex-officio* Secretary of the Board of Governors.

Two powerful committees report to the Board. The first of these is the *Finance Committee*, which acts as the watchdog of the funds of the Institute. Any proposal, which requires major fund allocation is generally routed through the Finance Committee. The Financial Advisor to MHRD is a member of the Finance Committee. The second is the *Building and Works Committee*, which has the power to recommend all major construction projects.

4. The Senate

The Senate is the highest academic body of the Institute, which approves courses of study, frames rules of academic programmes, conducts evaluations and finally recommends award of degrees to

⁴These nominees presently are the Secretary, Higher and Technical Education of the Govt. of Maharashtra, Dr. R.B. Bhatkar from Goa and Shri Gyanesh Bharti, Finance Secretary, UT of Dadra and Nagar Haveli.

⁵Currently, these nominees are: Dr. S.Sivaram (CSIR Bhatnagar Fellow, NCL, Pune), Dr. Ajit Ranade (Group Chief Economist, Aditya Birla Centre), Prof Shobho Bhattacharya (TIFR Mumbai) and Prof Dinesh Singh (Vice Chancellor, Delhi University).

⁶The present members under this category are Prof. N.B. Ballal (Metallurgical Engineering and Materials Science) and Prof. D.K. Sharma (Electrical Engineering).



Prof Devang Khakhar

the Board of Governors. All academic programmes are first proposed by the departments/other academic units, discussed and recommended by the programme committees (PC) of the Senate. Likewise, academic performances are evaluated by the individual instructors or boards of examiners, scrutinized by the academic performance evaluation committees (APEC) of the Senate before being presented for approval to the Senate.

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

5. The Director and Other Functionaries

The CEO of the Institute is the Director⁷, who runs the Institute as per the policies decided by the Board. The Director is appointed by the Government of India and usually has a tenure of five years,

⁷Currently Prof Devang V. Khakhar, a Chemical Engineer by profession.

which may be extended until (s)he reaches the age of superannuation.

5.1. The Deputy Director, Deans and Registrar. The Director is helped in the administration by what can be termed as his cabinet. There are two Deputy Directors, Deputy Director (Academic and Infrastructural Affairs or AIA)⁸, and Deputy Director (Finance and External Affairs, or FEA)⁹, one of who acts as the Director whenever the Director is away.

The powers vested in the Director have been delegated to various functionaries in the interest of smooth administration. Deans have powers of sanctioning within their area of responsibility. There are eight Deans. They are:

- (1) *Dean (Faculty Affairs, FA)*¹⁰: All matters connected with the Faculty broadly fall under the responsibility of this Dean. (S)he initiates and processes the recruitment of faculty. Appointment and administration of Visiting and Adjunct faculty, as well as Postdoctoral Fellows paid by MHRD funds, is also the responsibility of this Dean.
- (2) *Dean (Alumni & Corporate Relations, ACR)*¹¹: (S)he looks after relations with alumni, coordinates donations received from alumni and corporate sources. There is also a Development Office under the Dean (ACR) which catalyses the alumni relations.
- (3) *Dean (Research and Development, R&D)*¹²: The Institute has a very large establishment called Industrial Research

⁸Currently, Prof Subhasis Choudhuri, Department of Electrical Engineering.

⁹Currently, Prof H.S. Pandalai, Department of Earth Sciences.

¹⁰Prof A.K. Suresh, Department of Chemical Engineering, the current Dean, has completed his term and will be handing over charge to Prof J.K Verma of the Mathematics department shortly.

¹¹Currently, Prof Ravi Sinha, Department of Civil Engineering

¹²Currently, Prof P.M. Mujumdar, Department of Aerospace Engg.

and Consultancy Center (IRCC) to take care of its sponsored projects and consultancy matters. Dean (R&D) is the chief of this unit. There is an Associate Dean (R&D)¹³ to help the Dean (R&D) discharge her responsibilities.

- (4) *Dean (Academic Programmes, AP)*¹⁴: The Academic Office is the repository of all records connected with academic performance of students. The Dean (AP) also presides over the undergraduate and postgraduate programme committees (UGPC and PGPC) of the Institute which process all academic proposals received from academic units such as Departments, Schools and Centres. Dean (AP) is assisted in her work by an Associate Dean¹⁵.
- (5) *Dean (Infrastructure, Planning and Support, IPS)*¹⁶: All matters connected with creation of new civil infrastructure and maintenance of the existing civil infrastructure and all related facilities, such as roads, electricity and water supply etc. come under the purview of Dean (IPS). (S)he is also responsible for all estate related matters, including allotment of accommodation. Two Associate Deans¹⁷ assist the Dean in her work.
- (6) *Dean (International Relations, IR)*¹⁸: As the name suggests, this Dean's job is to promote and administer international linkages. The Institute has a very large number

¹³Currently, Prof K.P. Kaliappan, Department of Chemistry.

¹⁴Currently, Prof Shiva Prasad, Department of Physics.

¹⁵Currently, Prof P.C. Pandey, Department of Electrical Engg.

¹⁶Currently, Prof N. Venkataramani, Department of Metallurgical Engg and Materials Science.

¹⁷Currently, Prof B.V. Vishwanadham of the Department of Civil Engg. and Prof. Kishore Chatterjee of the Department of Electrical Engineering. The latter also serves as the Chairman, Accommodation Allotment Committee (AAC).

¹⁸Currently, Prof. R.O. Dusane, Department of Metallurgical Engineering and Materials Science.

of MoUs with many foreign and national institutions. All foreign students in the Institute are required to report to the Dean (IR)'s office for all their interactions with the Institute. Dean (IR)'s office also co-ordinates visits to the Institute by foreign nationals, whether for conferences or other types of academic exchanges, including Visiting faculty.

- (7) *Dean (Students Affairs, SA)*¹⁹: Excepting academic matters (which are dealt with by the Dean-AP), all student issues are the responsibility of Dean (SA), who is also responsible for all extra-curricular activities of the students. (S)he also chairs the Disciplinary Action Committee (DAC) which looks into infringement of disciplinary rules applicable to the students. Dean (SA) is assisted in her work by an Associate Dean²⁰.
- (8) *Dean (Administrative Affairs, AA)*²¹: Broad policy issues relating to administration, such as management of staff manpower, continuous planning and reworking of administrative workflows, Automation of administrative procedures, etc. come within the purview of this newly created deanship.

Then, there is the *Registrar*²², who is officially the custodian of all records and funds received by the Institute. (S)he signs the cheques issued by the Institute and all payments payable to the Institute are paid to the Registrar, IIT Bombay. (S)he is also the

¹⁹Currently, Prof. U.A. Yajnik, Department of Physics.

²⁰Currently, Prof Anindya Datta, Department of Chemistry.

²¹Currently, Prof Y. M. Desai, Department of Civil Engineering.

²²The position is vacant at present, Shri B.S. Punalkar, the previous incumbent, having retired recently. Dr. Indu Saxena, Deputy registrar (Admin) is the Acting Registrar.

Member-Secretary of the Senate and the Secretary of the Board of Governors.

6. Academic Units & their internal administration

The broad disciplines in which IITB has its teaching and research activities are those of Engineering, Science, Management, Design and Educational Technology. The academic activities in these areas are hosted in 14 Departments, 1 School, 6 Centres and 4 Interdisciplinary programmes. By convention, a 'Department' is a unit which offers the whole range of academic programmes ranging from undergraduate to doctoral degrees. A 'Centre' hosts post-graduate and research programmes. Interdisciplinary programmes (IDPs) are nucleated by faculty coming together from different disciplines to define a common research agenda, and over time as the activities take a definite shape and build up in strength, such IDPs may become Centres themselves. Schools are set up in targeted areas, with significant funding from external sources. In addition, there are service centers such as the Computer centre, which do not host any academic or research programmes.

The academic units mentioned above are headed, usually by a faculty member of the unit itself, and usually of the rank of Professor. The Head of an academic unit has a term of three years. The position is similar to what is known as the 'Department Chair' in the West. All papers from the Department are routed through the Head. A Head is appointed by the Director, generally by seeking a consensus view from the faculty of the unit.

The Head of an academic unit functions with the aid of several committees. The largest and most important of these is the Departmental faculty itself, which meets as a body at least once every semester, and takes major decisions of broad impact. Then there is the Departmental Policy Committee (DPC) which meets at least twice every semester and takes decisions on issues of a policy

nature. The DPC has the important role of ensuring continuity in broad policy directions and is an elected body with representation of all constituent cadres and groups of faculty in the department. The deliberations of these committees, in the form of minutes, is communicated to concerned functionaries in the central administration, who are thus apprised of the issues the departmental faculty are seized of. The structure and function of these and other committees were set out in the Report of the Committee for Review of the Academic Bodies (which has come to be known as the CRAB committee report) in 1972 (detailed guidelines in respect of DPC were formulated in 2011).

