



भारतीय प्रौद्योगिकी संस्थान खड़गपुर  
Indian Institute of Technology Kharagpur  
खड़गपुर Kharagpur - 721 302

प्रोफेसर वीरेन्द्र कुमार तिवारी  
निदेशक

**Professor Virendra Kumar Tewari**  
Director

No. D/M-6(1)/43  
August 29, 2020

Mr. Rakesh Ranjan, IAS  
Additional Secretary (TE)  
Department of Higher Education  
Ministry of Education  
Shastri Bhavan  
New Delhi 110 001

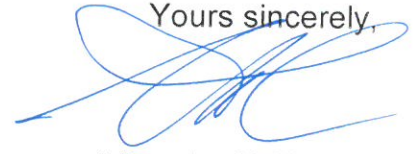
Sub : MoU between IIT Kharagpur and Department of Higher Education, Ministry of Education, Govt. of India

Dear Sir,

Enclosed please find two copies of the duly signed MoU as desired. We request you to kindly send us one signed copy back so that the MoU is deemed to have been executed by both parties.

With regards,

Encl : 2 copies of MoU

Yours sincerely,  
  
(Virendra K. Tewari)



## **MEMORANDUM OF UNDERSTANDING**

**Between**

**Indian Institute of Technology Kharagpur**

**and**

**Department of Higher Education  
Ministry of Education (Shiksha Mantralaya)  
Government of India**

**For**

**2020-2021**

**Memorandum of Understanding (MoU) between Department of Higher Education, Ministry of Education (Shiksha Mantralaya) , Government of India & the Indian Institute of Technology, Kharagpur for 2020-21 in pursuance of the Rule 229(xi) of the GFR, 2017**

This Memorandum of Understanding (hereinafter referred to as MoU) is entered in to at New Delhi on this **28th** day of **August**, 2020 between Department of Higher Education, Ministry of Education (Shiksha Mantralaya), Government of India, Shastri Bhawan, Rajendra Prasad Road, New Delhi-110011 (hereinafter referred to as MoE)

and

The Indian Institute of Technology, **Kharagpur** (hereinafter referred to as the Institute) having its Headquarter at **Kharagpur, West Mednipur, Kolkata, West Bengal 721302** and represented by its Director(hereinafter referred to as the Institute) which term and expression shall mean and include, unless repugnant to the context, its successors, assignees, administrators of the Institute.

**WHEREAS**

1. This MoU is executed in terms of Rule 229 (xi) of the General Financial Rules, 2017 (hereinafter referred to as GFR, 2017) and the subsequent instructions issued by the Ministry of Finance, Department of Expenditure, (hereinafter referred to as MoF) with the objective of improving efficiency of the expenditure, making the action plan outcome oriented, maintaining financial discipline and measuring performance of the Institution on key parameters against the targets set so as to improve its performance.

2. The Institute has the pre-defined Vision, Mission and Objectives as outlined hereunder:-

**(A) Vision:**

- (i) To contribute to society through excellence in scientific and technical education and research.
- (ii) To serve as a valuable resource for industry and society.

**(B) Mission:**

- (i) To generate new knowledge by engaging in cutting-edge research and to promote academic growth by offering state of-the-art undergraduate, postgraduate, doctoral and outreach programmes.
- (ii) To identify, based on an informed perception of Indian, regional and global needs, areas of specialization upon which the institute can concentrate.
- (iii) To undertake collaborative projects which offer opportunities for long-term interaction with academia and Industry.
- (iv) To develop human potential to its fullest extent so that intellectually capable and imaginatively gifted leaders can emerge in a range of professions.





**(C) Objectives:**

*To be at par with World Class.*

- (i) To provide the best educational infrastructure for imparting high class education in Science and Technology, Management, Social Science, Law and Medicine and a creative atmosphere for inter-disciplinary research both by the students and the faculty.
- (ii) To increase the student capacity, if needed to meet the growing demands for industry.
- (iii) To maintain global standards in student-faculty ratio, research output, publications in journals and placement of students.
- (iv) To participate in and contribute to nation building through various flagship schemes of the Government of India/State Governments requiring technological interventions thereby spurring economic growth for the welfare of the masses.
- (v) To provide research and development consultancy, which will foster healthy industry-academia partnership, thereby providing a competitive edge to the indigenous manufacturing.
- (vi) Many new initiatives being undertaken through interventions 1 to 10 as it is proposed under the IoE Vision Document prepared.

