SVKM'S Narsee Monjee Institute of Management Studies (NMIMS)

(Declared as Deemed to be University under Section 3 of the UGC Act, 1956)

FACULTY HANDBOOK-2021

Preamble

University has a goal to continuously guide and develop faculty to deliver outstanding performance on a consistent basis. Faculty Assessment process is a critical tool to ensure highest standards of faculty performance as that has a direct bearing on student performance. Hence to support the faculty members regards to their Career Development, providing continuous training & learning avenues, Assurance of Learning, building research culture, etc. University Faculty Handbook gives insight to the faculty members with regards to the Academic structure and various policies of the University across Schools. It will help imbibe the NMIMS culture and understand university expectations.

SVKM'S
NMIMS
Deemed to be UNIVERSITY

Vision

To be a globally admired University.

Mission

Emerge as a Centre of excellence, best in class in India and Asia and yearning to be the best in the world by 2030. This will be achieved by:

a. Promoting faculty scholarship at the global level

b. Benchmarking academic programs and processes, best in India, Asia and the world

c. Creating a global learning experience through a mix of student and faculty community from the world market

d. Developing institutional level partnership with one of the top 100 global universities recognized for its academic and research excellence

e. Strengthening the bond with industry and community or social organizations at a global level

f. Pursuing the agenda of innovation across all Schools and Faculty

Values

Excellence | Respect | Inclusion | Transparency | Integrity
Non-discrimination | Social Sensitivity

NMIMS Anthem

We do what's right and not what's easy

We give our best shot each and every time

We set the standard

We are the future

We are a part of this institute so fine

NMIMS NMIMS

NMIMS NMIMS

Respect the past

Create the future

Transcend horizons however far

We have what it takes

We make a great team

At NMIMS each one is a star

NMIMS NMIMS

NMIMS NMIMS

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SVKM'S Narsee Monjee Institute of Management Studies (NMIMS)
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1. Faculty Positions

Faculty positions together with their qualifications and experience will be in line with the following norms prescribed by the statutory bodies.

Positions/Designations of faculty members:

a) Senior Professor
b) Professor
c) Associate Professor
d) Assistant Professor
e) Adjunct Faculty
f) Librarian

The qualifications and experience required for these positions are provided in point 7 which covers Direct Recruitment.

Adjunct Faculty : Procedure, terms and conditions of appointment along with the duties and responsibilities are given in **Annexure – I**.

2. Faculty engagement - Norms

At the end of each academic year, each faculty member is required to submit to the Dean the work plan for the subsequent academic year. This should include plan for teaching, research & publications and students' development activities. This plan will have to be finalized by the faculty with the Dean along with the Head of the Department/Chairperson. At the end of each semester/ trimester, Dean will review with the faculty the progress on the Annual Work/Goal Plan. At the end of the academic year, achievement on the Goal Plan will become a part of his / her self-appraisal. This will be considered in the annual performance appraisal of the faculty.

Working Days & Timings: Every faculty member is expected to be on the campus for minimum 40 hours with presence of at least five hours per day. University follows "6 days working a week" pattern. It is expected that faculty will record his/her attendance in the manner prescribed by the University from time to time. Faculty members will be entitled for 8 weeks vacation, which will be declared by the university from time to time.

Obligations of Faculty Members: If required for exigencies of work, faculty members are required to attend office even if it is a Sunday / any holiday. Such work will amount to change of weekly off except when faculty has worked during vacation with prior approval, as per rules. In such case, faculty member will be entitled to compensatory offs in the ratio 1:3 days worked, which they can avail during the Academic Year as per University rules.

A faculty member is expected to participate in administrative, co-curricular, extra-curricular activities and such other activities assigned to them by the Dean / Director/ Pro-Vice Chancellor / Vice Chancellor as part of their duty.

3. Teaching Norms: No. of Teaching Hours per Week*

Designation	SBM	PDSE & FBM	Technology Management	Other Schools
Professor	8	8	10	14*
Associate Professor	8	10	10	14*
Assistant Professor	8	12	12	16*

* Remission of two hours to faculty members of other schools who have one or more Ph.D. students registered under him/her either under University or any other outside University. The maximum remission in the teaching load for the faculty in no case will be more than 2 hours per week.

Associate Dean/Director of the Programme/Centre/Course will be entitled to 3 hours per week AND HOD/Chairperson of the Programme/Course/Department/Specialization will be entitled to 2 hours per week remission in teaching workload provided there is no monetization for the additional responsibility handled.

If additional allowances are paid to the Faculty member for holding any of the administrative post like HOD, Chairperson, Director, Associate Dean and Faculty In-charge then faculty member has to take full teaching workload as mentioned as per their designation and will not be entitled for any remission.

At any given point of time faculty member will be entitled for single remission.

As mentioned earlier, Faculty members are required to be present for minimum 5 hours per day and atleast for 40 hours per week. The 40 hours per week comprises ***Teaching Workload*** as mentioned above and balance will be for Research, Preparation of Lectures/Practicals, Guiding projects, Admissions, Conduct of examinations, Paper setting/evaluation, involvement in Assurance of Learning, OBE process, Mentoring the students & guiding projects etc. Each semester/trimester will have 15 weeks/10 weeks of delivery during the academic session, based on which the teaching workload is allocated to the faculty members. The actual workload of the faculty members is measured against the expected workload mentioned here in above to arrive at the excess/deficit workload of the faculty members at the end of the academic year.
Any additional teaching work beyond the above norms will have financial impact which will be assessed and verified as per the norms laid down by the University from time to time.

Faculty members are required to fulfill their workload as per the stipulated University norms and will not be entitled for payment for the workload taken from any other school/institution under NMIMS/SVKM till the workload norms in the parent institution are fulfilled or till the deficit for the year/in the previous year is made good.

Exceptions to carry forward of deficit workload will be considered in the case of –
Faculty joining in the middle of the term
Faculty on Leave due to Maternity or Medical emergency or Medical Leave
Faculty on Extra Ordinary Leave
Change in workload due to upgradation/change in designation

Faculty can accept additional teaching in other NMIMS schools on completion of their workload in parent institution/school. They have to submit an NOC from the Dean / Director of parent institution / school for the same which will be available with the Academic Department.

4. Categorization of Schools

The Schools falling under each category/sub category need to follow respective norms for recruitment, confirmation of services, CAS, etc.

Category	Schools
Category A	School of Business Management
Category B	A) School of Engineering/Technology Management/MCA/ Hotel Management & Catering Technology/Design/Fine Arts
	B) Pharmacy
	C) Architecture /Town Planning
Category C	A) School of Arts, Commerce, Humanities, Education, Social Sciences, Sciences, Languages, Library Science, Physical Education, and Journalism & Mass Communication, Music, Performing Arts, Visual Arts and Other Traditional Indian Art Forms like Sculpture, etc.
	B) School of Law

5. Terms of Appointment

Faculty members fulfilling minimum eligibility criteria as per norms like education qualifications, work experience, research & publications, etc. will be placed in appropriate pay scale with initial 2 years of Probation, which can be extended for a period of one more year after reviewing overall performance, research evaluation, students' feedback, contribution to the University, Administrative capabilities, etc. of the individual. Once the overall performance of the faculty member meets the expectations laid down by the University (articulated in the later part of this document) confirmation in the service will be accorded, after conducting final interview by the external experts to be appointed by the University.

6. Mandatory Doctoral Degree

Doctoral Degree as per UGC norms is mandatory & minimum eligibility Criteria effective from July 01, 2022 for Category of Schools defined under A and C in clause 4 above. For Category B Doctoral Degree is preferred by the University.

7. Direct Recruitment

For the post of Assistant Professor-

Criteria	Minimum Eligibility	Applicable Academic Level
Minimum Qualifications	**<u>Category A & C -</u>** Ph.D. mandatory with minimum 55% in master's degree in relevant field/specialization.	- If the incumbent meets the minimum eligibility criteria at the time of recruitment, then he/she will be appointed on regular scale in the Academic Levels as per the pay matrix (i.e. AL -10, AL 11 & AL -12)
	<u>Category B-</u> Master's Degree First Class in relevant field/specialization. Ph.D. preferred.	
Research Requirement	Atleast 2 SCI Publications in refereed journals.	
Experience	Entry Level 2 years experience is desirable but not mandatory.	

