

# NATIONAL REPORT

ON

## GOOD GOVERNANCE INITIATIVES AND PRACTICES UNDER TEQIP-II

Prepared by

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## PREFACE

The National Report describes various aspects of the *Good Governance Programme (GGP)* initiated under Phase II of the Technical Education Quality Improvement Programme (TEQIP-II) of the Government of India launched with financial and administrative support of the World Bank during 2010-16. As it became clear during the implementation of TEQIP-I (2003-09) that *good governance* is crucial to achieving quality improvement in technical education institutions, serious efforts were made to sensitize, educate and train the management and faculty of all the 191 TEQIP-II institutions in planning, organizing and monitoring the processes and procedures required for *good governance*. This included the preparation of *TEQIP Good Practice Guide for Governing Bodies* useful to TEQIP-II institutions, constituting an Expert Advisory Group of Indian and International Experts to guide the institutions in *good governance*, integrating the work of Mentors/Performance Auditors to support *good governance*, conducting Learning Forums for Governing Body members and Heads of TEQIP-II institutions and launching the TEQIP Website ([www.teqipgoodgovernance.in](http://www.teqipgoodgovernance.in)) providing useful information to the institutions.

These aspects have been captured in the six sections of the Report. Beginning in Section 1 covering autonomous institutions as key to good governance, the current situation in the country including institutional diversities and the need and means for *Good Governance Programme (GGP)* under TEQIP has been introduced. Governance at Technical Institutions is then covered in Section 2 bringing out the strategies followed under *GGP*, the role and functions of Governing Bodies, their responsibilities and the benefits accruing to the institutions. This is followed by a discussion on Good Governance Initiatives in Section 3 giving various initiatives taken under TEQIP-II, such as the drafting of Governance Guidelines' Documents, conducting Governance Self Reviews and formulating Governance Development Plans together with examples. Good Practices Established, are then described in Section 4 together with reforms introduced at a number of TEQIP-II institutions. A few Lessons Learnt, are then covered in the next Section along with challenges faced for ushering in good governance at technical institutions, with the hope that these can be taken care of, by the sincere efforts and leadership of the respective Governing Bodies. At the end in Section 6, the Concluding Remarks give a SWOC analysis and a few other remarks including recommendations on the subject covered with a peep into the future, particularly to guide in better implementation of TEQIP-III being launched from 2017-18 and consolidating the gains from the earlier TEQIP phases. Wherever possible, data and information gathered from the experience of TEQIP-II institutions in their journey towards *good governance* have been used to supplement the presentation in the National Report.

As the quality, standard and relevance of academic programmes at a technical institution are intimately linked with its governance structure, the importance of *good governance* of the institution to enhance these outcomes has been brought out. It is hoped that the Report will be of use to technical education planners, implementers and educational institutions in India. The cooperation received from TEQIP-II institutions and NPIU officials in preparing the Report is gratefully acknowledged.

B. S. Sonde and R. P. Agrawal

# 1. INTRODUCTION

## 1.1 Good Governance Programme under TEQIP

### **(a) Background:**

Recognizing that the Indian technical education system had become large and unwieldy with over 3500 degree level institutions and annual intake of about 1.5 million students leading to many quality deficiencies among the engineering graduates, the Government of India had launched the Technical Education Quality Improvement Programme (TEQIP) in the country in 2003. This programme to be implemented in three phases with financial and administrative support from the World Bank had the main objective of systemic transformation of technical education in the country with focus on degree level engineering education.

### **(b) TEQIP-I:**

The first phase i.e., TEQIP-I, covered 127 institutions including 109 from 13 States/UTs and 18 Centrally Funded Institutions (CFIs) with each institution provided with good funding and many incentives to progress at a rapid pace by implementing a set of well-defined reforms promoting academic and administrative autonomies. This has enabled the institutions to improve their curriculum, teaching, assessment and expand research and related activities. Autonomy and accountability reforms took place through the creation of Board of Governors (*BOG*) in each case, as each institution took the first step towards autonomous governance and accountability. Further, TEQIP-I funds could be invested by the institutions for faculty development, attending national and international conferences, procuring modern laboratory/ research equipment and expanding/ improving their physical infrastructure. Periodic mentoring and performance auditing by the experts appointed and close monitoring of the institutions by the State/Central Government and the World Bank have helped them to achieve good successes. Notable achievements in the period 2003-09 of TEQIP-I include: Improvement in the percentage-placement of graduates (from 41% to 78%), Increase in the number of research papers published (from 453 to 4273), growth in the number of PGs passing out (from 7,218 to 10,571) and of Ph.D.'s

produced (from 342 to 587) and increase in the percentage of programmes accredited (from about 40 to 93).

