



MEMORANDUM OF UNDERSTANDING

Between

Indian Institute of Technology Madras

And

**Department of Higher Education
Ministry of Education
Government of India**

For

2021-22

Memorandum of Understanding (MoU) between Department of Higher Education, Ministry of Education, Government of India & the Indian Institute of Technology Madras for 2021-22 in pursuance of the Rule 229(xi) of the GFR, 2017

This Memorandum of Understanding (hereinafter referred to as MoU) is entered into at New Delhi on this ____ day of July, 2021 between Department of Higher Education, Ministry of Education, Government of India, Shastri Bhawan, Rajendra Prasad Road, New Delhi-110011 (hereinafter referred to as MoE)

And

The Indian Institute of Technology Madras (hereinafter referred to as the Institute) having its Headquarter at Chennai 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:

To be an academic institution in dynamic equilibrium with its social ecological and economic environment striving continuously for excellence in education, research and technological service to the nation.

(B) Mission:

- (i) To create and sustain a community of learning in which students acquire knowledge and learn to apply it professionally with due consideration for ethical, ecological, and economic issues.
- (ii) To pursue research and disseminate research findings.
- (iii) To provide knowledge-based technological services to satisfy the needs of society and the industry.

- (iv) To help in building national capabilities in science, technology, humanities, management, education and research.

(C) Objectives:

- (i) To provide the best educational infrastructure for imparting high class education in science and technology and a creative atmosphere for inter-disciplinary research both by the students and the faculty.
- (ii) To increase the student capacity 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.

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

(A) MOE 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-E.IIIA dated 13.01.2017 in relation to revision of pay scales in accordance with the recommendations of the 7th 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 thereunder 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) Finalize any understanding or MoU with any other party including similar organizations abroad in accordance with the provisions of the Act of 1961 and the Statutes framed thereunder, and the instructions issued by MOE from time to time.

- (ii) Frame Rules for its corpus fund indicating clearly the Internal Revenue Generation(IRG) that can be transferred to such fund or utilized from such fund and items for which such expenditure can be incurred.
- (iii) Have clearly defined 'Delegation of Powers' for deciding all administrative and financial matters.
- (iv) Shall run courses, to the extent possible, to be self-supporting without the need for cross subsidization as well as over-charging from students for flagship courses.
- (v) Ensure that the post of Registrar is filled up by a person having sufficient experience in administration and should preferably be an appropriate level official from the Government on deputation to ensure neutrality and transparency.
- (vi) Ensure that the Recruitment Rules for the posts of Registrar and the Finance Officer are framed and the selection must follow the Recruitment Rules.
- (vii) 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 thereunder.**
- (viii) Ensure that all financial operations are done under the **EAT Module of PFMS and transaction done through TSA mode.**
- (ix) Present an outcome budget along with annual action plan so that it can be dovetailed in the outcome budget of MOE.
- (x) 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.**
- (xi) Forward to MOE any information required by it to satisfy any requirement related to Parliamentary Matter, RTI, Public Grievances, VIP References, Court Cases, and Notices from Commissions and Statutory Authorities and also inputs for formulation of any policy.
- (xii) In order to attract good number of meritorious students to join PMRF scheme, faculty members of the institute has identified **99 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.

- (xiii) The Institute to ensure that the reservation in prescribed percentage is followed as per the CEI (Reservation in Admission) Act, 2006 for students and as per the CEIs (Reservation in Teachers Cadre) Act for faculties. Also, the GoI guidelines are followed in recruitment of non-teaching posts. The Institute shall ensure equal opportunities and necessary facilities to persons with disabilities in admission and services as per the law.

(D) FINANCIAL POSITION:

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

Nature of Funds	2018-19	2019-20 #	2020-21 *
Government Grants	585,60,00,000	613,90,35,000	633,33,97,723^
Internal Resource Generation	88,00,00,000	88,52,30,233	83,00,93,798
Corpus Funds \$	67,51,00,000	103,73,53,358	79,10,60,915
Endowment Receipts \$	14,27,00,000	15,17,58,053	2,95,99,969
Centre for Continuing Education	12,50,00,000	13,24,62,572	9,80,69,529
Project Receipts	682,44,78,000	572,20,22,077	523,07,74,029
Total	14,50,32,78,000	14,06,78,61,293	13,31,29,95,963

* The figures of 2020-21 are provisional and subject to certification by CAG (Audit). **Govt. Grants excludes Rs.102.50 crore received under World Class Institution (IoE) Scheme.**

^The grant received from Ministry was Rs.591.70 cr against the sanctioned budget of Rs.663.28 cr. The Govt. Grants Rs.633.33 includes Grant-in-aid released towards EWS and HEFA interest.