For the post of Associate Professor *Category A, B & C* **-**

Criteria	Minimum Eligibility	Applicable Academic Level
Minimum Qualifications	Ph.D. Mandatory in relevant field	- If the incumbent meets the minimum eligibility criteria at the time of recruitment, then he/she will be appointed on regular scale in the Academic Levels as per the pay matrix (i.e. AL – 13A)
Research Requirement	At least 7 SCI Publications in refereed journals. **AND** Minimum Research Score of 75	
Experience	Minimum of 8 years of full time experience in teaching / research / industry* out of which at least 3 years shall be Post Ph.D. experience. *Experience in industry should be at Senior Managerial level in a large Organization/MNC/Conglomerate.	

For the post of Professor Category A, B & C **-**

Criteria	Minimum Eligibility	Applicable Academic Level
Minimum Qualifications	Ph.D. Mandatory in relevant field	- If the incumbent meets the minimum eligibility criteria at the time of recruitment, then he/she will be appointed on regular scale in the Academic Levels as per the pay matrix (i.e. AL – 14)
Research Requirement	Atleast 10 SCI Publications in refereed journals **AND** Minimum Research Score of 120 **AND** Guided Ph.D. Students: Atleast 2 successful students	
Experience	Minimum of 10-15 years of experience in teaching / research / industry out of which at least 3 years shall be equivalent to Associate Professor. *Experience in industry should be at Senior Managerial level in a large Organization/MNC/Conglomerate.	

8. Confirmation of services

Particulars	Requirements for Confirmation of services
Period of Probation	Probation period will be for a period of 2 years, extendable upto one more year based on performance.
Performance Parameters & Research Requirement	**During the period of Probation:** **At Assistant Professor Level:** -At least 2 Publications in UGC/AICTE refereed listed journal/ABDC journals/Scopus indexed/SCI journals/web of sciences. **At Associate Professor Level**: -At least 2 Publications in UGC/AICTE refereed listed journal/ABDC journals/Scopus indexed/SCI journals/web of sciences/IEEE. --Category : Atleast 2 publications in B Category in ABDC **At Professor Level**: -At least 2 Publications in UGC/AICTE refereed listed journal/ABDC journals/Scopus indexed/SCI journals/web of sciences/IEEE. -Category : Atleast 2 publications in B Category in ABDC
Mandatory Trainings	**At Assistant Professor Level**: Every faculty member appointed on Probation will have to mandatorily undergo 8 online modules of MOOCs training during their period of probation for Confirmation in service.

In addition, an interview may be conducted by a committee appointed by the Management.

9. Faculty Development

NMIMS encourages Faculty Development for research, pedagogy & domain knowledge by way of presenting papers, undergoing training programmes, consultancy, getting exposure to international universities, B-schools, engaging in training enhance skills to embed new pedagogical tools, etc.

Specific rules for entitlement of these facilities are enumerated below:

Research: NMIMS encourages faculty possessing Doctoral degree to have students registered under/with them for Ph.D. programs. Remission in teaching work is provided as per point 3 mentioned above. Those faculty members who are not Ph.D. Degree holders are encouraged to register for Ph.D. in their respective fields of expertise for which Scholarships will be available, if they are registered with NMIMS.

Faculty is also encouraged to undertake research through project work on behalf of industry, development of case studies, field work based action research etc. For undertaking such activities, the University may provide seed funding for appointing Research Associates and other research related expenses for supporting the faculty members concerned who are undertaking various research activities. Faculty members are urged to seek government funding for their projects based on the proof of concept/pilot studies for which seed funding is provided. HODs concerned / Area Chair will make request to the Dean with full justification for providing such assistance in the form of Research Associates/JRF/SRF & seed funding. The Dean will send this proposal to the Vice Chancellor with his/her recommendation for consideration & approval.

NMIMS encourages faculty to participate in presenting papers in international and national conferences, seminars etc. organized by recognized institutions, professional bodies and sponsored by recognized Universities or recognized bodies. A faculty member can participate in national level conferences / seminars with prior recommendation of HOD / Area Chair and approval of the Dean. For participation in international conferences & seminars, faculty member is encouraged by providing financial assistance as per the provisions in the Foreign Travel Policy Documents **(Annexure II).**

Publications: It is expected that faculty will be engaged in publishing the results of their research activities in refereed journals which are indexed in Scopus or web of sciences or ABDC, both national & international. The impact factor given only by Thomson Reuters will be considered for the said publications. It is expected that faculty will publish at least one/two paper(s) in above refereed journals with indexed classification mentioned above. They are also expected to publish books and contribute chapters in books to be published by reputed publishing houses. In all such publications, name of NMIMS should be mentioned along with the name of the author to clearly show the affiliation.

Trainings: NMIMS is deeply committed to continuous capability building of its Faculty, so that they are not just in sync with times, but always a step ahead.
In this direction, NMIMS has institutionalized a multi-pronged Learning and Development (L&D) strategy. While individual schools are encouraged to attend or organize Faculty Development Programs which are relevant and needed for the respective courses they teach, a central training team carries out an ongoing Training Need Assessment (TNA) to

identify areas of training that may be required for an identified certain group of employees, departments, schools or could be relevant for employees of all the schools.
Accordingly, monthly open training calendar is published for employees to enroll for the training they find relevant. Alternatively, HoDs, Deans, Directors may advise Faculty to enroll for the trainings they may deem appropriate. These trainings cover various themes for professional development, soft-skills development, and IT skills development.
In addition, NMIMS keeps enriching the self-paced learning catalogue on an on-going basis to enable employees take these trainings at their convenient times and pace.

10. Research Promotion Policy

To encourage research which is relevant & has societal impact. In this regard the following policy has been finalized:

1. ***Research Grant*:** Each Faculty will be eligible to apply for a research grant of up to Rs. 2 (Two) lakhs for any of the following purposes:

    a. Taking up a Research Project in his/her discipline. This money could be used as seed money which will encourage faculty to undertake the research on a pilot basis and then develop major project to be funded by a national or international level body.
    b. Case Research
    c. Secretarial and Research assistance for the purpose of preparing a research-based document which includes a monograph or book published either in a digital mode or otherwise.
    d. Payment of the Registration Fee in a Double Blind Review Research Conference held in India or outside.

2. ***Research Incentive: Further***, to incentivize research output the following norms are in place:

Sr. No.	Publication and their Impact Factor	Amount*
1.	Journals with Scopus impact factor of 7 and above or **A***(ABDC)	Rs. 2,00,000/-
2.	Journals with Scopus impact factor of 5 to 7 or **A**, (in ABDC)	Rs. 1,00,000/-
3.	Journal with Scopus impact factor 3-5 or **B** Category (ABDC)	Rs. 50,000/-
4.	Journals with Scopus impact factor of 1 to 3 or **C** Category	Rs. 25,000/-
5.	Scopus indexed Journal	Rs. 10,000/-

In case of joint publication, incentive will be awarded on a pro-rata basis. Schools to assess the publications and put it up for approval.

3. To file a Patent and actively pursue it, following assistance will be offered:
    a) University to assist in filing the Patent Application.
    b) On grant of National Patent incentive payable will be Rs. 50,000/-
    c) On commercialisation of the Patent, the royalty to be shared by the faculty with the institution in the ratio of 80:20.

d) On grant of International Patent incentive payable will be Rs.1,00,000/-
e) On commercialisation of the Patent, the royalty to be shared by the faculty with the institution in the ratio of 80:20

The research proposal will be put forth for approval by Dean/Director of the School/Campus with recommendations to Vice Chancellor. (**Kindly refer to Annexure V & VI for application)**

11. Career Advancement

In-house faculty members are encouraged/advised to apply for the higher posts whenever advertised if they are eligible as per direct recruitment norms. Selection will be done as per the procedure laid down by the University. However, other things being equal, qualified faculty members with good/excellent track record of research & publications and teaching feedback are given due weightage during selection. Outstanding performance of a faculty member will be suitably recognized by pecuniary or non-pecuniary incentives. Faculty need to apply for the Career Advancement Scheme laid down from time to time, if he/she fulfills the minimum eligibility criteria for advancement.

