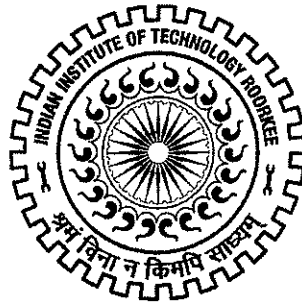


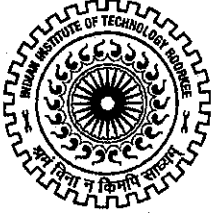
अभिशासक परिषद्  
की सैंतीसवीं बैठक का कार्यवृत्त  
**MINUTES OF THE 37<sup>th</sup> MEETING OF THE  
BOARD OF GOVERNORS**

27 नवम्बर 2012  
**27<sup>TH</sup> NOVEMBER 2012**



भारतीय प्रौद्योगिकी संस्थान रुड़की  
रुड़की – 247 667 (भारत)

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



**Lt. Col A K Srivastava (Retd)**  
**Registrar**

**भारतीय प्रौद्योगिकी संस्थान रुड़की**

**रुड़की-247 667, उत्तराखण्ड, भारत**

**INDIAN INSTITUTE OF TECHNOLOGY ROORKEE**

**ROORKEE-247 667, UTTARAKHAND, INDIA**

**FAX : (91) 1332 - 285310, 273560**

**Tele : (91) 1332 - 272430, 285311 (O), 272445, 285312 (R)**

**e-mail : regis@iitr.ernet.in / anilsrivast@gmail.com**

सं० भा० प्रौ० सं० रू० / एम० एस० / 37<sup>वीं</sup> बी.ओ.जी. / .....

No. IITR/MS/37<sup>th</sup> BoG/ **8026**

दिनांक : 26 दिसम्बर 2012

Dated: 26<sup>th</sup> December 2012

All Members of the Board of Governors  
Indian Institute of Technology Roorkee

**Sub: Minutes of the 37<sup>th</sup> Meeting of the Board of Governors of the Indian Institute of Technology Roorkee held on 27<sup>th</sup> November 2012.**

Kindly find enclosed the minutes of the 37<sup>th</sup> Meeting of the Board of Governors of the Institute, which have been duly approved by the Chairman, Board of Governors.

It is requested that comments, if any, on the above referred minutes may kindly be sent to the undersigned within 15 days. If no comments are received within this period, it would be presumed that you agree with the minutes as recorded, and action may be initiated to implement the same.

Encl: As above

(अनिल कुमार श्रीवास्तव)

(A.K. Srivastava)

Lt. Col. (Retd)/ले० कर्नल (सेवानिवृत्त)

कुलसचिव एवं सचिव, अभिशासक परिषद्

Registrar & Secretary, BoG

26 DEC 2012

भारतीय प्रौद्योगिकी संस्थान रुड़की  
**INDIAN INSTITUTE OF TECHNOLOGY ROORKEE**  
रुड़की-247 667 / ROORKEE - 247 667



अभिशासक परिषद् की 37<sup>वीं</sup> बैठक का कार्यवृत्त  
**MINUTES OF THE 37<sup>th</sup> MEETING OF THE BOARD OF GOVERNORS**

**INDEX**

Item No.	Particulars	Page (s)
<b>37.1 PROCEDURAL:</b>		
37.1.1	Confirmation of the minutes of the 35 <sup>th</sup> and 36 <sup>th</sup> meetings of the Board of Governors held on 26.5.2012 and 04.08.2012, respectively.	1
37.1.2	Report of actions taken on the minutes of the 35 <sup>th</sup> and 36 <sup>th</sup> Meetings of the Board of Governors held on 26.5.2012 and 04.08.2012, respectively.	2
37.1.3	Report of the Director on the significant developments/issues since the last meeting of the Board held on 26.05.2012.	2
<b>37.2 REPORTING MATTERS:</b>		
37.2.1	Reporting matters for the information of the Board of Governors.	2
37.2.2	Reporting about the Annual Account/Balance Sheet for the F. Y. 2011-12.	3
37.2.3	Reporting of the simplification of existing Sponsored Research & Industrial Consultancy Rules.	3
37.2.4	Reporting of the actions/decisions taken by the Chairman, Board of Governors on behalf of the Board of Governors.	3
<b>37.3 ROUTINE MATTERS:</b>		
37.3.1	Revision of reimbursement ceiling for residential telephone/mobile phone/broadband/data card use to Group 'A' staff and Faculty Members.	6
37.3.2	Enhancement of Faculty Initiation Grant (FIG) limit out of Scheme-A from SRIC funds from existing amount of Rs.5.00 lacs to a maximum of Rs.10.00 lacs.	6
37.3.3	Discontinuation of FIG-B Scheme for providing financial support to Faculty Members to initiate research in new areas.	7
37.3.4	Revision of the Special Allowances to various functionaries of the Institute	7
<b>37.4 STATUTORY MATTERS:</b>		
37.4.1	Proposal for the bifurcation of the Department of Electronics & Computer Engineering into two separate departments as recommended by the Senate.	8
37.4.2	Construction of Two numbers overhead water tanks each of 500 kilolitres capacity at the Roorkee Campus.	8

26 DEC 2012

37.4.3	(a) Preliminary estimate of Rs.950.00 lacs for widening and resurfacing of the Roads and the construction of 1500 meter long trench for laying of Telephone and Internet cable at the IIT Roorkee Campus. (b) Preliminary estimate of Rs.71.00 lacs for the resurfacing of the roads at the Saharanpur Campus.	8
37.4.4	Recommendations dated 31 <sup>st</sup> October 2012 of the Medifare Committee.	9
37.4.5	Change in the IIT Roorkee Medical Attendants and Treatment Rules, 2007 (MATR-2007) related to Medical Reimbursement.	10
37.4.6	Issue of granting the HAG scale Rs.67000 (3% annual increment) – 79000 under MACPS to Librarian and Registrar.	11
37.4.7	Proposal for simplification of Purchase Rules.	11
<b>37.5 SUBSTANTIVE MATTERS:</b>		
37.5.1	Proposal for creation of two posts of Deputy Registrar and six posts of Assistant Registrar on regular basis.	11
37.5.2	Proposal for creation of certain posts for the Estate & Works Division.	12
37.5.3	Request of Smt. Shobha Rani, wife of Shri Amarpal, Senior Attendant (missing employee) for providing an appointment on compassionate grounds to her son Shri Krishna Gopal..	12
37.5.4	Report of the Committee in respect of Mr. Nathu Ram, Sr. Technical Superintendent working in the Institute Hospital.	13
37.5.5	Implementation of the Report for Rejuvenation of the Administration of IIT Roorkee submitted by Shri D.K.Ghosh, Consultant.	13
37.5.6	Proposal for wired Local Area Network (LAN) work in hostels of IIT Roorkee and Technology Block of Saharanpur Campus.	14
<b>Appendices:</b>		
App. 'A'	New appointments to faculty positions	15-18
App. 'B'	List of Faculty members and other staff who have superannuated/ resigned/ expired	19
App. 'C'	List of Faculty members and other staff who have been brought on the regular cadre after completion of their probation.	20
App. 'D'	Annual Account/ Balance Sheet for the F.Y. 2011-12.	21-33
App. 'E'	Modified rules and guidelines for Sponsored Research & Industrial Consultancy Rules.	34-49
App. 'F'	Preliminary estimate of Rs. 950.00 lacs for widening and resurfacing of the Road and the construction of 1500 meter long trench for laying of telephone and internet cables at IIT Roorkee Campus	50-53
App. 'G'	Preliminary estimate of Rs. 71.00 lacs for the resurfacing of the roads at the Saharanpur Campus.	54-55
App. 'H'	Revised Purchase Rules	56-72
App. 'I'	Organisation chart showing the approved administrative structure for the post of Dy. Registrars and Asstt. Registrars	73
App. 'J'	Minimum qualification for the certain posts of Estate & Works.	74-75
App. 'K'	Estimate cost for implementation of different items for Rejuvenation of the Administration of IIT Roorkee.	76



26 DEC 2012

**भारतीय प्रौद्योगिकी संस्थान रुड़की**  
**INDIAN INSTITUTE OF TECHNOLOGY ROORKEE**  
**रुड़की – 247 667**  
**ROORKEE – 247 667**



अभिशासक परिषद् की दिनांक 27 नवम्बर 2012 को नई दिल्ली में पूर्वान्ह 11.00 पर आहूत 37<sup>वीं</sup> बैठक का कार्यवृत्त।

**MINUTES OF THE 37<sup>th</sup> MEETING OF THE BOARD OF GOVERNORS  
HELD ON 27<sup>th</sup> NOVEMBER 2012 AT 11.00 A.M. AT NEW DELHI.**

**उपस्थित / PRESENT:**

1. Mr. Analjit Singh	Chairman
2. Prof. Pradipta Banerji, Director, IIT Roorkee	Member
3. Mr. Dhanpat Singh, IAS, FC&PS, Govt. of Haryana Technical Education Department, Chandigarh	Member
4. Mr. Amit Khare, IAS, Joint Secretary, MHRD, New Delhi	Member
5. Mr. R.S.T. Sai, Chairman & MD, THDC Ltd., Rishikesh	Member
6. Prof. Vinod Kumar, IIT Roorkee	Member
7. Prof. Ravi Bhushan, IIT Roorkee	Member
8. Prof. Harsha Sinvhal, Dy. Director, IIT Roorkee	Permanent Invitee
9. Dr. M. Ramachandran, IAS (Retd.)	Permanent Invitee
10. Mr. Arvind K. Singhal, New Delhi	Permanent Invitee
11. Lt.Col. (Retd ) A.K. Srivastava, Registrar	Secretary

At the outset, the Chairman welcomed the members to the 37<sup>th</sup> meeting of the Board of Governors.

The Board noted that a communication had been received from Mr. Pawan Munjal, MD & CEO, Hero MotoCorp Ltd., New Delhi, to grant him leave of absence for not being able to attend the meeting of the Board due to his overseas business trip.

The agenda was then taken up.

**Item No.37.1.1: Confirmation of the minutes of the 35<sup>th</sup> and 36<sup>th</sup> meetings of the Board of Governors held on 26.5.2012 and 04.08.2012, respectively.**

**1.1.1** The Board **noted** that the minutes of the 35<sup>th</sup> and 36<sup>th</sup> meetings of the Board of Governors held on 26.05.2012 and 04.08.2012, respectively were circulated

to all members of the Board of Governors (vide letter No. IITR/MS/35<sup>th</sup> BOG/7577 dated 18.06.2012 and No. IITR/MS/36<sup>th</sup> BOG/7860 dated 17.10.2012) for their comments, and that no comments were received.

**1.1.2** The Board of Governors then **confirmed** the Minutes of the 35<sup>th</sup> and 36<sup>th</sup> Meetings.

**Item No. 37.1.2: Report of actions taken on the minutes of the 35<sup>th</sup> and 36<sup>th</sup> Meetings of the Board of Governors held on 26.05.2012 and 04.08.2012, respectively.**

**1.2.1** The Board **considered** the actions taken on the Minutes of the 35<sup>th</sup> & 36<sup>th</sup> meeting of the Board of Governors held on 26.05.2012 and 04.08.2012

**1.2.2** The Board **noted** the actions taken as reported.

**Item No.37.1.3: Report of the Director on the significant developments/ issues since the last meeting of the Board held on 26.05.2012.**

**1.3.1** The Board **considered the** Report of the Director and **noted** the various events and initiatives being implemented since the last meeting of the Board as contained in his Report.

**1.3.2** The Board appreciated the report and the presentation made by the Director.

**Item No.37.2.1: Reporting matters for the information of the Board of Governors.**

**RESOLUTION No.BG/41/2012: THE BOARD RESOLVED THAT** the matters, as listed below, were noted and recorded.

(i) Minutes of the 44<sup>th</sup> Meeting of the Senate of the Institute held on 19.07.2012.

(ii) Minutes of the 29<sup>th</sup> Meeting of the Finance Committee of the Institute held on 26.05.2012.

(iii) New appointments to faculty positions as listed in **Appendix 'A'**.

(iv) Faculty Members and other staff who have superannuated / resigned / expired, as listed in **Appendix 'B'**.



(v) Faculty members and other staff who have been brought on the regular cadre after completion of their probation as listed in **Appendix 'C'**.

**Item No.37.2.2: Reporting about the Annual Account/Balance Sheet for the F.Y. 2011-12.**

The Board of Governors **noted** that the Chairman, Board of Governors on behalf of the Board of Governors had approved the Balance Sheet/Annual Accounts for the Financial Year 2011-12 as given at **Appendix 'D'**, and that the same were audited by the Audit Party of the Principal Accountant General (Central), Lucknow, Branch at Allahabad, from 18.9.2012 to 30.9.2012. The Audit Certificate is awaited.

**Item No.37.2.3: Reporting of the simplification of the existing Sponsored Research & Industrial Consultancy Rules.**

The Board of Governors **noted and ratified** the modified rules and guidelines for Sponsored Research & Industrial Consultancy Rules as given at **Appendix 'E'**.

**Item No.37.2.4: Reporting of the actions/decisions taken by the Chairman, Board of Governors on behalf of the Board of Governors:-**

**2.4.1** The Board **ratified** the approvals accorded by the Chairman, Board of Governors on behalf of the Board:

**RESOLUTION No. BG/42/2012: THE BOARD RESOLVED THAT** the approvals accorded by the Chairman, Board of Governors on behalf of the Board are ratified:

(i) Resignation of Dr. Nishi Kant Bhardwaj, Assistant Professor, Department of Paper Technology, Saharanpur Campus w.e.f. 28<sup>th</sup> May 2012 (AN).

(ii) Resignation of Dr. Pradip Kumar Bala, Assistant Professor, Department of Paper Technology, Saharanpur Campus w.e.f. 22<sup>nd</sup> May 2012(AN).

(iii) Extension of Dr. Arun Kumar as Chief Scientific Officer in AHEC for a period of two years w.e.f. 1<sup>st</sup> June 2012 to 31<sup>st</sup> May 2014.

(iv) Extension of the contractual appointment of Mrs. Nisha as Scientific Officer Grade-II (on contract) for a period of one year w.e.f. 29.06.2012.



(v) Request of Dr. Nalini Singh, Associate Professor in the Department of Architecture & Planning for Voluntary Retirement w.e.f. 15<sup>th</sup> October 2012.

(vi) Appointment of Dr. Ashish Gupta, as Medical Officer on contract in the Institute Hospital, for a period of one year, with total emoluments of Rs.55,000/- p.m.

(vii) Extension of the earlier approved panel of Board Nominees on the Selection Committees for the Selection Committee meetings of different departments/ centres in the current round of selections.

(viii) Resignation of Dr. Manjul Mohan, Medical Officer (on contract) w.e.f. 20<sup>th</sup> July 2012.

(ix) Recommendations of the Standing Committee for the award of Emeritus Fellowships.

(x) Re-employment of the under-mentioned faculty members up to the end of session i.e. 30.06.2013:-

1. Prof. H.R. Wason, Department of Earthquake Engg.
2. Dr. S. Mukherjee, Department of Earthquake Engg.
3. Prof. R.C. Agrawala, Department of Metallurgical & Materials Engineering.
4. Prof. Surendra Singh, Department of Metallurgical & Materials Engineering.
5. Prof. A.K. Ray, Department of Paper Technology, Saharanpur Campus

**Noted** that the Chairman, BoG also approved that in future re-employment of faculty members upto the end of the academic session shall be approved by the Director.

Accordingly the Director approved the re-employment of the under mentioned faculty members upto 30.06.2013:-

1. Prof. Surendra Kumar, Deptt. of Chemical Engg.
2. Prof. Jagdish Rai, Department of Physics.
3. Prof. S.N. Sinha, E&CE Department
4. Prof. V.K. Gupta, Department of Civil Engg.
5. Prof. U.B. Chitranshi, Department of Civil Engg.

(xi) Extension of contractual appointment of Dr. (Mrs.) Chetna Tiwari, Medical Officer (on contract) for a period of





two years w.e.f. 10.09.2012 to 09.09.2014 on the existing terms and conditions.

(xii) Appointment of Prof. Sandeep Kumar Agarwal as Visiting Faculty for a period of six months from January 2013 to June 2013 with Rs.2500/- per day honorarium along with free accommodation as per the norms of such appointments, approved by the Board of Governors.

(xiii) Continuation of Dr.(Mrs.) Ila Gupta, Associate Professor, Department of Architecture & Planning as Joint Faculty in the Department of Humanities & Social Sciences as per the norms of such appointments approved by Board of Governors for another term of three years w.e.f. 28.06.2012.

(xiv) In accordance with the letter No.2339EA/172EA/08 dated 04<sup>th</sup> July 2012 from the Staff Officer, Office of the Chief Engineer, PWD, Lucknow, Shri Salek Chand, Superintending Engineer, IIT Roorkee, has submitted his technical resignation/voluntary retirement request which was forwarded to the Principal Secretary, U.P. PWD, Lucknow, as approved by the Director, IIT Roorkee. This issue is reported to the Board of Governors in reference to the Board of Governors Resolution No.BG/17/2012.

(xv) Recommendations of the Selection Committees for teaching positions of the following Departments, held during 23.04.2012 to 10.10.2012:

1. Department of Civil Engineering
2. Department of Chemical Engineering
3. Department of Hydrology
4. Department of Electrical Engineering
5. Department of Management Studies
6. Department of Mechanical & Industrial Engineering
7. Department of Architecture & Planning
8. Department of Chemistry
9. Department of Humanities & Social Sciences
10. Department of Metallurgical & Materials Engineering and Centre of Nano Technology
11. Alternate Hydro Energy Centre
12. Department of Water Resources Development & Management
13. Department of Electronics & Computer Engineering and Institute Computer Centre
14. Department of Earthquake Engineering
15. Department of Mathematics
16. Department of Paper Technology

17. Department of Bio-technology
18. Department of Earth Sciences
19. Department of Physics and Institute Instrumentation Centre

**Item No.37.3.1: Revision of reimbursement ceiling for residential telephone/mobile phone/broadband/ data card use, to the Group 'A' staff and Faculty Members.**

**3.1.1** The Finance Committee had **considered** the issue vide item No.30.4. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/43/2012: THE BOARD RESOLVED THAT** the maximum monthly reimbursable amount towards charges on residential telephone/mobile phone/broadband/data card use (for internet purposes) to the Group 'A' Staff and Faculty Members, be revised as under:

Designation	Ceiling Amount p.m. (Rs.)
Director, IIT Roorkee	2,800/-
Professors in the HAG scale	2,500/-
Professors and equivalent Officers in Pay Band-4 with the Grade Pay of Rs.10,000/- or more.	2,000/-
Associate Professors/Assistant Professors and equivalent Officers in Pay Band-4, with the Grade Pay of Rs.7600/- or more	1,500/-
Other Entitled Group 'A' Officers	800/-

The same will be effective from **1<sup>st</sup> December 2012**.

**Item No.37.3.2: Enhancement of Faculty Initiation Grant (FIG) limit out of Scheme-A from SRIC funds from existing amount of Rs.5.00 lacs to a maximum of Rs.10.00 lacs.**

**3.2.1** The Board of Governors **considered** the issue of enhancement of Faculty Initiation Grant (FIG) limit out of Scheme-A from SRIC funds from the existing amount of Rs.5.00 lacs to a maximum of Rs.10.00 lacs.

**RESOLUTION No.BG/44/2012: THE BOARD RESOLVED THAT** the enhancement of the Faculty Initiation Grant (FIG-A) grant from Rs.5.00 lacs to Rs.10.00 lacs be approved. The other guidelines for the award of FIG-A grant will remain unchanged.

**3.2.2** The Board further **resolved** that in exceptional cases, the Director may approve an amount in excess of Rs.10.00 lacs.