Final figures as certified by C&AG

\$ Donations for Corpus and Endowment will be utilized for the purpose for which they were contributed.

(E) RECEIPT AND EXPENDITURE POSITION:

Estimates of Receipt and Expenditure for the period of MoU, i.e. 2021-22 are as under:-

Nature of Receipts	Amount	Heads of Expenditure	Amount
Government Grants	609,42,00,000	Scholarship	132,00,00,000
Internal Resource#	88,00,00,000	Pension/Pensionary benefits	130,00,00,000
Corpus Funds	0	Other Expenditure	282,00,00,000
Any other Sources	0	Salary and Allowances	366,00,00,000

Nature of Receipts	Amount	Heads of Expenditure	Amount
		Building	12,00,00,000
		Equipment	28,00,00,000
		Library books & Journals	22,00,00,000
		Furniture	13,00,00,000
Total	697,42,00,000	Total	985,00,00,000

If there is any Fee waiver/reduction, IRG will be reduced to that extent. Estimate of Expenditure prepared based on BE for 2021-22. The actual expenditure shall be limited to GIA sanctioned and IRG.

(F) ANNUAL TARGETS FOR PHYSICAL OUTPUTS/DELIVERABLES:

(As per Annexure I)

(G) PERFORMANCE EVALUATION PARAMETERS:

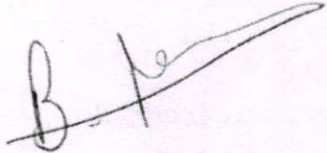
- (i) The performance will be evaluated using the criteria listed at Annexure I. The weightage to be attached to each criterion and the criterion value corresponding to different performance ratings are also given therein. The overall score will be calculated through the formula given in the Annexure 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:

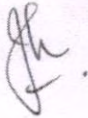
- (i) Performance Evaluation against MOU parameters shall be carried out every quarter and monitored by the Institution.
- (ii) The performance evaluation shall be submitted to the Board of Governors on quarterly basis during the Board meetings for consideration & review. After the review by the Board, 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. Bhaskar Ramamurthi
Director
Indian Institute of Technology Madras
Chennai - 600 036



New Delhi:
Date:



(.....)
Additional Secretary (TE)
Department of Higher Education
Ministry of Education
Government of India

(RAKESH RANJAN)
Additional Secretary
Govt. of India
Ministry of Education
D/o Higher Education
Shastri Bhawan, New Delhi

INDIAN INSTITUTE OF TECHNOLOGY MADRAS

PERFORMANCE EVALUATION PARAMETERS AND TARGETS 2021-22

Criteria Value										
Sl.	Criteria	Existing Levels	Targeted Levels	Unit	Weight age	1	2	3	4	5
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
No.		Average of years, 2018-19, 2019-20 & 2020-21 (X)	2021-22 (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	709	877	No.	10					
1.2	PG students intake	1001	1120	No.	10					
1.3	Ph.D. intake	400	400	No.	5					
1.4	Dual Degree, if any, during the year	230	177	No.	5					
1.5	Teacher student ratio	1:15	1:15	ratio	5					
2	Research and Professional practice				(22)					
2.1	Combined Metric for Publications	9.4/10	9.2/10	Metric parameter	5					
2.2	Combined Metric for Quality of Publications	9.1/10	9.0/10	Metric Parameter	5					
2.3	No. Of patents filed	192	≥ 100	No.	5					
2.4	No. Of patents granted and licensed	71	*	No.	5					