Procedure to apply for CAS: The CAS application is designed and is available on HRMS system live as ANYTIME document, which can be filled in by the faculty as and when they qualify as per the University laid down criteria as mentioned below. The CAS applications will be verified and confirmed by the Heads of the school along with their comments and only eligible cases will be put up before HR review committee for consideration.

12. Career Advancement Scheme

Faculty Level	**Stages**	**Minimum Eligibility Criteria**
Assistant Professor	**AL - 10 to AL 11**	i) An Assistant Professor who has completed four years of service with a Ph.D. degree. **OR** An Assistant Professor who has completed five years of service with a M.Phil. / PG Degree in Professional Courses, such as LLM, M.Tech, M.V.Sc. and M.D., **OR** An Assistant Professor who has completed six years of service in case of those without a Ph.D./M.Phil./ PG Degree in a Professional course **AND** satisfies the following conditions: **<u>Trainings/FDP:</u>** i) Attended one Orientation course/s of 21 days duration on teaching methodology; ii) Any one of the following: Completed Refresher/ Research Methodology Course/ Workshop/ Syllabus Up-gradation Workshop/ Training Teaching-Learning-Evaluation, Technology Programs/ Faculty Development Programmes of at least one week (5 days) duration, or taken one MOOCs course (with e-certification) or development of e-contents in four-quadrants / MOOC's course during the assessment period; iii) Two weeks of Faculty Development Programme (FDP) in the relevant area out of which at least one of the FDP shall be in advanced

		pedagogy recognised by AICTE / UGC / TEQIP / NITTTR /PMMMNMTT / IISc / IIT / University / Government / DTE / Board of Technical Education / CoA /IIA / SPA / ITPI / NRCs / ARPIT research organization / other institute of National Importance /Design Studio. **OR** One week faculty development programme as above and one eight weeks duration MOOCS course with E-Certification by NPTEL-AICTE **OR** Completed two such eight weeks duration MOOCS courses with E-Certification by NPTEL-AICTE AND Completed minimum two weeks of relevant Industrial Training / Professional Training. **Research& Publications** i) Published one research publication in the peer-reviewed journals or UGC-listed journals during assessment period **OR** ii) 2 Research publications in ABDC Journal/Web of Science/SCI journals/UGC/AICTE approved list. **Workload :** 100% Completed **Students Feedback:** Above 4 on a 7 point scale **Average Overall Score** of 80% in a 360° CAS form **Research Score** : Minimum research score of 40 in Annexure III of CAS form
Assistant Professor	**AL-11 to AL-12**	i) Assistant Professors who has completed five years of service in Academic Level 11/Senior Scale. ii) A Ph.D. Degree in the subject relevant/allied/relevant discipline. iii) Has done any two of the following in the last five years of Academic Level 11/Senior Scale: Completed one course / programme from amongst the categories of Refresher Courses/Research Methodology/Workshops/ Syllabus Up-gradation Workshop/ Teaching-Learning-Evaluation/ Technology Programmes. **OR** Faculty Development Programme of at least two weeks (ten days) duration (or completed two courses of at least one week (five days) duration in lieu of every single course/programme of at least two weeks (ten days) duration), Two weeks of Faculty Development Programme (FDP) in the relevant area recognised by AICTE / UGC / TEQIP / NITTTR / PMMMNMTT / IISc / IIT / University / Government / DTE / Board of Technical Education / CoA / IIA / SPA / ITPI / NRCs / ARPIT / research organization / other institute of National Importance / Design Studio. **OR** Completed one MOOCs course in the relevant subject (with e-certification); OR One week faculty development programme as above and one eight weeks duration MOOCS course with E-Certification by NPTEL-AICTE **OR** Contribution towards the development of e-content in 4-quadrant (at least one quadrant) minimum of 10 modules of a course/contribution

		towards the development of at least 10 modules of MOOCs course/ contribution towards conduct of a MOOCs course during the period of assessment. OR Completed two such eight weeks duration MOOCS courses with E-Certification by NPTEL-AICTE AND Completed minimum two weeks of relevant Industrial Training / Professional Training **Research & Publications with minimum research score of 90 in Annexure III of CAS form** Published three research papers in the peer-reviewed journals or UGC/AICTE-listed journals /SCI journals/ABDC journals/ Web of Science during assessment period. **Workload** : 100% Completed **Students Feedback**: Above 4 on a 7 point scale **Average Overall Score** of 80% in a 360° CAS form **Research Score :** Minimum research score of 100 in Annexure III of CAS form
Associate Professor	**AL-12 to AL 13A**	i) Assistant Professor who has completed three years of service in Academic Level 12/ Selection grade. ii) A Ph.D Degree in the subject concerned/allied/relevant discipline. iii) Any one of the following during last three years: Completed one course / programme from amongst the categories of Refresher Courses/ Research Methodology Workshops/Syllabus Up-gradation Workshop/ Teaching-Learning-Evaluation Technology Programme. **OR** Faculty Development Programme of at least two weeks (ten days) duration (or completed two courses of at least one week (five days) duration in lieu of every single course/programme of at least two weeks (ten days) duration); Two weeks of Faculty Development Programme (FDP) in the relevant area recognised by AICTE /UGC / TEQIP / NITTTR / PMMMNMTT / IISc / IIT / University / Government / DTE / Board of Technical Education / CoA / IIA / SPA / ITPI / NRCs / ARPIT / research organization / other institute of National Importance / Design Studio. **OR** Completed one MOOCs course (with E-certification);One week faculty development programme as above and one eight weeks duration MOOCS course with E-Certification by NPTEL-AICTE **OR** Contribution towards the development of e-content in 4-quadrant (at least one quadrant) minimum of 10 modules of a course/contribution towards development of at least 10 modules of MOOCs course/ contribution towards conduct of a MOOCs course during the period of assessment. Completed two such eight weeks duration MOOCS courses with E-Certification by NPTEL-AICTE AND Completed minimum two weeks of relevant Industrial Training / Professional Training. **Research& Publications** i) A minimum of seven publications in the peer-reviewed or UGC-listed journals or /SCI journals/ABDC journals/ Web of Science out of which three research papers should have been published during the

		assessment period. ii) Evidence of having guided at least one Ph.D. candidate. **Workload :** 100% Completed **Students Feedback:** Above 5.5 on a 7 point scale **Average Overall Score** of 80% in a 360° CAS form **Research Score :** Minimum research score of 90 in Annexure III of CAS form
Professor	**AL-13A to AL-14**	i) An Associate Professor who has completed three years of service in Academic Level 13 A. ii) A Ph.D degree in the subject concerned/allied/relevant discipline. **Research & Publications** i) A minimum of ten research publications in the peer- reviewed or UGC-listed journals or SCI journals /ABDC journals/ Web of Science out of which three research papers should have been published during the assessment period. ii) Evidence of having successfully guided atleast 2 doctoral candidate. **Workload** : 100% Completed **Students Feedback**: Above 6 on a 7 point scale **Average Overall Score** of 80% in a 360° CAS form **Research Score :** Minimum research score of 120 in Annexure III of CAS form
Senior Professor	**AL-14 to AL - 15**	A Professor can be promoted to the post of Senior Professor under the CAS. The promotion shall be based on academic achievement, favorable review from three eminent subject -experts who are not of the rank lower than the rank of a Senior Professor or a Professor having at least ten years' of experience. The selection shall be based on 10 best publications during the last 10 years and interaction with a Selection Committee constituted in accordance with these Regulations. Eligibility: i) Ten years' experience as a Professor. ii) A minimum of ten publications in the peer-reviewed or UGC-listed journals /SCI journals/ABDC journals/ Web of Science and Ph.D. degree has been successfully awarded to two candidates under his/her supervision during the assessment period.

Note: For calculation of basic Research Score kindly refer to Annexure IV.

13. Grievance Redressal Mechanism

The grievances regarding HR linked individual issues can be taken up with the Pro-Vice Chancellor who will try to address the matter after giving hearing to the applicant. All grievances related to other matters should be first taken up with the Dean who will address the issue by giving hearing to the applicant. If the applicant is not satisfied with the decision in the matter given by the Dean, the faculty member may approach the Pro Vice Chancellor / Vice Chancellor for redressal of grievance. The decision of the Vice Chancellor will be final and binding.

