POLICY & GUIDELINES FOR FACULTY APPOINTMENT AND PROMOTION

1.0 PURPOSE

This administrative policy statement implements the criteria and standards outlined in the Ministry of Human Resource Development (Department of Higher Education) notification dated the 6th August 2014 titled as IISER statutes, S.O. 2078(E) and updated F.No. 15-4/2017-TC dated 27th Oct 2017. We put in place a unified procedure for recruitment of a faculty member and subsequent reappointment / promotion to a higher grade during his/her service in the institute. The assessment and evaluation of faculty member is necessary to recognize his/her achievements in research, teaching, other academic activities, administrative responsibilities, and the contribution to the Institute’s mission. A positive evaluation would lead to his/her promotion/ reappointment to a higher position and provide them an opportunity to take up a position of leadership in the Institute. Also, we include here the details of opportunities available to faculty member actively engaged in research, subsequent to their superannuation from the institute.

Salient features of the statute as adapted for IISER Pune are presented below for ready reference. For details, faculty members are encouraged to consult the Institute’s website.

2.0 GUIDING PRINCIPLES

- The institute’s philosophy of recruitment, retention and promotion of faculty member is based on their academic excellence in research and teaching. Due consideration is given to their contribution to Institution building, including curriculum development, innovation in pedagogy, student welfare, science outreach and all other relevant aspects. Consideration is also extended to new faculty member for the time taken to adapt to IISER’s unique curriculum, and for initiating research activity.

- The Institute is committed to a transparency of process, based on merit and equal opportunity for all faculty members. It strives to be aware of, and appreciate the diversity in the nature of the research pursued by faculty member and their contribution to the Institute. To achieve and maintain its place in the academic and
research domain, the Institute will progressively ratchet upwards the appointment and promotion criteria mentioned here.

- The Institute complies with Supreme Court and Govt. of India directives regarding due consideration for special circumstances such as maternity, disability, illness and other unforeseen circumstances.
- To help new faculty members familiarize themselves with the institutional system, its working and culture, the Chairperson of the concerned department jointly with the Dean of Faculty shall appoint a senior faculty member as a mentor to the new faculty member, for a period of 3 years.

3.0 ACADEMIC QUALIFICATIONS AND PAY

The academic qualification for all faculty positions is the Ph.D. degree, with a first class at the preceding degree. The additional experience required for, and the pay associated with each academic position are as follows:

**Assistant Professor Gr.II:**
- Academic Pay level 10 (Rs.70,900/-) less than a year of experience
- Academic Pay level 11 (Rs. 84800/-) at least one year of experience:
  (Faculty members appointed as Asstt. Professor Gr.II are NOT part of the regular faculty cadre of the institute. Those wanting to be part of the IISER faculty should apply for an Assistant Professor Gr I position after acquiring the requisite experience)

**Assistant Professor Gr.I (Academic Pay level 12):** At least three years of industrial/ research/ teaching experience at the time of joining the institute. This excludes the experience gained while pursuing a Ph.D. degree. In very exceptional cases, institute may consider candidates with two years of experience.

After 3 years of service, the salary of Assistant Professor Gr. I would be upgraded to Academic level 13A1

**Associate Professor (Academic Pay level 13A2):** Minimum of six years teaching/industry/ research experience of which at least three years should be at the Assistant Professor Gr. I level.

**Professor (Academic Pay level 14A):** Minimum of ten years’ experience of which at least four years should be at the equivalent of Associate Professor in a IIT, IIM, IISc, NITIE or IISER.
Professor (HAG) (Academic Pay level 15A): Minimum 6 years of service in academic pay level 14A. A maximum of 40% of posts of the Professor in the institute are eligible for promotion to the Professor (HAG).