**Item No.37.3.3: Discontinuation of the FIG-B Scheme for providing financial support to Faculty Members to initiate research in new areas.**

**3.3.1** The Board of Governors **considered** the issue related to discontinuation of the FIG-B Scheme for providing financial support to Faculty Members to initiate research in new areas.

**RESOLUTION No.BG/45/2012: THE BOARD RESOLVED THAT** the Faculty Initiation Grant Scheme-B (FIG-B) be discontinued.

**Item No.37.3.4: Revision of the Special Allowances to various functionaries of the Institute.**

**3.4.1** The Finance Committee had **considered** the issue vide item No.30.5. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/46/2012: THE BOARD RESOLVED THAT** the allowances of the certain essential functionaries of the IIT Roorkee be revised as under:

Sl. No.	Position	Revised Allowance
1.	NCC Liaison Officer	Rs.2500/- p.m.
2.	NSS Programme Co-ordinator	Rs.2000/- p.m.
3.	NSS Programme Officer	Rs.1000/- p.m.
4.	Professor-in-Charge Transportation	Rs.2000/- p.m.
5.	Chairman, Dairy	Rs.2500/- p.m.
6.	Dy. Chairman, Dairy	Rs.2000/- p.m.
7.	P.S. to Director	Rs.500/- p.m.

The revision of the above mentioned allowances be implemented with effect from 19.01.2011 i.e., the date from which the revised allowances were paid to the other functionaries i.e. the Deputy Director, Deans, Chief Wardens, Wardens etc.



26 DEC 2012

**Item No.37.4.1: Proposal for the bifurcation of the Department of Electronics and Computer Engineering, into two separate Departments as recommended by the Senate.**

**4.1.1** The Board of Governors **considered** the proposal for the bifurcation of the Department of Electronics and Computer Engineering, into two separate Departments.

**RESOLUTION No.BG/47/2012: THE BOARD RESOLVED THAT** the bifurcation of the Department of Electronics and Computer Engineering into two separate Departments, namely: (a) Electronics & Communication Engineering and (b) Computer Science & Engineering be approved.

**Item No.37.4.2: Construction of Two numbers overhead water tanks each of 500 kilolitres capacity at the Roorkee Campus.**

**4.2.1** The Finance Committee had **considered** the issue vide item No.30.6. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/48/2012: THE BOARD authorised** the Director, Indian Institute of Technology Roorkee to approve the estimate of Rs.188.02 lacs for the construction of two numbers overhead water tanks each of 500 kilolitres capacity at the Roorkee Campus, after getting the design of the tank, the quality of material and the cost of material, vetted in order to ensure good quality. Thereafter, the Superintending Engineer should obtain specific approval of the Director for going ahead with the proposed work.

**Item No.37.4.3: (a) Preliminary estimate of Rs.950.00 lacs for the widening and resurfacing of the Roads and the construction of 1500 meter long trench for laying of Telephone and Internet cables at the IIT Roorkee Campus.**

**(b) Preliminary estimate of RS.71.00 lacs for the resurfacing of the roads at the Saharanpur Campus.**

**4.3.1** The Finance Committee had **considered** the issue vide item No.30.7. The recommendations of the Finance Committee were placed before the Board of Governors.



After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/49/2012: THE BOARD RESOLVED THAT** the under-mentioned preliminary estimates for widening and resurfacing of the roads be approved in principle:

(a) Preliminary estimate of Rs.950.00 lacs for the widening and resurfacing of the Roads and the construction of 1500 meter long trench for laying of Telephone and Internet cables at the IIT Roorkee Campus (**Appendix 'F'**).

(b) Preliminary estimate of Rs.71.00 lacs for the resurfacing of the roads at the Saharanpur Campus (**Appendix 'G'**).

However, final approval for commencing the work be given by the Chairman, Board of Governors after inspection of samples and consideration of the various alternatives on site.

The Board of Governors **further resolved** that an Urban Planning Consultant be engaged to make a Master Plan of the three campuses of the Institute.

**Item No.37.4.4: Recommendations dated 31.10.2012 of the Medifare Committee.**

**4.4.1** The Finance Committee had **considered** the issue vide item No.30.8. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/50/2012: THE BOARD RESOLVED THAT** the Clause-10 of the Medifare Scheme, be revised as under:

**Clause 10:** If both husband and wife are employed by IIT Roorkee, either one of them or both can join the Medifare Scheme. In case both join the scheme, they will be treated as independent members and their claims will be settled as per entitlement as independent member. In case of demise of one, the benefit of its membership shall not be passed on to his/her living spouse.



26 DEC 2012

**Item No.37.4.5: Change in the IIT Roorkee Medical Attendance and Treatment Rules, 2007 (MATR-2007) related to Medical Reimbursement.**

**4.5.1** The Finance Committee had **considered** the issue vide item No.30.9. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/51/2012: THE BOARD RESOLVED THAT** the reimbursement of medical expenses incurred by the patients be made as per the prevailing CGHS rates, including the CGHS rates for super specialities, instead of the current provision of the AIIMS rates. These rates will be effective for treatment taken on or after 27<sup>th</sup> November 2012. Accordingly, the relevant Clauses 10(3), 12(3)(c), 12 (4) and 15(1) of the Medical Attendance and Treatment Rules – 2007 be revised as under:

**10(3)** An employee shall have the option to receive treatment at any other hospital, a private clinic/ nursing home instead of the hospital recommended by the AMA as per sub-rules (1) and (2) above. However, in such cases the reimbursement of the expenses will be to the extent chargeable in the recommended hospital, the maximum limit being **the CGHS rates**. Also travelling cost in such a case, if approved by the AMA, shall be reimbursable as per the travelling allowance norms of the Institute, the limit being the travelling cost to the recommended hospital location in the recommended mode of transport.

**12(3)(c)** The reimbursement of admissible items in respect of in-door treatment will be **done** only after the charges are certified by the AMA of the concerned hospital and the CMO of the Institute hospital subject to the condition that the rate charged for each admissible item does not exceed the limit set by **the CGHS entitlement**; the reimbursement will be at **CGHS** rate, if the rate exceeds the same.

**12(4)** The reimbursement for tests conducted outside the Institute hospital as recommended by the AMA, shall be made on the basis of actual charges paid by the employee provided that the same is certified by the treating hospital



laboratory affixing its own stamp. However, the reimbursement shall be within the limit of charges approved by the **CGHS**.

- 15(1)** The CMO of the Institute hospital shall obtain and update the medical charges of **CGHS** and other recognized hospitals from time to time. A schedule of such charges may be made available to the Institute employees whenever needed by them at the Institute hospital.

**Item No.37.4.6: Issue of granting the HAG scale Rs.67000 (3% annual increment) – 79000 under MACPS to Librarian and Registrar.**

**4.6.1** The Board of Governors **considered** the issue of granting the HAG scale Rs.67000 (3% annual increment) – 79000 under MACPS to Librarian and Registrar of the Institute.

**RESOLUTION No.BG/52/2012: THE BOARD RESOLVED THAT** the issue be referred to the Ministry of Human Resource Development, Government of India.

**Item No.37.4.7: Proposal for simplification of Purchase Rules.**

**4.7.1** The Finance Committee had **considered** the issue vide item No. 30.10. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/53/2012: THE BOARD RESOLVED THAT** the revised Purchase Rules as given at Appendix 'H' be approved.

**Item No.37.5.1: Proposal for creation of two posts of Deputy Registrar and six posts of Assistant Registrar on regular basis.**

**5.1.1** The Finance Committee had **considered** the issue vide item No.30.11. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee. The organisation chart showing the approved administrative structure is given in **Appendix 'I'**.

**RESOLUTION No.BG/54/2012: THE BOARD RESOLVED THAT** the creation of two regular posts of Deputy Registrar in PB-3 (Rs.15,600-39,100) with Grade

Pay of Rs.7600/- and six regular posts of Assistant Registrar in PB-3 (Rs.15,600-39,100) with Grade Pay of Rs.5400/- be approved.

**Item No.37.5.2: Proposal for creation of certain posts for the Estate & Works.**

**5.2.1** The Finance Committee had **considered** the issue vide item No.30.12. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/55/2012: THE BOARD RESOLVED THAT** the proposal for creation of the under-mentioned posts for the Estate & Works Division in the regular cadre be approved:

- (a) Executive Engineer (Civil) - One  
Executive Engineer (Electrical/Mechanical) - One

Pay scale (PB-3) Rs.15600-39100 with the grade pay of Rs.6600

- (b) Assistant Executive Engineer (Civil) - One  
for Saharanpur Campus.  
Pay scale (PB-3) Rs.15600-39100 with the grade pay of Rs.5400

- (c) Junior Engineers/Technical Assistant (Sanitation):  
Pay scale (PB-2) Rs.9300-34800 with the grade pay of Rs.4200

- (i) Junior Engineer (Horticulture) - One  
(ii) Junior Engineer (Civil) - Three  
(iii) Junior Engineer (Electrical) - Three  
(iv) T.A. (Sanitation) - One

**5.2.2** The Board further **resolved** that the minimum qualifications for the above posts as given at **Appendix 'J'** be approved.

**Item No.37.5.3: Request of Smt. Shobha Rani, wife of Shri Amarpal, Senior Attendant (missing employee) for providing an appointment on compassionate grounds to her son Shri Krishna Gopal.**

**5.3.1** The Board of Governors **considered** the request of Smt. Shobha Rani, wife of Shri Amarpal, Senior Attendant





(missing employee) for providing an appointment on compassionate grounds to her son Shri Krishna Gopal.

**RESOLUTION No.BG/56/2012: THE BOARD RESOLVED THAT** the compassionate appointment on contract to Sri Krishna Gopal son of Sri Amarpal, Senior Attendant (missing employee) be offered with the stipulation that if Sri Amarpal appears on the scene before the completion of seven years, the appointment offered on compassionate grounds to Sri Krishna Gopal, be cancelled by giving one month's notice to him.

**Item No. 37.5.4: Report of the Committee in respect of Mr. Nathu Ram, Sr. Technical Superintendent working in the Institute Hospital.**

**5.4.1** The Finance Committee had **considered** the issue vide item No. 30.13. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/57/2012: THE BOARD RESOLVED THAT** the issue be referred to the Ministry of Human Resource Development, Government of India.

**Item No.37.5.5: Implementation of the Report for Rejuvenation of the Administration of IIT Roorkee submitted by Shri D.K. Ghosh, Consultant.**

**5.5.1** The Finance Committee had **considered** the issue vide item No. 30.14. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/58/2012: THE BOARD RESOLVED THAT**

(a) The estimate of cost for implementation of different items for Rejuvenation of the Administration of IIT Roorkee as given at **Appendix 'K'** be approved. For item 1 of Appendix 'K', the estimates when prepared be submitted to the BoG.

(b) The expenditure be met from the Plan Funds of the Institute. Further, the expenditure other than that required for Computerization, will be met from the non-plan budget of the Institute.



(c) The Chairman, Board of Governors be authorized to decide the terms and conditions of the Consultant, Shri D.K. Ghosh, on the recommendation of the Director.

**Item No.37.5.6: Proposal for wired Local Area Network (LAN) work in hostels of IIT Roorkee and Technology Block of Saharanpur Campus.**

**5.6.1** The Finance Committee had **considered** the issue vide item No.30.15. The recommendations of the Finance Committee were placed before the Board of Governors. After discussion, the Board approved the recommendations of the Finance Committee.

**RESOLUTION No.BG/59/2012: THE BOARD RESOLVED THAT** the proposal for enhancing the internet connectivity for the students' hostels at the Roorkee Campus and enabling internet connectivity at the newly constructed Technology Bhawan at the Saharanpur Campus be accepted in principle with the proviso that the Institute should invite open competitive bids for the same.

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



26 DEC 2012

**Appendix 'A'**  
(Refers to item No. 37.2.1 of the  
Minutes of the 37<sup>th</sup> meeting of BOG)

**List of faculty members appointed**

Sl. No.	Name	Designation	Department	Date of Joining
1.	Dr. Vimal Kumar	Assistant Professor	Chemical Engineering	01.6.2012(AN)
2.	Dr. G.B. Kumbhar	Assistant Professor	Electrical Engineering	01.6.2012(AN)
3.	Dr. R.S. Jakka	Assistant Professor	Earthquake Engineering	01.6.2012(FN)
4.	Dr. Veeramani C.	Assistant Professor (on contract)	Chemical Engineering	04.6.2012(FN)
5.	Dr.(Mrs.) Sonalisa Ray	Assistant Professor (on contract)	Civil Engineering	11.6.2012(FN)
6.	Dr. Indrajit Ghosh	Assistant Professor (on contract)	Civil Engineering	09.7.2012(FN)
7.	Dr. Shabina Khanam	Assistant Professor	Chemical Engineering	09.7.2012(FN)
8.	Dr. Brijesh Kumar Yadav	Assistant Professor	Hydrology	12.7.2012(FN)
9.	Dr. Sumit Sen	Assistant Professor (on contract)	Hydrology	12.7.2012(FN)
10.	Dr.(Mrs.) Premalata Jena	Assistant Professor (on contract)	Electrical Engineering	23.7.2012(FN)
11.	Dr. Rajib Chowdhury	Assistant Professor	Civil Engineering	11.07.2012(FN)
12.	Dr. Sudipta Sarkar	Assistant Professor	Civil Engineering	16.07.2012(FN)
13.	Dr. Munish Kumar Chandel	Assistant Professor	Civil Engineering	01.06.2012(FN)
14.	Dr. Jogendra Kumar Nayak	Assistant Professor	Management Studies	13.08.2012(FN)
15.	Dr. M.K. Rao	Assistant Professor	Management Studies	23.08.2012(FN)
16.	Dr. Rajib Lochan Dhar	Assistant Professor	Management Studies	25.08.2012(FN)
17.	Dr. Vinod Pankajashan	Assistant Professor	Electronics & Computer Engineering	06.09.2012(FN)
18.	Dr. (Ms.) Pooja Garg	Assistant Professor	Humanities & Social Sciences	06.09.2012(AN)
19.	Dr. B.V. Manoj Kumar	Assistant Professor	Metallurgical & Material Engineering	06.09.2012(AN)
20.	Dr. Kaushik Pal	Assistant Professor (on contract)	Mechanical & Industrial Engineering	18.09.2012(FN)
21.	Dr. Sadhan Ghosh	Assistant Professor	Metallurgical & Material Engineering	01.10.2012(FN)
22.	Dr. Ramesh A.	Assistant Professor (on contract)	Management Studies	15.10.2012(FN)
23.	Dr. Sudhakar Subudhi	Assistant Professor	Mechanical & Industrial Engineering	15.10.2012(FN)
24.	Dr. Ramasare Prasad	Professor	Biotechnology	23.10.2012
25.	Dr. K.S. Hari Prasad	Professor	Civil Engineering	23.10.2012

26.	Dr. Akhil Upadhyay	Professor	Civil Engineering	23.10.2012
27.	Dr. Z. Ahmad	Professor	Civil Engineering	23.10.2012
28.	Dr. B.Prasad	Professor	Chemical	23.10.2012
29.	Dr. Surendra Pal Singh	Professor	Paper Technology	23.10.2012
30.	Dr. Yuvraj Singh Negi	Professor	Paper Technology	23.10.2012
31.	Dr. Dhurm Dutt	Professor	Paper Technology	23.10.2012
32.	Dr. Dharmendra Singh	Professor	Electronics & Computer Engineering	23.10.2012
33.	Dr. Amit Kumar Sen	Professor	Earth Sciences	23.10.2012
34.	Dr. Yogendra Singh	Professor	Earthquake Engineering	23.10.2012
35.	Dr. Kirat Pal	Professor	Earthquake Engineering	23.10.2012
36.	Dr. (Mrs.) Kusum Deep	Professor	Mathematics	23.10.2012
37.	Dr. ( Mrs.) Tanuja Srivastava	Professor	Mathematics	23.10.2012
38.	Dr. N. Sukavanam	Professor	Mathematics	23.10.2012
39.	Dr. Shiv Prasad Yadav	Professor	Mathematics	23.10.2012
40.	Dr. Pradeep Kumar Sahoo	Professor	Mechanical & Industrial Engineering	23.10.2012
41.	Dr. Rakesh Prakash Gakkhar	Professor	Mechanical & Industrial Engineering	23.10.2012
42.	Dr. Mahua Mukherjee	Associate Professor	Arch. & Planning	23.10.2012
43.	Dr. P.S. Chani	Associate Professor	Arch. & Planning	23.10.2012
44.	Dr. Ashwani Kumar Sharma	Associate Professor	Biotechnology	23.10.2012
45.	Dr. Pravindera Kumar	Associate Professor	Biotechnology	23.10.2012
46.	Dr. Bijan Chaudhary	Associate Professor	Biotechnology	23.10.2012
47.	Dr. Sanjoy Ghosh	Associate Professor	Biotechnology	23.10.2012
48.	Dr. Satyendra Mittal	Associate Professor	Civil Engineering	23.10.2012
49.	Dr. Jayanta Kumar Ghosh	Associate Professor	Civil Engineering	23.10.2012
50.	Dr. Pramod Kumar	Associate Professor	Civil Engineering	23.10.2012
51.	Dr. Bhupinder Singh	Associate Professor	Civil Engineering	23.10.2012
52.	Dr. Rajat Rastogi	Associate Professor	Civil Engineering	23.10.2012
53.	Dr. Anupam Chakrabarti	Associate Professor	Civil Engineering	23.10.2012
54.	Dr. V.A. Sawant	Associate Professor	Civil Engineering	23.10.2012
55.	Dr. R.D. Garg	Associate Professor	Civil Engineering	23.10.2012
56.	Dr. U.K.Sharma	Associate Professor	Civil Engineering	23.10.2012
57.	Ms. Priti Meheshwari	Associate Professor	Civil Engineering	23.10.2012
58.	Dr. R. Bhargava	Associate Professor	Chemical	23.10.2012
59.	Dr. K.R. Justin Thomas	Associate Professor	Chemistry	23.10.2012
60.	Dr. Jeevanandam P.	Associate Professor	Chemistry	23.10.2012
61.	Dr. Kaushik Ghosh	Associate Professor	Chemistry	23.10.2012
62.	Dr. Rajkumar Dutta	Associate Professor	Chemistry	23.10.2012
63.	Dr. P.P. Thankachan	Associate Professor	Chemistry	23.10.2012
64.	Dr. Rama Krishna Peddinti	Associate Professor	Chemistry	23.10.2012