CHAPTER 3

When You Are New

Welcome to I.I.T. Bombay's faculty fraternity. The Institute promises you interesting times ahead. Things might look a little difficult at first, particularly if you are arriving from a western country. Things which you took for granted abroad, may not be so simple here. However, we have come a long way from the hard times which greeted new faculty members a couple of decades back. Also, the Institute administration is constantly striving to make the transition smoother, and is open to your suggestions in this area. Here is a quick look at what you need to do on arrival.

1. Formalities before and at the time of joining

First, once you have decided on the dates of your arrival, write an email to your Head of the Department with a copy (cc) to the Dean (FA), requesting her/him to book a room in the Institute Guest House where you can check in on arrival. You may also request transport to receive you at the Airport.

The Institute provides for *Relocation Allowance* to new faculty. The cost of travel for the faculty member and family (spouse and dependent children) and transportation of household goods are reimbursable up to a limit of Rs 50,000/- if you are joining from a place within India, and is Rs 100,000/- (one Lakh) if coming from abroad. Keep your receipts/air-tickets etc. for claiming the reimbursement. If you accept the relocation allowance, you have to agree to serve

the Institute for a minimum period of three years. If you leave the Institute before this period, the Institute may ask you to return the relocation amount paid, either fully or partially.

If you are joining as a fresh faculty as an *Assistant Professor*, you are eligible to receive the *Young Faculty Award (YFA)* instituted by our alumni. You will receive Rs 1 lakh per year for a period of four years. This amount helps you to meet expenditures that you will have to incur to set up a new house and take care of other immediate needs. Do spend a few minutes to send a letter of appreciation to our Alumni Association (through the Office of the Dean (ACR)) for this gesture. The relocation allowance and YFA are admissible to Assistant Professors (contractual basis) also, appointed through statutorily constituted selection committees.

Immediately on joining —

- (1) You have to make a visit to the Administration Section to complete joining formalities. For this purpose you need
 - (a) original and copies of all academic certificates from SSC (10th Board) to Ph.D. SSC or HSC certificate which gives your date of birth is very important as the Administration does not accept any other proof of date of birth.
 - (b) several passport size photographs for various purposes.
 - (c) if you were previously employed, a certificate stating that you have been relieved of your position there.
- (2) The Administration section will, in turn, give you several letters and forms. Two letters of immediate importance are the ones to (i) Chairman, Accommodation Allotment Committee (AAC), requesting that a quarter be allotted to you and (ii) IIT Hospital, to examine you and certify that you are medically fit.

- (3) Take the Accommodation Committee letter to the Estate Office and give it to the person looking after accommodation matters¹ who will tell you about the possibilities that exist. The *ad-hoc* accommodation provided to you is likely to be either a Vihar House flat or a flatlet in the Staff Hostel. The accommodation is very basic and consists of a one room-kitchen accommodation (Vihar House) or a one Bedroom-Hall-Kitchen (one BHK in Mumbai lingo) in the Staff Hostel Annexe, depending on availability. (If you happen to have joined the Institute directly as a Professor, you will get a C-type quarter - 2 or 3 BHK - as your ad-hoc allotment). Moving to regular accommodation takes time (the period has been one to two years in the past, but is expected to come down to a matter of a few months by mid-2014) and allotment of regular accommodation is done by a seniority rule². The quarters do not come furnished and you will have to furnish it yourself. A home telephone connected to the internal exchange will be provided which does not have outside call facilities. You may decide to get a personal telephone connection either from MTNL or from one of the private operators. Your quarter also has internet facilities connected to the Institute network.
- (4) Retain your accommodation allotment letter in a safe place, as it will serve as proof of address for various purposes; in particular, it will come in useful for applying for a LPG cooking cylinder connection or for getting a Ration Card. While the importance of a Ration Card has now diminished substantially, LPG connection is essential if you plan

¹currently, Mr. Ravindran.

²Refer to <http://www.iitb.ac.in/deanpl/allotment.html> for accommodation allotment rules and updates.

to cook at home. Take your accommodation allotment letter to Maharashtra Gas Service, which is located in the building known as 'Powai Plaza' at the Pizza Hut junction on the main road outside IIT (Adi Shankaracharya Marg). You will have to make some deposits to get a gas connection, which fortunately does not take much time.

- (5) The letter to IIT Hospital is to be presented to the Hospital reception, where an appointment will be scheduled for your medical examination.
- (6) There are a few other forms to be filled up, viz. an attestation form, a form declaring your dependents, a form for joining the Group Insurance Scheme and exercising your option for joining the Defined Contributory Pension Scheme (DCPS).
 - (a) *Group Insurance Scheme* provides for an insurance cover of Rs 8 Lakhs during the service period of an employee. A premium of Rs 800 per month is directly debited from your salary. A part of the premium is invested and is refunded with interest at the time of retirement (or leaving the Institute) while another part pays for the insurance cover. There is no annuity payable for this insurance.
 - (b) Faculty joining the service after 1st January, 2004 have to join the *New Pension Scheme* or NPS, details of which are given further on (Chapter 9). For people joining earlier to this date, there was the *Provident Fund (PF) Scheme* – compulsory, though called an option because of an option of joining either a Pension scheme (GPF) or a non-pension Contributory PF (CPF).
 - (c) *Attestation Form* is to be filled up so that the Institute can verify that you have not been involved in criminal

activities in the past. You will have to provide all addresses where you have resided during the preceding five years. A clearance from the police is mandatory before your services are made permanent (a process termed as confirmation).

- (d) *Dependents*: You will have to make a declaration of your dependents who will be eligible for various service facilities like Leave Travel Concession, Medical benefits etc. Your spouse is treated as a dependent, whether employed or not. Sons are dependents till the age of 25 or till they start earning, whichever comes first (no age bar for permanently disabled sons). Daughters are considered dependents till they start earning or till they get married, whichever is earlier. You can declare your parents as dependent provided they live with you and do not have independent income (exceeding Rs 3500 per month) of their own.
- (7) Now that you are done with the Administration Section, return to your Department and fill up a joining report form which will be signed by the Head of the Department and sent to the Administration. The Department will provide you with an office space equipped with a telephone (with limited local and STD (long distance) facility) and of course stationeries. A personal desktop computer with internet connection will also come within a few days.
- (8) Once the Administration processes your joining report, intimation of your having joined is sent to various sections such as the Library, Security Section, Hospital etc. You and your family members will be photographed and identity cards issued by the Security Section located on the ground floor of the Main Building. For the employee, the identity card doubles as the Library card as well. You

will have an *employee salary code* number which you will need in connection with all payments and financial transactions within the Institute. It is good to memorize this even though you usually have your identity card handy.

- (9) With joining formalities completed, you have to pay attention to other issues, like getting a child admitted to a school. The campus has two schools, one Kendriya Vidyalaya (Central School), affiliated to Central Board of Secondary Education (CBSE) and the other, Campus School, affiliated to the Maharashtra State Board. Campus School is exclusively for the children of IIT employees while in the Kendriya Vidyalaya most of the seats are reserved for them. You are likely to have some anxious moments before your child gets an admission, but eventually it works out. In case of exceptional difficulty in getting admission into the Kendriya Vidyalaya, our Director, who is the Chairman of the Vidyalaya Management Committee always helps out by exercising his discretionary quota. There is also a Professor-in-Charge³ who you may contact for helpful advice in case of difficulties. The Campus School also has a kindergarten school for children above the age of three. For younger kids there is a private creche (Sishu Vihar, currently temporarily located in Bungalow A-5, near the main gate of the Institute), and run by an NGO.
- (10) *Ration Card*: A document which was a very precious one in the days of scarcity and non-availability of food grains in open market has lost its pristine glory. As the document still serves some purpose, it is good to acquire one though there is no tearing hurry. To get your ration card you will

³Currently, Prof. Virendra Sethi, Centre for Environmental Science and Engineering.

have to visit the S-ward office near Bhandup post office, fill up a form (in Marathi, but there are good samaritans to help you fill it up) and submit it with some insignificant amount of fees. It is half a day's work for you. Some time later, someone from the ration office will make a visit to verify your claims of residing in Mumbai after which you will have to make a second trip to the same office to collect your card.

- (11) You will have to apply for a *Permanent Account Number (PAN)* which is to be used in all your income tax returns; it is needed also by the banks for large volume transactions. There are many agents (e.g. UTI at Ghatkopar or in Galleria, Hiranandani Gardens) who can take care of it. You need to provide copies of your photograph and a proof of residential address for the same.

You can also obtain a PAN card by making an online application⁴. Fill in the online form 49A, pay the required fee (Rs 105) through credit/debit card or by net banking. You will get an acknowledgement which you will have to save and take a printout. On this acknowledgement form, fix two photographs and affix your signature as instructed. You will have to enclose an identity proof and an address proof (employer's certificate or a copy of the address page of your bank passbook are also acceptable) and mail it to the address given in the form. In about two weeks, you will receive your PAN card by post.

While you are at it, it is good to get a PAN for your spouse as well, whether or not the spouse is employed.

- (12) *UID Number (or Aadhar Number)*: When you have a bit of time to spare, get a photo identification issued by the Unique Identification Authority of India. Administration

⁴At <https://tin.tin.nsdl.com/pan>.

will be able to provide you with details of the nearest data collection center at which an application can be lodged (at certain times centers were operated on campus also). It is a good idea to take this for your whole family in one go.