14. Consultancy & MDP

The University has formulated detailed rules for facilitating consultancy work to be undertaken by faculty members. The Rules regarding Consulting Work at NMIMS University are given in **Annexure-III.**

15. Performance Evaluation

Performance evaluation of each faculty member will be done at the end of every academic year based on the following activities:

I. Teaching Performance – students' feedback (Independently obtained)

II. (a) Research work include guiding Ph.D. research scholars
(b) Publication of papers in important national and international journals which are indexed in Scopus, web of sciences, ABDC, etc., books, monographs, book chapter/s;
(c) Presentation of papers in conferences, both national & international

III. (a) Engagement in consultancy assignments
(b) Participation in students' development activities

IV. (a) Participation in administrative work like programme management, admission including GD/PI etc.
(b) Participation in placement of students.

For the purposes of evaluation, different weightages will be assigned to the above mentioned four groups of activities as follows:

Group	Parameters	Faculty-UG	Faculty-PG
I.	Teaching	50	40
II.	Research & Publications	30	40
III.	Consultancy and Participation in Students' Development Activities	10	10
IV.	Administrative Work & Placement	10	10
	Total	**100**	**100**

At the end of every academic year, faculty members are expected to submit self appraisal report specifying the work done by them as regards parameters at Groups II, III & IV with supporting papers. The format for self-appraisal will be as prescribed in Byelaws or as may be notified from time to time.

On the basis of the documents submitted by the faculty member, and the students' feedback received by the Dean as regards parameter at Group I above, a Committee comprising

1) Pro-Vice Chancellor
2) Dean concerned
3) Two persons nominated by the Chancellor

will evaluate the performance of each faculty member at the end of every academic year.

The recommendations of this Committee will be placed before the Management for approval through the Vice Chancellor. This may also form the bases for incentive, if any, to be given to the faculty member. The Dean will give feedback of the evaluation to each faculty member in an appropriate manner before the beginning of the next academic year.

16. Code of Professional Ethics

I. Faculty members and their Responsibilities:

Whoever adopts teaching as a profession assumes the obligation to conduct himself / herself in accordance with the ideal of the profession. A faculty member is constantly under the scrutiny of his students and the society at large. Therefore, every faculty member should see that there is no incompatibility between his precepts and practice. The national ideals of education which have already been set forth and which he/she should seek to inculcate among students must be his/her own ideals. The profession further requires that the faculty member should be calm, patient and communicative by temperament and amiable in disposition.

Faculty member should:

(i) Adhere to a responsible manner of conduct and demeanour expected of them by the community;
(ii) Manage their private affairs in a manner consistent with the dignity of the profession;
(iii) Seek to make professional growth continuous through study and research;
(iv) Express free and frank opinion by participation at professional meetings, seminars, conferences etc., towards the contribution of knowledge;
(v) Maintain active membership of professional organisations and strive to improve education and profession through them;
(vi) Perform their duties in the form of teaching, tutorials, practicals, seminars and research work, conscientiously and with dedication;
(vii) Discourage and not indulge in plagiarism and other non-ethical behaviour in teaching and research;
(viii) Abide by the Act, Statute and Ordinance, Rules & Regulations of the University and to respect its ideals, vision, mission, cultural practices and tradition;
(ix) Co-operate and assist in carrying out the functions relating to the educational responsibilities of the schools and the university, such as: assisting in appraising applications for admission, advising and counselling students as well as assisting the conduct of university and college examinations, including supervision, invigilation and evaluation; and
(x) Participate in extension, co-curricular and extra-curricular activities, including the community service.

II. Faculty members and Students

Faculty members should:
(i) Respect the rights and dignity of the student in expressing his/her opinion;
(ii) Deal justly and impartially with students regardless of their religion, caste, gender, political, economic, social and physical characteristics;
(iii) Recognise the difference in aptitude and capabilities among students and strive to meet their individual needs;
(iv) Encourage students to improve their attainment, develop their personalities and at the same time contribute to community welfare;
(v) Inculcate among students' scientific temper, spirit of inquiry and ideals of democracy, patriotism, social justice, environmental protection and peace;
(vi) Treat the students with dignity and not behave in a vindictive manner towards any of them for any reason;
(vii) Pay attention to only the attainment of the student in the assessment of merit;
(viii) Make themselves available to the students even beyond their class hours and help and guide students without any remuneration or reward;
(ix) Aid students to develop an understanding of our national heritage and national goals;
(x) Refrain from inciting students against other students, colleagues or administration.

III. Faculty members and Colleagues

Faculty members should:
(i) Treat other members of the profession in the same manner as they themselves wish to be treated;
(ii) Speak respectfully of other faculty members and render assistance for professional betterment;
(iii) Refrain from making unsubstantiated allegations against colleagues to higher authorities; and
(iv) Refrain from allowing considerations of caste, creed, religion, race or sex in their professional endeavour.

IV. Faculty members and Authorities:

Faculty members should:
(i) Discharge their professional responsibilities according to the existing rules and adhere to procedures and methods consistent with their profession in initiating steps through their own institutional bodies and / or professional organisations for change of any such rule detrimental to the professional interest;
(ii) Refrain from undertaking any other employment and commitment, including private tuitions and coaching classes which are likely to interfere with their professional responsibilities;
(iii) Co-operate in the formulation of policies of the institution/University by accepting various offices and discharge responsibilities which such offices may demand;
(iv) Co-operate through their Schools in the formulation of policies of the other Schools and accept offices;
(v) Co-operate with the authorities for the betterment of the University/Schools keeping in view the interest and in conformity with the dignity of the profession;
(vi) Adhere to the terms of contract/appointment;
(vii) Give and expect due notice before a change of position takes place; and

(viii) Refrain from availing themselves of leave except on unavoidable grounds and as far as practicable with prior intimation, keeping in view their particular responsibility for completion of academic schedule.
(ix) Faculty member's behaviour should not bring the University into disrepute.

V. Faculty members and Non-Teaching Staff :

Faculty members should:
(i) Treat the non-teaching staff as colleagues and equal partners in a cooperative undertaking, across departments;
(ii) Help in the functioning of joint-staff councils covering both the faculty members and the non-teaching staff.

VI. Faculty members and Guardians

Faculty members should:
(i) Try to see through faculty members' bodies and organisations, that University maintain contact with the guardians, their students, send reports of their performance to the guardians whenever necessary and meet the guardians in meetings convened for the purpose for mutual exchange of ideas and for the benefit of the institution.

VII. Faculty members and Society

Faculty members should:
(i) Recognise that education is a public service and strive to keep the public informed of the educational programmes which are being provided;
(ii) Work to improve education in the community and strengthen the community's moral and intellectual life;
(iii) Be aware of social problems and take part in such activities as would be conducive to the progress of society and hence the country as a whole;
(iv) Perform the duties of citizenship, participate in community activities and shoulder responsibilities of public offices;
(v) Refrain from taking part in or subscribing to or assisting in any way activities, which tend to promote feeling of hatred or enmity among different communities, religions or linguistic groups but actively work for national integration.

Kindly refer to NMIMS Rules & Regulations for-

Leave Rules, Women's Grievance Redressal, LTA/LTC, Travelling & Halting Allowances, Discipline & Appeals, Staff Grievance Redressal & Other Regulations.

ANNEXURE - I

Duties of Adjunct faculty

The faculty of School comprises of regular full-time and part-time adjunct faculty positions. In addition to this, school engages visiting faculty who will deliver full course/s or part of a course in several programmes. NMIMS also invites guest faculty from time to time to handle some sessions in programmes to enhance relevance and expose students to industry best practices. The compensation package, rights, privileges, duties and responsibilities of adjunct and visiting faculty have evolved over the years and considerable variation in terms of experience and exposure across these positions is seen.

This note describes the policy and procedures for appointment of Adjunct Faculty.