2.5	Total revenue accruing to the Institution (as distinct from to individual faculty) through consultancies	145.77 cr	100 cr	Rs	2					
	* Not in our control									
3	Graduation Outcome				(8)					
3.1	Combined % of placements, higher studies and entrepreneurship	82.55%**	≥85%	%	5					
3.3	No. Of Ph. D students graduated	296	≥240	No.	3					
	**Average of 2018-19 and 2019-20.									
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)	13.54%	9%***	%	4					
4.2	Incremental growth in amount of Corpus Fund as on 1 st July of the year compared to 1 st July of previous year	14.85%	10%	Rs.	2					
4.3	% Utilisation of funds received from MHRD w.r.t to BE/RE	100%	100%	%	4					
	***Assuming reduction in Academic Fee and other income due to the ongoing pandemic situation, a conservative target of 9% have been fixed for 2021-22.									
5	Outreach and inclusivity				(10)					
5.1	Percent students from other countries	0.05%	0.05%	%	1					
5.2	Percentage of girl students	20.93%	22%	%	2					
5.3	% of faculty from SC, ST, OBC	13.44%	15%*	%	2					
	*Continuously working to meet the requirements as per GoI									
5.4	% of students from SC, ST, OBC	44.07%	45%	%	2					
5.5	No. Of cases reported related to sexual harassment	4	Nil	No.	2					

5.6	No. Of ragging cases reported	Nil	Nil	No.	1					
6	Infrastructure creation (where applicable, in other cases weightage will be zero)				(10)					
6.1	Infrastructure created during the year (In sq. Meter)	118559.30 Sqm; 49580 RMT	49079 Sqm 21131 RMT	Sq. Meter Running Meter (RMT)	10					
7	Overall Performance				(20)					
7.1	NIRF Ranking	Overall No.1; Engg. No.1 (in 2020-21)	Top 3	rank	20					
8	PMRF				(10)					
8.1	No. of students mentored by faculty	43	99	No.	5					
8.2	No. of students admitted out of mentored ones	-	-	No.	5					
	Total				125					

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 2018-19, 2019-20, 2020-21 except in case of NIRF, where it will be the Rank in 2020-21. If the 2020-21 parameter is not yet available at the time of signing of MoU then average of two years 2018-19 and 2019-20 would be taken. If the Institution did not participate in NIRF Ranking in 2020-21, a notional ranking of 500 would be given for the year 2020-21 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 2020-21.
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: $\text{Sum (Score of each Parameter} \times \text{Parameter weightage)} \times 100 / \text{Total weightage}$

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 2019-20 submitted to MHRD before the start of Winter session, 2020 – Less 0% ✓**
 - b. If Annual Report of 2019-20 submitted to MHRD after 1/1/2020 but before 31/3/20 – Less 1%
 - c. If Annual Report of 2019-20 not submitted to MHRD by 31/3/20 – Less 3%
- ii) Submission of data for AISHE
 - a. **If submitted in 2020-21 within the last date fixed for the same – Less 0% ✓**
 - b. If submitted in 2020-21 but after last date fixed for the same but before 31.3.20 – Less 1%
 - c. If not submitted in 2020-21 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 mean 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 – less 0% ✓**
 - 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%
- v) Signing of MoU
 - a. **When MoU for 2021-22 signed before 31/3/20 – less 0%**
 - b. When MoU for 2021-22 finalized by MHRD and Institution jointly but not signed by 31/3/20 – Less 0.5%
 - c. When MoU for 2021-22 neither finalized by MHRD and Institution jointly nor signed – Less 2%
- vi) Vigilance cases
 - a. **Where Disciplinary cases ordered by CVC – less 1% per case – No Vigilance Cases ✓**
 - b. Where criminal prosecution or CBI enquiry ordered by CVC – Less 2% per case
 For this purpose, each case would mean each separate incident on which an enquiry has been done by CVC

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
70	90	Very Good
50	70	Good
33	50	Fair
Less than or equal to 33%		Poor

INDIAN INSTITUTE OF TECHNOLOGY MADRAS**Financial Commitment of MoE and Other Sources of Revenue**

1. The MHRD would allocate the following funds to be released through Consolidated Fund of India in the year 2021-22:

Head	FY 2021-22	
	Budget Estimate	Budget sanctioned by MoE
Revenue	910.00	574.42
Capital	75.00	35.00
Total	985.00	609.42

2. The Institution would apply for grant of funds under HEFA as follows:

HEFA Loan application: Rs..50 crores

3. The Institution will raise funds from other sources as follows:

- i. User charges in form of fees : Rs 70.04 cr
- ii. User Charges other than fees : Rs.17.96 cr
- iii. Alumni donation : Rs.40 cr
- iv. Extra mural funding from other Departments/ Ministries of Government of India : Rs.150 cr
- v. Extra Mural funding from other sources: Rs.60 cr
- vi. Other resources not covered above : IoE Grant - Rs.241.50 crore

(Recurring –Rs.57.00 crore & Capital- Rs.196.50 crore)