4.0 GUIDELINES AND PROCEDURES FOR FACULTY APPOINTMENT

4.1 General guidelines:

- The office of the Dean of Faculty (DoF) will be the nodal point for faculty applications for appointment. He/she has the primary responsibility of maintaining high standards in faculty appointment and promotion.
- The Dean of Faculty will seek recommendations letters for all shortlisted applications, using the list of referees suggested by the candidate, by the Chairperson of the department. He/she may add names of his/her own choice to the list of referees.
- In general all appointments as Assistant Professor Gr II and I will be on contract for up to 5 years.
- Existing Grade II candidates may apply to for the post of Assistant Professor Gr I after acquiring requisite postdoctoral experience as mentioned in section 3.0.
- Persons holding permanent positions elsewhere and appointed as Assistant Professor Gr. I at the IISER Pune, will be considered for confirmation on the post after at least 2 years of stay at the Institute. Accordingly he/she should submit application as in Annexure II.
- An appointment as Associate Professor or Professor will be with tenure until superannuation with an initial year of probation that may be extended, if necessary.
- An appointee will be given six months time from the date of issue of the appointment letter to join the institute. This, however, may be extended maximally for up to a year in very special circumstances, with the approval of the director.

4.2 Appointment procedure:
The following guidelines are to be followed for appointment at all faculty levels

- The institute accepts faculty applications round the year. Advertisement for faculty positions in specific areas of specialization, need the approval of the Director.
- An Application Scrutiny Committee (ASC) set up by the Chairperson of the department meet every quarter (e.g. Nov, Feb, May, Aug) to examine the applications received and suggest candidates to the Chairperson for further
processing (step 1). The candidate shortlisted must be comparable with the top 20% of the existing faculty members.

- Candidate successful at step 1 is invited to the institute for a seminar and preliminary discussions. The candidate must appear in person. The Chairperson, at his/her discretion, may get feedback about the candidate from any external expert. In case of presentation and discussion over Skype, the Chairperson should justify the exceptional merit of the candidate, which warrants such an exemption.

An invited candidate must meet with all faculty members of the department, during his/her visit. The Chairperson will call a special meeting of all the faculty members of the department, to discuss shortlisted candidates.

- Details of shortlisted candidates after full faculty discussion, along with letters from the referees/reviewers and a recommendation of the departmental committee summarizing the views of the departmental faculty members should be submitted by the Chairperson of the department to the DoF and will be made available to selection committee. The application of shortlisted candidates will be shared with the Chairpersons of other department.

- Shortlisted candidates (after step 2) will be discussed and reviewed in Dean of Faculty’s Committee (DFC) comprising of the Dean of faculty and the Chairpersons of the department. The Chairperson of the department should provide the following to the DFC for discussion:

  (i) A written summary of the recommendation of the departmental committee that includes details of the candidates who had applied, were shortlisted and their profiles.

  (ii) A justification for the need for hiring in the larger context of the growth of the department.

- The DFC will propose a selection committee as per section 8.0. Ex-officio members of the committee will include: the Director, the Dean of Faculty and the Chairperson of the department. Other internal members would include faculty members chosen by the Dean.

- The final selection committee will require the approval of the Director who may make changes in the proposed committee, if needed. All formalities related to the selection process would be made by the Dean’s office. The recommendation of the selection committee will be submitted to the Registrar for further processing.
5.0 GUIDELINES AND PROCEDURES FOR FACULTY REAPPOINTMENT / PROMOTION TO A HIGHER GRADE

5.1 Mid-term evaluation of Assistant Professors Gr.I

- To provide guidance and mentorship to new appointees as Assistant Professor Gr.I, with respect to their teaching and research, it is proposed to have a mid-term evaluation of the faculty members between 2.5 and 3.5 years of their service.
- The Chairperson will request the faculty member to submit an evaluation form (Annexure I). This is mandatory for faculty members who joined after August 2014. For others it is optional.
- The Chairperson, in consultation with the Dean of Faculty, will constitute the committee, if required with external members, and schedule the meeting with the faculty member. A detailed written recommendation of the committee will be provided to the Dean’s Office by the Chairperson. This will be communicated subsequently to the candidate by the Chairperson and Dean jointly.