Sr. No.	Particulars	For Senior Adjunct Faculty	Adjunct Faculty
1	**Qualifications**	Master's Degree in the relevant area of specialization from prestigious institutions like IIT, IIM, NIPER, NIT, BITS, NITIE, XLRI, etc. or Top 20 well known Universities of national & international repute OR Qualification acquired from reputed bodies/Professional Bodies of ICAI, ICSI, ICWAI, etc. Ph.D. from a reputed Institution or University is desirable.	Qualification and experience at par with full time regular faculty
2	**Experience**	More than 25 years	Less than or equal to 25 years
3	**Age Limit**	70 yrs.	70 yrs.
4	**Monthly Presence @ NMIMS**	75 hours	90 hours
5	**Holidays**	Not Applicable	Not Applicable
6	**Vacation**	No Summer Vacation and hence will not be entitled for honorarium/pay. Any shortage in hours on account of Diwali & Christmas break to be adjusted either before or after during the same month.	
7	**Teaching Workload**	**Hours for the Academic year**	
	SBM-Mumbai	*160*	
	SBM at other campuses & PDSCE&FB	*200*	
	MBA, Tech & MPSTME	*215*	
	All other schools/center/campus/programs	*300*	

Notes:
Additional teaching workload over and above mentioned in the adjacent cell, will be verified at the end of Academic year and financial impact will be considered as per the University norms from time to time.

Roles & Responsibilities of Adjunct Faculty

1. Adjunct Faculty would be a professional providing intellectual ambience to the School based on his/her industry experience.
2. The duration of this type of appointment would be clearly specified and would be for a period not exceeding one year/11 months and is renewable on merit. The terms of appointment would state the specific term with ending date. In absence of a reappointment prior to the expiry of the specified term, the appointment ipso facto terminates on the specified ending date.
3. Teaching will be confined to their field of specialization and Area chair will be required to approve their plans. Teaching plan needs to have course outline based on which teaching plan will be approved. They will follow all academic processes at the school.
4. Adjunct Faculty would be required to spend at least 75 hrs/90hrs (Sr. Adjunct faculty/Adjunct faculty) in a month at the School and will have a minimum teaching load. The minimum required teaching load would be worked out based on the amount of time the faculty proposes to spend (indicated by number of days in a week) at the School. Courses with low enrollments will not be offered and in these situations Adjunct Faculty need to adjust her/his teaching load in other schools.
5. Teaching of a course by an Adjunct Faculty would require her/him to assume full responsibility for all activities connected with the course, including the design of course detailed outline, approval of course outline by the Area chair, offering of course and meeting the standards of the offering at the School, addressing feedback from students/Area chair/Dean from time to time, and grading/feedback to students.
6. Adjunct Faculty, subject to the approval of the Dean, may co-supervise along with a member of the regular faculty a Ph D student. The rules for such involvement will be clearly laid down by the Ph D Committee and the contribution of Adjunct Faculty will be monitored at regular intervals.
7. The work done by the Adjunct Faculty will be reviewed each year. Dean in consultation with the Area chair/Centre chairperson shall review the appointment each year. University shall decide renewal of contract on the basis of review by the Dean. Reappointment or extension of current appointment would follow the same procedure of regular faculty.
8. Adjunct Faculty shall have all faculty privileges with regard to access to library services, working space when in School and IT access. Adjunct Faculty will be invited to faculty meeting and will attend the School functions and convocation.
9. Adjunct Faculty will not handle any administrative activity and her/his role will be confined to handling the teaching and research workload of the School Programmes. Adjunct Faculty will contribute to the case writing effort and help the School to develop contextual material. The Area chair will arrange secretarial assistance and other support on need basis, if required.
10. It is necessary for the Adjunct Faculty to obtain prior approval of the Dean in case she/he is accepting any other teaching assignment (including MDPs) with other organization.
11. Adjunct Faculty will receive compensation as lump-sum payment depending on the services rendered as per the University norms and will not be entitled to any leave.
12. There is no equivalence between adjunct and regular titles/designations.

Evaluation/Review

Dean in consultation with the concerned Area chair/Head having adjunct faculty shall establish performance criteria. The basis for developing these criteria would be number of days spent at School, courses taught, informal and formal feedback, and any expectations indicated above. As a part of acknowledging the contribution of adjunct faculty, a review along with performance assessment report must be submitted at least three months prior to the completion of the period of Contract. Termination of appointment within the appointment period shall be by mutual consent or by request of the Dean or the faculty member.

ANNEXURE II

FOREIGN TRAVEL POLICY

Preamble

The SVKM management is pleased to issue the enclosed Foreign Travel Policy, which becomes applicable across all the institutions and the central office of SVKM with immediate effect.

The opening up of the education sector and the globalization in the various spheres of life have created reasons to consider foreign travel for purposes like exploration of international opportunities, linkages, participation in intellectual events, research and spread of education. The SVKM management, within its limitations of being an educational institution, desires to pursue such benefits, to the advantage of both the employee and the trust. Foreign travel, in that sense, is not a matter of right or perquisite, but an opportunity for intellectual enlightenment and a welfare measure. A reciprocation by the employee by being careful about the travel expenses, as if they were being incurred at his personal cost, is expected.

The enclosed policy is worded as the Foreign Travel Policy of SVKM's NMIMS University. However, references to various authorities at NMIMS are to be construed as referring to equivalent such authorities in the other institutions and the central office of SVKM.

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1 Approvals
2 Purposes
3 Entitlements
4 Eligibility for business class fare
5 Eligibility for higher allowances
6 Foreign travel reimbursement strictly for official purpose
7 Other Points
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1. **Approvals**:

1.1. Prior written approval of Foreign Travel Approval Committee (FTAC) will be essential, before making any commitment on foreign travel. FTAC will be constituted by the Chancellor, in consultation with the Vice Chancellor. Foreign Travel of the Vice Chancellor and of the Senior Advisor to the Chancellor shall be placed for prior approval before the Board of Management, and in case the next meeting of the Board of Management is not scheduled prior to undertaking the foreign travel, then before the Chancellor, followed by ratification in the next Board of Management Meeting. All foreign travel approvals by FTAC will be put up in the Office Bearers meeting for prior financial sanction to incur the expenditure.

1.2 FTAC will meet as and when required, within 7 days of receiving at least one eligible application in the office of the Vice Chancellor.

1.3 FTAC will be approving the applications that satisfy the criteria laid down in that regard, upto a cumulative value not exceeding the approved annual budget for foreign travel. If such budget is exhausted before the end of the year, the University will have to get additional budget allocation sanctioned from the relevant authorities, before FTAC can consider further applications in that year. Such additional budget allocation will be processed by the Internal Finance Committee of NMIMS, from where it will go before the Office Bearers, and then for final approval of the Board of Management of the University as well as Managing Committee of SVKM.

1.4. The criteria on which FTAC will assess each application will include:

a. The ranking/reputation of the foreign entity being visited by the employee.

b. Outcome of the peer review or review by the committee to be appointed by FTAC, of the paper proposed to be presented by the employee.

c. If there has been a double blind review of the paper by the organizer of conference and, if yes, then the comments obtained in such review.

d. The past track record of the employee in his work and in area related to the purpose of travel.

e. Whether there is an invitation to present the paper, or is it mere acceptance of the paper. Whether the participation is based on acceptance of full paper or merely of the abstract.

f. Will such presentation be in the plenary session, semi plenary session or the session for poster presentation?

g. Have the organizers offered any financial support for the presentation.

h. The sincerity of the efforts made by the applicant for seeking financial assistance from UGC/AICTE, the foreign entity, or any other possible source of funds such as like minded trusts working in the same field of activity.

i. Is the end to end duration of journey not exceeding seven days.

j. Has the employee successfully completed his probation, and is confirmed in the employment with a minimum two years' service with the University.

k. Is the frequency of his foreign travel, while in the employ of the University, within the norm of once in a financial year, for the purpose of paper presentation or training.

l. Whether the paper to be presented is a Research Paper or a Concept Paper.