- (13) You will need to get a bank account so that your salary can be deposited at the bank. There are branches of two banks on campus, viz. State Bank of India and Canara Bank. Drop in there with your identity proof and a photograph and open a bank account. You may require one of your colleagues holding an account in the same branch to provide an introduction. There are several private banks (HDFC, ICICI, Axis Bank, South Indian Bank), public sector banks (e.g. Oriental Bank of Commerce, Andhra Bank, Vijaya Bank etc.), foreign banks (HSBC) around IIT, particularly in the area known as Hiranandani Gardens.

2. Regularization and confirmation of service

Subsequent to the implementation of the 6th Pay Commission orders (effective from 1.1.2006), Institutes such as ours cannot offer a regular faculty position to one with less than 3 years professional/postdoctoral experience (not counting any experience gained during the PhD years). In such cases therefore, the Institute makes an appointment at the Assistant Professor level *on Contractual basis* through its regular selection processes. At IITB, through a BOG resolution, it has been made possible to extend to such appointees, all facilities that regular faculty members are entitled to. If you are appointed on contractual basis, the administration keeps track of when you complete the requirement of 3 years of experience (the experience gained after the date of PhD defense is counted), and sends a form to your department, that you have to fill for your appointment to be *regularized*. This form, in which you have to provide details

of your accomplishments since obtaining the PhD degree, has to be filled and returned with your Head's forwarding comments, to the Dean (FA). In case you have prior experience that the administration is unaware of, that you feel should be counted against the 3 year requirement, you may make a representation through your Head of Department to Dean (FA), together with documentary evidence of the experience you are claiming.

A faculty member recruited to any cadre is placed on *probation* for a period of 1 year. At the end of this period, administration requires you to fill a form (on your accomplishments during the probation year) and return to Dean (FA) through the Head of your Department for *confirmation* of your appointment.

3. Should you decide to leave...

While we sincerely hope that you will find this Institute and its environment comfortable to live and exciting for your academic pursuits, and that you will be with us till you retire at the age of 65, in case you decide to leave us on resignation for any reason, you may do so giving a three months' written notice. In principle, the Institute may terminate the service of any employee by giving a three months' notice or salary in lieu thereof along with sufficient reason justifying such termination. During the period of probation, however, the Institute needs to give only a month's notice for termination and no reason may be given for such act. You may also opt for 'voluntary retirement' from the service of the Institute by giving a three months' notice after having served the Institute for a minimum period of 20 years. Voluntary retirement is discussed in Chapter 9.

CHAPTER 4

You as a Faculty Member

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

1. What the Institute expects of you

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

- (1) A *seed grant* of Rs. 20 lakh plus support for a PhD student in the project mode. Higher seed grant amounts may be considered for equipment intensive research. You need to see the Dean (R&D) regarding this, soon after you join.
- (2) *Space*: A minimum of a faculty cabin (10'×15') and a working space of 300 sq. ft. to be identified before the person joins, and made available on joining.

- (3) Reduced teaching load (say a course associateship) in the first semester (unless the faculty member wants to be involved in intensive teaching right from the start). Similarly, administrative load to be kept to a minimum in the initial semester.

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

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

2. Typical activity profile of a Faculty member

The three main areas in which faculty members contribute to the Institute are Teaching, Research and Service¹. It is expected that, averaged over the year, a young faculty member spends of the order of 30% of one's time during the working week on teaching, and up to 20% on service-related activities, leaving the rest of the time (50% of the working week, but you also have the weekends!) for research. It may therefore be expected that, at various points

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

where one's contributions are to be assessed, these weightages will apply.

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

3. Teaching at IITB

As a core activity (along with research), teaching involves delivery of courses (and performance of associated activities such as evaluation) as part of the Institute's academic programmes. The rules governing various aspects of administration and conduct of the academic programmes are determined by the Senate. IIT Bombay prides itself on a flexible curriculum for its programmes, which gives each student ample opportunity to pursue her academic interests irrespective of the discipline to which she belongs. As a faculty member, you can propose new courses as electives in your area of expertise. Such courses go through a process of approval, first at the departmental level, then at the level of the appropriate Program committee (PC) of the Senate, and finally at the Senate itself.

IITB follows a credit system for its educational programmes, in which the credits assigned to an academic activity are indicative of the quantum of work involved in that activity. Thus, the credits for a course, for example, depend on the number of Lectures per week (2 credits per lecture hour), the number of Tutorials per week (2 credits per tutorial hour) and the number of Practicals or Laboratory hours per week (1 credit per hour). Most theory courses are worth 6 credits and are made up of 2 lecture hours and a tutorial hour per week (i.e., a 2-1-0-6 structure). Credits are also assigned to activities such as seminars and projects. The assessment of a student's

performance in a course is by continuous evaluation through the duration of the course, and the Instructor has considerable freedom in deciding the components of evaluation and their relative weights. Typical components are assignments, tests and other activities such as course projects which run through the semester, a mid-semester examination (typically worth 30% towards the final grade) and the end-semester examination (typically work 50%). The final percentage marks obtained by a student are converted to a letter grade, usually based on the performance of the student relative to the class (the conversion can also be on an absolute basis, for example if the student strength is very small for a course). These and other details are available on the Academic office' webpage². Instructors are expected to make known the evaluation methodology at the beginning of the course, and also make available the corrected answerscripts for every assignment, quiz or examination (including the end-semester exam) for the students' inspection. The instructor gets a feedback on the effectiveness of her teaching through a system of on-line course evaluation by students, which happens at the end of the teaching semester.

4. Continuing Education Programmes

The Institute has an active 'Continuing Education Programme (CEP)' which is managed by the CEP cell. This cell also co-ordinates the 'Quality Improvement Programme', a programme of the Government of India to upgrade the skills of practicing teachers in Engineering colleges in the country. You can offer courses to Industry in specific areas of your expertise, through the CEP cell. Courses to academics are offered under the QIP programme. Details are available on The CEP webpage³.

²<http://www.iitb.ac.in/acad/index.html>

³<http://www.iitb.ac.in/cep/about/index.html>

5. Consultancy

The Institute has rather liberal rules on consultancy, in order to facilitate the interaction of its faculty members with industry. All your consultancy work must be processed through the Institute (Dean R&D). The Dean (R&D)'s website may be consulted in regard to the process to be followed when you would like to take up a consultancy assignment, as well as for details of how any revenue from such activity is to be shared between the Institute and the consultant.

6. Directorship in Companies

The Institute encourages faculty to develop industrial relations and permits employees to be on the Board of Directors of Companies. You must, however, apply to the Director, through the Dean (FA), to obtain permission for this purpose. You may accept a sitting fee given to members of the Board for attending meetings.

7. Starting a company based on your research/ technological breakthroughs

The Institute encourages you to capitalize on your research findings which have an application potential, through starting your own company or enterprise on campus. This requires that permission be obtained by applying to the Director, through the Dean (FA)⁴. The application process involves, among other things, application of due diligence to ensure there is no conflict of interest involved. A company called the *Society for Innovation and Entrepreneurship*

⁴See link at <http://internal.iitb.ac.in/imcwork/faculty/>, also linked from the main IITB webpage, for details.

(SINE)⁵ has been created for the sole purpose of facilitating the transition from laboratory to marketplace by providing incubation facilities, and is the sole vehicle for translation of research/technological breakthroughs by the Institute's faculty members to commercial enterprises.

8. Self Assessment and Promotion to higher posts

The Board of Governors has approved a proposal, based on considerations of the typical activity profiles of faculty members, to implement a process of Annual self assessment for all faculty, beginning 2014. The Institute Faculty Affairs Committee (IFAC), an advisory body to the Dean (FA), has finalized the details for carrying out this assessment, and the details are available on Dean (FA)'s webpage⁶ (also linked from the Institute's main webpage, under 'Internal links').

Till recently, internal candidates could apply for higher posts only when the Institute issued a call for applications, which happened once every two years. Changes to the promotion process⁷ recently approved by the Board make it possible for internal candidates to apply for the next higher post against the open advertisement on the Institute's webpage that is always active, when they satisfy the requirements specified in the advertisement and feel they are ready to go to the next level based on their performance in the

⁵Details of the vision and mission, as well as the rules and procedures for incubating a company under SINE are available at <http://www.sineiitb.org/>

⁶<http://internal.iitb.ac.in/imcwork/faculty/>

⁷Note that the term 'promotion' is used somewhat loosely here, since any faculty post at any of the IITs may only be filled by fresh selection, and there is no provision for 'promotions' as in other organs of the Government.

present post⁸. Such applications will be reviewed first at the Departmental level and then by IFAC, and the shortlisted applications go through a peer review process before being put before a statutorily constituted selection committee chaired by the Director. Details of the new promotion policy are available on the Dean (FA)'s webpage (see under 'Internal links' on the Institute's webpage).

⁸The performance criteria are fairly clearly spelt out (see the Dean(FA)'s webpage), and it is expected in the course of two to three years that the performance criteria get linked to the annual self-assessments mentioned above.