**NOW, THEREFORE,** the parties here to express their common understanding as under:

**(A) Ministry of Education (Shiksha Mantralaya) shall**

- (i) Provide financial support to the Institute to meet its recurring and non-recurring liabilities in such manner and on such conditions as prescribed by the Government of India (hereinafter referred to as GoI) from time to time,
- (ii) Help raise other resources, including loan from HEFA for expansion of infrastructural facilities, which have a direct bearing on the performance of the Institute as committed in this MOU.
- (iii) Provide guidance and advice in administrative, financial, legal and such other matters as the Institute may require in fulfilling its mandate.
- (iv) Provide support in obtaining necessary clearances and approvals, as and when required, from various Ministries, Departments, and Agencies of the Central/State Governments.
- (v) Provide support in resolving any dispute with any other authority of the Central/State Government or a private party, as and when required.



**(B) THE INSTITUTE shall comply with:**

- (i) Without prejudice to what has been stipulated in the Institute of Technology Act, 1961 (hereinafter referred to as the Act of 1961), as amended from time to time and the Statutes framed there under, the institute is expected to recover user charges at rates not lower than cost recovery norms
- (ii) Specific provisions as contained in the OM No.1/1/2016-EIIIA dated 13.01.2017 in relation to revision of pay scales in accordance with the recommendations of the 7<sup>th</sup> CPC and any other instruction issued by MOE from time to time on issues pertaining to the Institute.
- (iii) The provisions of the GFR, 2017, including the instructions on financial advice for autonomous bodies, as mentioned in Rule 229(viii) and those concerning release of grants-in-aid, submission of audited accounts, performance report etc.
- (iv) Guidelines issued by the Central Vigilance Commission (CVC) in matters of vigilance and disciplinary proceedings etc.
- (v) Uniform accounting procedure in accordance with the guidelines issued by MoF.

***Provisions of the Institutes of Technology Act, 1961, the Statutes framed there under and the instructions issued by MoE from time to time with regard, inter-alia, to creation of posts and framing of Recruitment Rules.***

**(C) THE INSTITUTE shall also ensure to:**

- (i) Frame Rules for its corpus fund indicating clearly the IRG that can be transferred to such fund or utilized from such fund and items for which such expenditure can be incurred.
- (ii) Have clearly defined 'Delegation of Powers' for deciding all administrative and financial matters.
- (iii) Ensure that the Recruitment Rules for the posts of Registrar and the Finance Officer are framed and the selection must follow the Recruitment Rules.
- (iv) Ensure that all its accounts are audited by internal auditors regularly and formal audit by the C&AG ***in terms of the provisions of the Act of 1961 and the Statutes framed there under.***
- (v) Comply strictly with the timelines for submission of annual reports and annual audited accounts to MoE for the purpose of being tabled in Parliament ***within 9 months from close of the financial year.***
- (vi) Forward to MoE any information required by it to satisfy any requirement related to Parliamentary Matter, RTI, Public Grievances, VIP References, Court Cases, Notices from Commissions and Statutory Authorities and also inputs for formulation of any policy.



(vii) *In order to attract good number of meritorious students to join PMRF scheme, faculty members of the institute has identified \*(indicate number) potential students in final year; for mentoring and guiding them in preparing projects / abstracts so that they are able to meet the PMRF selection criteria.*

- The Institute has projected to mentor total 150 students during the year 2020-21 and will take admission of total 95 students through direct and lateral entry (mentored students) channels.*
- Total 31 students are admitted during AY 2018-19 and 2019-20 through direct entry channel*

**(D) FINANCIAL POSITION:**

Details of funds available with the Institute in the last three years are as under:-

**Adjustment of Loan against HEFA is shown in Internal Resource Generation for the year 2018-19 and 2019-20.**

Nature of Funds	2017-18	2018-19	2019-20 Unaudited
Government Grants	642.00	658.77	757.85
Internal Resource Generation	85.00	135.00	126.06
Corpus Funds	Nil	Nil	Nil
Any other Source (Indicate)	Nil	Nil	25.00
Total	727.00	743.77	838.78

**(E) RECEIPT AND EXPENDITURE POSITION:**

Estimates of Receipt and Expenditure for the period of MoU, i.e. 2020-21 are as under:-