2. **Purposes**:

2.1. The purposes for which foreign travel may be undertaken are:

2.1.1. To present a paper at a conference, provided the paper meets the eligibility criteria laid down at 8.1

2.1.2. To attend a training programme, sponsored at least partly by the foreign entity conducting the programme.

2.1.3. To negotiate and finalise tie-ups with foreign universities, and to execute agreements with them.

2.1.4 To teach at an overseas university, as part of faculty exchange programme.

2.1.5. To escort students of the University on educational tour.

2.1.6. Any other purpose for institutional development that may be approved by the FTAC.

3. **Entitlements**

3.1. The travelling employee of the University, where the travel period is less than one month, and the purpose of travel is other than to present paper, will be entitled to the following:

3.1.1. Airfare: Travelling employee will normally be entitled to economy air fare by shortest to and fro route between Mumbai/airport nearest to off centre campus other than Mumbai and the Foreign destination. Other things being the same, preference will be given to the cheapest airline.

3.1.2. Visa Charges: Visa charges will be reimbursable in full, unless otherwise stated in the approval of FTAC.

3.1.3. Health and Accident Insurance: Minimum Health and accident insurance for the duration of the Journey will be reimbursable, unless otherwise stated in the approval of FTAC.

3.1.4. Registration Fees: Reimbursement of actual registration fees in full or in part, as approved by FTAC, for attending a conference or a training programme, shall be made.

3.1.5. Conveyance between residence and airport: Reimbursement of to and fro conveyance between residence and airport, by autorickshaw or taxi, will be allowed at actuals.

3.1.6 Local Conveyance in the foreign country: Local conveyance in the foreign country including to and fro between the foreign airport and the hotel or place of stay will be allowed at actuals. If the practice for the transporter in that place is to issue bills, the reimbursement will have to be claimed against such bills.

3.1.7. Hotel stay: Hotel charges for stay abroad will be reimbursable at actuals, subject to limits laid down as under, for stay in a three-star hotel:

a. United States of America and Canada, not exceeding USD 150 per day.
b. Europe, not exceeding Euro 125 per day.
c. Australia, not exceeding AUD 200 per day.
d. Singapore, not exceeding SGD 200 per day.
e. China, not exceeding USD 100 per day.
f. Countries in the Far East, not exceeding USD 125 per day.
g. Countries in Middle East, not exceeding USD 100 per day.
h. Countries surrounding India, like Pakistan, Nepal, Bangladesh, Myanmar, Srilanka and Maldives not exceeding Indian Rs.5000 per day.
i. If the visit is to any other country, the entitlement and the limit for hotel stay expenses will be as laid down by the Chancellor for the specific visit.

The travelling employees are expected to stay in a hotel equivalent to no more than a 3-star hotel and within the amount stipulated at 3.1.7 a to i, as revised from time to time.

The aforesaid rates of reimbursement are subject to review by the Board of Management, from time to time.

3.1.8. The limits laid down under 3.1.7 are for bare stay (i.e. lodging) expenses, including taxes thereon. All other items, such as boarding, room service, mini bar, laundry, telephone, internet etc. shall be governed by other sections of this policy.

3.1.9. Adequate documentary proof like hotel bills, receipts etc., will be required to be submitted to claim the amount.

3.1.10. If an employee is entitled to hotel stay, but manages alternative accommodation such as the residence of the host, or of a relative or friend etc., he will be entitled to an allowance of USD 25 per day, to cover incidental expenses.

3.1.11. Food and incidental expenses:

A per day allowance will be payable for food and incidental expenses as under:

a. United States of America and Canada, USD 70 per day.
b. Europe, Euro 50 per day.
c. Australia, AUD 70 per day.
d. Singapore, SGD 70 per day.
e. China, USD 40 per day.
f. Countries in the Far East, USD 50 per day.
g. Countries in the Middle East, USD 50 per day

h. Countries surrounding India, like Pakistan, Nepal, Bangladesh, Myanmar, Srilanka and Maldives, Indian Rs.1000 per day.
i. Any other country, USD 50 per day.

3.1.12. The per day allowance at 3.1.11 will normally include all expenses, other than those specifically covered elsewhere in this policy. Expenses like tips, porterage, entertainment, etc., are also covered in the per day allowance.

3.1.13. Conversion charges from one currency to another or bank commission for encashment of travelers cheques will also be a part of the per day limit.

3.1.14. Communication expenses:

a) Communication has to be essentially through email. Where email is not possible or is costly, it shall be through other economical means like SMS, local sim card, facsimile, public landline facility etc.
b) Use of mobile phones is to be kept to bare minimum, and only for official purposes. Reimbursement of the same will be decided on case to case basis, against itemized bill and provision of details about the persons called, and duration and purpose of each call.
c) There shall be no reimbursement of mobile or other telephone bills for personal calls during overseas travel.
d) The travelling employee will make adequate administrative arrangements at his normal place of work (i.e. Mumbai or the off Centre Campus where he works), such that no mobile or telephone calls are required to be exchanged between him and base office, except in emergency. The staff normally reporting to him will mandatorily report to his local substitute during his absence due to foreign travel.

3.2 When the travel is for presenting a paper, the employee will only be entitled to 50% of the airfare by cheapest airline on shortest route, and full registration fee, as reduced by sponsorship obtained from the organizers or any other entity and as reduced by travel grant obtained from UGC/AICTE.

3.3 If an employee of the University is traveling for one month or more, his entitlement under various heads of expenses, will be as laid down by the FTAC, depending upon the nature of the visit, the opportunity to earn during travel, facilities, amenities and allowances offered by the host etc.

4. The following officials will be entitled to business class fare, in place of economy fares:
   - Chancellor
   - Joint President of SVKM

5. The entitlement for hotel stay and other expenses will be at actuals, for the following officials.
   - Chancellor
   - Joint President of SVKM

6. The foreign travel is to be undertaken for official purpose by the concerned employee, approved in that regard under the policy. Any deviation from the approved terms and conditions, including in the duration of the visit will be considered as being personal purpose and while on leave. Prior approval for such leave will have to be obtained by the employee in the usual manner as laid down in the leave policy.

7. **Other Points**

7.1. Reporting and Sharing:

7.1.1. Foreign travel is a valuable experience, worthy of sharing, and more so in an educational institution. While some of the sharing and reporting is mandatory under the policy, the rest is recommended and encouraged.

7.1.2. The travelling employee will submit a Travel Report, alongwith his foreign travel expenses statement. The Travel Report will cover the purpose of his travel and other relevant factors related to the purpose of travel. For example, if the foreign travel was for paper presentation, then details about the conference, with particular focus on the session in which his paper was presented, and on his presentation. Similarly, if it was for a training programme, then brief details of the same may be reported.

'Foreign travel expenses statement' will not be processed and settled, unless the Travel Report is attached to it.

7.1.3. The travelling employee will make a presentation to a group comprising of his colleagues, HOD, Dean and other concerned employees of the University and other institutions of SVKM, dealing in greater detail with the subject matter of his report, within a reasonable time frame, after his return.

7.1.4. The places visited by the travelling employee may be captured on video films or photographs, if, in the judgment of the employee, such shooting will be useful for the institutional development. The employee will be reimbursed the cost thereof. An example of such places could be a well equipped and designed laboratory, library etc.

7.1.5. He may have done video shooting, taken photographs or collected other information of general interest about the places visited by him. This policy encourages the travelers to share such articles of information and human interest.

7.2. Linkages and networking: Every foreign visit gives the traveler a scope to personally interact with educationists from different parts of the globe. Such limited interactions may have the potential to go a long way in the years to come. Every employee of the University who undertakes foreign travel is expected and encouraged to interact with as many counterparts as possible, create personal linkages and nurture as well as institutionalize them.

7.3. Accounting Treatment

7.3.1. All expenses incurred by the employer for purchase of air tickets, visa charges, insurance, advance to hotel etc. will be shown as advance paid

to the travelling employee. Similarly, foreign exchange provided to the travelling employee by the employer will be booked as advance to the employee.

7.3.2. Only after proper submission of foreign travel expense statement with necessary supporting bills/receipts, and travel report, will the expense statement be approved by the immediate superior of the traveler, and thereafter by the Finance Controller. After that approval the expenses will be booked and advance reduced from the account of the employee. Delay in completion of paper work, will thus show large advance outstanding in the name of the travelling employee.

8. Forms

8.1 **Form for application for undertaking foreign travel for presenting paper at a conference (Refer 2.1.1)**

A Basic Details:

1 Name of the Employee :

2 Employee Code No. :

3 School to which the employee belongs :

4 Employee's qualifications :

5 Employee's experience: Yrs : Months :
a) Total
b) At NMIMS

6 Details of papers already presented in the last 5 years, indicating the name of conference, host body, country, dates, title of the paper, co-authors if any etc. to be annexed to the application.