65.	Dr. Sujoy Chattopadhyay	Associate Professor	Paper Technology	23.10.2012
66.	Dr. Uttam Kumar Ghosh	Associate Professor	Paper Technology	23.10.2012
67.	Dr. Vivek Kumar	Associate Professor	Paper Technology	23.10.2012
68.	Dr. (Ms.) Chhaya Sharma	Associate Professor	Paper Technology	23.10.2012
69.	Dr. Ajay	Associate Professor	Paper Technology (Physics)	23.10.2012
70.	Dr. Mille Pant	Associate Professor	Paper Technology (Mathematics)	23.10.2012
71.	Dr. Sudeb Das Gupta	Associate Professor	Electronics & Computer Engineering	23.10.2012
72.	Dr. Nagendra Prasad Pathak	Associate Professor	Electronics & Computer Engineering	23.10.2012
73.	Dr. Rajdeep Niyogi	Associate Professor	Electronics & Computer Engineering	23.10.2012
74.	Dr. Durga Toshniwal	Associate Professor	Electronics & Computer Engineering	23.10.2012
75.	Dr. Kamal	Associate Professor	Earth Sciences	23.10.2012
76.	Dr. Barjeev Tyagi	Associate Professor	Electrical Engineering	23.10.2012
77.	Dr. M.K. Pathak	Associate Professor	Electrical Engineering	23.10.2012
78.	Dr. C.P. Gupta	Associate Professor	Electrical Engineering	23.10.2012
79.	Dr. Binod Mishra	Associate Professor	Humanities & Social Sciences	23.10.2012
80.	Dr. Smita Jha	Associate Professor	Humanities & Social Sciences	23.10.2012
81.	Dr. Manoj Kumar Jain	Associate Professor	Hydrology	23.10.2012
82.	Dr. G.P. Chaudhari	Associate Professor	Metallurgical & Materials Engineering	23.10.2012
83.	Dr. R. Balasubramanian	Associate Professor	Mathematics	23.10.2012
84.	Dr. Premananda Bera	Associate Professor	Mathematics	23.10.2012
85.	Dr. A. Swaminathan	Associate Professor	Mathematics	23.10.2012
86.	Dr. Sugata Gangopadhyay	Associate Professor	Mathematics	23.10.2012
87.	Dr. Sandip Banerjee	Associate Professor	Mathematics	23.10.2012
88.	Dr. Madhu Jain	Associate Professor	Mathematics	23.10.2012
89.	Dr. Apurabba Kumar Sharma	Associate Professor	Mechanical & Industrial Engineering	23.10.2012
90.	Dr. Manish Mishra	Associate Professor	Mechanical & Industrial Engineering	23.10.2012
91.	Dr. Krishnan Murugesan	Associate Professor	Mechanical & Industrial Engineering	23.10.2012
92.	Dr. Inderdeep Singh	Associate Professor	Mechanical & Industrial Engineering	23.10.2012
93.	Dr. P.M. Pathak	Associate Professor	Mechanical & Industrial Engineering	23.10.2012
94.	Dr. Krishna Mohan Singh	Associate Professor	Mechanical & Industrial Engineering	23.10.2012
95.	Dr. Suraj Prakash Harsha	Associate Professor	Mechanical & Industrial Engineering	23.10.2012



96.	Dr. Huzur Saran Vuppulury	Associate Professor	Mechanical & Industrial Engineering	23.10.2012
97.	Dr. Indra Vir Singh	Associate Professor	Mechanical & Industrial Engineering	23.10.2012
98.	Dr. Alok Mishra	Associate Professor	Physics	23.10.2012
99.	Dr. Vipul Rastogi	Associate Professor	Physics	23.10.2012
100.	Dr. B.K. Patra	Associate Professor	Physics	23.10.2012
101.	Prof. Sri Niwas	Emeritus Fellow	Earth Sciences	01.07.2012
102.	Prof. V.N. Singh	Emeritus Fellow	Earth Sciences	01.07.2012
103.	Prof. V.K. Tewari	Emeritus Fellow	Metallurgical & Material Engineering	01.07.2012
104.	Prof. Ishwar Singh	Emeritus Fellow	Physics	01.07.2012
105.	Prof. D.K. Paul	Emeritus Fellow	Earthquake Engineering	01.07.2012
106.	Prof.(Mrs.) Indu Mehrotra	Emeritus Fellow	Civil Engineering	01.07.2012
107.	Prof. D.K. Srivastava	Emeritus Fellow	Hydrology	01.07.2012
108.	Prof. Satya Prakash	Emeritus Fellow	Metallurgical & Material Engineering	01.07.2012



**Appendix 'B'**  
(Refers to item No. 37.2.1 of the  
Minutes of the 37<sup>th</sup> meeting of BOG)

**The list of Faculty Members and other staff superannuated/resigned/expired.**

Sl. No.	Name	Designation	Department	Date of Superannuation/ Resigned/Expired
1.	Dr. Pradip Kumar Bala	Assistant Professor	Paper Technology	22.05.2012 (Resigned)
2.	Dr. Nishikant Bhardwaj	Assistant Professor	Paper Technology	28.05.2012 (Resigned)
3.	Dr. D.K.Paul	Professor	Earthquake Engineering	31.05.2012*
4.	Dr. G.S. Srivastava	Professor	Mathematics	31.05.2012*
5.	Dr. Surendra Kumar	Assistant Professor	Electrical Engineering	30.06.2012*
6.	Dr. (Mrs.) Manjul Mohan	Institute Medical Officer (on contract)	Institute Hospital	27.07.2012*
7.	Dr. R.C. Agarwal	Professor	Metallurgical & Material Engineering	31.07.2012*
8.	Dr. Surendra Singh	Professor	Metallurgical & Material Engineering	31.08.2012*
9.	Dr. (Ms.) Anjali Sardana	Assistant Professor (OC)	Electronics & Computer Engineering	07.09.2012 (Expired)
10.	Dr. Nalini Singh	Associate Professor	Architecture & Planning	15.10.2012 (Voluntary Retirement)
11.	Dr. H.R. Wason	Professor	Earthquake Engineering	31.10.2012*

\*Superannuated.

**Appendix 'C'**  
(Refers to item No. 37.2.1 of the  
Minutes of the 37<sup>th</sup> meeting of BOG)

**The list of Faculty members and other staff who have been brought on regular cadre.**

Sl. No.	Name	Designation	Department	Date on which brought on Regular Cadre
1.	Dr. Paritosh Mohanty	Assistant Professor	Paper Technology	24.03.2012
2.	Dr. Pallavi Debnath	Assistant Professor	Chemistry	24.03.2012
3.	Dr. Tapas Kumar Mandal	Assistant Professor	Chemistry	01.04.2012
4.	Dr. Sujay Chattopadhyay	Assistant Professor	Paper Technology	04.04.2012
5.	Dr. Manoj Tripathi	Assistant Professor	Electrical Engineering	27.04.2012
6.	Dr. (Mrs.) P. Sumathi	Assistant Professor	Electrical Engineering	04.05.2012
7.	Dr. Anuj Sharma	Assistant Professor	Chemistry	06.05.2012(AN)
8.	Dr. Muniappan Sankar	Assistant Professor	Chemistry	30.06.2012





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

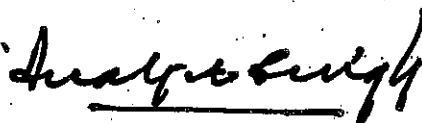
**Subject: Approval of Balance Sheet 2011-12 for subsequent audit by CAG auditors.**

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

The Balance Sheet for the year 2011-12 as mentioned above is enclosed for the kind approval of the Chairman.

Also enclosed (i) Balance Sheet 2011-12, (ii) Income and Expenditure Accounts 2011-12, (iii) Receipt and Payment Account 2011-12 and (iv) Significant Accounting policies & Notes on Accounts 2011-12 for your kind perusal.

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



  
(Pradipta Banerji)  
Director

Shri Analjit Singh  
Chairman, BoG, I.I.T. Roorkee  
Chairman, Max India Limited,  
Max House,  
I, Dr. Jha Marg, Okhla Phase-III  
New Delhi-110020

Encl: As Above

UON/DIR/IITR/

Dated: June 9, 2012



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

**BALANCE SHEET AS AT 31ST MARCH 2012**

PARTICULARS	SCH. NO.	CURRENT YEAR		PREVIOUS YEAR	
		AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)
<b>SOURCES OF FUNDS</b>					
<b>CORPUS FUND</b>					
a. Capital Fund	1	6,649,882,205.20		11,966,664,052.75	
b. Institute Development Fund	1A	1,419,329,554.92		1,085,919,908.08	
c. Trusts Fund	1B	177,870,183.40		162,312,540.40	
d. JEE Fund	1C	98,184,833.79		83,098,252.45	
e. IAM Fund	1D	8,849,110.35		23,528,367.15	
f. GATE Fund	1E	88,073,415.26	8,438,889,102.91	79,310,490.38	13,400,833,611.21
<b>CURRENT LIABILITIES &amp; PROVISIONS</b>					
<b>A. Current Liabilities:</b>					
a. Univ. Grant Commission Fund	2A	1,942,999.38		10,221,101.38	
b. Govt. of India Fund	2B	47,555,399.16		54,195,065.16	
c. SRIC Fund	2C	1,610,425,571.60	1,659,926,970.14	1,399,410,351.81	1,463,826,518.35
Unutilised Grant of CSIR A/c			3,307,112.00		
<b>EXPENSES PAYABLE/ OTHER PAYABLES</b>	3	98,372,215.88		95,556,546.00	
<b>PROVISIONS FOR EMPLOYEE'S BENEFITS OBLIGATION</b>	3A-3C	6,384,163,934.00			
<b>SECURITY DEPOSITS</b>		54,532,632.87	6,537,068,782.72	47,676,728.87	143,233,274.87
<b>TOTAL (RS.)</b>			16,639,191,967.77		15,007,893,404.43
<b>APPLICATION OF FUNDS</b>					
<b>FIXED ASSETS</b>	4A-4C		12,429,944,108.80		11,455,100,349.69
<b>INVESTMENTS</b>	5		83,869,000.00		335,970,000.00
<b>CURRENT ASSETS, LOANS &amp; ADVANCES</b>					
<b>A. Current Assets:</b>					
a. Closing Stock of Medicines		429,026.00		559,264.00	
b. Cash & Bank Balances	6A-6C	3,279,205,120.80		2,371,275,366.89	
c. Interest Accrued on Investments		228,598,612.77	3,508,232,759.57	236,426,359.00	2,608,260,989.89
<b>Advances Recoverable in Cash or in Kind:</b>					
a. Advance against Foreign Letters of Credit issued by banks (pending adjustment)	7-7A	579,852,755.00		554,438,896.00	
b. Sundry Advances	8-8B	28,956,743.40		45,786,567.85	
c. Securities	9	8,336,601.00	617,146,099.40	8,336,601.00	608,562,064.85
<b>TOTAL (RS.)</b>			16,639,191,967.77		15,007,893,404.43
<b>SIGNIFICANT ACCOUNTING POLICIES &amp; NOTES TO ACCOUNTS</b>	10				

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

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



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

(Anshu Singh)  
Chairman, Board of Governors

(G.K. Rastogi)  
Dy. Registrar (A&A)

(Pradipta Banerji)  
Director

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

**MAIN INCOME AND EXPENDITURE ACCOUNT FOR THE YEAR ENDED 31ST MARCH 2012**

PARTICULARS	SCH. NO.	Current Year		Previous Year	
		AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)
<b>INCOME :</b>					
Grant Received from MHRD	1	2,760,000,000.00		2,521,800,000.00	
Less : Grant for Plan Items for acquisition of Assets/ Other Capital Expenditure transferred to and included in Capital Fund PLAN A/C - 273541 (Object Head-35)		1,020,000,000.00		760,000,000.00	
PLAN OBC A/C - 217041		-	1,740,000,000.00	350,000,000.00	1,411,800,000.00
Other Grants Received	2		38,965,396.00		
Academic/Educational Receipts	3		335,068,372.00		30,599,283.00
Building Income	4		19,844,644.00		269,636,210.59
Interest Income	5		16,900,572.02		21,071,788.00
Examination Receipts [PG AD (M. TECH) - 01-112597]	-		12,705,550.00		12,961,186.00
Conference Receipts	-		8,082,862.80		6,135,762.00
Other Misc. Incomes	6		3,701,112.00		6,842,648.00
<b>TOTAL [A]</b>			<b>2,175,268,508.82</b>		<b>1,764,163,480.59</b>

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



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

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

(Anajit Singh)  
Chairman, Board of Governors

(G. K. Rastogi)  
Dy.Registrar (A & A)

(Pradipta Banerji)  
Director

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

**MAIN INCOME AND EXPENDITURE ACCOUNT FOR THE YEAR ENDED 31ST MARCH 2012**

PARTICULARS	SCH. NO.	Current Year		Previous Year	
		AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)	AMOUNT (Rs.)
<b>EXPENDITURE:</b>					
Establishment Expenses	7		1,144,964,972.00		
Departmental Expenses	8		39,149,768.13		1,020,754,348.10
Administrative & Other Misc. Expenses:					44,591,116.00
A. Educational Expenses:					
(a). Scholarship/ Awards/ Fellowship					
Main A/c No. - 18601		14,981,561.00		175,049,253.00	
MCM SCHOLARSHIP - S.A A/c No. - 2929		34,420,170.00		23,446,310.00	
CSIR A/c 43610		20,806,940.00		15,216,806.00	
Plan A/c-273541-(M.Tech/ Ph.D. Fellowship-Object Head-31)		193,185,790.00			
National Scholarship A/c - 17184		9,769,025.00		12,843,426.00	
(b). Other Educational Expenses (Main A/c - 18601)		21,637,225.00	294,800,711.00	11,500,104.00	238,055,899.00
(c). Convocation/symposium/ other function expenses					
National Conference & Syposium (Main A/c - 18601)		3,285,173.00			
Convocation and other Function Exp. (Main A/c - 18601)		1,532,554.00		1,636,314.00	
International Conference & Syposium (Main A/c - 18601)		15,243,641.50		1,359,798.00	
Conference Expenses (Conference A/c)		6,176,939.00	26,238,307.50	8,398,136.35	
(d). Mess Expenses/ subsidy :				6,672,347.50	18,066,595.85
Mess Subsidy (Main A/c - 18601)					
Mess Exp. - CCB A/c (S.A A/c No. - 2929)		16,281,433.00		16,702,574.00	
(e). Contribution for Students Recreational Expenses	9	20,060,950.00	106,342,383.00	37,503,850.00	54,206,424.00
(f). Examination Expenses [ P.G A.D - M TECH A/C - 112597]			16,554,600.00		12,362,813.00
B. Other Administrative Expenses-			4,638,560.50		3,293,883.00
Bhawan Expenses	10		136,359,927.34		154,307,939.62
S.A A/C-2929		586,200.00		489,000.00	
B.R.P A/C-18602		2,161,500.00	2,747,700.00	5,088,483.00	5,577,483.00
Repair & Maintenance Expenses	11		62,415,405.00		52,873,361.00
Unutilised Grant of CSIR Saperately Shown in Balance Sheet			3,307,112.00		
Trfd. To IDF out of Current Year Savings			257,500,000.00		145,650,000.00
<b>TOTAL [ B ]</b>			<b>2,095,019,446.47</b>		<b>1,749,739,862.57</b>
<b>Balance being excess of Income over Expenditure [A-B]</b>			<b>80,249,062.35</b>		<b>14,423,618.02</b>
<b>BALANCE BEING SURPLUS/ DEFICIT CARRIED OVER TO CAPITAL FUND</b>			<b>80,249,062.35</b>		<b>14,423,618.02</b>

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



(Pradeep Kumar)  
Dean, Fin. & Planning

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

(Anil Singh)  
Chairman, Board of Governors

(G. K. Rastogi)  
Dy.Registrar (A & A)

(Pradipta Banerji)  
Director

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

**MAIN A/C-18601**

**RECEIPTS AND PAYMENTS ACCOUNT FOR THE YEAR ENDED 31ST MARCH 2012**

AMOUNT(RS.) PREV. YEAR	RECEIPTS	AMOUNT(RS.) CURRENT YEAR	AMOUNT(RS.) CURRENT YEAR	AMOUNT(RS.) PREV. YEAR	PAYMENTS	AMOUNT(RS.) CURRENT YEAR	AMOUNT(RS.) CURRENT YEAR
80,466,788.30 58,596,555.00	<b>Opening Balance</b> <b>Bank Balance</b> <b>Closing Stock of Medicines</b> <b>As At 01-04-2011</b>		<b>3,225,026.85</b> <b>589,284.00</b>		<b>A. Payments For Revenue Exp.</b> <b>1. Establishment Exp.</b> <b>1A. Pay &amp; Allowances:</b>		
	<b>A. Revenue Receipts</b>			256,802,817.00	(a). Admn. & Teaching Staff	256,307,331.00	
	<b>1. Grant Received</b>			132,941,953.00	(b). Non-Teaching Staff	148,181,637.00	
1,331,800,000.00	<b>Non-Plan Grant:</b>		<b>1,860,000,000.00</b>	99,931,363.00	(c). DA Admn. & Teaching Staff	142,659,808.00	
	<b>2. Other Misc. Incomes:-</b>			55,059,345.00	(d). DA Non-Teaching Staff	77,558,405.00	
753,017.00	<b>Analysis Receipts</b>	<b>735,465.00</b>		1,611,465.00	(e). HRA Admn. & Teaching Staff	2,058,958.00	
161,361.00	<b>Misc. Income/Guest House Savings</b>	<b>662,499.00</b>		7,177,125.00	(f). HRA Non-Teaching Staff	6,555,194.00	
867,635.00	<b>Exam/Transcripts/Thesis Sub. Rcts.</b>	<b>1,043,972.00</b>		8,639,405.00	(g). Other Allowances- Admn. & Teaching Staff	11,608,880.00	
120,000.00	<b>German Language Course Fee</b>	<b>100,000.00</b>		11,515,032.00	(h). Other Allowances- Non Teaching	13,668,456.00	
173,779.00	<b>TBLS Rcts.</b>	<b>196,550.00</b>		3,925,170.00	(i). Faculty Perks	4,295,977.00	
188,828.00	<b>Library Fee/ Library Fine</b>	<b>189,970.00</b>		380,664.00	(j). Liviaries	1,634,397.00	
5,817,284.00	<b>Electricity Charges recovered</b>	<b>14,441,717.00</b>		9,306,956.00	(k). LTC	9,514,539.00	
1,643,387.00	<b>Telephone Charges recovered</b>	<b>1,577,559.00</b>		3,338,988.00	(l). Bonus	3,387,581.00	
14,220.00	<b>Medical Booklet Charges/I.Card/TC</b>	<b>20,466.00</b>		4,110,181.00	(m). Children Education allowance	7,707,368.00	
6,151.00	<b>Grade Sheet Fee</b>	<b>4,830.00</b>		8,160,317.00	(n). IPF/NPF/NPS Contribution	12,238,674.00	
91,600.00	<b>Absentia</b>	<b>66,850.00</b>		21,652,995.00	(o). Medical(Paid during the Year)	27,855,895.00	
3,183,916.00	<b>House Rent</b>	<b>3,507,246.00</b>		2,675,893.00	(p). Medical(Decrease in Stock of Medicines)	130,238.00	
212,998.00	<b>Water Charges</b>	<b>215,441.00</b>		253,636,314.10	1B. OTA & Honorarium	2,337,244.00	
214,203.00	<b>Mater Charges</b>	<b>102,681.00</b>		710,871.00	1C. Pension & Gratuity	265,622,401.00	
354,169.00	<b>Hospital OPD</b>	<b>309,852.00</b>		372,515.00	1D. Staff Development & HRD/Training	643,882.00	
1,262,033.00	<b>NPS Contribution From NPS A/c</b>			40,028,878.00	1E. Stipend / Salary Apprentice	934,302.00	
1,200.00	<b>Firm Registration Charges</b>	<b>1,250.00</b>		22,514,502.00	1F. Leave Encashment	33,922,021.00	
27,018.00	<b>Flag Day/RTI Rcts.</b>	<b>11,013.00</b>			1G. Salary Work Hire & Mustroll	29,816,714.00	
372,178.00	<b>Vehicle Charges</b>	<b>224,417.00</b>	<b>23,411,778.00</b>		<b>2. Departmental Expenses:</b>		<b>1,058,639,902.00</b>
				2,916,302.00	(a). Civil Engineering Deptt.	2,227,155.00	
				2,155,643.00	(b). Elect. Engineering Deptt.	1,888,802.00	
				1,930,176.00	(c). Mechanical & Industrial Engg. Deptt.	1,992,864.00	
				1,597,273.00	(d). Electronics & Comm. Engg. Deptt.	1,963,234.00	
				785,129.00	(e). Arch. & Planning Deptt.	719,996.00	
				1,114,484.00	(f). MAT & MET Engineering Deptt.	1,202,364.00	
				1,298,885.00	(g). Chemical Engineering Deptt.	1,400,456.00	
				775,745.00	(h). Earth Quake Deptt.	1,128,484.00	
				933,402.00	(i). Mathematics Deptt.	454,839.00	
				598,541.00	(j). Physics Deptt.	745,604.00	
				1,626,164.00	(k). Chemistry Deptt.	1,602,945.00	
				1,093,668.00	(l). Earth Science Deptt.	996,136.00	
				729,521.00	(m). Deptt. of Management Studies	795,383.00	
				345,240.00	(n). Humanities & Social Science Deptt.	281,138.00	
				3,218,658.00	(o). Library	3,977,612.13	
				404,363.00	(p). Hydrology Deptt.	391,448.00	
				894,555.00	(q). Bio-science Bio-tech. Deptt.	746,125.00	
				910,371.00	(r). Institute Computer Centre	1,120,629.00	
				677,889.00	(s). Water Res. Dev. Training Centre	729,189.00	
				359,080.00	(t). ANEC Deptt.	296,100.00	
				9,509,472.00	(v). Dean UG/PG	9,576,561.00	
				33,655.00	(w). Estate & Works Deptt.	136,297.00	
				1,369,803.00	(x). Hospital	1,048,598.00	
				1,313,698.00	(y). Institute Instrumentation Centre	1,354,745.00	
				189,639.00	(z). Centre For Geotechnology/Geochronology		
				106,859.00	(aa). Disaster Mitigation & Mgmt Centre	62,061.00	
				204,658.00	(ab). Guest House	302,628.00	
				242,530.00	(ac). Hindi Cell	190,416.00	