CHAPTER 5

Ethics and Code of Conduct

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

1. Matters of general conduct

- (1) *Dealing with the Press:* Much as we like to see our name in print, the only place where your printed name can freely appear without raising eyebrows (or may be raising eyebrows in an agreeable way!) is in a professional journal. You do not need to take any permission to send a technical manuscript for publication. If what you are writing or talking about is of literary, artistic or scientific value only, you may even write to newspapers or periodicals. However, talking to the press (this includes all forms of interaction with print and electronic media) on any other matter should generally be avoided, and left to functionaries in the main building. If you would like to express your views on an issue, you need to take the Director's permission.

- (2) Joining a political party or canvassing in an election is banned. (You can, of course, contest an election in a professional body.)
- (3) Criticism of the Institute in any mass media (print or electronic) is not permitted. (To give vent to your frustration if any, the Computer Centre of the institute has provided a discussion group called the 'discuss-faculty' where you can write and engage your colleagues in a debate on matters about which you feel strongly. This newsgroup is not moderated but it is good to use restrained language).
- (4) *Redressal of Grievances:* If you have a grievance, try to sort it out by writing to or meeting the concerned Dean, the Deputy Director or the Director. If the official response, even after writing to the Director, leaves you dissatisfied, you may make a representation to the Chairman of the Board. Such representation should be through the Director. In extreme cases, you may take your grievance to the Visitor (who is the President of India). However, in all cases, you should go through what is known as proper channel, i.e., route all your representation through HOD, Director and the Chairman, in that order. The forwarding authority does not have the right to stop your representation being forwarded upwards excepting in circumstances such as (i) a similar petition made earlier has been disposed off and no new facts are brought out in the new petition, (ii) your representation is not to the appropriate authority, or (iii) the petition is against a decision which is final by any law or statute. In such cases, the appropriate authority will write you a reply explaining the reasons why your petition may not be forwarded.
- (5) You may, of course, seek to redress grievances in a court of law without any permission. However, it is in good taste

to first exhaust all possibilities of finding a solution to your problems within the internal framework as stated above.

2. Sexual Harassment of women at the workplace

This section is primarily meant for male faculty. As a teacher you would interact with a lot of female students. Likewise you would interact with female colleagues and other staff. Your behaviour in all such interactions must be impeccable. The Supreme Court of India defines sexual harassment as unwelcome sexual behaviour, whether directly or by implication, such as through

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

Except where such an act amounts to a specified offence under the Indian Penal Code (which then has to be dealt with by the Police under applicable law), a victim of sexual harassment (or one who perceives sexual harassment to oneself) may lodge a complaint to the Director, Deputy Director or to the Dean (FA). Students can take their complaint to the Dean (SA). Any employee or student can approach the *Womens' Cell* constituted by the Institute, either for advice or for redressal. An inquiry by the *Womens' Cell* has the status of an official inquiry under the Civil Service Rules, and employees have to co-operate with the Cell in its investigations.

3. Plagiarism

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

4. Consultancy ethics

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

5. Right to Information

In 2005, the Indian Parliament enacted a legislation known as the *Right to Information (RTI) Act*, which empowers a citizen to get any information from the Government or from any publicly funded institution. Exceptions are few and an educational institute does not qualify for exemption. This requires faculty members to be extra careful. For instance, any one can ask for the marking scheme adopted while awarding grades or, for that matter, a copy of the mark sheets of all students in a course. A query from the Institute's Public Information Officer¹ must be answered within a stipulated time limit. Details of RTI is available on IITB's website. (Incidentally, you can also take advantage of this act to elicit information from the Institute functionaries if you have not succeeded in doing so by gentle persuasion!)

¹Currently, Dr. Indu Saxena, Deputy Registrar (Administration)

CHAPTER 6

Salary, Allowances and Other Benefits

Your salary is paid directly to your bank account on the last day of the month excepting for the month of March when it is paid on the first working day of April. The *Financial Year* for tax purposes is from April 1 of a given year to March 31 of the following year. The income tax uses *assessment year* for submission of Income Tax Returns, which is the financial year in which the return is filed¹. A printed salary slip is given to every employee around the end of the month showing details of earnings and deductions and the net pay that will be paid to the bank account of the employee. Salary slip of every employee is also uploaded in the internal website of the Institute (<http://asc.iitb.ac.in>).

1. Components of salary

The salary that you get has several components.

- (1) *Band pay and Grade pay*: What used to be called basic pay in earlier years is now replaced, after implementation of the 6th pay commission's provisions, by a sum of two components, viz., *Band Pay* and *Academic Grade Pay* (AGP, defined below). The position to which you are appointed (or move to after selection to a higher post) defines

¹Thus the current assessment year is 2013-14 but the return for the financial year 2013-14 is to be filed in the assessment year 2014-15.

the basic component. All Government servants in India are placed in one of many *pay bands*. Faculty members in Institutes such as IITs are placed in one of the following two pay bands:

Pay Band 3: Band Pay range: Rs 15,600 to Rs 39100.

Pay Band 4: Band Pay range : Rs 37,400 to Rs 67,000

Your salary within the pay band is fixed at the time of your appointment and increases every year by an *increment*. In addition, every position carries a fixed component of pay, known as the Academic Grade Pay (AGP). The various cadres, processes for selections, and salary scales (i.e., Pay Band and the corresponding AGP) for the faculty are as follows:

- *Assistant Professor:* Assistant Professors (provided they have a minimum of 3 years experience post-PhD) are initially appointed in Pay band 3 with an AGP of Rs. 8000 and a minimum pay of Rs 30,000 in the pay band. After spending three years in this pay band and AGP they will move to Pay Band 4 (Rs. 37,400 - 67000) with an AGP of Rs 9000.

If you have joined IIT after having served for some time as Assistant Professor in another IIT or a central University or NIT, your previous experience will be counted for movement to PB4.

As mentioned earlier, selected candidates with less than the requisite experience as specified in the advertisement may be taken as *Assistant Professor (Contractual basis)* with a minimum band pay of Rs 26620 (the selection committees can give one or two increments over and above this, based on the credentials and experience of the candidate), with an AGP that

depends on the number of years of post-PhD experience². While, technically, appointment to this position does not automatically imply ultimate absorption in the Institute, at IITB we have adopted a system of internal assessment as explained in section 2 of Chapter 3 for regularization of such positions.

- *Associate Professor*: Pay Band 4 with a minimum of Rs 42,800 as the band pay and an AGP of Rs 9,500.
- *Professor*: Pay Band 4 with a minimum band pay of Rs 48,000 with an AGP of Rs 10,500.

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

- *Professor (HAG Scale)*: From August 18, 2009, a senior cadre of Professors has been created. This scale pay for this cadre is known as HAG (Higher Administrative Grade, the name being a carry-over from administrative services for which the scale was in existence earlier). The minimum eligibility for this scale is six years of service as a Professor. A maximum of 40% of the total number of Professors can be placed in this scale. The scale does not have an AGP. The pay band is from Rs 67,000 to Rs 79,000.
- *Institute and Endowed Chairs for faculty*: As a means of recognizing outstanding performance, the Institute has several Chairs. While most of these are at the Professor's level (about 50 in the Institute), there are a few at other levels also. Funding for several of these comes from endowments, and is managed by the Dean (ACR)'s office, which also takes an active

²Thus, a fresh PhD will get a AGP of Rs 6000/-, which will be increased to Rs. 7000/- after 1 year of experience. Candidates with more than a year's experience will be directly placed at an AGP of Rs. 7000/-

role in raising funds for further chairs. The selection to these chairs is carried out by Dean (FA). Each chair is given for a period of 3 years, and the chair is re-advertised at the end of that period. Faculty who hold chairs receive some financial and academic perks in addition to their salaries. Details are available on the Dean(FA)'s webpage.

- (2) *Dearness Allowance*: A component termed as Dearness Allowance to take care of rising prices due to inflation is also a part of your pay packet. The rate of Dearness Allowance is revised by the Government every January and July based on consumer price indices, the rate hike has been typically 3% to 10% on the last few occasions³.
- (3) *House Rent Allowance (HRA)*: If you do not stay in Institute-provided accommodation, you will also receive House Rent Allowance (HRA) which is 30% of your basic pay. The allowance is payable even when you stay in an accommodation owned by you. (Interestingly, if both spouses are employees of the Institute, both can claim HRA if the accommodation is rented or is owned. However, if the spouse has a Government accommodation, HRA cannot be claimed by either). HRA is taxable. If, however, you live in a rented accommodation, the HRA that you receive may be fully or partially exempt from income tax. The amount of exemption that can be claimed is the least amount out of the following three: (i) the HRA received, (ii) rent that you actually paid over and above 10% of your basic pay and (iii) 50% of your basic salary.
- (4) *Transport Allowance*: All employees, irrespective of whether they live within the campus or commute from outside, are

³Currently (from July 2011), the Dearness Allowance is 90% of basic pay. The next increase in the Dearness allowance will be from Jan 2014.

eligible to receive a transport allowance. For those in the faculty cadre, the rate of transport allowance is Rs. 3200 per month. In addition, the Dearness Allowance at prevailing rate is payable on this amount as well. [Note: The transport allowance payable to the blind or orthopedically handicapped employees is double this rate.]