B Paper related information :

1 Conference details :

a. Hosting body :

b. Country :

c. Date/s :

d. Type of Participants expected :

e. Is the hosting body one of the top 50 Global Business School/Technology Institutions (If yes, disclose the ranking used) : Yes/No

2 **Paper Details** :

a. Title of the Paper :

b. Names of co-authors, if any, and their details :

c. If there are co-authors, are you the presenter. : Yes/No

d. Is your participation based on acceptance of the paper. : Yes/No

e. Do you have a firm invitation to present your paper at the conference? : Yes/No

f. If answer to 2(e) is yes, enclose the invitation.

g. Has there been a double-blind review of your paper, prior to invitation? Yes/No

h. If answer to 2(g) is yes, enclose reviewers' comments :

C Estimate of expenses and support requested for : (Amt. in Rs.)

	(A)	(B)	(C)	(D)	(E)
Expenses Heads	**Estimated Expense**	**UGC/AICTE Travel Grant applied for/ recd.**	**Registration waiver from host body applied for/recd.**	**Net Estimated Expenses (A-B-C)**	**Approval Sought for, from the University**
1.Airfare (shortest route, economy class)					
2.Visa Charges					
3.Health & Accident Insurance					
4.Registration fees					
5.Conveyance residence-airport-residence					
6.Local Conveyance in the foreign country					
7. Lodging expenses					
8. Food, local conveyance and incidental expenses					
9. Any other (pl. specify)					
10. Total					

Note : It is mandatory to apply for travel grant scheme and registration waiver, and preferably to know the outcome of such applications, before applying to the University for financial approval. If you have not so applied, please disclose the reasons for not doing so.

D **Declaration of original work**

I hereby confirm and declare that my/our paper entitled _____ (title of paper) is my/our original work, with the exception of quotations from other persons' work which are expressly acknowledged in the paper and for the inclusion of each one of which, their prior approvals have been taken, where necessary.

I further confirm that in case it is discovered and proved later that the aforesaid paper is not my/our original work, I shall be subject to such disciplinary action as may be decided upon by the University, including immediate recovery of any financial assistance that may have been given to me for presenting the paper at the conference. I also confirm that in the event of any litigation being initiated in this regard against the University, I will keep the University fully indemnified at all times.

E. **Bond** :
I hereby agree that in the event any financial assistance is granted to me, I shall, before collecting the amount, execute a bond as per the University Policy, for minimum period of service and/or return of the amount of financial assistance, in the event of my leaving the service of the University, for whatever reason, within two years from the date of return from the conference.

F. **Patent/Intellectual Property Right**:
I hereby confirm that in the event any Patent or Intellectual Property Right arises from the paper, the same shall be taken in the partnership of SVKM's NMIMS University.

G. **Settlement of Accounts :**
I hereby confirm and undertake that if I am allowed to undertake foreign travel for presentation of the paper, with full or part financial assistance by the University, I shall submit the full account, with supporting, and with a travel report, within 10 working days of my return. I also undertake to lead a discussion seminar within the same time frame.

Date : Signature :

Place : Applicant's Name :

8.2 **Form of Application for Financial Assistance to attend a training programme outside India (Refer 2.1.2)**

A	**Basic Details:**
1	Name of the Employee :
2	Employee Code No.:
3	School to which the employee belongs :
4	Employee's qualifications :
5	Employee's experience: Yrs: Months : a) Total b) At NMIMS
6	Details of training programmes already attended in the last 5 years in India and abroad, indicating the name of the institution which conducted it, the place, name of the programme, duration, subjects taught, to be annexed to the application.
B.	**Training related information**
1	Name of the Institution imparting the training :
2	Country
3	Date/s of training
4	Number of days of training
5	Subject of training and topics likely to be covered
6	Faculty Details
7	Arrangement proposed for handling your workload, in your absence, at the University
8	Justification for doing the training programme in terms of self-development and in terms of advantage to the University.

C. <u>Estimate of expenses and support requested for</u> : (Amt. in Rs.)

	(A)	(B)	(C)	(D)	(E)
Expenses Heads	**Estimated Expense**	**UGC/AICTE Travel Grant applied for/ recd.**	**Registration waiver from host body applied for/recd.**	**Net Estimated Expenses (A-B-C)**	**Approval Sought for, from the University**
1.Airfare (shortest route, economy class)					
2.Visa Charges					
3.Health & Accident Insurance					
4.Registration fees					
5.Conveyance residence-airport-residence					
6.Local Conveyance in the foreign country					
7. Lodging expenses					
8. Food, local conveyance and incidental expenses					
9. Any other (pl. specify)					
10. Total					

Note : It is mandatory to apply for travel grant scheme and registration waiver, and preferably to know the outcome of such applications, before applying to the University for financial approval. If you have not so applied, please disclose the reasons for not doing so.

D. Bond

I hereby agree that in the event any financial assistance is granted to me, I shall, before collecting the amount, execute a bond as per the University Policy, for minimum period of service and/or return of the amount of financial assistance, in the event of my leaving the service of the University, for whatsoever reason, within two years from the date of return from the training program.

E. Study Material to be University Property

I hereby agree and confirm that I shall provide one set of study material, issued for the training programme by its conductor, to the library of the University.

F. Conducting the training programme for other faculty / students

I hereby confirm that I shall make a summary presentation of what I learnt at the training programme, to the faculty colleagues at the University, within a month of my return, I further confirm that I shall conduct one or more full-fledged training programmes for faculty / students , if the Dean of my School or the Vice Chancellor so instructs.

G. Settlement of Accounts

I hereby confirm and undertake that if I am allowed to undertake foreign travel for attending a training programme, with full or part financial assistance by the University, I shall submit the full account, with supporting, and with a travel report, within 10 working days of my return. I also undertake to lead a discussion seminar within the same time frame.

Date : Signature :

Place : Applicant's Name :

8.3. **Form for expense statement and claim for foreign travel**

Foreign Travel Expense Statement

Name of the Employee : Employee Code No.:

School:

Purpose of Visit :

Itinerary : (Give on a separate sheet, if necessary)

Date	Time	From	To	Brief Description of Activity

Expenditure Details (Give on a separate sheet, if necessary)

Sr.No.	Date	Purpose/Particulars	Amt	Paid by		Bills/Receipts attached?(Y/N)
				University	Self	
Total Amount						
Break up of total amount :						
a. Directly spent by employer						
b. Incurred by employee against advance received/from own sources						
Total Amount						

Summary against each budget head

(Amt. in Rs)

	(A)	(B)	(C)= (A-B)	(D)
Expense Item	**Net Budget**	**Actual Expense**	**Variance**	**Sl. No. ref. Of Expenditure details**
Air Fare				
Visa Charges				
Insurance				
Registration Fees				
Conv. Res-Airport-Venue-foreign airport				
Lodging expenses				
Food, local Conveyance, incidental expenses				
Any other(specify)				
TOTAL				

Reasons for negative variance, if any (separately for each negative variance)

(Amt. in Rs.)

Total claim for expense incurred by employee against advance received / from own sources	
Balance amount claimed	
Advance received from employer	

The about is true account of expenses incurred for official purpose on foreign travel by me. Tour report is enclosed.

Employee Signature:

Approved for Rs. _____

Passed for Rs._____

Head of Department

Name: _____

Signature: _____

Financial Controller

Name: _____

Signature: _____

ANNEXURE – III

Rules for Consulting at NMIMS University

Introduction :

Consulting enriches / assignment the quality of faculty instructions. It also helps them to initiate research and case development exercise. The best known professors in management both internationally and nationally are today valued by the corporate, principally because their interventions have benefited the corporates.

NMIMS also has grown on the strength of such consulting interventions by its faculty. These rules have been framed to enable faculty take up these assignments and create/enhance their and University's equity in corporate and non corporate sectors.

1. What constitutes consulting

Any paid external assignment including teaching - a part or full course at a national or international institution will be considered as a consulting assignment.