5.2 Reappointment of Assistant Professor Gr I to Associate Professor:

- Typically at the end of 4.5 years of service, each faculty member in this grade should submit a performance report (Annexure-II) to the Dean’s office.
- The Dean of Faculty’s Committee (DFC) of the Institute will scrutinize the application, and recommend to the Director whether the performance of the concerned faculty member is appropriate for (i) reappointment (and confirmation) as Associate Professor, or (ii) confirmation in the same grade, or (iii) extension of service on contract.
- In the event of recommendation for reappointment as Associate Professor or confirmation in the same grade, the Dean of faculty will inform the candidate to present his/her work briefly to the committee. For the presentation, the DoF may invite a few senior faculty members from the concerned department(s) and seek their opinion, if needed. After the presentation, the DFC will provide a list of experts to facilitate setting up of an evaluation committee (section 8.2) by the Dean of Faculty in consultation with the Director.
- All cases of reappointment and/or confirmation of service as suggested by the DFC will be evaluated as outlined below in section 7.0. All applications submitted after 6.5 years of service of the candidate will be evaluated by the committee as per the
procedure in section 7.0. The evaluation committee will be provided all the comments of the internal committees. Successful cases will result in extension of contract or confirmation of tenure, or reappointment to the higher grade as the case may be.

- If the recommendation of the evaluation committee is to confirm in the same grade, the concerned faculty member will have to go through a performance assessment process after a minimum of two years.
- The maximum duration of the contract appointment for an Assistant Professor Gr.I is seven years. Failure to be confirmed within this period amounts to a recommendation for termination. In such a case, the candidate may request for extension of the contract for a period of up to a year, to help him/her getting an alternative position elsewhere. A formal letter in this regard will be issued by the Dean of Faculty after the Chair, Dean and Director have met the candidate in person to inform the recommendation of the evaluation committee. At the end of such extension, the candidate will have to leave the institute and any awards/honors/publications etc obtained during this period of extension will not be considered towards further extension or regularization.

5.3 Promotion of ASSOCIATE PROFESSOR to PROFESSOR:

- The institute maintains very high standards for Full Professorship. Accordingly, an Associate Professor fulfilling the minimum experience criteria of the MHRD (4 years as Associate Professor or equivalent, of which at least 2 years should be at the IISER Pune) and the institutional standard (section 6.0 and 6.1) may apply at any time for promotion as PROFESSOR. The faculty member has to submit a performance report in the prescribed format (Annexure II) to the Dean’s office with the signature of the Chair.
- The Dean of Faculty’s Committee (DFC) of the Institute will scrutinize the application and advise the Director if the performance of the concerned faculty member is appropriate for promotion as Professor. In case of a positive recommendation, the candidate will be asked to make a brief presentation of their significant work to the DFC.
- In the event of a negative recommendation, the DFC must provide adequate justification to be submitted to the Director. Otherwise, the DFC should provide a list of experts for the Evaluation committee (section 8.2) which will be setup by the Dean of Faculty in consultation with the Director.
A successful performance evaluation by the Evaluation committee will result in promotion to Full Professorship until superannuation without any probationary period. If the Evaluation committee does not recommend promotion, the concerned faculty member may go through the performance assessment process only after a minimum of two years.

5.4 Promotion to Professor (HAG): The DFC will advise the Director keeping in view the guidelines of MHRD as the minimum criteria, and considering the institutional criteria as in section 6.1.

5.5 Fast track reappointment:
An Assistant Professor Gr.I with exceptional performance as indicated in the mid-term appraisal may make an application to be considered for reappointment/promotion to the post of Associate Professor after 3 years. If the outcome of this request is unfavourable, the faculty member can apply for reappointment to the next grade after 4.5 years of service as in section 5.2.

6.0 EVALUATION CRITERIA
The following parameters are to be considered for evaluation of faculty members for confirmation/reappointment/promotion. Depending on the level, a different weightage may be set for each of the following factors that will be considered:

- Research accomplishment at international standards of excellence
- Consistent excellence in classroom and laboratory teaching.
- Successful guiding of PhD students.
- Contribution to curriculum, course development, innovation in pedagogy etc.
- Award of external competitive research grants.
- Awards/fellowships/elected memberships of professional bodies
- Review of the annual appraisal report
- Invited talks in national and international research conferences/symposia/workshops
- Professional activities outside the Institute
- Collaborations within/outside the institute
6.1 For the level of PROFESSOR/ Professor (HAG), the following additional criteria will be considered:

- Research accomplishment having significant international recognition.
- Supervision of a significant number of Ph.D. dissertations and BS-MS theses.
- Demonstrated leadership qualities in science management.
- Peer recognition such as: major awards, election to professional academies, citation of work in peer-reviewed review articles/books written by others, and invited talks in international conferences, chairing sessions in international meetings, Honorary doctorates or associate/adjunct faculty positions at other institutions/universities

7.0 EVALUATION PROCEDURE

- The faculty member should submit the form in Annexure-II along with the names, contact address of at least six referees (national and international) along with their domain of expertise, who can critically assess their teaching/research potential and performance. The majority of referees should have no close collaborative relationship with the candidate, for example as a Ph.D. guide or postdoctoral advisor. The Dean of Faculty, in consultation with the Director, may add names of reputed independent evaluators.
- Responses from a minimum of five referees is needed before proceeding further.
- Faculty being assessed for reappointment/promotion will be invited for discussion with the evaluation committee.

8.0 EVALUATION COMMITTEES

8.1 Preliminary evaluation of Assistant and Associate Professors

Dean of Faculty committee (DFC) of the institute

8.2 Reappointment (and confirmation) of Assistant Professor to Associate Professor and promotion of Associate Professor to Professor (As per statutes)

- Director, Chairperson
- Dean of Faculty
- Chairperson of the discipline
- Two Experts (Nominees of Board, in case of Professors, the members are from the panel approved by MHRD)

The Director may invite following also to be member of the committee:
• Professor from the concerned department
• Professor from another department.

9. EVALUATION STANDARDS

External referees will be asked to write a detailed report and grade the faculty member on the scale of 1 to 10 based on the assessment report submitted and on the criteria defined as above. The selection committee will grade the faculty member after discussion, in the scale of 1 to 10. The minimum average points required for successful confirmation/reappointment are as follows.

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<thead>
<tr>
<th>Status</th>
<th>External referee assessment</th>
<th>Selection committee</th>
<th>Overall</th>
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<tbody>
<tr>
<td>Confirmation of Assistant Professor</td>
<td>6</td>
<td>6</td>
<td>6</td>
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<tr>
<td>Reappointment of Assistant Professor to Associate Professor</td>
<td>6</td>
<td>7</td>
<td>7</td>
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<tr>
<td>Promotion of Associate Professor to Professor</td>
<td>7</td>
<td>8</td>
<td>8</td>
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<tr>
<td>Fast track promotions</td>
<td>8</td>
<td>9</td>
<td>9</td>
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</tbody>
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9 (Outstanding); 8 (Excellent); 7 (Very Good); 6 (Good); 5 (Satisfactory)

10. COMPLIANCE AND GRIEVANCES

Any faculty member who feels he/she has not been given fair treatment in the Institute or during the assessment has the option to make a representation, which will be dealt through the agreed procedures for complaints and grievances. Complaints and grievances should be addressed to Dean of the Faculty of the institute.

11.0 EMERITUS AND VISITING POSITIONS

11.1 Adjunct Professor:

To deliver research lectures, provide mentorship, hold scientific discussions and/or assist in developing collaboration/interface with industry, the Institute encourages individual departments to propose the names of eminent scientists (serving or retired) from academia/industry for appointment as Adjunct Professor. The name will be proposed by the Chairperson after due consultation with the faculty members, and a final decision on the proposal will be made by a committee consisting of the Director, Dean of Faculty, Dean (R &
The appointment of Adjunct Professor will be for 3 years. The minimum duration of visit by the Adjunct Faculty to the Institute will be specified (at least 3 to 4 weeks per year) in the appointment letter. During this period the person may make short/long visits to IISER, and will be provided office/lab space as relevant, secretarial support, free lodging and boarding in the guest house and an honorarium of up to Rs 1, 20,000/- per month. Faculty visiting from within the country may be offered travel expenses up to three times per academic year, while faculty visiting from outside India will be offered one round trip economy-class ticket per year.

11.2 Distinguished Emeritus Professor:
A faculty member active in research can be appointed as Distinguished Emeritus Professor for a period of three to five years. Names to be considered for these positions will be proposed by Chairpersons/Deans/ Director, and referred to a committee consisting of the Director, Chair of the Department, Dean of Faculty, Dean (R&D) and Dean (Academic).