26 DEC 2012

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

**MAIN A/C-18601**

**RECEIPTS AND PAYMENTS ACCOUNT FOR THE YEAR ENDED 31ST MARCH 2012**

AMOUNT(RS.)	RECEIPTS	AMOUNT(RS.)	AMOUNT(RS.)	AMOUNT(RS.)	PAYMENTS	AMOUNT(RS.)	AMOUNT(RS.)
	<b>3. Other Receipts:</b>						
5,843,693.00	Tender Security Recd.	8,621,943.00		4,577,648.00	(ad). Human Resource Deptt	68,793.00	
700,000,000.00	Temporary Loan from IDP - 43517	205,000,000.00		152,896.00	(ae). Information Superhighway Centre	1,221,373.00	
297,761,080.00	Trfd. from Fee A/c-2929	287,062,380.00		300,047.00	(af). Centre for Transportation	110,742.00	
30,000,000.00	Trfd. from SRIC A/c - 3175			1,196,955.00	(ag). Centre for Nanotechnology	397,488.00	
5,150,000.00	Trfd. from GATE A/c	12,500,000.00		23,684.00	(ah). Other Finance & Accounts	19,566.00	
22,500,000.00	Trfd. from IIT Mandi A/c			1,004,483.00	(ai). IPR Cell		
656,017.00	Sale of Discarded Fixed Assets	189,015.00			(aj). Telephone Department		
-	Refund from GNEC, Noida	100,000.00		175,049,253.00			39,149,768.13
-	Trfd. From NPS A/c	10,000,000.00		11,500,104.00	<b>3A. Educational Expenses:</b>		
12,500,000.00	Trfd. from JEE A/c	5,000,000.00	528,473,338.00		(a). Scholarship/ Awards/ Fellowship	14,981,561.00	
-	Refund from NBCC		2,500,000.00		(b). Other Educational Expenses	21,637,225.00	36,618,786.00
					<b>3B. Convocation/Symposium/ other function expenses</b>		
					(a). National Conference & Symposium	3,285,173.00	
					(b). Convocation & other Function Exp.	1,532,554.00	
					(C) International Conference & Symposium	15,243,641.50	20,061,368.50
					<b>3C. Mess Expenses/ Subsidy : Mess Subsidy / Exp.</b>		
							16,281,433.00
					<b>3D. Other Administrative Expenses:</b>		
					(a). Printing, Stationary/Publication Exp.	2,924,378.00	
					(b). Telephone Expenses	3,970,560.00	
					(c). Advertisement	1,064,221.00	
					(d). Water, Power & Fuel	65,993,329.00	
					(e). Boarding & Lodging/Entertainment Exp.		
					(f). Institute Security Expenses	16,541,199.00	
					(g). Contingencies	8,406,398.00	
					(h). German Language Course Exp.	151,062.00	
					(i). Legal Expenses	433,256.00	
					(j). Membership & Subscription	921,927.00	
					(k). Postage & Telegram Exp.	314,845.00	
					(l). Travelling & Conveyance Exp.	5,713,122.00	
					(m). Property Tax	382,800.00	
					(n). Journals & Periodicals	1,917,874.00	
					(o). Professional Fees	1,153,280.00	
					(p). Audit Fees & Exp.	239,698.00	110,127,949.00
					<b>4. Repair &amp; Maintenance Expenses:</b>		
					(a). For Equipment	1,524,905.00	
					(b). For Building & Roads	58,572,117.00	
					(c). For Vehicles	871,643.00	
					(d). For Furniture & Fixtures	1,446,740.00	62,415,405.00
					<b>5. Payments-Others:</b>		
					(a). Tender Security Refunded	1,448,656.00	
					(b). Sundry Advances pending	5,695,946.00	
					(c). Grant Trfd. To DPT, Sre.	76,300,000.00	
					(d). Temporary Loan Refunded To IDP A/c	215,000,000.00	
					(e). Trfd. To IDP out of C.Y. Savings	257,500,000.00	
					(f). Trfd. To GNEC A/c	5,200,000.00	
					(g). Trfd. To Fee A/c 2929	30,000,000.00	591,144,602.00

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

MAIN A/C-18601

**RECEIPTS AND PAYMENTS ACCOUNT FOR THE YEAR ENDED 31ST MARCH 2012**

AMOUNT(RS.)	RECEIPTS	AMOUNT(RS.)	AMOUNT(RS.)	AMOUNT(RS.)	PAYMENTS	AMOUNT(RS.)	AMOUNT(RS.)
					<b>6. Payment of Expenses Payable of Previous Year</b>		
				30,006,762.00	Salary Teaching	38,222,099.00	
				17,053,099.00	Salary Non Teaching	21,134,145.00	
				11,877,077.00	Pension Self	11,212,363.00	
				3,483,934.00	Family Pension	3,432,981.00	
				455,496.00	Salary -Mustroll	640,896.00	
				186,466.00	Telephone Expenses	-	
					Institute Security Expenses	1,466,083.00	
				4,114,463.00	Electricity Expenses	3,377,324.00	79,485,871.00
					<b>6. Payment for IIT Mandi</b>		
				6,498,220.00	(a). Admn. & Teaching Staff	-	
				467,500.00	(b). Non-Teaching Staff	-	
				2,686,583.00	(c). DA Admn. & Teaching Staff	-	
				192,655.00	(d). DA Non-Teaching Staff	-	
				280,898.00	(e). HRA Admn. & Teaching Staff	-	
				33,840.00	(f). HRA Non-Teaching Staff	-	
				2,044,451.00	(g). Other Allowances- Admn. & Teaching Staff	-	
				332,714.00	(h). Other Allowances- Non Teaching	-	
				3,984,227.00	(i). Other Remuneration	-	
					<b>Amount Payable to IIT, Mandi Now Paid</b>		5,978,912.00
				3,225,026.85	<b>7. Closing Balance:</b>		
				559,264.00	Bank Balance	97,836,384.22	
					Clo. Stock of Medicines	429,026.00	98,265,410.22
					<b>As At 31-03-2012</b>		
2,570,739,111.30	<b>TOTAL</b>		2,118,169,406.85	2,570,739,111.30	<b>TOTAL</b>		2,118,169,406.85

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



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

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

(G.K. PASTOGI)  
DY. REGISTRAR (A&A)

(PRADIPTA BANERJI)  
DIRECTOR

(ANALIST EXPERT)  
CHAIRMAN, BOARD OF GOVERNORS

26 DEC 2012

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

**SCHEDULE-10**

**SIGNIFICANT ACCOUNTING POLICIES AND NOTES TO ACCOUNTS**  
**ANNEXED TO AND FORMING PART OF FINANCIAL STATEMENTS FOR**  
**THE YEAR ENDING 31<sup>ST</sup> MARCH 2012.**

**I. OVERVIEW:**

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

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

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

As per these formats the following accounts have been prepared:

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





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

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

(a) The financial statements have been prepared under Historical Cost convention using Accrual method of accounting.

(b) The accompanying final statements have been prepared by following "Going concern" concept and conform to the generally accepted accounting policies, except stated otherwise.

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

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

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

**(3) REVENUE RECOGNITION:**

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

The aforesaid grants have been accounted for on accrual basis. However, grants for plan items (Object Head-35) (specific nature) have not been considered as revenue income as the same was sanctioned for development purposes, acquisition of assets and for other capital expenditures; and accordingly the same have been clubbed directly with capital fund.

However the Ministry of Human resource and Development (MHRD), Government of India vide its order no. F. No.-20-1/2011-TS.I dt. 25<sup>th</sup> March 2011 directed that all the scholarship (M. Tech, M.S., and Ph. D) will be released from Plan funds. Accordingly Rs. 18.00 Crore have been received by the Institute under this head (Object Head-31) which have been recognized in the Income & Expenditure account.

- (b) Income of academic section comprising of fee from students, building receipts have been accounted for on the basis of receipts during the Financial Year even if some period of the course extends beyond the Financial Year.
- (c) Interest Income has been accounted for on accrual basis. Interest earned by the institute is exempted under Sec 10(23C) (iiia) of the Income Tax Act 1961.

**(4) EXPENDITURE:**

- (a) The expenses on account of research work (including expenses of capital nature), departmental operating costs, deposit work payments, repair & maintenance expenses have been accounted for in the year in which they are incurred.
- (b) The expenses on account of Pay & Allowances, Pension, Telephone Expenses, and Electricity Expenses have been accounted for on accrual basis. Accordingly provision has been made for the outstanding expenses up to 31<sup>st</sup> March 2012.

**(5) POST EMPLOYMENT BENEFITS TO EMPLOYEES:**

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

*Accordingly separate financial statement showing the total fund balance of GPF, CPF, NPS, Medifare and Fixed Deposits/ Investments/Bank Balance made out of G.P.F. A/c, C.P.F. A/c, NPS A/c, Medifare A/c representing the same fund balance have separately been added with the Institute's Balance Sheet as at 31<sup>st</sup> March 2012.*

- (b) Gratuity: Liability towards Gratuity is accounted for on accrual basis as per the provisions of "Accounting Standard-15.
- (c) Pension: Liability towards pension is accounted for on accrual basis as per the provisions of "Accounting Standard-15.
- (d) Leave Encashment: Liability towards leave encashment is accounted for on accrual basis, as per the provisions of "Accounting Standard-15.
- (e) As per the provisions of "Accounting Standard-15 obligation for the employee's post employment benefits is recognized in the financial statements on accrual basis based on actuarial techniques.

Accordingly the Institute has made the provisions for all these liabilities using actuarial techniques based on the report of Actuary as under:-

Value of Obligation for Gratuity	Rs. 37,55,22,104
Value of Obligation for Leave Encashment	Rs. 46,06,83,365
Value of Obligation towards Pension	Rs. 5,54,79,58,465

As this is the first year of adoption of "Accounting Standard-15", hence the aforesaid transitional liabilities have been charged directly from capital fund.

**(6) FIXED ASSETS:**

- (a) Fixed Assets are valued at historical cost basis, which includes Installation charges, custom duty, freight charges and other incidental expenses related thereto. Moreover, there are around two thousand books of rare nature, the value of which cannot be ascertained, but will be taken into account in future after due evaluation.
- (b) Depreciation: As per the Government of India rules applicable to Educational Institutions, fixed assets are not subjected to depreciation and accordingly no depreciation has been charged on fixed assets vide GOI order no. F. 3-16/2002-TS I dt. 4<sup>th</sup> July 2003.  
  
However on the recommendation of the finance committee the Institute in its 34<sup>th</sup> meeting of the Board of Governors held on 12<sup>th</sup> March 2012 passed a resolution for charging of Depreciation on the Assets of the Institute as per the provisions of the Accounting standard-6. Accordingly the same is invariably be implemented from next year onwards.
- (c) As suggested by the AG, Fixed assets acquired from SRIC Accounts have been reflected separately in Schedule-4C.
- (d) Fixed assets acquired from Other Accounts such as JEE, JAM, GATE etc. have been reflected separately in Schedule-4B.



- (e) Physical verification of Fixed Assets pertaining to each department is conducted by the respective departments.

(7) **INTERNAL AUDIT SYSTEM:**

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

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

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

Hence a separate Internal Audit Cell has been established comprising of a dedicated team of Learned Internal auditors.

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

(8) **INVESTMENTS:**

- (a) With Banks: Investment in fixed deposits has been recorded at their face value as at 31<sup>st</sup> March 2012 & has been shown under the head Balance with Banks.
- (b) Other investment has been recorded at their face value as at 31<sup>st</sup> March 2012.
- (c) Interest Accrued on FDRs up to 31<sup>st</sup> March 2012 have separately been shown under the head current assets in the Balance Sheet.

(9) **FOREIGN CURRENCY TRANSACTIONS:**

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



- (10) Advances made for Computer/Vehicle/HBA have been reflected separately in the Balance Sheet.
- (11) Advance made out of SRIC accounts have been reflected separately in the Balance Sheet.
- (12) During the year separate financial statements showing the total fund balance of GPF, CPF, NPS, MEDIFARE and Fixed Deposits/ Investments/Bank Balance made out of G.P.F. A/c C.P.F. A/c, NPS A/c, Medifare A/c representing the same fund balance has separately been added with the Institute's Balance Sheet as at 31<sup>st</sup> March 2012.
- (13) Detail of capital commitments to be executed is as under:-

Sl. No.	Name of Works	Amount (Rs. In Lacs)
1.	Renovation/ Extension of Academic & Administrative Building	100.00
2.	Renovation/ Extension of Hostels	100.00
3.	Renovation/ Extension of Residential Buildings	100.00
4.	Rewiring of Departments/Hostels/Residences	50.00
5.	Widening and relaying of roads	850.00
6.	Furniture	25.00
7.	New 11KV DG Sets 2X155 KVA at Roorkee Campus	500.00
	<b>Total</b>	<b>1725.00</b>

- (14) Previous year figures have been re-grouped and re-arranged wherever considered necessary to conform to the current year classification.

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



Suman Kumar  
Asst. Registrar (A & A)

(G.K. Rastogi)  
Dy. Registrar (A & A)

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

(Pradipta Banerji)  
Director

(Anajit Singh)  
Chairman, Board of Governors

## **RULES FOR SPONSORED RESEARCH AND INDUSTRIAL CONSULTANCY**

### **1. PREAMBLE**

In the light of changing economic scenario, government policies and Institute priorities, the Institute considers sponsored research and industrial consultancy projects as an important means for extending benefit of scientific research work at the Institute to the sponsoring agencies broadening the experience base of the Institute community and as a tool for contributing to the country's and economic growth. Therefore, as a matter of policy, the Institute encourages its faculty members to undertake research and consultancy work as a measure of scientific/technical collaboration with outside agencies. Appropriate Research and consultancy projects, in addition, for providing much needed service to the government and industry, also benefit the concerned faculty members and the Institute in several ways. They enrich the professional experience and knowledge of faculty members and thus make them better educators. Research and consultancy projects provide a firsthand knowledge of the current problems of industry and the emerging area which is very helpful in turning the curriculum to the national needs. The faculty members get an opportunity to apply their ideas for finding out the solutions to the problems in emerging areas. Furthermore, the consultancy work also provides incentives for their contributions to all categories of staff.

### **2. DEFINITIONS**

- 2.1 Institute** means Indian Institute of Technology Roorkee, Roorkee
- 2.2 Department** means all the academic departments, academic centres, centres of excellence and academic service centres at the Institute.
- 2.3 Director** means Director, Indian Institute of Technology Roorkee, Roorkee.
- 2.4 Dean of Sponsored Research & Industrial Research (Dean, SRIC)** means Dean of Sponsored Research & Industrial Consultancy (Dean SRIC), Indian Institute of Technology Roorkee, Roorkee.
- 2.5 SRIC Advisory Committee** means committee for Sponsored Research & Industrial Consultancy, Indian Institute of Technology Roorkee, Roorkee, constituted in accordance with Institute Senate manual.
- 2.6 Project** implies sponsored research projects or industrial consultancy projects or routine testing projects
- 2.7 Sponsored Research Projects** means Research Projects sponsored by Government, public, private, national/international agencies and autonomous bodies. Generally the project cost including expenditure towards manpower, equipments, consumables and supporting services of the Institute is borne by the sponsor.
- 2.8 Consultancy Project** means consultancy assignment/job given by outside agency to a faculty of the Institute for work within mutually agreed scope. It will also include a consultancy assignment/job referred to the Head of the Department or a functionary of the Institute (i.e. Director or Dean(s) or Registrar) which may be taken up as a Consultancy Project by faculty.
- 2.9 Routine Testing project** implies those testing works where the rates are fixed by the department. The concerned Head of the Department will be the PI.

- 2.10 **Sponsor** means the organization that offers a Project to the Institute and provides necessary financial support for successful completion of the project in time.
- 2.11 **Principal Investigator (P.I.)** is a member of the faculty/scientist of the Institute with necessary expertise and competence to conduct a Research and consultancy work. Normally, the faculty/scientist who submits the project proposal and negotiates with the sponsor and is instrumental in getting the project funding is the Principal Investigator (PI). In case of research project, emeritus fellow/chair professor/ visiting professor may also be the PI.
- 2.12 **Investigator (I)** means a person from amongst the faculty/scientist (including Emeritus Fellow, chair faculty, visiting professor) co-opted by the Principal Investigator to work jointly with him/her on the project or any other Group 'A' staff so permitted by the Director.
- 2.13 **Consultant:** Consultant is an individual or government/ public sector undertaking/ government company engaged for a specific period to carry out specific job.
- 2.14 **Project Staff** means a person appointed in conformity with the guidelines to work on a project.
- 2.15 **Research Development Fund (RDF)** means a part of the Institutional Overhead Charges (IOC)/share received for sponsored research and industrial consultancy project credited to a separate fund operated by Dean (SRIC).
- 2.16 **Departmental Development Fund (DDF)** means a fund of the Department to which a part of the Institute overhead charges/ share from Research and consultancy Projects are transferred.
- 2.17 **Professional Development Fund (PDF)** means a fund for individual academic staff, to which a part of the Institute overhead charges/ share from Research and consultancy projects are transferred.
- 2.18 **Project Monitoring Committee:** Project Monitoring Committee (PMC) means the Committee constituted to monitor the large projects with outlay of more than Rs. 100 lacs.

### 3. GENERAL

- 3.1 Individuals or Departments shall take up projects after taking approval of the Dean (SRIC) through the Head of the concerned Department. All funds in connection with Projects should be received in the name of the IIT Roorkee. The account of Projects/RDF/DDF/PDF will be maintained by SRIC Office and controlled by Dean (SRIC). Norms for project initiation and management are given at Annexure 1.
- 3.2 The time spent by a faculty/scientist on Consultancy Project will not exceed one day per working week plus one day during week end, thus a total of 104 man days during the calendar year.
- 3.3 Consultancy project from any sponsor can be taken up for a minimum amount of Rs. 50,000/-. For consultation work involving only site visit or personal discussion a minimum amount of Rs.10,000/- per man-day for faculty/scientist/ Gp A staff and Rs.1,000/- per man-day for technical and other non-academic staff may be charged.



- 3.4 Institute staff may be granted project leave up to 15 days during a calendar year for work related to Sponsored Research and industrial consultancy Projects, in addition to the special casual leave available as per Institute norms.
- 3.5 Report(s) and data collected/ originated out of project are the joint Intellectual Property of the sponsor and the investigators which can be used by the sponsor for its own use only and cannot be disclosed to a third party without prior consent of the sponsor and the Principal Investigator.
- 3.6 The IPR policy of the Institute shall be applicable. However, if there is a condition in MoU signed between the Sponsor and PI, regarding the IPR issue that will take precedence over the condition laid down in the above para.  
  