2. Annual Increment

Every year employees are given an increment in their salary. The pay in the pay band increases by 3% of the basic pay (Band Pay + AGP). Note that AGP being a fixed component does not change but it is used in computing the quantum of increment. The yearly increment is given from the first day of July every year. However, the first increment can be availed only after completing six months in a given pay. This means that if you are appointed between July and 1st January (of the following year), you are eligible for an increment in the following July but if the date of appointment is between 2nd January to June, you will have to wait for the first increment till July of the following year. If the employee is on leave, other than casual leave, on the first day of July, the increment is given from the day when the employee rejoins the duty.

3. Deductions

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

- (1) *Income Tax*: Income tax rates are as per finance bill passed by the Parliament every year. It is possible to minimize your tax liability through some tax shelters. Almost every Department has a local expert on such matters for advising you on this. Filing an income tax return every year is compulsory. Unless the last date is extended, returns have

to be filed by 31st July following the financial year for which the return is being filed. From the assessment year 2013-14 e-filing of your income tax return is mandatory. While initially you may find the process a bit cumbersome, it is actually fairly straightforward. There are some minor problems, which a more experienced colleague of yours will be able to help out with. You will need to complete a one-time registration process at the Income-tax department's website⁴. Your PAN number will be your user-id. You can view your tax credit (form 26AS) once you login (you will also be able to see it at your net banking website). Download the appropriate ITR form (usually, ITR-1 or ITR-2), fill up an excel utility and submit. (Though many in the Institute hate it, e-filing is smooth on a Microsoft platform!). On successful submission of your return, the system will generate an acknowledgement (called ITR-V). Take a print out of this acknowledgement, sign it and send it to the address mentioned in this form by ordinary post or speed post and you are done. (Incidentally ITR-V is password protected with a long 18 digit password consisting of your pan number in lower case followed by your date of birth in ddmmyyyy format.) You can get all the necessary information from the Income Tax Department website⁵.

From the financial year (2011-12), you are not required to file your return if your taxable income does not exceed Rs 5 Lakhs and your income from interests from bank deposits does not exceed Rs 10,000 during the financial year. However, in such a case you must inform the Accounts

⁴<http://www.incometaxindiaefiling.gov.in>

⁵<http://incometaxindia.gov.in>

Section of the Institute, of details of income from bank deposits. Note that if you have income from sources other than from the Institute and the bank deposits or if you are expecting a refund of income tax, you have to file a return.

- (2) *Profession Tax*: Currently Rs 2500/- per year.
- (3) Contribution to CPF/GPF/NPS
- (4) License Fee and utility charges for your quarter in the campus.

4. Leave Travel Concession (LTC)

Once every two years, you are eligible for a paid travel to your home town. For the purpose of LTC, block years are defined for two years starting January 1st of an even year (e.g. 2012) to December 31st of an odd year. If you do not avail LTC during this block year it generally lapses. However, it has been the practice of the Government to allow for a grace year, i.e. LTC for the block year 2012-13 can be availed (i.e. outward journey commenced) up to 31st December 2014.

Two of the above blocks are combined together to define a four year block, e.g., the block 2010-11 and the next block 2012-13 define a four year block 2010-2013. In this four year block, one can take LTC for home town in one two-year block and another LTC to anywhere in India (including home town) in the other two-year block. The four-year block also has a grace period of one year, i.e. the 2010-13 block must be utilized (i.e. outward journey commenced) before 31.12.2014.

4.1. Eligibility. You must have had one year service in the block to be eligible for LTC in the block, i.e. those appointed up to 31.12.12 are eligible for LTC in the block year 2012-13 but those appointed after this day are not eligible.

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

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

4.2. Special provision for New Appointees. Fresh appointees are eligible for LTC once every year for two blocks of four years each. This means that during the first eight years of service an employee can avail one LTC every year. The definition of the Block years remain the same. (Illustration: Suppose an employee joined in 2011. (S)he can take one year LTC for home town in 2012 and 2013 or (s)he may avail one hometown and one anywhere in India LTC in the block 2012-2013. In the next block, i.e. 2014-2017 (s)he can avail three home towns and one anywhere in India and so on till (s)he completes eight years of service.)

4.3. Encashment of Leave for LTC. Normally, Government employees cannot encash their accumulated earned leave excepting at the time of retirement. However, at the time of taking LTC an employee is permitted to encash up to 10 days of accumulated earned leave subject to the condition that such encashment will not exceed sixty days during the entire career of an employee. If both husband and wife are employees, each can encash such earned leave even when they are traveling together. The encashment of earned leave for the purpose of LTC will not have any bearing on the maximum

number of days (300) for which earned leave can be cashed at the time of retirement.

4.4. Travel Eligibility. The employee and all dependents are eligible to travel by air⁶ if the AGP of the employee is Rs. 5400/- and above. They are also eligible to travel by AC-First Class if traveling by train (provided the AGP is Rs. 7600 or higher). Those with AGP of Rs 10,000 and above (and those who are in HAG scale) can travel in Business/Club class by Air while those below can only avail economy class⁷. Please note that no taxi or road mileage is admissible to reach the airport/railway station or for internal travel to destination except where road travel is done by buses run by Govt. organizations (for which you will have to produce the tickets). LTC rules are strictly observed and it is necessary to attach Xerox copies of your tickets along with your claim (In case of Air travel Boarding Passes must be retained and produced along with e-tickets; production of an e-ticket without the boarding passes is not acceptable as proof of travel. (For journeys which involve water transport, detailed rules are available which may be checked with the administration).

4.5. LTC Advance. 90% of the estimated cost of journey can be taken as an advance, only where the journey is expected to be completed by all persons travelling (including the return journey) within 90 days of taking the advance. In case the expected date

⁶At present, for all official purposes, travel is permitted only by Air India. Waivers can only be granted (on a case-by-case basis), by the Ministry of Civil Aviation (MCA).

⁷As what is (hopefully a temporary) austerity measure, business class travel is presently suspended for LTC. Extending the same logic, at IITB, faculty members are strongly advised to travel only by economy class irrespective of eligibility, when on official travel.

of completion is more than 90 days, please draw advance only for outward journey.

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

The employee must take formal leave for availing LTC for self. You cannot avail LTC using only the officially closed days. The leave can be even a casual leave, in which case it is convenient to enclose a xerox copy of your casual leave card along with the final LTC claim. Faculty members can avail LTC during vacation also, but with prior intimation (with the destination specified) to administration. Submit the final LTC claim as soon as the return journey is completed.

5. Telephone Expense Reimbursement

A faculty member is entitled to reimbursement of telephone (landline at home and/or mobile connection) expenses up to Rs 18,000/- (Rs. 21600/- for a Professor) per financial year. The amount includes an amount of Rs 4800/- towards internet connection at home. Since internet connections for all campus residence are provided by the Institute, the amount is accordingly reduced for campus residents. For those not staying on campus (including those staying in Institute-leased accommodation off campus) the full amount is available for reimbursement provided they have supporting evidence for internet connection at home. To claim this, telephone bills (including mobile bills and bills for internet charges) should be submitted to the accounts section. Though bills can be submitted as and when the faculty desires, it is customary to submit consolidated claim either annually or semi-annually. As it is a reimbursement, no tax liability is due on this amount.

6. Children's Education Allowance

Expense incurred in putting up to two children through school (from nursery to twelfth class) can be reimbursed subject to an annual ceiling of Rs 15,000. Allowed expenses which can be claimed under this head include tuition fee, admission fee, laboratory fee, special fee charged for electronics, agriculture, sports fee, Library fee, cost of purchase on set of text books and note books, two sets of uniforms (including one pair of shoes) etc. Reimbursement can be claimed at the rate of Rs 3750 per quarter or for the full amount in the last quarter of the financial year. The quantum of reimbursement for disabled children is twice this amount.

7. Family Planning Allowance

If an employee or the spouse has undergone a sterilization operation (subject to some conditions) and have no more than two surviving children, he/she will be eligible for a special allowance which varies between Rs 800 to Rs 1000 per month for a faculty member depending on the AGP of the faculty member at the time of the operation (it then remains unchanged for the entire service).

8. Cumulative Professional Development Allowance (CPDA)

An allowance of Rs 3 Lakhs for a block of three years is made available to faculty members (including faculty on contractual basis) on reimbursable basis to enable presentation of their research work in conferences, paying the membership fee of various professional bodies, books and contingent expenses. Dean (FA) is the approving authority for expenditure under this head. The conference amount is primarily intended for international conferences but may be spent for National conferences as well if support for the

latter cannot be provided by the Department. CPDA cannot be utilized during the period in which a faculty member may be on lien or extraordinary leave.