Nature of Receipt	Amount	Heads of Expenditure	Amount
Government Grants	622.6	OH-31	285.94
Internal Resource	85.0	Oh-35	45.00
Corpus Funds	Nil	OH-36	291.66
Any other Source	Nil	---	Nil
Total	707.6		622.60

**(F) ANNUAL TARGETS FOR PHYSICAL OUTPUTS/DELIVERABLES:**

*(As per Annexure I)*

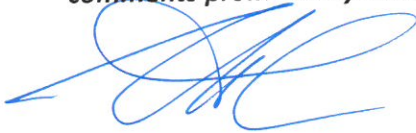


**(G) PERFORMANCE EVALUATION PARAMETERS:**

- (i) The performance will be evaluated using the criteria listed at **Annexure I**. The weightage to be attached to each criterion and the criterion value corresponding to different performance ratings are also given therein. The overall score will be calculated through the formula given in the Annexure based on the scores obtained in each parameter.
- (ii) There would also be a negative marking by which the overall score obtained through Annexure I will be reduced based on penalties listed out in **Annexure II**.
- (iii) The Consolidated score would be arrived at by reducing the negative score obtained in Annexure II from the overall score obtained under Annexure I.
- (iv) The overall rating of the organization would be as given in **Annexure III** based on the consolidated score obtained in **Para (iii)** above.
- (v) *The number of meritorious students identified by the faculty members of the institute for mentoring and guiding them in preparing projects / abstracts so that they are able to meet the PMRF selection criteria.*

**(H) IMPLEMENTATION AND MONITORING OF THE MoU:**

- (i) *Performance Evaluation against MOU parameters shall be carried out every quarter and monitored by the Institution.*
- (ii) *The performance evaluation shall be submitted to the Board of Governors on quarterly basis during the Board meetings for consideration & review. After the review by the Board, the same shall be sent to MoE along with the recommendations and the comments of the Board.*
- (iii) *A Joint review by the Institution and the MoE shall be carried out within 90 days of completion of the financial year. The result of the Joint Review shall be placed before the Board. The Director of the Institute shall ensure compliance of the issues raised or pointed out in the review and shall cause the MoU report and the review comments prominently hosted on the website of the Institute.*



(Prof. Virendra Kumar Tewari)  
Director  
Indian Institute of Technology Kharagpur

(Mr. Rakesh Ranjan, IAS)  
Additional Secretary (TE)  
Department of Higher Education  
Ministry of Education (Shiksha Mantralaya)  
Government of India

New Delhi:  
Date: August 28, 2020

निदेशक  
Director  
भारतीय प्रौद्योगिकी संस्थान खड़गपुर  
Indian Institute of Technology Kharagpur  
खड़गपुर - 721302, भारत  
Kharagpur - 721302, India

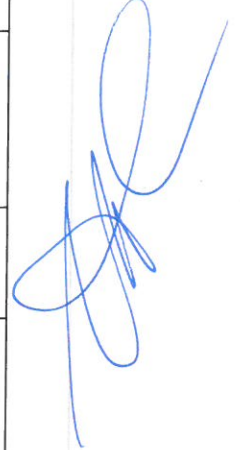
# Indian Institute of Technology, Kharagpur

## PERFORMANCE EVALUATION PARAMETERS AND TARGETS FOR 2020-21

Sl.	Criteria	Data					Criteria Value and Scores Obtained				
		Last Year Targets	Existing Levels	Targeted Levels	Unit	Weightage	1	2	3	4	5
(1)	(2)		(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
No.		Targets Fixed for 2019-20 (YY)	Average of years, 2017-18, 2018-19 & 2019-20 (X)	Projected in 2020-21 (Y)		Excellent (10 pts)	V.Good (8 pts)	Good (6 pts)	Fair (4 pts)	Poor (2 pts)	
						Reached the figure Y, i.e. Target as given in Col. (4)	Less than Y but Reached Figure = X + 0.8*(Y-X)	Less than Figure in Col. 8 but Reached Figure = X + 0.6*(Y-X)	Less than Figure in Col. 9 but Reached Figure = X + 0.4*(Y-X)	Less than Figure = X + 0.4*(Y-X)	
1.	Student strength					(35)					
1.1	UG students intake	766	786	816	No.	10	10				
1.2	PG students intake	1360	1387	1422	No.	10	10				
1.3	Ph.D. intake	618	661	684	No.	5	10				
1.4	Dual Degree, if any, during the year	664	676	696	No.	5	10				
1.5	Teacher student ratio	17.4	15.86	15.80	ratio	5	10				
2	Research and Professional practice					(22)					
2.1	Combined Metric for Publications	9.80	10.07	10.50	Metric parameter	5	10				
2.2	Combined Metric for Quality of Publications	6.00	6.54	7.00	Metric Parameter	5	10				