2. Exemptions

i) Royalty from books and monographs
ii) Fees received from paper reviews for any journal or conference, honorarium received from publication of research papers.
iii) Examinership at Doctoral level
iv) Income from Guest Lectures in other institutions
v) Honorarium and prizes earned for professional accomplishment
vi) Corporate / advisory / research board membership and hence sitting fees received on account of such membership
vii) Board membership in the form of sitting fees / remuneration of independent directors
viii) Income from MDPs upto Rs.20,000 per company programs.
ix) Income from any work given by SVKM or its institutions.

3. Type of consulting assignments

Following are the type of assignments that will qualify as consulting assignments.

i) Training or customized management development programmes for corporates.
ii) Project based assignments involving projects assigned by the client.

iii) Retainerships involving sustained involvement with the client on regular payment of fees.

(A) **Institutional and Personal Consultancy :**

All assignments will be institutional in nature. While individual faculty members are encouraged to aggressively seek, negotiate and finalize the assignment, the final contract will have to be between the School and the company.

4. Consultancy Time

Generally faculty would be permitted to avail upto 52 days of consulting work in one financial year from 1st April to 31st March. If a faculty is entitled for a vacation, then maximum 40 days, excluding vacation period, can be utilized for this purpose. A record of consultancy days needs to be submitted every month to the Dean of the School. The number of consulting days to be permitted for the assignment will be decided by the Dean subject to the ceiling of 52 days in a year.

5. Financial arrangements

For the purposes of working on the cost on the consulting assignment, the professional fee for the faculty time will be minimum Rs.25,000 per faculty per day. There is no upper limit on faculty fees. Further these rates may not be applicable to consultancy assignments received from government, semi-government or local government authorities. All expenses will have to be recovered from the clients. In case of training programmes where institutional facilities are used like MDP or classroom, the rates for use of these facilities will be prescribed from time to time. All catering expenses will be recovered from the clients on actual basis. All travel, both within Mumbai and outside Mumbai, will have to be paid by the client. Same is true for boarding and lodging expenses.

Institutional overheads like cost on account of telephone, internet, secretarial assistance, charges for use of classrooms, payment to the support staff and other institutional overheads to the tune of 25% or minimum of Rs. 10,000 per day whichever is higher of estimated cost for consultancy work will be deducted from the total receipts. This will take care of the indirect cost. The faculty NMIMS should be paid (in case of MDP's or any other classroom training programmes) as per prescribed rates for visiting faculty. This should be treated as the direct cost along with the extra remuneration to be paid.

After providing for institutional overheads and the direct cost, surplus, if any, will be shared @ 70:30 between the concerned faculty members and the School. If consultancy work has been generally undertaken by more than one faculty, sharing of 70% surplus amount be shared by these faculty members

and the Coordinator, on the basis of the sharing decided a priori by the Dean. All billings will be done by the University Accounts Office.

6. Approval

- All consulting assignments of faculty will require Dean's prior approval. In case of assignments involving Dean, Pro-Vice Chancellor, Vice Chancellor, prior approval of Hon'ble Chancellor will be required for both assignment and fees.

- No consulting assignments will be taken which comes in conflict with class commitments or any other University commitments.

- Also there should be no conflict of interest in the assignment between the institution and the client.

- All requests for approval have to be made in prescribed format.

SVKM's NMIMS Deemed to be University

CONSULTANCY FORMAT

Date : _____

1. Name of the faculty :_____ Designation : _____

2. Name of the Company : _____

3. Contact Person : _____Designation : _____

4. Contact details : Tel.: _____ Mobile: _____

5. Topic of Consultancy : _____

6. Period : From:_____ To:_____

7. Contract Amount : Rs. _____
   (with break up)

Amount: Overhead : Rs. _____ Expenditure: (i) Study Material/MDP : _____ (ii) Travel : _____ (iii) Other expenses : _____

8. Names of faculty, if co-opted : _____

9. Ratio of income to be
   distributed among the team : _____

Approved by

Dean **Vice Chancellor**
School:

NOTE : Copy of the proposal to be enclosed.

Annexure IV

CALCULATION OF RESEARCH SCORE

Particulars			Engg./Sciences/Medical	All Other disciplines
Research Activity			Points	Points
Peer reviewed or UGC listed Journals (Impact factor to be determined as per Thomson Reuters list):		**Score**	**Points per paper**	
Research Papers in peer reviewed or UGC Listed Journals/ Ivy Cases (score for research papers to be augmented i.e. Score + Points per paper) also refer to the notes below	Paper refereed journals without impact factor/OIC	5	08 per paper	10 per paper
	Paper with impact factor less than 1/Category C	10		
	Paper with impact factor between 1 and 2/IVY Cases	15		
	Paper with impact factor between 2 and 5/Category B	20		
	Paper with impact factor between 5 and 10	25		
	Paper with Category A	30		
	Paper with impact factor more than 10	30		
	Paper with Category A*	50		

a) **Two authors:** 70% of total value of publication for each other.
b) **More than two authors:** 70% of total Value of Publication for the First/Principal/Corresponding author and 30% of total value of Publication for each of the joint holders.

Annexure V

SVKM's NMIMS Deemed to be University

Application for Research/Patent Incentive

Name of the Faculty member:
School:
Campus:
Area of Specialization:
Date of Joining:

Part-I

Academic Year: YYYY-*YYYY* Date of Publication: DD/*MM/YY*

Select the option below:

Scopus Indexed/Non Scopus Indexed:

Mention Impact factor/Category of Publication:

Name of the Journal:

ISSN:

National/International:

Title of the Publication:

Area of Specialization in which Publication is considered:

Select the options below:
O Single Authored O Co-Authored O More than two authors

If More than two authors-
O First author/Principal/Corresponding author O Joint author

Name of the authors:

Sr. No.	Publication and their Impact Factor	Publication in ABDC Journals	Amount	Select your option here
1.	Journals with an Impact factor ≥ 7	**A***	Rs.2,00,000/-	

2.	Journals with an Impact factor ≥ 5 < 7	**A**	Rs.1,00.000/-	
3.	Journals with an Impact factor ≥ 3 < 5	**B**	Rs.50,000/-	
4.	Journals with an Impact factor ≥1 < 3	**C**	Rs.25,000/-	
5.	Scopus Indexed Journals	**-**	Rs.10,000/-	

Note: Kindly attach all the documents for verification with the application.

Part-II

Academic Year: YYYY-*YYYY*

Filed for Patent and actively pursue it, following will be the assistance:

Patent	Amount
National Patent Grant	Rs. 50,000/-
International Patent Grant	Rs. 1,00,000/-
Commercialisation of Patent (National/International)	Royalty will be shared in 80:20 ratio

Patent Name:

Patent Details:

National/International:

Note: Attach Policy Document/other supporting documents for verification of application

----------For Approval----------

Eligible for Incentive

	Amount
Total of Part I	
Total of Part II	
Grand Total	

Approved/Rejected (If Rejected, mention reason):

Verified by:

Date: Name & Signature:

Approved by Vice Chancellor/Pro Vice Chancellor:

Date:

Application to be forwarded to Accounts for payment.

Annexure VI

SVKM's NMIMS Deemed to be University

Application for Research Proposal

Name of the Faculty member:
School:
Campus:
Area of Specialization:
Date of Joining:

Academic Year: YYYY-*YYYY* Date of Application: DD/*MM/YY*

Name of the Research Project:

Explain your Research Case in short:

Discipline/Area of Specialisation in which Project is taken:

Any assistance is required for the Research for purpose of preparing research based document: Yes/No. If yes, share the profile details and financial implications involved.

Duration of the Project(in years): Start Date:

Sponsored by or Supported by(if any):

Amount of Registration fees in Double Blind Review Research Conference:

----------For Approval----------
Approved/Rejected (If Rejected, mention reason):

Verified by:

Date: Name & Signature:

Approved by Vice Chancellor/Pro Vice Chancellor:

Date:
Application to be forwarded to Accounts for payment.

NOTWITHSTANDING ANYTHING MENTIONED HERE IN THE RULES/POLICIES ARE SUBJECT TO CHANGE AS MAY BE DECIDED BY THE BOARD OF MANAGEMENT FROM TIME TO TIME.