

# GOOD GOVERNANCE

Enhancing the capabilities of technical education in India

## REVIEW OF INSTITUTIONAL GOVERNANCE GUIDELINES DOCUMENT

### EXPERT ADVISORY GROUP TEMPLATE

NAME OF INSTITUTION:

<b>GOOD GOVERNANCE PRACTICE EXPECTED IN TEQIP-II INSTITUTIONS</b> (As specified in the PIP, and the Good Practice Guide for Governing Bodies)	<b>INSTITUTION'S GOVERNANCE GUIDELINES DOCUMENT</b> (Identifies current governance practice in all areas):	<b>EXPERT ADVISORY GROUP FEEDBACK</b> (Benchmarking the Institution's current governance practice against the TEQIP Good Practice Guide for Governing Bodies and the TEQIP-II PIP):
1 <b>Principles of governance and management</b> (the differences between these, and that the GB has been constituted as the highest authority of the institution) <sup>1</sup>	▪	▪
2 <b>The role of members of the governing body</b> , including the principles of good behaviour and the need to avoid conflicts of interest <sup>2</sup>	▪	▪
3 <b>The roles of the Chair and of the Head of the institution</b> , and the relationship between them <sup>3</sup>	▪	▪
4 <b>How members and the Chair are appointed</b> <sup>4</sup>	▪	▪
5 <b>The committee structure and the scheme of delegation of duties to those committees</b> (See also Annex 1) <sup>5</sup>	▪	▪
6 <b>The definition of primary accountabilities and the governing body's approach to them</b> <sup>6</sup>	▪	▪

<sup>1</sup> See TEQIP-II PIP Governance summary paragraph below and sections 3-5, and all of the TEQIP Good Practice Guide for Governing Bodies

<sup>2</sup> See TEQIP-II PIP Governance summary paragraph below and sections 3-5, and all of the TEQIP Good Practice Guide for Governing Bodies

<sup>3</sup> See TEQIP-II PIP Governance summary below and paragraph 1d, and the TEQIP Good Practice Guide for Governing Bodies pages: 12, 13, 15 and Annex 1

<sup>4</sup> See TEQIP-II PIP Governance summary below and Section 1, and the TEQIP Good Practice Guide for Governing Bodies pages: 8-9

<sup>5</sup> See TEQIP-II PIP Governance summary below and Sections 1, 3, and the TEQIP Good Practice Guide for Governing Bodies pages: 16

<sup>6</sup> See TEQIP-II PIP Governance summary below and Sections 3-5, and the TEQIP Good Practice Guide for Governing Bodies Section A: Primary Accountabilities Pages: 2-6

7	<b>Openness and transparency</b> <sup>7</sup>	▪	▪
8	<b>Key attributes (including the number of meetings per year)</b> <sup>8</sup>	▪	▪
9	<b>Effectiveness and performance review</b> <sup>9</sup>	▪	▪
10	<b>Regulatory compliance</b> <sup>10</sup>	▪	▪
	<b>Annex 1:</b> Terms of reference of committees	▪	▪
	<b>Annex 2:</b> The Governance Development Plan and Action Plan for all governance activities.	▪	▪

**ADDITIONAL COMMENTS FROM THE EXPERT ADVISORY GROUP:**

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<sup>7</sup> See TEQIP-II PIP Governance summary below and Sections 2 and 3i, and the TEQIP Good Practice Guide for Governing Bodies Section B: Openness and Transparency in the Operation of Governing Bodies, Page: 7

<sup>8</sup> See TEQIP-II PIP Governance summary below and Section 1-2 and the TEQIP Good Practice Guide for Governing Bodies Section C: Key Attributes of Governing Bodies, Pages: 8-16

<sup>9</sup> See TEQIP-II PIP Governance summary below and Sections 5, and the TEQIP Good Practice Guide for Governing Bodies Section D: Effectiveness and Performance Review of Governing Bodies, Pages: 17-18

<sup>10</sup> See TEQIP-II PIP Governance summary below and Sections 3-5, and the TEQIP Good Practice Guide for Governing Bodies Section E: Regulatory Compliance Page: 19