2.3	No. Of patents filed	45	63	70	No.	5	10				
2.4	No. Of patents granted and licensed	11	11	15	No.	5	10				
2.5	Total revenue accruing to the Institution (as distinct from to individual faculty) through consultancies	1.7	9.45	9.5	Rs in Crores	2	10				
3	Graduation Outcome					(13)					
3.1	Combined % of placements, higher studies and entrepreneurship	100	100	100	%	5	10				
3.2	Median salary achieved in placements	---	---	---	Rs. (in lacs)	5	---				
3.3	No. Of Ph. D students graduated	300	312	434	No.	3	10				
4	Financial parameters					(10)					
4.1	% of total cost recovery by means of fees and other resources, except MHRD funds (Sum of Item 3 in Annexure IV)	19.20	23.86	24.00	%	10	10				
4.2	Incremental growth in amount of Corpus Fund as on 1 <sup>st</sup> July of the year compared to 1 <sup>st</sup> July of previous year	---	---	---	Rs.	2	Most of our endowment funds are earmarked for the assigned purpose.				



4.3	% Utilisation of funds received from MHRD w.r.t to BE/RE	>100	>100	>100	%	4	10				
5	Outreach and inclusivity					(10)					
5.1	Percent students from other countries	0.09	0.13	1.5	%	1	10				
5.2	Percentage of girl students	17.50	17.40	17.42	%	2					2
5.3	% of faculty from SC, ST, OBC	4.50	4.69	4.71	%	2	10				
5.4	% of students from SC, ST, OBC	44.82	44.81	44.82	%	2					2
5.5	No. Of cases reported related to sexual harassment	0	2	0	No.	2					-2
5.6	No. Of ragging cases reported	0	0	0	No.	1	10				
6	Infrastructure creation (where applicable, in other cases weightage will be zero)					(10)					
6.1	Infrastructure created during the year (In sq. Meter)	63000	72053	53321	Sq. Meter	10	10				
7						(20)					
7.1	NIRF Ranking (Engg.)	4 <sup>th</sup>	5 <sup>th</sup>	4 <sup>th</sup>	rank	20				4	
8	PMRF (New Added Parameter)					(10)					
	No. Of students mentored by faculty	0	100	150	No.	5	10				
	No. Of students admitted out of the mentored ones	0	31	35	No.	5	10				

[illegible]

1. If any parameter is not applicable to any Institution, the same may be substituted/ modified/ deleted from this list. The overall weightage obtained by adding Column 6, will be the denominator for calculation of % performance
2. Existing level will be decided by taking the average values of last three years from 2017-18, 2018-19 and 2019-20 except in case of NIRF, where it will be the Rank in 2019-20. If the 2019-20 parameter is not yet available at the time of signing of MoU then average of two years 2017-18 and 2018-19 would be taken. If the Institution did not participate in NIRF Ranking in 2019-20, a notional ranking of 500 would be given for the year 2019-20 for calculation purposes.
3. The Institution and the Ministry would arrive at an agreement on which NIRF Ranking category should be applied for the Institution and then the evaluation would be done on performance in that category only. A change in category would be permitted during the course of the year only if the chosen category is not being taken up by NIRF for categorisation in the year 2019-20.
4. For parameters like ragging cases, anti-sexual harassment cases and NIRF ranking, a lesser value than existing level would be taken as successful achievement and achievement parameter would be accordingly modified.
5. Score given on each parameter would be as follows: Excellent – 10; Very Good – 8; Good – 6; Fair – 4; Poor – 2
6. If an Institution does not participate in NIRF Ranking exercise in the current year, the weightage would remain at 20 for the NIRF parameter and the Institution would get a zero score on it.
7. Overall Score of an Institution would be calculated as follows:  $\text{Sum (Score of each Parameter} \times \text{Parameter weightage)} \times 10 / \text{Total weightage}$





## PARAMETERS FOR NEGATIVE MARKINGS

There will be negative marking from the overall score, obtained in Annexure I, as follows:

- i) Laying of Annual Report in Parliament
  - a. If Annual Report of 2018-19 submitted to MHRD before the start of Winter session, 2019 – Less 0% ✓
  - b. If Annual Report of 2018-19 submitted to MHRD after 1/1/2020 but before 31/3/20 – Less 1%
  - c. If Annual Report of 2018-19 not submitted to MHRD by 31/3/120– Less 3%
- ii) Submission of data for AISHE
  - a. If submitted in 2019-20 within the last date fixed for the same – Less 0% ✓ Late submission but within the extended date due to the lockdown.
  - b. If submitted in 2019-20 but after last date fixed for the same but before 31.3.20 – Less 1%
  - c. If not submitted in 2019-20 by 31.3.20 – Less 3%
- iii) Holding of Meeting of Board at least once a quarter (*Other Institutions may mention their own Management bodies*)
  - a. If Board meeting held once in a quarter, with at least 4 meetings in a year– less 0% ✓
  - b. If Board meeting not held in any quarter, but 4 meetings held in a year– less 1% for each quarter when Board meeting not held
  - c. If total number of Board Meetings held in year less than 4 – less 4%

Quarters for this parameter means the periods: Quarter I: April-June; Quarter II: July-September; Quarter III: October – December; Quarter IV: January - March
- iv) Counselling system in the Institution
  - a. When a robust counselling system exists and there is no suicide or attempt to suicide (No suicide or attempt to suicide case in 2019-20 till 31.03.2020) – less 0% ✓
- v) Signing of MoU
  - b. When no robust system exists but there no suicide or attempt to suicide – less 1%
  - c. When a robust counselling system exists but there is at least one suicide or attempt to suicide – less 3%
  - d. When no robust counselling system exists but there is at least one suicide or attempt to suicide – less 4%
- When MoU for 2020-21 signed before 31/3/20 – less 0% ✓ MHRD has sent a letter on 25/06/2020.
- When MoU for 2020-21 finalized by MHRD and Institution jointly but not signed by 31/3/20 – Less 0.5%

- c. When MoU for 2020-21 neither finalized by MHRD and Institution jointly nor signed – Less 2%  
Vigilance cases
  - a. Where Disciplinary cases ordered by CVC – less 1% per case [Nil]
  - b. Where criminal prosecution or CBI enquiry ordered by CVC – Less 2% per case [Nil]

For this purpose, each case would mean each separate incident on which an enquiry has been done by CVC



vi)

### RATING OF INSTITUTION BASED ON CONSOLIDATED SCORES

Performance of the Institution would be graded based on overall score less the negative score to get the Consolidated Score. The performance based on the consolidated score would be as follows:

Consolidated Score		Rating
More than	Equal to or less than	
90	100	Excellent <b>✓ [90.73]</b>
70	90	
50	70	
33	50	
Less than or equal to 33%		Very Good
		Good
		Fair
		Poor



Annexure IV	
<b>Indian Institute of Technology, Kharagpur</b>	
Financial Commitment of MHRD and Other Sources of Revenue	

1. The MHRD would allocate the following funds to be released through Consolidated Fund of India in the year 2020-21:  
Budget Estimate (BE): Revenue – Rs.....**577.60**.....Crores  
Capital – Rs.....**45.00** .... Crores
2. The Institution would apply for grant of funds under HEFA as follows:  
HEFA Loan application: Rs.....**500**..... crores approved. [Rs. **317.96** Crores under Window IV applied (For IoE Rs. **234** Crores & Rs. **83.96** Crores under EWS)]  
Institute took HEFA loan upto of **Rs.18.91 Crore** in the F.Y 2018-19 and the outstanding is **Rs. 14.55 Crore** and as on 31.03.2020 loan taken is **Rs. 61.95 Crore** out of which outstanding is **Rs. 48.89 Crore**.
3. The Institution will raise funds from other sources as follows:
  - i. User charges in form of fees
  - ii. User Charges other than fees
  - iii. Alumni donation
  - iv. Extra mural funding from other Departments/ Ministries of Government of India
  - v. Extra Mural funding from other sources:
  - vi. Other resources not covered above

**Remarks:**

1. Items 1.5, 5.2, 5.3, 5.4 PDFs are considered as faculty.
2. Item 2.5: Total Revenue accruing to the Institute through consultancies excluding consultancy charges to faculty are considered instead of only the Institute overhead.
3. Item 6.1: Infrastructure created during the year 2019-2020 (in Sq. m) is considered.