The report of the Sponsored Research and industrial consultancy projects will be kept by PI for a period of 03 years from the date of closure of the project and for routine testing from the date of issue of report.
- 3.7 If a prima-facie case of malpractice and/or misconduct is established by a fact finding committee against a staff member in connection with project(s), the Director, on the recommendation of Dean, SRIC may prohibit the concerned staff member to take part in any new project either as Principal Investigator or investigator, till such time that a final decision is taken by the appropriate authority in the matter. However, in such cases the concerned staff member will be expected to complete his/her obligations in the ongoing project(s) with which he/she is connected, in order that the ongoing projects and obligations to the sponsor do not suffer.
- 3.8 All purchases under projects/PDF/DDF shall be made as per institute norms. In case of equipment which is to be carried outside, the same should be insured before they are taken out.
- 3.9 Faculty/scientist may accept honorary membership of board of directors of companies with the condition that there will not be any direct involvement of the faculty in concerned industry/company and such membership in the respective expertise is limited to five membership.
- 3.10 A sitting fee is payable to an expert other than those involved in the project for attending consultation meetings duly notified by PI in connection with the project work with the approval of Dean (SRIC).

#### 4. Manpower

##### 4.1 Project staff

- 4.1.1 The project staff shall be appointed for assisting/working on the project as per prescribed selection procedure, designations, qualifications and experience requirements and consolidated fellowship/emoluments as given at Annexure 2 and 3.
- 4.1.2 Open selections will be held for all project positions.
- 4.1.3 Appointments on all project positions drawing emolument shall be on contract only.
- 4.1.4 The Project staff shall work for fulfilling the objectives of the project.
- 4.1.5 Transfer of project staff from one project to another, either on completion or midway, may be permitted by Dean (SRIC) on the recommendation of respective PIs.



- 4.1.6 The tenure of appointment of a project staff will be at the most for the remaining duration of the project. The severance notice may be issued to the project staff by the PI one month prior to the termination of appointment.
- 4.1.7 On the completion of one year or more and on the recommendation of PI, the enhancement of fellowship/emoluments of a project staff may be considered by the Dean (SRIC).
- 4.1.8 A contractual project staff appointed shall execute a Contract Agreement with PI at the time of joining with the explicit provision that the contract may be terminated by either side, the staff or PI, by giving one month's notice or one month's consolidated emoluments in lieu of the notice. The contract will be complete when countersigned by Dean (SRIC) who will retain the original contract agreement.
- 4.1.9 Appointment of project staff on ad-hoc basis against a project position can be considered by Dean (SRIC) on the recommendation of the PI for a period not exceeding 89 days.

#### 4.2 Student Assistants

The PI may engage Institute Students (who may or may not be getting fellowship/ assistantship) as student assistants for the project work. The payment for such engagement shall be limited to Rs 8000/- per month for UG and PG students, Rs 18000/- per month for Ph. D. students and Rs 40,000/- per month for Post Doc Fellows.

#### 4.3 Consultants

The PI may, with the prior approval of Dean (SRIC) may avail the services of individuals not in the Institute service or government organization as Consultants. However, the amount payable to consultant(s) shall be limited to 40% of the total contracted amount in consultancy project.

#### 5. Travel

- 5.1 The most expeditious and convenient mode of travel should be used to minimize period of absence from the Institute. Admissible DA or actual boarding & lodging expenses will be paid on production of receipt, subject to a maximum of twice the daily gross salary at the ceiling of the person's pay scale. Expenses on local travel by taxi will be reimbursed against receipt as per actual.

Approval for domestic travel shall be accorded by PI including for self subject to leave approved by the competent authority. Faculty/Scientist and Group-A Officer are allowed to travel by AC taxi. Advance for travel will be approved by the Dean SRIC.

Payment of charges to travel agents for Ticket purchase assistance, Visa assistance, Insurance etc. shall be admissible from project funds.

However, if sponsor has specified any specific condition(s) for travel under the project that shall be followed normally.

- 5.2 Approval of Dean, SRIC will be required for all international travels and any deviations from above.

- 5.3 Out of pocket expenses will be payable for the actual period of field work at the work place at the following rates and will not be admissible for the journey period.

<u>Category of Staff</u>	<u>Rate</u>
Class 'A' and 'B' and Consultants	Rs.600/- per day or part of a day
Class 'C' and 'D', Project staff and others	Rs.400/- per day or part of a day

## 6. Finance and Accounts

### 6.1 Research Project

- 6.1.1 At the time of submission of a sponsored research project proposal, the PI shall make a provision of Institutional Overhead Charges (IOC) at the rate of 20% of the total project cost or at the rate permitted by the sponsor. However, this will not be treated as a condition for accepting the award of project.

- 6.1.2 Transfer of Staff Costs out of Sponsored Research Project to Research Development Fund: In the Sponsored Research Project amount charges under the budget head of faculty time, staff costs will be transferred to the Research Development Fund. Further, if any amount is provided by the sponsor as honorarium to the investigators as one of the components in a Sponsored Research Project, the same may be distributed among them.

### 6.2 Consultancy Project

- 6.2.1 At the time of submission of a consultancy project proposal, the PI shall make a provision for Institutional share at the rate of 25% of the total contracted project cost. However, such share shall be 40% for routine testings.

- 6.2.2 Details of distribution of project fund shall be as below:

Item	Consultancy project	Routine testing
Total money received	G	G
Service Tax	L	L
Total contracted amount (T)	(G-L)	(G-L)
Institute share (P)*	0.25 T	0.40 T
Remaining amount (F)	0.75 T	0.60 T
Total expenditure	E	E
Balance Amount for distribution (S)	(F-E)	(F-E)

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

- 6.2.3 For consultancy project with an outlay of Rs. 10 lacs or more interim distribution may be permitted subject to the condition that the total distribution does not exceed 60% of the balance amount and that the amount of distribution is commensurate with the work completed.

- 6.3 A separate account head shall be maintained for each project by SRIC office. Asstt. Registrar (SRIC Accounts) shall be responsible for the submission of audited statement of accounts as and when required by the sponsors.

- 6.4 For all ministerial staff, the upper limit for remuneration from Projects and other sources is 60% of the gross salary received in a financial year and for all Technical Staff it is 100%.
- 6.5 If any of the academic staff wishes to divert part or whole of his/her own remuneration to his/her Professional Development Fund, the same will be permissible.

## 7. PDF AND DDF

### 7.1 Share of PDF & DDF

The distribution of institute share to be credited to the PDF and DDF are as per the following table.

Distribution of Institute Share in percentage

Type of Project and Component available for distribution	Distribution (%)				
	RDF	DDF	Elect. Chr.	PDF	Incentive to office Staff & Staff Welfare Fund
(A) Sponsored Research Project/HRD Programmes Institutional Overhead Charges Received from sponsor (I)	50	20	-	20	10
(B) Consultancy Project	52	12	6	23	7
(C) Routing Testing Project	72	20	3.75	0	4.25

### 7.2 Utilization of PDF

7.2.1 The PDF can be utilized by the concerned individual for the following purposes:

- Travel (domestic and abroad) and related expenditure for individual, student or outside expert
- Exploratory visits
- Engagement of project staff
- Fee and related expenditure for acquiring training/qualification(s)
- Membership fee of professional societies
- Books, journals related, stationary and computer consumables and any storage media
- Mobile phone (once a year), data card for internet, telephone call (pre or post paid), connectivity charges
- Office peripherals, furniture for lab and offices, camera (all types), instrument, computer (all types) and peripherals

7.2.2 All travels(domestic and abroad), engagement of persons and expenditure for more than the limit of expenditure without calling quotations under PDF shall require the approval from Dean (SRIC).

7.2.3 The items procured out of PDF shall be properly accounted for by the concerned department /centre and shall remain as the property of the Institute. However, items purchased under 7.2.1 f & 7.2.1 g can be retained by the concerned faculty members permanently during the period of service and/or on retirement/leaving the service of the Institute. Any items purchased under clauses 7.2.1 h and any major assets procured may be retained by the concerned person on payment as per clause 7.2.4.

7.2.4 For clause 7.2.1 h the depreciated value (for which the rate of depreciation will be a flat 25% per year) or 5% of the purchase value, whichever is higher, will be payable.

**Note:** The following conditions will also apply for retaining items under this clause: -

- (i) He/she has served the Institute for a minimum period of 10 years.
- (ii) He/she has purchased these items from PDF.
- (iii) Only one Desktop PC and one Laptop, peripherals and other electronic items (one of each type, like only one printer, one scanner etc.) can be retained by the concerned person.

7.2.5 After leaving the Institute the PDF will also be available to the concerned person for 3 years for expenditure at sl. 7.2.1 a, c and e only.

**Note:** Leaving the Institute means not serving the Institute in any capacity like faculty/re-employed faculty/Emeritus Fellow/Chair faculty/visiting faculty etc. Serving as consultant will not be counted as serving the Institute.

7.2.6 For the faculty members coming from different IITs, who carry out projects and other activities involving contribution towards their PDF, on request the fund so accumulated could be transferred from one IIT to another, within IIT system with the approval of the competent authority.

### 7.3 Utilization of DDF

DDF fund can be utilized for the following purposes:

- a. Development of Departmental Infra structure facilities like equipment laboratories, class rooms, committee/ conference rooms.
- b. Repair, maintenance and A.M.C of equipment.
- c. Repair and maintenance of office and lab
- d. Seed money for holding conferences/ workshops and seminars etc.

The budget for utilizing DDF may be recommended by the Professorial Committee of the Department and approved by the Dean, SRIC. For any special requirements not covered above a proposal may be sent by the DPC of the Department for consideration of the Dean SRIC.

### 8. Admission of Project Staff to Academic Programmes

8.1 A project staff is eligible to register for Ph.D. or Master's Programme of the Institute as per Institute norms subject to his/her satisfying the admission requirements of the Institute.

8.2 The concerned project staff will be required to give an undertaking that he/she will not be automatically eligible for award of Institute fellowship and shall finance himself/ herself beyond the tenure of the appointment if Institute fellowship is not awarded.

8.3 The project staff admitted to Ph.D./ Master's programme will be governed by the relevant ordinances and fulfil his/her obligations towards the PI & the project in which he/she is appointed.

### 9. Sponsors Specific Conditions

Specific conditions of sponsor (e.g. DST, DAE, CSIR) for designation(s), qualifications and employment condition(s) for manpower and other expenditure related shall be followed.

### 10. Exception Clause

These guidelines shall normally be applicable to all Projects. However, any changes required which does not constitute to policy change may be approved by Director on the recommendations of Dean (SRIC).

### 11. REVIEW

These rules may be reviewed normally in three years or as per needs.

**1. PROJECT INITIATION AND MANAGEMENT**

- 1.1 Each project will have a Principal Investigator (P.I.) who will be a faculty member /Scientist in the service of the Institute and who will be responsible for :
- (i) Formulating the project proposal which may include
    - (a) planning of the work to be done,
    - (b) estimating costs according to the guidelines provided in the later section, and
    - (c) if necessary, identifying other Investigators, who shall also be faculty member(s)/Scientist(s) in the service of the Institute,
  - (ii) Co-ordination and execution of work,
  - (iii) Handling all communications with the sponsor,
  - (iv) Writing of intermediate and final reports according to the project proposal
  - (v) Ensuring that all reports bear the name of the Principal Investigator and his/her signatures and the name(s) of the Investigator(s) who participated in the project,
  - (vi) Signing the Memorandum of Understanding (MoU) or Agreement with the sponsor, if required. Guidelines for MoU/Agreement are given at Annexure 4.
- 1.2 The PI will, at his discretion, co-opt the names of other faculty members as Investigators. Any other Group 'A' employee so permitted by the Director can be co-opted as Investigator.
- 1.3 The PI will prepare research project proposal in conformity with:
- (i) permitted designation and emolument/fellowship rates for project staff, with qualification and experience as specified by the sponsor otherwise of the institute
  - (ii) provision for Institution overhead charges as per the rules of the Institute,
  - (iii) other guidelines for Sponsored Research Projects, and
  - (iv) Rules, Regulations & Statutes of the institute
- 1.4 All research project proposals shall be submitted to the sponsors through the concerned Head of the Department and Dean (SRIC).
- 1.5 It shall be the responsibility of the PI to get project work completed satisfactorily within the sanctioned grant and duration.
- 1.6 The PI shall ensure that the head-wise expenditure does not exceed the budgetary allocation as applicable.
- 1.7 The PI shall maintain the details of equipment purchased out of research project funds separately for each project and send a copy of the record to Dean (SRIC) for placing the same before the Govt. of Audit, for verification or as and when required for any other purpose.
- 1.8 The PI shall be responsible for maintenance of Laboratory Record Book (LRB) as required for IPR submission, periodical and/or final technical report(s) of the research project work to the sponsor as required. He/she will also send a copy of the final technical report to Dean (SRIC).
- 1.9 The PI shall write to the sponsor for timely release of funds with a copy to the Dean (SRIC) for follow up, if necessary.

- 1.10 For Research Project: The sponsor which assigns the research project usually are approached by an individual or a functionary of the Institute (i.e. Head of the Department, Dean (SRIC) or Director).

For Consultancy project: The sponsor which assigns the consultancy project usually approaches the Institute for Consultancy work through an individual or a functionary of the Institute (i.e. Head of the Department, Dean (SRIC) or Director).

When an individual is approached for the work, he/she will be normally the Principal Investigator. If the project is referred to a functionary, the Principal Investigator would be identified by the Head of the Department to whom Dean SRIC refers the project.

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

- 1.12 The Emeritus Fellows, Chair Faculty, Visiting Faculty, etc. can be appointed/ nominated/ continued as principal investigator for research projects if the sponsors do not have any objection.

The retired faculty/scientist working under Emeritus Fellowship be allowed to continue as Principal Investigators in the ongoing consultancy projects, if the sponsors do not have any objection.

Emeritus Fellows, Chair Faculty, Visiting Faculty, etc. can only be investigator(s) for the new consultancy projects.

- 1.13 If the PI leave the Institute, retires or proceeds on leave or not available for some reason, Dean SRIC, on the recommendation of the P.I. (if he/she is available) appointing a new PI, who will assume the powers and responsibilities of the PI. The new PI should be agreeable to become PI. The new PI will also give an undertaking to complete the project in the remaining funds and time period, to the Dean (SRIC) through H.O.D. However, in exceptional circumstances, a retired faculty member may continue to work as P.I. with the approval of the Director, if he/she continues to serve the institute in some other capacity.

- 1.14 Normally the agreed charges of the consultancy project are to be deposited by the sponsor, in full, before the work commences. However, this stipulation is negotiable. In cases where the work is started with only partial charges deposited in advance, the arrangements of subsequent receipt of funds from the client have to be clearly spelled out in advance.

- 1.15 Project file will be closed with the submission of final project report and final settlement of accounts etc.

## **2. BUDGETARY NORMS**

### **A. FOR RESEARCH PROJECTS**

The total agreed charges of a Research project will consist of the Institute share, actual expenses of the project covering following.

- (i) Permanent equipment to be procured / fabrication of equipment or models.
- (ii) Consumable materials.
- (iii) Travel expenses in connection with the project work (domestic and foreign if budgeted/ allowed by sponsor)

- (iv) Computational or other charges payable to any other outside agency.
- (v) All contingency expenses for report preparation of report and literature (books, journals) and any other item budgeted under the proposal and approved by the sponsor.
- (vi) Expenses for work to be carried out on payment basis, remuneration to student assistants.
- (vii) Insurance on equipment and manpower during travel

#### B. FOR CONSULTANCY PROJECTS

The total agreed charges of a Consultancy project will consist of the Institute share, actual expenses and the remuneration to be distributed to the faculty and staff. The actual expenses should cover the following costs related to the project. The service tax will be applicable as per government rules.

- (i) Permanent equipment to be procured / fabrication of equipment or models.
- (ii) Consumable materials.
- (iii) Travel expenses in connection with the project work.
- (iv) Computational or other charges the Principal Investigator may have to pay to the institute or any other outside agency in the course of the execution of the work.
- (v) Charges to be paid for the use of specific equipment in the departments or central facilities.
- (vi) Contingency expenses to cover cost of supplies, preparation of report, typing, word processing, drawing, drafting, stationery, reproduction, literature (books, journals, membership fee for professional societies), postage, courier, FAX and telephone (including rental and STD/ ISD call bills of telephone at residence or mobile phones), cost of insurance of personnel/ equipment being used for the project and medical reimbursement on duty (excluding major ailments) for staff etc.
- (vii) Expenses for work to be carried out on payment basis, remuneration to student assistants.
- (viii) Insurance on equipment and manpower during travel
- (ix) Any other costs considered appropriate.

The approval of the Dean SRIC to make any expenditure from the project funds assumes that funds are available in the project for the purpose.

#### 3. Collaboration with Outside Organizations

If collaboration with other Govt./Public Sector organizations is envisaged, the nature scope and financial budget of the proposed arrangements will also be specified at the time of submitting the project proposal for approval.

#### 4. LIABILITY

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

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



the Institute. The Institute may take a suitable insurance for this purpose on a rolling basis. The expenditure on this account may be charged to the IRDF.

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

#### 5. DISAGREEMENTS / DISPUTES

7.1 Any disagreement within the Institute arising at any stage of a Consultancy project will be resolved in consultation with Dean (SRIC) / Director to ensure an expeditious removal of bottlenecks and smooth functioning of the project.

7.2 In case of any dispute arising at any stage of Consultancy project between Investigator(s) and the sponsor(s), the Investigator(s) will be responsible for settlement of the dispute.

7.3 All legal action will be subject to jurisdiction at Civil Courts at Roorkee/ Haridwar/ High Court at Nainital.

#### 6. ARBITRATION

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

#### 7. PUBLICATION OF RESULTS

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

#### 8. PROJECT MONITORING COMMITTEE

For large projects the Project Monitoring Committee with the following composition shall review and assess the progress periodically (at least once a year) for timely completion of the projects. The committee may also advise Dean (SRIC) in any other matter on the project.

- |   |                        |
|---|------------------------|
| (1) Dean, SRIC  | - Chairman             |
| (2) Head of the concerned Deptt or his nominee  | - Member               |
| (3) Head of one more Deptt. from relevant field or his nominee  | - Member               |
| (4) One faculty Member from relevant field  | - Member               |
| (5) Principal Investigator  | - Member               |
| (6) One expert from outside the institute in relevant field, if required, or representative of sponsor, if required by sponsor. | - Member               |
| (7) Asstt. Registrar (SRIC-Admn.)   | - Non-Member Secretary |

#### 9. FORMS

To ensure smooth administration & management of Projects, only the forms supplied by Dean (SRIC) will be used by the PIs and others concerned.



Annexure -2

**SELECTION PROCEDURES FOR RECRUITMENT OF PROJECT STAFF**  
(Including for Walk in Interview)

**1. PREPARATION OF DRAFT ADVERTISEMENT**

- (i) Principal Investigator will send the draft advertisement to Dean (SRIC) for approval
- (i) Dean (SRIC) will approve the draft advertisement and return it to the Principal Investigator for notification/ advertisement.

**a. ADVERTISEMENT OF THE POSITIONS**

The Principal Investigator will advertise the positions through institute website and through other means and receive the applications.

**3. SCREENING OF APPLICATIONS**

- (i) The P.I. will fix the meeting of Screening Committee and send the report of the screening committee to Dean (SRIC) for approval.
- (ii) The P.I. will issue the letters to the candidates called for interview after Screening Committee report has been approved by Dean (SRIC).
- (iii) For walk in interview, screening is not required.