8.1. Rules governing CPDA.

- (1) Out of the amount of Rs 3 lakh mentioned above, a minimum of Rs 2 Lakhs is earmarked for presenting papers at conferences and a maximum Rs 1 Lakh can be spent towards membership of professional bodies, contingent expenses (includes purchase of books, stationeries, computers and related items, electronic devices for professional use)⁸. This implies that expenses towards attending conferences can be more than Rs 2 Lakhs with a corresponding reduction in the allocation for other expenses. Acceptance of a paper is a requirement for approval of expenses towards conferences. Expenses for a conference includes cost of travel (by Air India), local transport, overseas medical insurance, cost of visa, registration fee and living expenses @ US \$ 250 per day for the period of conference and two additional days (for travel) preceding/succeeding the conference, subject to a maximum of (5+2) days. If this amount falls short of what the actual expense turns out to be, you may supplement this from other sources (projects, travel grants from organizations like DST etc).
- (2) The contingent expenses provided above cannot be spent in one go. Out of the maximum allocation of Rs 1 lakh in the block of three years, an amount up to Rs 33,000 can be spent in the year one, a further Rs 33000 plus the unused portion of the first year's allocation in year two and the

⁸The split can be changed to 1.5 lakh each for conferences and contingency provided the latter can be justified on the basis of rare and expensive books.

entire unspent balance out of the total allocation in the last year.

- (3) If one has used up the conference grants as mentioned above, but has a paper accepted in a prestigious conference falling within the same block, the Institute has made a provision for granting upto an additional Rs. 1 lakh from its own funds.
- (4) *Use of CPDA for National Conferences:* Generally, a faculty member can expect approval for attending one national conference every year. The funds come out of departmental grants and HoD is the approving authority. HoDs are authorized to sanction rail fare and Apex airfare on Air India, beyond which Director's sanction is required. If the department finds itself unable to support such expenditure, a faculty member can use CPDA for presenting papers at national conferences also.

9. Loans

The Institute provides loans for purchase of a car, motorcycle, scooter or a personal computer. These loans bear interest. The Institute also has provision for a loan for buying a flat or building a house. Details of these may be ascertained from the Administration.

10. Entitlement for work related travel

While you travel on duty, your TA/DA entitlement is governed by your grade pay (AGP) alone. According to the new rules, all Professors (including those on HAG scale) are entitled to travel by business class while traveling by Air. All other faculty members are entitled to travel in Economy class⁹ (see however, austerity-related

⁹Currently, if you are using Government funds, you have to travel by Air India only.

policy described in the footnote to the section on *Travel eligibility*). For all faculty (except Assistant Professors on contractual basis¹⁰), AC First class travel is permitted in train travel. Please remember to submit your TA bill along with boarding passes and e-ticket copy. (This is also Government of India's policy on International travel but please contact Accounts section for business class International travel). For road travel, Professors may use AC taxis while for all others ordinary taxi is permitted. All faculty are entitled to travel by any type of public bus including Air-conditioned buses. If you travel by your own car or taxi (in places where metered taxis are not available), you could claim up to Rs 16/- per kilometer.

10.1. Daily allowance. As per new rules, the concept of daily allowance during tour is discontinued. Instead, the reimbursement will be on actuals supported by vouchers. For this purpose, Professors (including those on HAG scale) will be eligible for reimbursement for Hotel accommodation/Guest House for an amount up to Rs 5000/- per day, reimbursement of AC taxi up to 50 km for local travel and reimbursement of food bills not exceeding Rs 500/- per day. The rates for other faculty are Rs 3000/- for Hotel, non-AC taxi up to 50 km, and Rs 300/- for food bill. For Assistant Professors on contractual basis, whose grade pay is below Rs 8000/-, the limits are Rs 1500/- per day towards accommodation, taxi charges of Rs 150/- per day for local travel, and Rs 200/- per day for food bill.

However, if you so desire, for calculation of daily allowance, you could opt to be governed by rules which existed before revision of pay scale as well. Such an option can be exercised for the entire duration of a given tour and not for parts of a tour. In such a case, all faculty will be eligible to draw daily allowance appropriate to pre-revised scale of Rs 16,400/- and above. This is only useful when you

¹⁰For these faculty the entitlement is limited to 2nd AC class by rail.

would like to claim a daily allowance without submitting detailed expenditure receipts.

For International Conferences and for faculty members visiting abroad on Institute's work, a per diem of US \$115 is payable. In addition, Hotel expenses at actuals subject to a maximum of US \$135, supported by bills and receipts, is payable for conferences. For official visits, all actual expenses, as may be approved by the Director is payable, if per diem is not claimed. Where full hospital-ity is provided abroad by hosts, only 25% per diem, i.e. US \$28.75 is allowable.

CHAPTER 7

Leave and Vacation

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

1. Casual Leave

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

- (1) At present the number of days for which casual leave can be taken is eight per year. For the purpose of casual leave, the year is a calendar year, i.e., from January to December. However, the maximum period for which casual leave can be taken is not more than 5 days at a time. Saturdays/Sundays and holidays, when prefixed or suffixed to casual leave, will not count towards casual leave. For those who

join in the middle of a calendar year, proportionate amount of casual leave is allowed. Casual leave can even be taken for half a day, i.e. morning session or afternoon session.

- (2) Casual leave cannot be appended to any other form of leave other than vacation.
- (3) Unutilized casual leave expires on 31st December every year and is not carried over.
- (4) Generally, no reason has to be given for going on casual leave. Every Department maintains a card for each employee and the employee has to fill in the date on which the leave is to be taken and sign. The sanctioning power for casual leave is vested in the Head of the Department of the employee. Strictly speaking, one has to take an advance sanction for casual leave as well. However, in case of unforeseen circumstances, one can fill up the card post-facto. It is a good practice to keep the Head (say, by dropping an email at the first available opportunity) or at least one of your colleagues informed of such an absence.

2. Special Casual Leave

Special casual leave for a period not exceeding 15 days in a year may be granted to a faculty member for legitimate academic/administrative absence, for instance, for attending conferences, undertaking examinations in an university, etc. (Special casual leave of varying duration is also available for undergoing operations required for family planning purposes. Administration section should be consulted for details.)

3. Vacation

Vacation is special, and is available only to the faculty members of the Institute.

- (1) A faculty member is entitled to 60 days of vacation during the year. The year for the purpose of vacation is the academic year, i.e. from 1 July to 30 June of the following year. A faculty member joining the Institute any time during the first semester (July-November) is eligible for full vacation while those joining in the second semester (January-April) will be entitled to 30 days of vacation in the year of joining.
- (2) The conventional vacation period comprises the months of May, June and December. However, the Institute announces the exact dates every year depending on its academic schedule.
- (3) No separate application is made for availing vacation. Each faculty member has to provide her vacation plans by filling up certain details in a common form made available in the Departments.
- (4) If a faculty member does not avail the full 60 days vacation in any academic year, 50% of unavailed vacation is converted to Earned Leave and is credited to the earned leave account of the faculty member on 1st July of the next academic year. Thus if a faculty avails of a total of x days of vacation during the vacation period, $(60-x)/2$ days of earned leave is credited to his/her earned leave account.

4. Earned Leave

Earned leave, unlike vacation, can be availed any time during the year with prior sanction. Unlike non-academic staff, the only way in which a faculty accumulates earned leave is by virtue of not having availed the entitled vacation in a given academic year. Half of the unutilized vacation is credited as earned leave on July 1st every year.

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

5. Half-Pay Leave and Commuted Leave

An employee is entitled to 20 days of half-pay leave for every completed year of service. As the name suggests, the employee will be paid half the salary during such leave period.

- (1) Half-pay leave is credited in advance on January 1st and July 1st every year by calculating the expected period of service of an employee during the following six months. (The credit given is $5/3$ days for every month expected to be completed.)
- (2) Half pay leave can be availed for personal reasons or for medical purposes.
- (3) An employee can avail half-pay leave even when he/she has earned leave to his/her credit.
- (4) When a half-pay leave is sought to be availed for employee's medical requirement, an employee may opt to avail Commuted Leave by surrendering two days of half

pay leave for every day of leave required. In such a case, the employee draws full salary.

- (5) Leave can be commuted for non-medical purposes (i) by women employees, for a maximum of 60 days, if taken in continuity of a maternity leave or when she adopts a child less than one year old (ii) for pursuing a course of study for a total period not exceeding 90 days during entire service.

6. Maternity and Paternity Leave

- (1) Maternity leave with full pay for a maximum of 180 days at each instance can be availed by female employees with less than two surviving children. Leave of any kind due and admissible (including commuted leave for a period not exceeding 60 days and leave not due) can be granted in continuation with maternity leave for a maximum period of two years.
- (2) Paternity leave of 15 days can be granted to a male employee with less than two surviving children during the confinement of his wife for childbirth. Such leave can be taken in the period up to 15 days before delivery and 6 months after the delivery.