A distinguished Emeritus Professor will have access to research infrastructure and can avail of fellowships and research funds from outside agencies. He/she may carry out teaching, research and also guide students jointly with a regular faculty member. He/she will receive an emolument of Rs.100,000/ per month and Campus accommodation (if available).

11.3 Visiting Faculty:
The BoG can approve the appointment of accomplished Professors/Scientists (including those who may have superannuated at any institution), as Visiting Faculty for an initial period of 1-3 years, extendable up to 5 years, based on a proposal by the Chairperson of the Department and recommended by a duly constituted committee by the Dean of Faculty. The visiting faculty will be teaching a course per semester. The consolidated stipend of Visiting Faculty will be between Rs.55,000 and Rs.70000 per month as recommended by the committee.

11.4 Faculty on sabbatical:
For sabbatical visitors, a proposal may be submitted by the Chair of the Department to the Dean of Faculty which could be discussed in the DFC. The Sabbatical Visitor will be provided office space and guest house accommodation for a maximum of one year. Depending on requirements, sabbatical visitors may be offered free accommodation or a monthly honorarium similar to that of a Visiting Faculty member.
11.5 **Invited visitors:**

Proposals may be submitted by the Chairperson of the department for visitors at any level, with justification, to the Dean of Faculty for discussion in the DFC. The period of stay and emoluments/accommodation will be decided on a case-by-case basis and depend largely on the seniority of the visitor.
Annexure-I

Proforma for Mid-term Evaluation

1. Name of faculty and date of birth:
2. Present position
3. Department:
4. Date of Joining at IISER-Pune:
5. Teaching Contribution:
   a. Courses offered (provide year-wise details including student’s evaluation)
   b. Design of new courses, if any
   c. Design of new laboratory experiments (both at basic and advanced level)
6. Summary of the Research contribution (not exceeding 2 pages, be brief and point wise):
   a. Highlight the new research/concepts/methodologies developed
   b. Impact of the new knowledge generated
   c. Specific requirements
7. PhD dissertation and BS-MS Thesis supervised/in progress (Name of the student, title of the project, year of submission/award, single/joint guidance)
8. List of publications (from the work carried out at IISER-Pune only):
   provide Authors, Title, Year, Journal, Vol., Page no. indicate if it is part of students thesis/dissertation
9. Services rendered to the department and the Institute (e.g. membership of committees etc.)
10. External Research funding: Project title, year, funding agency, project cost.
11. Industrial collaboration/Technologies developed/transferred if any:

Signature of the candidate
Annexure-II

**Proforma for consolidated Teaching and Research Report**

1. Name of faculty and date of birth:
2. Present position
3. Whether on contract or permanent:
4. Department:
5. Date of Joining at IISER-Pune:
6. Years of service in the present position: Years_________; Months_________
7. Details of any long leave availed due to illness / sabbatical etc. (if any):
8. Teaching Contribution: to include
   (a) Courses offered (provide year-wise details including student’s evaluation)
   (b) Design of new courses, if any ; (c) Design of new laboratory experiments (both at basic and advanced level) ; (d) Semesters in which no teaching done
9. Summary of the Research contribution (not exceeding 2 pages, be brief and point wise): To include: (a) the new research/concepts/methodologies developed ; (b) Impact of the new knowledge generated ; (c) New instrument or equipment developed ; (d) Patents filed/granted
10. PhD dissertation and BS-MS Thesis supervised (Name of the student, title of the project, year of submission/award, single/joint guidance)
11. List of publications including book chapters/books (from the work carried out at IISER-Pune only): provide Authors, Title, Year, Journal, Vol., Page no. indicate if it is part of students thesis/dissertation
12. Services rendered to the department and the Institute (e.g. membership of committees)
13. Awards and Honours
14. External Research funding: Project title, year, funding agency, project cost.
15. Industrial collaboration /Technologies developed/transferred if any:
16. Membership of External (National/International) committees
17. Invited lecture(s) delivered in conferences/workshops (National/International)
18. Conferences organized
19. Peer review for journals/Review articles/Book Reviews/Journal Editorial work etc.
20. Complete list of peer reviewed publications in the entire career.
21. Possible list of reviewers (at least six, avoid Ph.D. supervisor/post-doctoral mentors)

Signature of the candidate  Signature of the Chairperson of the department