**4. SCREENING COMMITTEE CONSTITUTION**

- (i) Faculty from the existing panel approved by the Director - Chairman
- (ii) Concerned Principal Investigator - Member
- (iii) One faculty member from the Department as available to the P.I. - Member

**5. INTERVIEW**

- (i) The PI will fix the date of the interview and get the interview conducted. The PI will send the recommendations of the Selection Committee to Dean (SRIC) for approval.
- (ii) The PI will arrange the walk-in-interviews on the advertised date by a duly approved Selection Committee.

**6. SELECTION COMMITTEE CONSTITUTION**

- (i) Faculty from the existing panel approved by the Director - Chairman
- (ii) Head of the Concerned Department or his nominee - Member
- (iii) Concerned Principal Investigator - Member
- (iv) One faculty member from outside the Department as available to P.I. - Member
- (v) One external expert from outside the Institute if required by the sponsor - Member

**7. FINAL SELECTION / APPOINTMENT**

Selection Committee report will be approved by Dean (SRIC) and appointment letter will be issued by Asstt. Registrar (SRIC).

**Annexure 3**

**Project Positions, Qualifications And Fellowships/Emoluments, Terms And Conditions For Projects Staffs**

**1. Project Positions, Qualifications and Fellowships/Emoluments**

A.	Fellowships	Minimum Qualifications	Amount (per month)
1	Project Associate	B. Tech/B. Arch/M.Sc./M.A.	20,000/- to 40,000/- + HRA
2	Research Associate	M. Tech/M. Arch/M. B.A. (2 years duration) Ph. D. in Science/Ph.D. in Arts	25,000/- to 50,000/- + HRA
3	Project Fellow	Ph.D. in Engg/Ph. D. in Science with 2 year experience (After Ph.D)/ Ph. D. in Arts with 2 year experience (After Ph.D) or M.Tech. /MBA + 3 year or B.Tech. + 6 year experience	30,000/- to 70,000/- + HRA
B.	Other Positions	Minimum Qualifications	Emoluments (per month)
4	Project Consultant	Ph.D. + 4 year experience Or M.Tech/M. Arch + 6 years experience or B.Tech/B. Arch +10 years experience	50,000/- to 1,50,000/- + HRA
5	Project Assistant (Technical)	Diploma (3 years ) duration or ITI with 4 years experience	15,000/- to 30,000/- + HRA
6	Project Officer (Admin)	MBA/CA	25,000/- to 50,000/- + HRA
7	Project Assistant (Admin)	Graduation	15,000/- to 30,000/- + HRA
8	Project Attendant (Admn/Tech.)	12 <sup>th</sup> pass or 10 <sup>th</sup> pass +2 year experience or 8 <sup>th</sup> Pass + 4 years experience	8,000/- to 20,000/- + HRA

**Note :-** (i) To meet specific needs of the project, any change in qualification and emoluments may be approved by Dean (SRIC) on the recommendation by PI.  
(ii) However, if sponsor (e.g. DST, DAE, CSIR) has specified any specific designation(s), qualification and employment condition(s) for manpower that shall be followed.

**2. HRA:** The project staff (including those appointed on ad-hoc basis) shall be entitled to HRA as per the Institute rules, if accommodation in the campus is not made available to him/her. If the person is residing within the IIT Campus House Rent Allowance (HRA) upto entitlement or actual payment made whichever is less will be payable. HRA shall be charged to the salary head of the respective project.

**3. Conduct Rules:** The project staff shall maintain record and secrecy of the findings/technical information and shall not communicate in any manner without the approval of the P.I any official document or information to any person or agency. They shall also follow general code of conduct of the institute.

**4. Disciplinary Proceedings:** Dean (SRIC) may, at his own discretion or on the recommendation of the PI, constitute committee(s) to conduct disciplinary proceedings

against project staff, if necessary. On the basis of the report of the committee, suitable disciplinary action may be initiated and penalty be imposed by the Dean (SRIC).

5. Leave: All project staff working on project shall be entitled for following types of leave:

Casual leave: 8 days per year on pro-rata basis

Earned leave: 2½ days per completed month of work

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

The record of the leave shall be allowed and maintained by PI.

6. Medical Insurance: Annual premium for medical insurance (from nationalized insurance company only) for illness requiring hospitalization may be reimbursed to project staff appointed for 1 year or more with the limit of sum assured of Rs. 2.00 Lac for self, Rs. 2.00 lac for spouse and Rs. 1.00 lac for each child (up to two children) on the recommendation of PI chargeable to project, if funds are available in the project.



## Annexure 4

### **GUIDELINES FOR MoU/AGREEMENT**

If a MoU/Agreement is required to be signed with the sponsor of a Consultancy Project, it should generally include the following clauses. Additional clauses may be added if considered necessary:

#### **1. General**

This section should include the reference to the proposed Consultancy and identify the parties concerned pertaining to the MoU.

#### **2. Scope**

This section should spell out briefly the nature of work, its limitations and the expected end results.

#### **3. Time Frame**

This clause must indicate the expected duration of the project and should also indicate the schedule of review of progress, submission of reports etc., if any.

#### **4. Consultancy Charges and payment terms**

The document must clearly indicate the charges to be paid including applicable service tax along with payment terms.

#### **5. Responsibilities**

This clause should define clearly the responsibilities of the various parties with regard to making the data and / or material available for the work as also for the return of the same, as and if applicable.

#### **6. Patents/Publications**

The MoU should clearly spell out the arrangements proposed to be made with regard to any patents or publications arising out of the proposed Consultancy project.

#### **7. Force Majeure**

This is an important clause and must be included to safeguard the interest of the various parties due to one or more of the unforeseen force majeure events

#### **8. Arbitration**

The document shall provide for a suitable channel to settle any disputes or differences related to the execution of the Consultancy project, which shall conform to clause given earlier

#### **9. Liability**

This clause should indicate the maximum liability which is to be accepted in the event of the project being terminated without completion at any stage and shall be in conformity with clause given earlier



**10. Amendment to the MoU**

The clause should specify a provision for amendments to any one or more clauses of the MoU through mutual consent, at any stage during work of the project, due to any reason whatsoever.

Two model formats of MoU, format 'A' and format 'B' are available on the Intranet of the Institute and may be used as such or with minor modifications conforming to the above guidelines. Format 'B' is concise and is recommended for smaller projects. Format 'A' is much more elaborate. If a different format is used, its legal vetting by the Institute's Advocate will be the responsibility of the PI concerned.



**Road Estimate of IIT Roorkee Campus.**

Item No.	Description of Item	Units	Rate	Qty.	Amount in Rs.
16.1	Preparation and consolidation of sub grade with power road roller of 8 to 12 tonne capacity after excavating earth to an average of 22.5 cm. depth, dressing to camber and consolidating with road roller including making good the undulations etc. and re-rolling the sub grade and disposal of surplus earth with lead upto 50 metres.	sqm	61.25	39550	2422437.50
16.3	Providing, laying, spreading and compacting stone aggregate of specific sizes to water bound Macadam (grad II) specification including spreading in inform thickness (for 7.5 cm compacted) hand packing, rolling with 3 wheeled steel/vibration roller 8-10 tones in stages to proper grade and cambeo, applying and booming requisite type of screening/binding materials to fill up the voids of coorgeagg, watering and compacting to required density with stone ballast size.				
16.3.2	63 mm to 45 mm size stone aggregate.	cum	2,024.14	1100	2226554.00
16.3.3	53 mm to 22.4 mm size stone aggregate.	cum	2,272.73	550	1250001.50
16.25	Surface dressing on new surface with paving bitumen of grade VG -10 of approved quality using 2.25 kg of bitumen per sqm with 1.65 cum of stone chippings 13.2 mm nominal size per 100 sqm of road surface including consolidation with road roller of 6 to 8 tonne capacity etc. complete:	sqm	145.80	7050	1027890.00
16.31	Providing and applying tack coat using bitumen emulsion conforming to IS: 8887, using emulsion pressure distributor including preparing the surface & cleaning with mechanical broom.				
16.31.1	With rapid setting bitumen emulsion.				
16.31.2.1	On W.B.M./W.M.M. @ 0.4kg/sqm.	sqm	14.50	5800	84100.00
16.31.2.2	On bituminous surface @ 0.25kg/sqm.	sqm	9.55	186000	1776300.00
16.55	Providing and laying bituminous macadam using crushed stone aggregates of specified grading premixed with bituminous binder, transported to site by tippers, laid over a previously prepared surface with paver finisher equiped with electronic sensor to the required grade, level and alignment and rolling with smooth wheeled, vibratory and tandem rollers as per specifications to achieve the desired compaction and density, complete as per specifcatons and directions of Engineer-in-Charge.				
16.55.2	50 to 100 mm average compacted thickness with bitumen of	cum	6,149.90	5000	30749500.00
16.56	Providing and laying semi- dense Bituminous				

Item No.	Description of Item	Units	Rate	Qty.	Amount in Rs.
	concrete using crushed stone aggregates of specified grading, premixed with bituminous binder and filler, transporting the hot mix to work site by tippers, laying with paver finisher equiped with electronic sensor to the required grade, level and alignment and rolling with smooth wheeled, vibratory and tandem rollers to achieve the desired compaction and density as per specification, complete and as per directions of Engineer-in-Charge.				
16.56.1	25 mm compacted thickness with bitumen of grade VG-30 @5% (percentage by weight of total mix) and lime filler @ 2% (percentage by weight of Aggregate) prepared in Batch Type Hot Mix Plant of 100-120 TPH capacity.	sqm	208.15	98000	20398700.00
16.62	Providing and applying 2.5mm thick road marking strips (retro-reflective) of specified shade/ colour using hot thermoplastic material by fully/ semi automatic thermoplastic paint applicator machine fitted with profile shoe, glass beads dispenser, propane tank heater and profile shoe heater, driven by experienced operator on road surface including cost of material, labour, T&P, cleaning the road surface of all dirt, seals, oil, grease and foreign material etc. complete as per direction of Engineer-in-charge and accordance with applicable specifications.	sqm	505.80	200	101160.00
16.68	Providing and laying 60mm thick factory made cement concrete interlocking paver block of M - 30 grade made by block making machine with strong vibratory compaction, of approved size, design & shape, laid in required colour and pattern over and including 50mm thick compacted bed of fine sand, filling the joints with fine sand etc. all complete as per the direction of Engineer-in-charge.	sqm	536.65	32500	17441125.00
4.1	Providing and laying in position cement concrete of specified grade including the cost of centering and shuttering - All work up to plinth level :				
4.1.5	1:3:6 (1 Cement : 3 coarse sand : 6 graded stone aggregate 20 mm nominal size).	cum	4,024.00	3250	13078000.00
Total Rs.					90555768.00
Cost of trench for 1500 RM for telephone /internet cable					4440810.00
					9,49,96,578.00



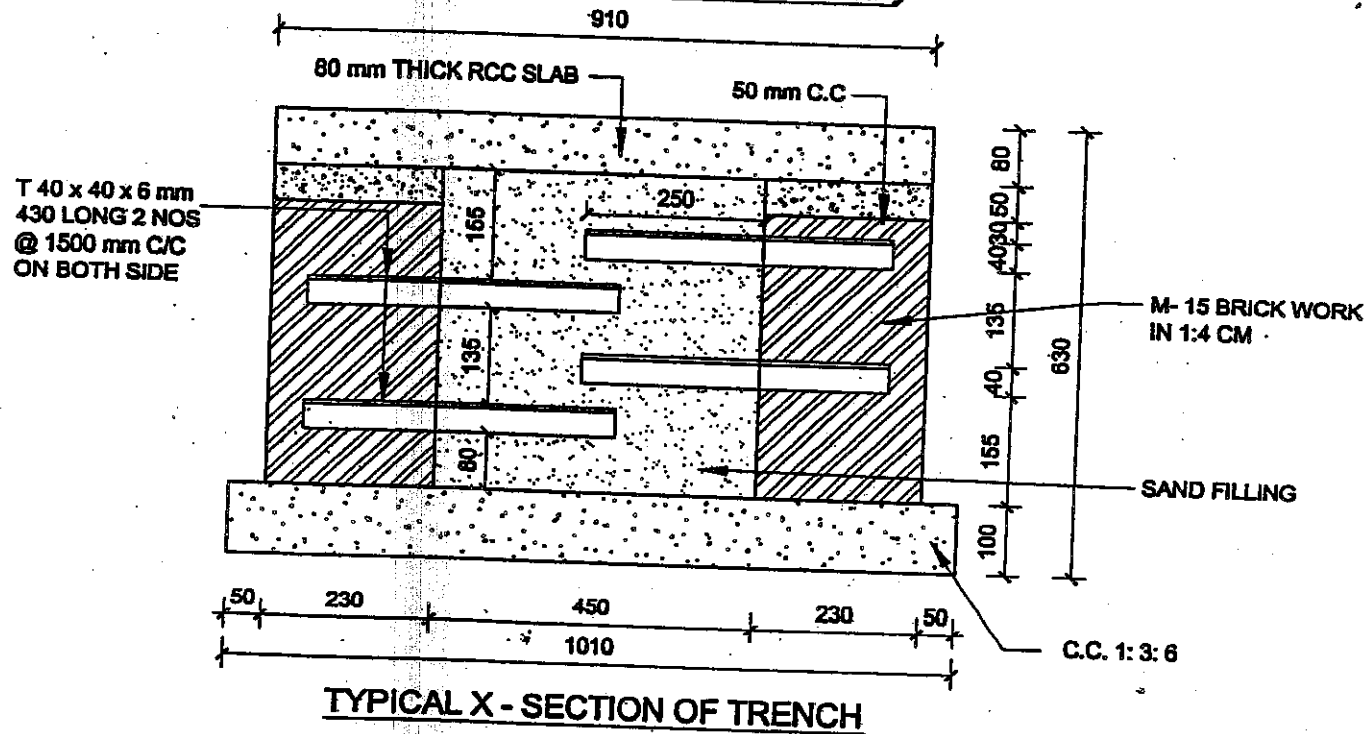
Quantity for one running meter of trench for telephone /internet cable.

Item No.	Description of Item	Units	Rate	Qty.	Amount in Rs.
4.1.3	1:2:4 (1 cement : 2 coarse sand : 4 graded stone aggregate 20 mm nominal size)	cum	4,514.05	0.061	275.36
4.1.5	1:3:6 (1 Cement : 3 coarse sand : 6 graded stone aggregate 20 mm nominal size).	cum	4,024.00	0.101	406.42
2.6	Earth work in excavation by mechanical means (Hydraulic excavator) / manual means over areas (exceeding 30cm in depth. 1.5m in width as well as 10 sqm on plan) including disposal of excavated earth, lead upto 50m and lift upto 1.5m, disposed earth to be levelled and neatly dressed.				
2.6.1	All kinds of soil	cum	129.35	0.636	82.27
6.2	First class Brick work with common burnt clay modular bricks of class designation M-15 in foundation and plinth in:				
6.2.1	Cement mortar 1:4 (1 cement : 4 coarse sand)	cum	3,370.55	0.207	697.70
10.13	Providing and fixing T-iron frames for doors, windows and ventilators of mild steel Tee-sections, joints mitred and welded, including fixing of necessary butt hinges and screws and applying a priming coat of approved steel primer.				
10.13.1	Fixing of 40x40x6 mm T 45 cm. long embedded in cement concrete block 15x10x10 cm of C.C. 1:2:4 (1 Cement : 2 coarse sand : 4 graded stone aggregate 20 mm nominal size).	kg	73.30	7	513.10
19.19	Providing and fixing in position pre-cast R.C.C. cover of required shape and approved quality				
19.19.1.1	Rectangular shape 1000x850x80 mm	RM	815.77	1	815.77
0983	Fine sand Filling in Trench	cum	640.00	0.203	129.92
				<b>Total Rs.</b>	<b>2920.54</b>
	For 1500 RM x2920.54=4380812.25				4380810.00
	Add extra for 30 Numbers chambers 30x2000=60000.00				60000.00
				<b>Grand total</b>	<b>4440810.00</b>






**PROPOSED TRENCH FOR TELEPHONE / INTERNET CABLE  
(SIZE 450 mm WIDE X 450 mm DEEP)**



Road Estimate of IIT Roorkee Saharanpur Campus.

Item No.	Description of Item	Units	Rate	Qty.	Amount in Rs.
16.3	Providing, laying, spreading and compacting stone aggregate of specific sizes to water bound Macadam (grad II) specification including spreading in inform thickness (for 7.5 cm compacted) hand packing, rolling with 3 wheeled steel/vibration roller 8-10 tones in stages to proper grade and cambeo, applying and booming requisite type of screening/binding materials to fill up the voids of coorgeagg, watering and compacting to required density with stone ballast size.				
16.3.2	63 mm to 45 mm size stone aggregate.	cum	2,024.14	90.00	182172.60
16.3.3	53 mm to 22.4 mm size stone aggregate.	cum	2,272.73	42.00	95454.66
16.25	Surface dressing on new surface with paving bitumen of grade VG -10 of approved quality using 2.25 kg of bitumen per sqm with 1.65 cum of stone chippings 13.2 mm nominal size per 100 sqm of road surface including consolidation with road roller of 6 to 8 tonne capacity etc. complete:	sqm	145.80	560.00	81648.00
16.31	Providing and applying tack coat using bitumen emulsion conforming to IS: 8887, using emulsion pressure distributor including preparing the surface & cleaning with mechanical broom.				
16.31.1	With rapid setting bitumen emulsion.				
16.31.2.1	On W.B.M/ W.M.M. @ 0.4kg/sqm.	sqm	14.50	560.00	8120.00
16.31.2.2	On bituminous surface @ 0.25kg/sqm.	sqm	9.55	14140.00	135037.00
16.55	Providing and laying bituminous macadam using crushed stone aggregates of specified grading premixed with bituminous binder, transported to site by tippers, laid over a previously prepared surface with paver finisher equiped with electronic sensor to the required grade, level and alignment and rolling with smooth wheeled, vibratory and tandem rollers as per specifications to achieve the desired compaction and density, complete as per specifications and directions of Engineer-in-Charge.				
16.55.2	50 to 100 mm average compacted thickness with bitumen of specified grade@ 3.50%	cum	6,149.90	637.00	3917486.30
16.56	Providing and laying semi- dense Bituminous concrete using crushed stone aggregates of specified grading, premixed with bituminous binder and filler, transporting the hot mix to				

Item No.	Description of Item	Units	Rate	Qty.	Amount in Rs.
	work site by tippers, laying with paver finisher equipped with electronic sensor to the required grade, level and alignment and rolling with smooth wheeled, vibratory and tandem rollers to achieve the desired compaction and density as per specification, complete and as per directions of Engineer-in-Charge.				
16.56.1	25 mm compacted thickness with bitumen of grade VG-30 @5% (percentage by weight of total mix) and lime filler @ 2% (percentage by weight of Aggregate) prepared in Batch Type Hot Mix Plant of 100-120 TPH capacity.	sqm	208.15	7070.00	1471620.50
16.62	Providing and applying 2.5mm thick road marking strips (retro-reflective) of specified shade/ colour using hot thermoplastic material by fully/ semi automatic thermoplastic paint applicator machine fitted with profile shoe, glass beads dispenser, propane tank heater and profile shoe heater. driven by experienced operator on road surface including cost of material, labour ,T&P, cleaning the road surface of all dirt, seals, oil, grease and foreign material etc. complete as per direction of Engineer-in-charge and accordance with applicable specifications.	sqm	505.80	125.00	63225.00
16.68	Providing and laying 60mm thick factory made cement concrete interlocking paver block of M -30 grade made by block making machine with strong vibratory compaction, of approved size, design & shape, laid in required colour and pattern over and including 50mm thick compacted bed of fine sand, filling the joints with fine sand etc. all complete as per the direction of Engineer-in-charge.	sqm	536.65	990.00	531283.50
4.1	Providing and laying in position cement concrete of specified grade including the cost of centering and shuttering - All work up to plinth level :				
4.1.5	1:3:6 (1 Cement : 3 coarse sand : 6 graded stone aggregate 20 mm nominal size).	cum	4,024.00	100.00	402400.00
Total Rs.					6888447.56
3% Contg.					2,06,653.43
Grand Total Rs.					7095100.99
Say -					70,96,000.00

Say Rs 71.00 lacs  
  
(J.E. Civil)

**Appendix 'H'**  
(Refers to item No. 37.4.7 of the  
Minutes of the 37<sup>th</sup> meeting of the BoG)

**Purchase Rules**

**Types of Funds**

The funds available with the Departments/ Centres/ Offices/ Limbs/ other units (hence forth used Department for all these units) or Faculty are from following grants:

- A) Non-plan Grant
- B) MHRD Plan Grant
- C) Sponsored/ Consultancy Project Grant

The first two categories of grant are available with the Departments and purchases have to be made by the Head of the concerned Department and the last category of grant is available with the faculty as Principal Investigator (PI) of the project and purchases have to be made by the PI. Non-plan grant (DOC) should be used for payment including labour charges and job works (fabrication, repairs, civil and electrical works etc.) and purchase of minor equipment or consumables. DOC should not be used for the purchase of major equipment.