7. Child Care Leave

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

8. Special Leave & Sabbatical Leave

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

- (1) Special leave is generally granted to faculty members to accept academic assignments abroad for availing competitive scholarships and fellowships such as Humboldt Foundation fellowship, Boyscast fellowship, Commonwealth fellowship etc. The faculty member must have put in at least 3 years of service and should have applied for such fellowships through proper channel (i.e., the applications should have been forwarded by the Institute). During the special leave, the faculty draws full salary in the Institute in addition to the fellowship amounts.
- (2) Sabbatical leave is granted for accepting temporary academic assignments in Indian or foreign universities or research institutions, availing fellowships, writing a book etc. The faculty member should have put in a minimum of six years of service in the Institute for availing a one

year sabbatical. The Dean (FA) may recommend a shorter and proportionate amount of sabbatical for a faculty who falls short of the minimum requirement. For a subsequent sabbatical, there must be a gap of at least 3 years for a one semester sabbatical and six years for a two semesters sabbatical.

- (3) The Institute requires a bond to be executed by the faculty members proceeding on a sabbatical, undertaking to serve the Institute for a minimum period of three years on return from sabbatical (the period of bond is two years for a one semester sabbatical). If the faculty member resigns before completion of the bond period, (s)he will be required to refund the salary paid by the Institute during the sabbatical period.
- (4) As a policy, the Institute does not extend a sabbatical. However, a faculty member may request for appending a maximum of 4 months of earned leave to the sabbatical. In case the faculty does not join back the duty after this period, the entire period of sabbatical will be considered as leave without pay or adjusted fully or partially against leave due to the faculty.

9. Extraordinary Leave

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

10. Leave not due

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

11. Lien

A faculty member may request for keeping lien on his/her post for accepting a job either in India or abroad. Such jobs may be for assignments in private or public sector undertakings. (The Govt. of India terminology for such lien is Foreign Service, which is used whenever a Govt. servant takes up an assignment in a non-Government organization.). To be eligible for lien a faculty member must have put in at least 5 years of service after confirmation. The period of lien can be one year at a stretch or two years if the period of service is over 10 years. (Lien period can be for a period of Five years for those appointed as Directors or CEOs in a Government organization or a PSU.)

- (1) The employee has to sign an agreement on a stamp paper with the Institute before proceeding on lien.
- (2) No salary is paid to the employee from the Institute while on lien. However, the service during period of lien qualifies for retirement benefit. The employee (or his employer during the lien period) pays a contribution towards pension-cum gratuity benefit determined by the Institute as per standard Government calculation, an amount which depends also on the length of service rendered in the Institute. This contribution must be received by the Institute by 31st March every year, or if the employee so desires, every month. It must be emphasized that when the Institute sanctions a lien to the employee, it does not enter into an agreement with his/her temporary employer and

the responsibility of remitting all amounts payable to the Institute lies with the employee only.

- (3) The employee should continue to pay his/her own contribution to CPF/GPF during the period of lien. Such contribution should be remitted to the Institute every month or before 31st March of every financial year.
- (4) The employee has to pay the leave salary contribution. When an employee pays the leave salary contribution, the Institute leave account of the employee is credited or debited when the employee takes leave in his host organization. The leave salary contribution to be paid is roughly 11% of the pay drawn from the host organization (or the pay that the employee would have drawn, had he/she not gone on lien.) The payment of leave salary contribution may be waived by the Director on request in which case the leave account of the employee remains frozen during period of lien.
- (5) Keeping your Accommodation during Lien: The institute generally permits a faculty member to retain the quarter allotted for a period of one year only during the lien period. The license fee payable during this period will be the same as the employee normally pays. The Director may permit a faculty to keep the quarter during the second year of lien, but on an enhanced license fee which is four times the normal license fee. The employee has to arrange to pay the bills received from the Estate Office towards license fee and other utility charges every month.

CHAPTER 8

Medical Facilities

During the period of service, a staff member and his dependents (the term *dependent* is clearly defined in the Service Rules, see Chapter 3) are provided medical facilities at the IIT Hospital, and whenever required, at various hospitals in the city which are empanelled by the Institute. Medical facility for employee and spouse is also available after retirement on a contributory basis (see the section on PRMS below).

1. IIT Hospital

The Institute has a reasonably well-equipped Hospital with both in-patient and out-patient facilities. In addition to several full time doctors, there are several visiting specialists who attend the Hospital on certain days and are available for consultation. The Hospital also provides for dental care as well as for homoeopathic medicine. Basic diagnostic facilities are provided at the Institute Hospital. These include pathology, X-Rays, Sonography, ECG etc. The Hospital also has a physiotherapy section. The Hospital administration is headed by a Chief Medical Officer (CMO)¹. A Committee known as the “Hospital and Health Advisory Committee (HHAC)” headed by a Professor of the Institute acts as a general policy watchdog for

¹Currently, Dr. Nisha Shah.

the Hospital and related issues². This Committee reviews Hospital policies from time to time and recommends measures that need to be taken to improve Hospital services. All major reimbursement claims are also recommended for approval by this committee.

1.1. Your medical file. The Hospital maintains a family file for every employee, which is available in the outer office. For an outpatient (OPD) consultation, the file has to be presented at the Hospital reception, who will print out a blank prescription slip. Before your face becomes familiar with the Hospital staff, you may be asked for your identity card, which also spells out your medical entitlement. Please do not take offence on such request. The slip along with the file is to be taken to the doctor who you wish to see. Each visit to the doctor costs you *one rupee* which is directly debited from the salary.

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

Any medicine prescribed by the doctor on duty can be obtained from the Pharmacy attached to the Hospital. If a prescribed medicine is not available, one has to take a separate prescription for the same to purchase it from the market. The Institute reimburses the cost of medicines purchased from outside which could not be supplied from the Institute Pharmacy. Similarly, cost of consultation, pathological or radiological investigations carried out outside the IIT Hospital on recommendation of the Institute doctors are also reimbursable. In some cases, only 80% of the cost is reimbursable. There are some

²The current Chairperson of the Health Advisory committee is Prof. Rinti Banerjee from the Department of BioScience and BioEngineering.

fine prints to reimbursement rules (for instance, cost of spectacles or contact lenses or the cost of dental treatment in an outside clinic or hospital etc. are not reimbursable even when recommended by a medical officer of the Hospital). See the Hospital website³ for details.

In the case of illnesses which require hospitalization of a specialized nature (as may be determined by the C.M.O.), a patient may be referred to one of the many hospitals in the city which are recognized by I.I.T. The entitlement in the hospitals (i.e. the type of room or bed that can be availed) depends on the employee's salary and it is good to enquire about exact entitlement from the administration. While expenses in all Government Hospitals and several charitable hospitals (such as Sushrusha Hosp., Dadar, and the Tata Memorial Hospital) is reimbursed 100%, the Institute only reimburses 80% of the cost in recognized Hospitals with sophisticated facilities and some specialty Hospitals⁴.

While basic pathology is available in the Hospital, the Institute Hospital has an arrangement with a few specialized pathology laboratories⁵ for some advanced tests. For this purpose staff from these labs visit the Institute Hospital on specified days to collect samples. Hospital Doctor's recommendation is required for use of this facility.

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

³<http://www.iitb.ac.in/hospital/>

⁴The hospital website has a link to the list of recognized hospitals. This list is updated as and when new hospitals are added and hospitals removed.

⁵Such as Ranbaxy Clinical Reference Laboratories, Raptakos Brett Testing Lab, Sanjeevani Diagnostic Centre.

The Institute Hospital provides all major vaccinations for children. It is a good idea for parents to retain records of such vaccination as such data are increasingly being required for various purposes.

The hospital has an ambulance service which works 24x7 for transportation of patients within the campus and for transporting patients to hospitals outside when referred to by IIT Hospital.

1.3. OPD facilities for visiting parents. Though they may not be officially your dependents, the Institute offers OPD facilities to visiting parents of the employee and of employee's spouse. This facility is offered for a period of six months on payment of Rs 1,000/- and for a year on payment of Rs 2,000/-. They will be treated on 'non-entitled' basis; however, medicines etc. will have to be purchased from outside without any reimbursement.

1.4. Medical advance, reimbursement, etc. When an employee or a dependent is admitted to an outside hospital, up to 80% of the estimated cost can be provided as an advance to the employee.

For the benefit of staff members staying outside the campus (as also for staff on vacation/leave), a list of Medicare Centres/Hospitals⁶ are approved for OPD treatment. Medicines purchased on prescription by doctors from these hospitals are reimbursed fully. However, further referrals from these hospitals to outside hospitals need to be sanctioned by IIT Hospital.

For reimbursement, separate forms for OPD (inclusive of cost of medicine purchased from outside) and indoor treatment, available

⁶These hospitals, at present, are: Pragati Mitra Mandal (Mulund(W)), Smt. Nand Kunverben Rasiklal Seth Hosp. (Borivli(W)), Maland Jain Yuvak Mandal Med. Relief Centre (Malad(W)), Lions Clinic(Matunga), Vasani Diagnostic Centre(Andheri) and Seth Nanji Gangji Charitable Polyclinic (Dombivali). See the hospital website for up-to-date information.

in the Hospital office⁷, should be filled up and submitted along with cash memos within three months. Please note that except in case of emergency, no reimbursement is permissible unless the reference was made by the IIT Hospital to the outside hospital.