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## **TEQIP-II PROJECT IMPLEMENTATION PLAN (PIP): SUMMARY OF GOVERNANCE REFERENCES**

Covering all types, Universities, NITs, Colleges and others. (Ref: TEQIP Project Implementation Plan (PIP), 2009; Sections 4.2.1, 5.1.3 and Annex. I-II)

Each project institution is required to establish a *governance model* that will hold the institution accountable to all its stakeholders. A Governing Body (GB), *designated as Governing Board/Council, Board of Governors, Board of Management, Management Board/Council/ Committee, Executive Board/Council/Committee, Syndicate* or any other similar name is to be constituted **at the institution as its highest authority to take care of this requirement**, as given below:

### **1. Composition:**

- a. Governing Body (GB) to be constituted to establish a governance model that will hold each institution accountable towards stakeholders like, Government, civil society, industry
- b. Composition of GB to follow *UGC Regulations/Guidelines or NIT Act 2007*, as the case may be, appointed by the sponsoring Govt. or by itself through a due procedure;
- c. The GB as existing or being constituted now/later to be acceptable to the Authorities granting the Autonomous Institution Status;
- d. The GB, in all cases, "The GB Chair must be an educationalist, industrialist, or a professional from outside Government", with adequate representation from other stakeholders;
- e. The GB to evolve suitable methodology to interact with those stakeholders having no direct representation in the governance system.

### **2. Meetings:**

- a. The GB to meet at least four times in a year or as often as required;
- b. The Minutes of GB meetings to be published promptly on the Institution's website for information of the stakeholders and the society at large.

### **3. Major Functions:**

- a. To delegate suitable Academic, Financial and Administrative powers to various institutional functionaries to streamline the running of the institution by framing rules and procedures for accountability at each level;
- b. To form committees, sub-committees or advisory committees in appropriate areas to support functioning of the GB and also empower the Head of Institution to do so;
- c. To have Financial Autonomy with regard to preparation, sanctioning and spending the budget to achieve the objectives of the institution;
- d. To have the powers to appropriate the funds and to re-appropriate the same under certain circumstances;
- e. To evolve proper set of rules and procedures for exercise of its powers as per the MoA/Government Orders/Regulations;
- f. To delegate the financial powers to various levels of functionaries for efficient discharge of their functions;
- g. To delegate financial and administrative powers to the faculty concerned for operating R&D projects, consultancies, continuing education programmes, organising conferences/seminars and other activities;
- h. To evolve norms for operating the Four Funds and operating recurring expenditure; and
- i. To perform all academic, administrative, financial procedures and decisions transparently, with care taken to involve maximum participation of stakeholders (faculty, staff, students, alumni, parents, industry.) in the decision making process.

#### **4. Other Functions:**

- a. To fix the fees and other charges payable by the students on the recommendations of the Finance Committee;
- b. To institute scholarships, fellowships, studentships, medals, prizes and certificates on the recommendations of the Academic Council;
- c. To approve starting of new programmes of study leading to degrees and diplomas;
- d. To determine pay packages to attract and retain quality faculty and staff;
- e. To assess justification / necessity of foreign travel by faculty; and
- f. To perform such other functions and form such committees, as may be necessary and deemed fit for the proper development, and fulfilment of the objectives for which the institution has been declared as autonomous.

#### **5. TEQIP-Related Functions:**

- a. To take all policy decisions with regard to smooth, cost effective and timely implementation of the Institutional project;
- b. To form, supervise and guide various Committees required for project implementation and internal project monitoring;
- c. To ensure overall faculty development;
- d. To enable implementation of all academic and non-academic Institutional reforms;
- e. To ensure proper utilization of Project funds and timely submission of Financial Management Reports (FMRs) and Utilization Certificates;
- f. To ensure compliance with the agreed procedures for procurement of Goods, Works and Services and Financial Management;
- g. To ensure compliance with other fiduciary requirements under the Project such as Equity Assurance Plan (EAP), Environment Management Framework (EMF) and Disclosure Management Framework (DMF), and
- h. To monitor progress in the carrying out of all the proposed activities, resolve bottlenecks, and enable the Institution to achieve targets for all key indicators.