**Purchase Committees**

All the purchases, irrespective of the nature of the grant, have to be made by the Purchase and Store Rules. Any purchase initiated by any one has to be approved by purchase committee. The following committees are proposed to simplify the purchase process:

1. Departmental Purchase Committee (DPC)
2. Institute Purchase Committee (IPC)
3. Project Purchase Committee (PPC)
4. Special Purchase Committee (SPC)

Each Department / Centre/ other Academic Units like IIC, Library, Hospital etc should have Departmental Purchase Committee (DPC). The DPC consists of five faculty members of the department and appointed by the Head of Department. The HOD will be the chairman of the DPC. The DPC may have external member with the approval of Competent Authority.

For Library and Hospital, the purchase committees will be constituted by the Library Advisory Committee and Hospital Advisory Committee respectively with the approval of Competent Authority.



The IPC consists of seven faculty members covering major departments and areas of purchase for all Departments for the purpose of approval/recommendation of purchases pertaining to the all Departments, except for those cases for which the HODs/ Pls/Officers have specifically delegated powers. The members may be the HODs or any faculty member nominated by the Competent Authority. The committee will also have an additional two members to take care of software purchase in the Institute. Chairman of the IPC will be nominated by the Competent Authority. The **Central Purchase Officer (CPO)** shall act as **Member Secretary** of IPC.

The PPC consists of 3-5 members as proposed by the PI of the project and approved by the Dean (SRIC). The Chairman of the PPC will be nominated by the Competent Authority. The DPC of the concerned department where the project is undertaken, may also act as the PPC, if proposed by the PI of the project.

A **Special Purchase Committee (SPC)** may also be appointed by the Competent Authority on the request of the Department. The Chairman of the SPC will also be nominated by the Competent Authority.

The **DPC/IPC/PPC/SPC** will be empowered to approve purchase within its purview and recommend other cases to the higher body for approval. In case of any difference of opinion in the committee, the matter shall be placed to the Competent Authority for orders, whose decision shall be final.

The meeting of **DPC/PPC/SPC** shall take place regularly and will be called by the Chairman of the committee. However, the **IPC** should meet as when a purchase case is received within a reasonable duration. The meeting of the IPC will be coordinated by the CPO. If the meeting of the IPC is not held within one month from the date of the receipt of the purchase file in **Central Purchase Office**, the CPO will put-up within one week, all such pending cases before the Competent Authority for approval. If there are any objections/ observations, the CPO will return the file to the department within seven days of the receipt of the file after recording the objections/observations.

The meeting of **DPC/PPC** will always be chaired by the HOD/PI. The meeting of **IPC/SPC** will, in general, be chaired by the Chairman notified. However, in the event of absence of the Chairman of **IPC/SPC**, the senior-most member of the committee as notified may chair the meeting.

#### **Purchase Procedure:**

1. Purchase upto Rs.20,000/- against cash may be made without calling quotations and without placing formal purchase orders.
2. Purchase upto Rs.50,000/- against bills may be made without calling quotations and without placing formal purchase orders.



3. All purchases above Rs.50,000/- should invariably be made by inviting quotations either through open tendering, i.e. by publishing the notice atleast in one National Daily, or by sending enquiry letters to firms. In either case it should also be uploaded on the Institute's website.

4. The firms for the purpose of inviting quotations for purchase of materials/ services/ equipment/ instrument etc. will be manufactures or authorized dealers/agents/ stockist / suppliers / service providers or firms undertaking job works.

5. Quotations will be invited by HOD/ PI. If the quotations are invited by sending enquiry letters, it should be ensured that the letters are sent to at least 8-10 firms. Only in cases, where an item is of a very specific nature, the number of letters may be reduced, but should not be less than five.

6. A copy of all purchase enquiry letters/tender notices/pre-qualification tenders will invariably be displayed on the Institute Website and Notice Board of the concerned department and quotations received from firms on the basis of this notice will be considered.

7. Where the total cost of the purchase is estimated to be Rs.25.0 lacs or more, tenders will invariably be invited by HOD/PI through publication of tender notice in at least one National Daily (having foreign circulation) e.g. National Herald, Hindustan Times, Times of India, Indian Express, The Hindu, Economic Times etc. Notices published in any manner should contain the address of Institute's website.

8. Tender notices must also be displayed on the Institute's website as well as tender notice websites. Those downloading the tender document from the website should deposit tender fee while submitting their quotation/tender. EMD should also be submitted along with the quotation/tender.

9. Only those quotations which are received within time, specified in the enquiry letter / tender notice, will be considered.

10. Quotations, if received late from the firm but before the specified date of opening, may be considered only if these bear a clear proof of dispatch at a date earlier than the due date of accepting the quotations at Roorkee.

11. **Black listing** of a firm can be done on the recommendations of the Chairman of IPC/SPC and with the approval of the Competent Authority. The CPO would process all such cases reported by the Departments/ Centres.

#### **Procedure for Inviting Quotations:**

The following procedure should be observed for inviting quotations/tenders:



1. In case of inviting quotations by sending enquiry letters, a minimum of 15 days notice should be given.
2. In case of inviting tenders through newspapers at least 21 days notice (after publication of the tender in the newspaper) should be given.
3. The time, place and date on which the tender bids/ quotations will be opened should be specified in the enquiry letters/tender notices to be sent to the firms or published in newspaper with the clear stipulation that they may be present at the time of opening of tenders/quotations, if they so desire.
4. It should be mentioned in the tender notice/ enquiry letter that the rates should preferably be quoted both in words, and figures. All cuttings, overwriting should be duly initialed failing which the quotation/tender/bid is liable to be rejected.
5. The notice inviting tenders/quotations alongwith specifications should also be released simultaneously on the website of the Institute, and the website's address should be stated in the tender notice.
6. The notice inviting quotations of proprietary item(s) through e-mail should also be displayed on the website of the Institute giving a minimum of 15 days time for quotations to be submitted.
7. A soft and hard copy of the tender notice/ enquiry letter should also be sent to the CPO's office for wide publicity.
8. In case of purchase of special/ sophisticated equipment, costing above Rs.25.0 lac, a performance bank guarantee for an amount equal to or more than 5% of the cost price for the duration of the warranty period will be taken from the supplier/Indian Agent.
9. The Earnest Money Deposit (EMD) should be demanded from the firms and should be mentioned against specification of each item/ equipment whose estimated cost is above Rs.25.0 lacs. The amount of EMD will be determined at the time of inviting quotations/tenders, by the Institute on case to case basis, which will be approximately 2% of the estimated cost of the purchase.
10. All the terms, conditions, stipulations and information to be incorporated in the bidding document are to be shown in the appropriate Chapters as below:
  - (a) Chapter 1: Instruction to bidders.
  - (b) Chapter 2: Conditions of contract.
  - (c) Chapter 3: Schedules of requirements.
  - (d) Chapter 4: Specifications and allied technical details.
11. While inviting quotations/tenders, specifications should be given in as much detail as possible, but it should be general in nature so that enough number of



**firms can quote for the item.** Approximate quantities may also be mentioned and the firms should be asked to give samples alongwith the quotations/tenders, wherever possible/necessary. The descriptive literature, if available, should be enclosed with the quotations/ tenders.

12. If the estimated cost of equipment is more than Rs.25.0 lacs, AMC bids for a three year period may also be invited.

13. To maintain uniformity, the format of the enquiry letter, available in the Central Purchase Office be used.

14. All enquires should be sent through speed post, registered post, courier services or through personal local delivery on official peon book as deemed suitable.

**Procedure for Opening Quotations:**

1. All quotations/tenders received should be kept together locked in a separate quotation/tender box or shelf in the custody of the concerned Head of the Department or the Officer nominated by him till the time of opening.

2. All quotations/tenders received should be duly sealed, addressed to the Head of the Department concerned, clearly marked on the left hand corner of the envelope "Quotations/Tenders for the supply of \_\_\_\_\_ (name of article to be mentioned) due for opening on \_\_\_\_\_".

3. In case any quotation/tender is opened by mistake before the due date, it should be immediately sealed by the concerned Head of Department and a note should be made on the cover that "the quotation was opened against enquiry letter No..... by mistake or any other reason (to be recorded). The date of opening should be recorded and postal cover should be retained for record.

4. Preferably the ST/CST number should be given on the quotation of each firm, **however this is not be mandatory.** In case any change towards ST/CST or other statutory levy is claimed by the firm, the registration number for the same should be available on the bill/invoice.

5. In case of purchase of an item of proprietary nature as certified by the manufacturer, the quotations through e- mail/FAX from the manufacturer may be considered. But the proof of e-mail requesting the rate of the propriety item must be placed in the purchase file.

6. Quotations/Tenders will be opened on the prescribed date and time by HOD or his nominee (may be the Officer In-charge of Departmental store), Chairman, FPSC and one representative of CPC, AR/DR. In case of purchase being made out of research/ consultancy projects, the quotations will be opened by HOD or his nominee (may be the





Officer In-charge of Departmental store), Principal Investigator and one representative of CPC, AR/DR. The representatives of firm who have submitted quotations/ tenders may remain present during opening of quotations/ tenders. Erasing and overwriting etc observed at the time of opening of quotations/tenders should be duly initialed by the officers opening the quotations/ tenders, otherwise the tenders/quotations may be treated as invalid. The postal cover should be retained along with the tender/ quotation with signatures of the person/s opening it.

#### **Procedure for Processing the Purchase Cases**

1. Normally there should be a minimum of three valid quotations for any purchase.
2. If the number of quotations received against an enquiry letter/tender notice is less than three, quotations have to be re-invited giving enough number of addresses of firms. However, if the number of quotations received is still less than three, the HOPD/PI should process the purchase on the basis of these quotations with specific justification.
3. If the number of quotations received against open tendering is less than three, the purchase case can be processed through these quotations with specific justification.
4. Procurement from a single source may be resorted to in the following circumstances:
  - (a) It is in the knowledge of the user department that only a particular firm is the manufacturer of the required goods i.e. the goods to be purchased are proprietary items.
  - (b) The required goods are to be purchased from a particular source and the reason for such decision is to be recorded.
  - (c) For standardization of machinery or spare parts to be compatible to the existing sets of equipment (on the advice of a competent technical expert), the required item is to be purchased only from a selected firm.
  - (d) Any decision in respect of (a), (b), (c) above, may be taken on the recommendations of a Technical Committee appointed by the HOD. This committee may comprise of either internal members or internal and external members. However, the notice regarding the purchase of item(s) of propriety in nature must be put on the Institute's Website giving a minimum time of 15 days to submit quotation.



### **Processing the Purchase by the DPC**

The O.C. purchase/PI will submit their purchase proposals for consideration of the Departmental Purchase Committee. The proposal should contain the following to satisfy all the requirements of the checklist (Appendix-A):

- (a) The provision of funds available for the item being purchased. It should be duly approved by the HOD/ Dean (Finance)/ Dean (SRIC)/ Sponsoring agency mentioned.
- (b) Enquiry letter sent to the firms alongwith the complete specifications of the equipment.
- (c) Signed copy of list of addresses of firms to whom letters have been sent in case of inviting quotations by sending letters to firms and a proof of sending the letters through speed post, courier etc.
- (d) In case of tenders, signed copy of newspaper cutting of the tender notice should be attached.
- (e) Signed copy of notice put on the Institute website.
- (f) All quotations received duly numbered and signed by the persons concerned as specified above.
- (g) Duly completed Comparative Statement indicating the quotations rejected, rates quoted by the firms and the total cost of the item including all taxes, discounts, freight charges etc. The specifications of the item/equipment, as offered by all the firms may be mentioned in the comparative statement. The specifications that are not as per the required specifications (i.e., given in the enquiry letter) may be highlighted in the comparative statement.
- (h) The reason for rejecting a quotation should be clearly specified in the comparative statement. However, a quotation should not be rejected on the ground that any particular specification is not clearly specified in the quotation. The clarification may be sought from the firm before rejecting a quotation.
- (i) In general, all other thing being equal and subject to the rates being reasonable, the lowest quotations/tenders will be accepted. However, for the acceptance of a quotation/tender other than the lowest, full justification should be recorded on the comparative statement by the O.C. purchase.
- (j) Justification for less than three quotations by the Officer who has initiated the purchase, if required.
- (k) Technical committee report by three member committee appointed by HOD/PI in case of propriety item.



(l) Duly filled purchase proposal on prescribed format for the consideration of Departmental purchase committee.

(m) Foreign currency conversions if applicable should be included.

The recommendations of the Departmental Purchase Committee will be considered by the HOD/PI and the final decision will be taken by them.

### **Processing the Purchase by the IPC/SPC**

The Department will submit their purchase proposals for consideration of the IPC/SPC through CPO. The proposal should contain all the points (a) to (m) mentioned above and recommended by the HOD/PI. However, the prescribed format for the Purchase proposal will be different.

Approval of IPC/SPC or of the Competent Authority wherever required would be communicated by the CPO to the concerned Head of the Department/ PI.

### **Placing the Orders:**

1. No formal order is required to be placed for purchases upto Rs.50,000/-.
2. All purchase orders for amounts exceeding Rs.5,00,000/- will be sent to CPO for pre-audit. The proforma for orders above Rs.5,00,000/- (including all taxes) shall clearly mention that **"ORDER WILL BE VALID ONLY WHEN IT IS SIGNED BY BOTH HOD/PI AND CPO"**.
3. A copy of each purchase order exceeding Rs.50,000/- will be endorsed to the CPO at the time of issuing the Purchase Order, and another copy to Account Office.
4. Orders for imported articles will be placed after satisfying the requirement of Government policies/formalities prevailing at that time.
5. Repeat order may be placed subject to the following conditions:
  - (a) Within a period of 120 days of placing the original order or 45 days of receiving supplies against the original order, whichever is later.
  - (b) With no change in rates as well as terms and conditions of supply.
  - (c) For purchases on the basis of inviting quotations but not through a committee.
  - (d) Each department will place not more than one repeat order and the amount or number of items shall not exceed that of the original order.



(e) For supply of commodity items, such as cement, metal, and paper not exceeding Rs.1,00,000/-.

(f) No repeat order will be placed if buy-back is involved in the purchase.

(g) Purchase Orders placed by other IITs may also be considered for placing repeat orders by IITR with the approval of Competent Authority after due diligence study and obtaining a certificate from the sister IIT to the effect that the cost is justified & the equipment is performing satisfactorily.

(h) The Institute Purchase Committee may finalize a rate contract of Personal Computers, Laptops, Computer peripherals, Chemicals, printing or any other item with various manufacturers, so as to offer a wider choice. Different rates may also be approved for any item depending on the specifications and quality of item offered by different manufactures. Tenders/Quotations for this purpose shall be called from manufacturers only.

#### **Delegation of Purchase Powers:**

1. Payment for labour charges and job works (fabrication, repairs, civil and electrical works etc.) upto Rs.50,000/- through bill may be made without calling quotations and without placing formal purchase orders by the Principal Investigator for purchases related to consultancy and research project, and by the Head of the Department from funds under his/her operation.

2. Purchase of consumables, computers, peripherals and minor equipment upto Rs.50,000/- through bill may be made without calling quotations and without placing formal purchase orders by the Principal Investigator for purchases related to consultancy and research project, and by the Head of the Department from funds under his/her operation. Further, any faculty member/officer may also make such purchases with the approval of Head of the Department or the Principal Investigator, as applicable.

3. Purchase including services, labour charges and job works (fabrication, repairs; civil and electrical works etc.) through credit at site may also be made above Rs.50,000/- and upto Rs.2,00,000/-. Unless such a purchase is made on the basis of approved rate contract or quotations from Government/Public Sector Undertaking, at least three written or verbal quotations be obtained by a Committee to be constituted as given below:

(a) Committee of at least two faculty members/Category 'A' Staff to be constituted by HOD/PI (for Sponsored Research & Consultancy Projects) for purchases upto Rs.2,00,000/-.

(b) In case, the purchase has to be made beyond Rs.2,00,000/-, the SPC will be appointed as stated above.

The committee will survey the market to ascertain the reasonableness of rate, quality and specifications for the purpose of identifying the appropriate supplier and collect quotations from the probable suppliers and/or manufacturers. The names and addresses of the bidders alongwith rates quoted by them shall be certified by each member of the committee on the Comparative Statement.

Before recommending placement of the purchase order, the members of the committee will record a certificate as under: **"Certified that we, the members of the purchase committee are satisfied that the goods recommended for purchase are of the requisite specification and quality, priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question"**. The committee may also make cash purchase by taking advance. However, purchase in such cases should invariably be made by placing orders.

4. The annual maintenance contract, repair contract, repair work from the manufacturer / manufacturer's authorised supplier, in respect of various equipment in the department, may be entered by the HOD for a maximum of 10% of the equipment cost or Rs.2,00,000/- whichever is less. In all other cases, quotations will be invited and normal purchase rules will apply.

5. The financial powers for a particular purchase order to a specific firm will be as follows:-

(a) Head of the Department / Principal Investigator (for Consultancy/ Research Projects) can approve purchase upto Rs.5,00,000/-, provided that purchase case is based on three valid quotations.

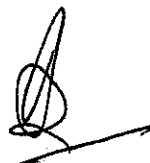
(b) Head of the Department / Principal Investigator (for Consultancy/ Research Projects) can approve purchase above Rs.5,00,000/- and upto Rs.15,00,000/-, provided that purchase case is based on three valid quotations but the purchase order will be Pre-Audited by CPO.

(c) Purchase upto Rs.15.0 lac can be approved by the HOD/PI on the basis of less than three valid quotations under the following cases:

(i) If the quotations have been invited through open tendering, i.e. by publishing the tender notice at least in one National Daily.

(ii) If quotations have been invited at least two times by sending enquiry letters as stated earlier. However, in case of purchase upto Rs.2.0 lac re-inviting quotations is not mandatory.

But in both the above cases, the purchase order will be pre-audited by CPO, if the purchase is being made above Rs.5.0 lac.



(d) In case of any disagreement between HOD/PI and CPC during the Pre-Auditing, the same shall be referred to IPC for final decision which will be binding on both the parties.

(e) As the purchase upto Rs.5,00,000/- is being approved by HOD/PI without Pre-Audit, extra precautions be taken by HOD/PI to ensure that purchase rules are followed properly. Any annual audit objection will be clarified by HOD/PI. In case of any doubt, the purchase file may be sent to IPC.

6. Purchases above Rs.15.0 lac can be approved by the Competent Authority on the basis of recommendations of IPC/SPC.

7. For purchase proposed on the basis of rate contract approved by IIT Roorkee, purchase orders upto Rs.25.0 lac can be approved by the Head of the Department/PI.

8. Any purchase above Rs.25.0 lac can be approved by the Competent Authority on the basis of recommendations of IPC/SPC. In all these cases, pre-audit by the CPO is essential.