2. Healthcare after retirement

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

- (1) *Contributory Medical Scheme (CMS)*: The scheme entitles you and your spouse to avail of OPD treatment in the IIT Hospital. You have to pay a one time fee of Rs. 8000/- to join the scheme. All OPD facilities of the IIT Hospital (consultancy, diagnostic tests etc.) can be availed by employee and his/her spouse. Medicines available at the Pharmacy are also given to CMS members without charge. However, no indoor hospitalization is possible and no reimbursement of any kind is provided.
- (2) *Post-Retirement Medical Scheme (PRMS)*: The scheme has been introduced to take care of hospitalization needs of the employee and spouse. Employee has to pay a net contribution of Rs 36,000/- (payable over a maximum 240 installments during the service from salary) to join the scheme. Hospitalization expense in a very large number of hospitals in the country can be reimbursed up to a maximum cumulative limit of Rs 10 Lakhs for both spouses combined. No medical advance is available under the scheme nor any provision for direct payment to the hospitals exist. The employee has to bear the expenses first and claim

⁷These and most other forms you may require are also downloadable from <http://asc.iitb.ac.in>.

for reimbursement from the Institute. (Joining this scheme is compulsory for all employees who join(ed) the Institute on or after 1st July, 2003).

CHAPTER 9

Retirement Benefits

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

1. Pension, Gratuity, Commutation of Pension etc.

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

1.1. Superannuation. This is the term used for official termination of your regular appointment. It happens on the last day of the month in which you complete 65 years of age, if your birthday is from 2nd to the last day of the month and on the last day of the preceding month if your birthday is the first day of the month. Usually, the Director offers you a cup of tea and hands over a few retirement cheques on this day.

1.2. Re-employment. Faculty members are usually reappointed till the last day of June (i.e., end of the academic year) in the year

they complete 65, based on a recommendation from the department. (Further extensions are possible till the age of 70, and are made on case-to-case basis depending on recommendations from the department.) During the period of re-employment, you receive your pension cheques as well as a component of salary in such a way that the two together do not exceed the last drawn salary. Further, many service benefits come to an end. The reappointment letter from the Director will make it clear as to what benefits will still be available. As per the current practice, the medical facilities will continue during the period of re-employment. As per Govt. of India rules, you will continue to be eligible for LTC provided there is no break between the regular appointment and the re-employment.

1.3. Retirement schemes. For those who joined the Institute before 2004, there were two retirement schemes to choose from (unfortunately, of late the ministry is not allowing a change of option), viz., Contributory Provident Fund-cum-gratuity Scheme (CPF) and General Provident Fund-cum-Pension-cum-gratuity Scheme (GPF). The salient features of these schemes are as follows.

- (1) *GPF*: If you have chosen this scheme, you are eligible to draw a pension throughout your remaining life at a rate as shown below. Further, after your death, your spouse will be eligible for a *family pension* too.
 - (a) *Pension*: The maximum rate of pension is half the basic pay at the time of retirement, or 50% of the average monthly remuneration drawn during the last ten months of service, whichever is beneficial¹, along with the applicable rate of D.A. This requires having put in a minimum of 20 years of service, for voluntary

¹50% of retiring salary will always be equal to or more than the 10 month average except in rare cases of a demotion or punishment during the last phase of service.

retirees, and 10 years of qualifying service for superannuating faculty (the durations not counting extraordinary leave or unauthorized absence *dies non* or periods of suspension which are followed by major penalty).

- (b) *Commutation of Pension*: It is possible to offer to the Institute that a percentage of your pension be commuted, i.e. you opt to receive a one time lump-sum amount and a smaller pension. The maximum commutation possible is 40% of the basic pension. This offer may be made to the Institute either at the time of superannuation or even afterwards. However, if the offer is made after one year of superannuation, you may be required to undergo a medical examination. As experts will tell you, it is good to commute pension. An illustration of how it works is given below (the example is actually appropriate to a Professor retiring at the top of the band):

Suppose your basic salary was Rs. 77,500/- at the time of retirement. Your basic pension is Rs 38,750/- at the time of superannuation (age 66 on your next birthday). You offer to receive 40% less as monthly pension, i.e. receive Rs 15,500/- per month less as basic pension. The amount of lump sum payment is given by the following formula.

$$\text{Lump sum amount} = \text{Rs.} 15,500 \times 12 \times 7.591 = \text{Rs.} 14,11,926$$

The unusual factor 7.591 is a factor representing the number of years the Government has decided that it is willing to pay you as a lump sum if your age next

birthday is 66 at the time you opt for commutation². Note that, though your basic pension will be reduced by Rs 15,500/- in the above example, the Dearness Allowance is payable on the regular pension amount of Rs. 38,500/-. Full pension will be restored to you after 15 years of receiving the commutation amount. As you grow older, till the age of 80, the pension amount changes because the D.A. changes. However, when you reach the age of 80, the basic pension increases by 20%, at 85 : 30% at 90: 40% and at 95: 50%. And if you hit a century in your life, the basic pension doubles!

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

In case an employee dies while in service, the rate of family pension will be 50% of the last salary drawn by the employee for a period of 10 years, after which it would revert to the regular rate stated above. In case an employee dies after retirement but before reaching 67 years of age, the family pension till such time will be equal to the pension that would have been payable

²The factor reduces if you make the offer later, becoming 7.431, 7.262, 7.083 and 6.897 if the age on your next birthday at the time of making the offer is respectively 67, 68, 69 and 70. The factor for a person whose age next birthday is 65 is 7.731.

had the employee not so died. In addition, applicable D.A. is also payable. Note that family pension amount is not affected by any commutation that the employee might have done. Family pension also accelerates with age beyond 80 as for regular pension.

- (d) *General Provident Fund (GPF)*: This is basically what you keep aside every month from your salary. The minimum amount you have to save is 6% of your basic pay and the maximum cannot exceed basic pay. The amount of subscription can be increased and/or decreased once during a financial year. The attractive thing about this is when you receive it back, the amount is tax free in your hand. Further, the subscription qualifies for tax reduction too. Government of India announces the interest payable for deposits in GPF, which is currently 8.7%, one of the best rates of interest for securities. Loans (called advances) can be taken from your GPF to meet various contingent expenditures like illness and education related expense of dependents, obligatory family expense like marriages and sradh, to meet cost of legal proceedings or simply to buy consumer durables. Such loans must be refunded in a maximum of 24 monthly installments and are interest free (as the amount actually belongs to you!). Facility of nomination is available. One can also make permanent withdrawals from GPF for all the above mentioned purposes after 15 years of service or for purchase of an accommodation(including renovating ancestral house) any time during the service.
- (e) *Gratuity*: A lump sum amount known as gratuity is payable to an employee on superannuation. The amount

payable is a fourth of the emoluments for every completed six months of service, subject to a maximum of Rs 10 Lakhs. The emolument includes basic pay and D.A. drawn by the employee on the day of superannuation.

- (2) **Contributory Provident Fund (CPF):** If you have opted for this scheme, no pension is payable to you. However, the gratuity as described under GPF scheme is payable. In this scheme, your contribution is a minimum 10% of your basic pay with the maximum being 100% of the same. The Institute contributes 10% of your basic pay to this fund as well, hence the name contributory. The deposits under the scheme earns interest at a prescribed rate (currently, 8.7%) and like the GPF is tax free in the hand of the retiree. Loans and withdrawals may be made from the subscription account like the GPF scheme.

2. Encashment of Leave at the time of Superannuation

A maximum 300 days of earned leave may be accumulated by an employee. All unutilized earned leave up to this maximum duration is encashable at the time of superannuation. In case the amount of earned leave to the credit of the employee is less than 300 at the time of retirement, the shortfall can be made up from the half pay leave to the credit of the employee to the extent of such shortfall. However, the half pay leave will only be cashed at half rate and no commutation is permitted³. The rate of encashment is the total emoluments (basic + D.A.) per day on the date of retirement assuming a month to consist of 30 days.

³For instance if an employee has, at the time of retirement, 200 days of earned leave and 300 days of half-pay leave to his/her credit, encashment will be for 200 full days and 100 half days, the balance of half pay leave will lapse.

3. Voluntary Retirement

The minimum period of service for voluntary retirement with full pension (as determined by pay at the time of taking such retirement) is 20 years.

4. Premature Retirement

All faculty members who have entered service before attaining the age of 35 years have the option of retiring after attaining the age of 50 years.

5. New Pension Scheme (for those who joined the service on or after 1.1.2004)

The New Pension Scheme (NPS) is applicable for all employees who joined the Institute on or after 1.1.2004. The funds will be managed by the National Security Depository Ltd (NSDL). At present, loans and withdrawals from the fund are not permissible. What follows is the information on NPS for Central Government servants.

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

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

NSDL in debt instruments and stocks (85% fixed income and 15% equity).

- (2) *A voluntary Tier- II Savings Account:* A purely optional savings scheme without any tax benefit, from which withdrawals and loans are permitted. No matching contribution from the employer/Govt will be made. Tier-II is however not yet operational for Government sector.