9. In case of purchase of sophisticated equipment or any other special purchase, the Department, if so desired, may constitute a sub-committee of at least three members to negotiate with L-1 (lowest firm) regarding rates, discount etc. in the best interest of the Institute.

#### **Payment Procedure:**

1. **Payment after receipt of supply in good condition or 100% payment against delivery and satisfactory checking/ installation**

For payment of bills against purchase orders, the original bills duly verified and necessary stock entered alongwith grant code to which the expenditure is to be debited filled up and duly signed by the Head of the Department, should be sent to the accounts office along with a copy of the purchase order within two weeks after the purchase is completed and supply duly checked/installed. The installation certificate and warranty certificate should also be sent alongwith the bill for payment. In case, there is no objection to a particular bill, the Accounts office must make the payment directly to the supplier within one week after the receipt of the bill. The payments will be made by draft/cheque/ bank transfer to the bank account of the supplier or service provider.

2. **100% advance payment against 110% bank guarantee.**

100% advance payment against 110% bank guarantee may be made to the supplier provided such payment term exists in the order. In such cases the accounts office will issue a cheque/draft against proforma invoice in favour of the firm and send it to the concerned Department well in advance.

However, Government firms or public sector undertakings may be exempted from providing the bank guarantee. But for public limited firms having an annual turn-over of Rs. 500 crores or more the requirement of bank guarantee may be waived-off by the competent authority if the payment involved is upto Rs.15.0 lac.

3. Any additional payment on account of revision of taxes/duties may be approved by Head of the Department/PI provided it is as per terms of purchase order.

4. Payment of demurrage upto Rs.20,000/-may be approved by the Head of the Department / PI. For higher amounts approval of the Competent Authority will be required.

5. All vouchers being submitted for payment will be verified by Head of the Department / Principal Investigator/ Faculty member/Staff of Category A.

**6. Payment to Foreign Supplier:**

(a) All letters of credit will be opened in the name of the Head of the Department against the purchase orders, for which the concerned department will send their request to the accounts office.

(b) Payment can also be made by sight draft/Bank Transfer/ Wire Transfer.

(c) For small purchase from foreign companies upto an equivalent of Indian currency of Rs.1,00,000/-, the advance payment can be made by the Principal Investigator with the approval of Head of the Department and by the Head of the Department with the approval of Competent Authority.

**7. Payments to Govt./Public Sector Undertaking/ Organization:**

The terms of payment to the Govt./ Public Sector Undertakings/ Organizations/ Company will be as per the terms and conditions given by them in their quotation/ proforma invoice/ rate list/ rate contract. 100% advance can be made to such organizations alongwith the order if it is in the terms and conditions of the said organization.

**General Rules:**

1. Any relaxation in the purchase regulations shall be made with the prior approval of the Competent Authority.

2. The "buy-back" for purchase through quotation/tender or through rate contract for supply of equipment and systems, including Personal Computers, Refrigerators, Air-conditioners and Xerox Machines etc. is admissible. While inviting quotations/tenders or proposal for rate contract, the supplier/vendor will be asked to quote rates and other



terms for 'buy-back' of existing equipment/systems. However, the following conditions shall apply:

- (a) In case of computers, system should be at least three years old.
- (b) In case of photo-copier machines, a machine should be at least seven years old or five lakh of copies should have been generated on the old machine.
- (c) In case of refrigerators and air-conditioners, they should be at least seven years old.

**Note:-** Buy-Back shall be initiated on the recommendation of a Departmental Technical Committee constituted by Head of the Department for this purpose.

3. Software purchased for teaching/ training/ research should be upgraded regularly so that they remain useful. Hence, all multi-user (more than five user license) software except those purchased under Sponsored Research projects/ Consultancy projects will be deployed centrally at the Institute Computer Centre for wider availability. However, it will be the responsibility of the purchasing department to upgrade such software regularly as long as they are in use by faculty members/students.

4. Central Assets Registers for items under the Major Assets and Minor Assets Categories will be separately maintained in Central Purchase Office for the purpose of Stock Verification.

5. For the purchase of the books / publication and periodicals by the library and the department/ centres the Institute library advisory committee shall frame and issue the policy and rules from time to time with the approval of Competent Authority.

6. The GFR may be applicable if on some point the IITR Purchase Rules are not clear or silent.

7. **Competent Authority** means the Director of IIT, Roorkee or Deputy Director, IIT Roorkee to whom the Director delegates the authority. Any matter not covered by these rules may be referred to the Competent Authority.





## **STORES RULES**

### **CLASSIFICATION OF STORES:**

All stores procured shall be classified into following three categories;

- (A) Major Asset (MAS)
- (B) Minor Asset (MIA)
- (C) Consumable Stores (CS)

#### **(A) Major Assets (MAS):**

Stores satisfying any one of the following conditions shall be classified as **major Assets**.

- (i) Store which are intended to be used over prolonged periods before becoming unusable and obsolete and costing above Rs.50000/-.
- (ii) Any item which is classified as **Major Assets (MAS)** by the standing committee (as given in clause No. 2) constituted for this purpose.

**Examples:** Laboratory Equipment costing above Rs.15000/-, Assembled Instruments, Brass Ware, Flower Pots, Lamp Stand etc, Fabricated Instruments, Gas Cylinders, Almirahs Steel, Main frame computers/servers, Work Stations, Motors, Networking Devices, Photocopying Machines, Plot Printers, Multimedia Projectors, Welding Machine, Workshop heavy equipment (Lathe Machines, Drilling & Milling Machines, Power Saw, Wood Working Machines) etc.

#### **(B) Minor Assets (MIA):**

Stores may be classified as Minor Assets or "Limited Life Time Assets" for the items with a life of 4-5 years.

**Examples:** All Laboratory Equipment costing less than or equal to Rs.50000/- (Power supplies, CVTs/CRO etc), type writers, accessories and audiovisual systems, All room fixtures (door closers, blinds, boards, wall/ exhaust fan etc), UPS, Wooden and Steel Furniture (chairs, tables, racks, trolleys, cabinet etc), Battery chargers, Computer Accessories, Cryogenic containers, Cyclostyling machines, Fume Hoods, Modems/hubs (Routers) switches, Personal Computers, Portable Generators, inkjet/laser printer Small portable electrical hand tools ( Hand drill, planners, grinders etc), Software, Telephone sets including mobile phones, Vacuum cleaners, desktop, palmtop calculators, etc.



### **(C) Consumable Stores (CS):**

Stores satisfying any of the following conditions shall be classified as Consumable Stores.

- (i) Stores which exhaust with lapse of time.
- (ii) Stores which are rendered unserviceable due to normal wear and tear.
- (iii) Stores which have negligible disposal value. Value of store should be less than Rs 15000/-.

**Examples:** Chargeable and non chargeable batteries, Chemicals & plastic material, Components installed inside the Cabinet of the Personal Computers (motherboard, RAM, ports, Hard Disk, DVD, PCI cards etc), Electrical items like plugs, tops, switches, fixtures, heater plates etc, Electronic Component like resistors, ICs, LED's, Transistors, Diodes, transformers, soldering iron and solder etc), fabrication materials like Metal sheets, rods, wires, Glass and Quartz ware, Hand Tools ( screw drivers, pliers, scissors, tools related to gardening and other tools etc), plant pots, Light sources ( bulbs, tubes, laser pointers etc), Optical components like Lenses, Prism, Gratings, filters, optical fibers, patch cord etc, printer consumables (Ribbon, Cartridges etc), Stationery items ( papers, cutters, staplers, pens, pencils, alpenes, u-clips, sharpeners, dispensers, pen stands, CD covers etc), tubing ( copper, Aluminum, rubber, PVC etc), umbrellas & raincoats, Workshop cutting tools ( Bits, hacksaws, blades, drill bits, oil & coolants, files etc), Capacitors, CD ROMs, CDs, Conductivity bridge, Connectors, Curtains, Darri/Carpets & other cloth items, Electric wires / UTP Cables /Optical Fibers, Electrodes, Floppies/pen drives, Handheld water sprayer/sprinkler, Heating mantles, Iron meter, Keyboard, mouse and speakers, Lab. Apparels (shoes, lab coats, goggles, aprons, gloves etc), Magnetic tape, Medicines, Non electrical balance, pH meters, Plastic buckets, Room Heaters and Blowers, Shakers, Small Measuring components and instruments (current/volt/Ohm meters costing less than Rs10,000/-), Stirrer, Table covers, Thermostat, Torch, Water bath, Water distillation glass units, Water distillation stills etc.

**NOTE:** The Head of the Department may constitute a standing committee to resolve any confusion in classifying the assets not covered above.

### **General Rules:**

1. Stock Registers for all Major Assets, Minor Assets and Consumables should be maintained separately in each Department and kept with the concerned Head of the department.
2. Stock Registers for Major Assets and Minor Assets shall also be maintained separately in each laboratory.
3. Stock Registers (for all Major Assets, Minor Assets and consumable items) for each Project shall be maintained separately (and kept with the concerned Laboratory/



P.I.) but all the assets shall also be entered simultaneously in the departments T & P register.

**Store Verification:**

The annual verification of all Major and Minor Assets of all laboratories in the Department shall be done by the verifying officer appointed by the Head of the Department and the O.C. laboratory. On recommendations of the O.C's and verifying officers of all laboratories regarding the irrecoverable losses, and losses due to stores lost, or rendered unserviceable due to fair wear and tear the Head of the Department /Centre/ Unit will constitute the committee for survey of unserviceable (Major & Minor Assets) in their respective department. This committee of the Department shall inspect such losses and fix their depreciated value. It will also pin-point responsibility for losses of items found short and shall recommend as to how these are to be made up/paid for by the individuals responsible for the loss. The report of the committee shall be considered by the Department Professorial Committee (DPC) and its recommendations in respect of major assets shall be sent to the Deputy Registrar (Admn.) on Proformas 'A' & 'B' (attached), for consideration by the Institute Technical Committee.

**Writing off and disposal of Unserviceable Stores:**

(a) On the recommendation of DPC, the Head of the department may allow writing off the minor assets with intimation to the Deputy Registrar (Administration).

(b) On the recommendation of DPC, the Head of the department may sent the proposal for writing off the major assets to the Deputy Registrar (Administration).

(c) The Director shall appoint an **Institute Technical Committee** which shall examine the proformas sent by the Departments etc. and shall recommend the Major Assets which are actually unserviceable /beyond economic repair/beyond local repair, to be considered for writing off, by the Competent Financial authority. The Technical Committee may delete those items which in its opinion, are serviceable or are not beyond local/economic repair. Thereafter, proformas 'A' & 'B' will be forwarded to the Deputy Registrar (Admn.) Office, for consideration by the Competent Financial Authority. The composition of the Technical Committee shall be as under:-

(i) One Professor to be nominated by the Director for three years, who shall be the Chairman.

(ii) One Faculty member/Officer nominated by the concerned Department/Limb of the Institute for a period of three years.

(iii) Two other Faculty Members as members to be nominated by the Director for a period of three years.



(iv) One Faculty Member/Officer as member from outside the concerned Department to be nominated by the concerned Department/Limb of the Institute for a period of three years.

(d) The recommendations of the Institute Technical Committee (ITC) are to be considered by the Competent Financial Authority (CFA) to write off as under:

CFA	Normal Wear & tear , Individual Item Costing (Rs.)	Abnormal Wear & Tear , Individual Item costing (Rs.)
Head of the Deptt.	Upto 15000	Nil
Deputy Director	Upto 100000	Upto 5000
Director	Upto 500000	Upto 10000
Board of Governors	Above 500000	Above 10000

After approval of the Competent Financial Authority, a proper notification for writing off is to be issued by the Deputy Registrar (Administration).

**Institute Disposal Committee:**


The stores, written off, will be inspected and auctioned by the Institute Disposal Committee (IDC). The committee shall consist of the following members:

(i) One Professor to be nominated by the Director, who shall be the Chairman for a period of three years.

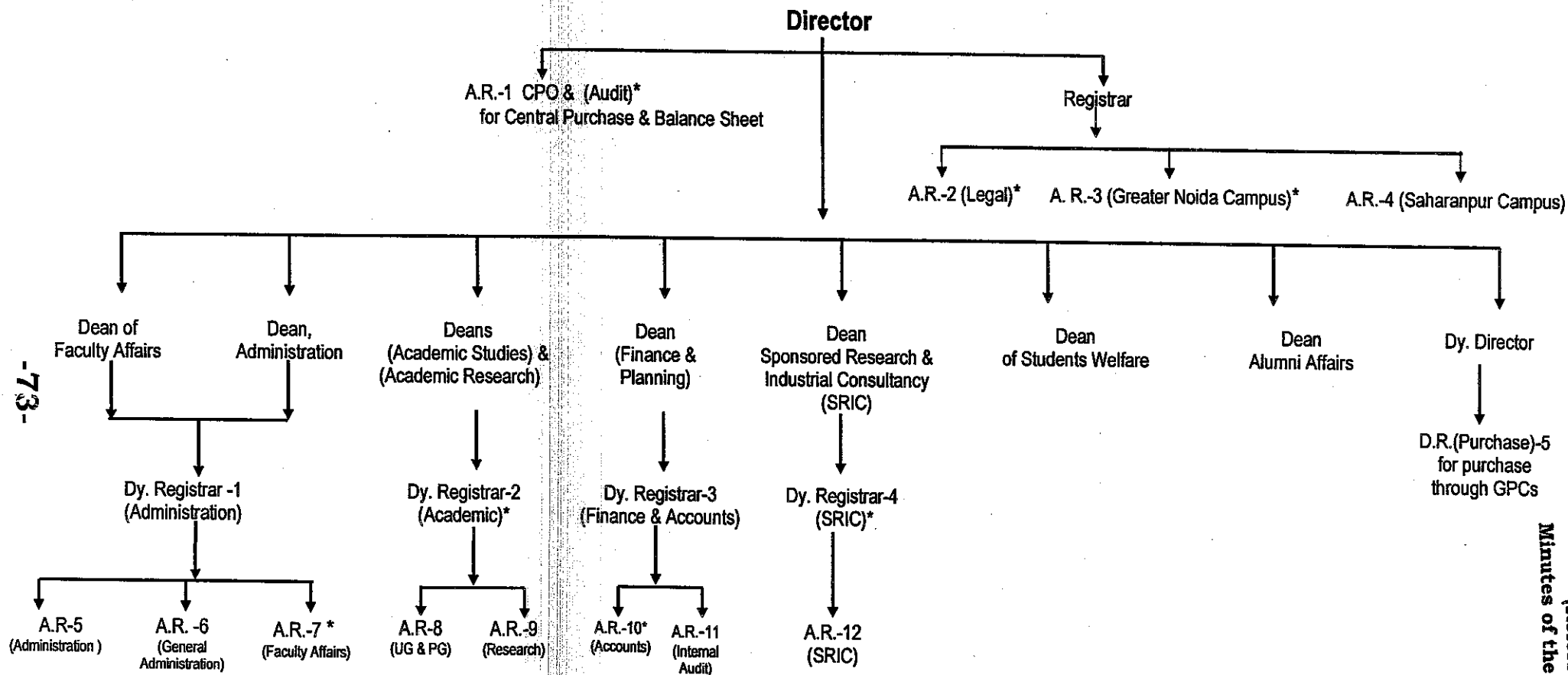
(ii) One Faculty member nominated by the concerned Department/Limb of the Institute for a period of three years.

(iii) A Member Secretary to be appointed by the Director for a period of three years.

(iv) An Assistant Registrar as the Joint Member Secretary to be appointed by the Director for a period of three years.



## Administrative Organization Hierarchy of IIT Roorkee



\* Proposed positions

### SUMMARY

Name of Posts	Existing	Proposed Increase	Total
Deputy Registrars	03	02	05
Assistant Registrars	06	06	12

**Appendix 'J'**  
(Refers to item No. 37.5.2 of the  
Minutes of the 37<sup>th</sup> meeting of BOG)

**Minimum qualification for the post of Executive Engineer (Civil), Executive Engineer (Electrical/Mechanical), Assistant Executive Engineer (Civil), Junior Engineer (Civil)/(Electrical)/(Horticulture) and Technical Assistant (Sanitation).**

**1. Executive Engineer (Civil)**

Pay scale (PB-3) Rs.15600-39100 with grade pay of Rs.6600

**Minimum qualification/experience:**

Bachelor degree in Civil Engineering or equivalent with 8 years relevant experience in the pay scale of PB -3 grade pay Rs.5400 or Master degree in Civil Engineering or equivalent with 6 years relevant experience. Preferably 1<sup>st</sup> Division in B.Tech. & M.Tech.

**2. Executive Engineer (Electrical/Mechanical)**

Pay scale (PB-3) Rs.15600-39100 with grade pay of Rs.6600

**Minimum qualification/ experience:**

Bachelor degree in Electrical/Mechanical Engineering or equivalent with 8 years relevant experience in the pay scale of PB -3 grade pay Rs.5400 or Master degree in Electrical/Mechanical Engineering or equivalent with 6 years relevant experience. Preferably 1<sup>st</sup> Division in B.Tech. & M.Tech.

**3. Assistant Executive Engineer (Civil )**

Pay scale (PB-3) Rs.15600-39100 with grade pay of Rs.5400

**Minimum qualification/ experience:**

Bachelor degree in Civil Engineering or equivalent preferably first class with 03 years relevant experience.



**4. Junior Engineer (Civil )**

Pay scale (PB-2) Rs.9300-34800 with grade pay of Rs.4200

**Minimum qualification/ experience:**

Diploma in Civil Engineering preferably first class with 03 years relevant experience.

**5. Junior Engineer (Electrical)**

Pay scale (PB-2) Rs.9300-34800 with grade pay of Rs.4200

**Minimum qualification/ experience:**

Diploma in Electrical Engineering preferably first class with 03 years relevant experience.

**6. Junior Engineer (Horticulture)**

Pay scale (PB-2) Rs.9300-34800 with grade pay of Rs.4200

**Minimum qualification/ experience:**

Master's degree in Horticulture/Agriculture with one year of relevant experience.

**OR**

Bachelor's degree in Horticulture/Agriculture with three years of relevant experience.

**7. Technical Assistant (Sanitation)**

Pay scale (PB-2) Rs.9300-34800 with grade pay of Rs.4200

**Minimum qualification/experience:**

B.Sc. + Diploma in Public Health and Sanitation.

**OR**

Sr. Secondary School (10+2) in Science Stream + Diploma in Public Health and Sanitation + 03 years relevant experience in a reputed organization.



**Appendix 'K'**  
(Refers to item No. 37.5.5 of the  
Minutes of the 37<sup>th</sup> meeting of BOG)

Estimated Financial Implications for Implementing the Recommendations For Rejuvenating the Administration of the Institute.

Sl. No.	Recommendation	Estimated Expenditure for 2012-13 (four months). Rs. in lacs	Estimated Expenditure for 2013-14 Rs. in lacs	Remarks
1.	Integrated Technology. Development for Management- Total Integrated Computerisation	-	-	This is difficult to estimate at present*.
2.	Leadership Role to be played by the Core group of Officers	5.00	10.00	This training is to be provided by a reputed Management Institute. IIMS Lucknow
3.	(a) Creation of the Personnel Development & Training Cell.  (b) Training and retraining by the Cell for all employees (round the year)	1.00  3.00	8.00  15.00	Important Activity
4.	Creation of CD/DVD (a) on the Vision-Mission of IITR and (2) an Impressive document on the brief history, growth, plans and programs for multi-purposes	2.00	11.00	An external agency will be hired for this purpose i.e. (redesigning of office/ work processes)
5.	Creating Modern Ambience to Match Rejuvenation of Administration	3.00	25.00	
6.	Contingencies 10% of the total cost.	1.40	7.00	

\* The estimated cost shall be subsequently routed through the FC & BOG for due approval.