**(c) TEQIP-II:**

The second phase, i.e., TEQIP-II was launched in 2010 for the period 2010-16. This was more ambitious than TEQIP-I as it covered 191 engineering institutions including 164 from 23 States/UTs and 26 CFIs. The strategy adopted here involved further strengthening of institutional and systemic reforms to achieve the goals set, with the activities following the same principles as of TEQIP-I and beefing up the implementation with rigorous/detailed monitoring including mentoring and performance auditing. Further, the scaling up of capacity-building of Government officials, Governing bodies (GBs), Directors and Faculty, the boosting up of efforts in producing more PG-level engineers to reduce faculty shortages and the taking up of more R&D work and collaboration with industry were also given priority. Mainly the TEQIP-II objectives focused on two Components of participating institutions, viz., Component 1: *Improving the quality of education*, and Component 2: *Improving the System management*. These covered improvements in:

- Quality of education imparted;
- Faculty development;
- Institutional reforms;
- Access to knowledge resources;
- Breadth and depth of R&D activities; and
- Employability of graduating students.

Here again, substantial funding and incentives were provided to the institutions and their progress in fulfilling the objectives laid down was facilitated similarly as under TEQIP-I.

**(d) Good Governance Programme:**

Learning from the experience gained under TEQIP-I and recognizing that a combination of *strong leadership and good governance* can greatly benefit the institutions in achieving the objectives listed above, it was decided to initiate the *Good Governance Programme (GGP)* under TEQIP-II. Under *GGP*, TEQIP-II had put in place a few initiatives to support the project institutions like,

- (i) Bringing out a Good Practice Guide for *GBs*.
- (ii) Providing supplementary material on *good governance*.
- (iii) Designing and uploading an informative *good governance website*.
- (iv) Integrating the work of Mentors/Performance Auditors to support *good governance*.
- (v) Constituting an Expert Advisory Group (*EAG*) comprising both Indian and International experts to monitor the programme and provide advice.

Through these initiatives, it has become possible to take-up many value additions related to *good governance* under TEQIP-II such as:

- Creating a sound, ethical and sustainable strategy, acceptable to the institution as a whole and to other key stakeholders;
- Overseeing implementation of this strategy through well-planned processes in an open, transparent, honest manner; so essential to assert autonomy;
- Embracing good practices by the *GB* to accept unequivocally their own collective and individual responsibilities;
- Facilitating *GB* decisions to be rational, informed and transparent, leading to high efficiency/effectiveness to support/foster quality education and research;
- Ensuring that natural justice, fairness, ethical conduct, avoiding parochialism/favoritism and such other features, are woven into institutional governance;
- Learning of the best practices from other institutions through sharing of expertise/experience in institutional governance.
- Encouraging the institutions to embed some of the more important Good Governance Guidelines into their Statutes/Ordinances, to the extent possible.

Important aspects of the *GGP* including its achievements, successes, concerns and challenges are described in this National Report.

## **1.2 Institutional Diversities Influencing Governance**

As can be seen from the list of 191 institutions included under TEQIP-II, they belong to a wide range of categories with each one having its own organizational structure for governance. The categories cover: State/Central Universities (Departments/ Constituent colleges and Affiliated/Autonomous colleges-Government funded/Government Aided/Private Self-financing types), State Private Universities (Departments/ Constituent colleges), Deemed to be Universities (Government funded,

Government Aided and Private/Self-financing types- Departments/ Constituent colleges) and Centrally Funded Institutions including National Institutes of Technology and other institutions of national importance. The factors differentiating the governance systems at these institutions can be seen from the composition of GBs of a few major categories of institutions participating in TEQIP-II as presented in Table 1, especially the University level institutions.

**TABLE 1: GOVERNANCE OF HIGHER EDUCATION INSTITUTIONS IN INDIA**

**Composition of Governing Bodies**

S. No.	Institution	Membership Category/Nature
1	Deemed to be Universities (covering all types, Government funded, Government Aided and Private Self-Financing)	<p>Board of Management (BOM)</p> <p>a) Vice Chancellor (Ex-Officio) 1</p> <p>b) Pro-Vice Chancellor (Ex-Officio) (wherever applicable) 1</p> <p>c) Deans of Faculties (Ex-Officio) (by rotation, on seniority) 2</p> <p>d) Eminent academics (nominees of Chancellor) 3</p> <p>e) Eminent academic (nominated by Central Government in consultation with the UGC) 1</p> <p>f) Teaching Staff, Professors/Associate Professors (by rotation, on seniority) 2</p> <p>g) Nominee of the Sponsoring Body 1</p> <p style="text-align: right;">Total: 11</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. BOM: Principal Executive Body of the Institution, constituted for a 3- year term at a time, with its nominated teaching staff having a tenure of membership of 2 years;</li> <li>2. Chairman of the BOM : Vice Chancellor (Ex-Officio);</li> <li>3. Secretary of the BOM: Registrar(Ex-Officio);</li> <li>4. Powers and Functions of the BOM: As prescribed in the UGC (Institutions Deemed to be Universities) Regulations- 2016 notified in the Govt. of India Gazette</li> <li>5. The above composition recommended in the case of Central/State Government unitary Universities also. .</li> </ol>
2	State Private Universities (Established as per its relevant State Act)	<p>Board of Governors (BOG)</p> <p>a) Chancellor- Chairperson 1</p> <p>b) Pro Chancellor (Ex-Officio) 1</p> <p>c) Vice-Chancellor (Ex-Officio) 1</p> <p>d) The Principal Secretary to Govt. or nominee not below Deputy Secretary rank 1</p> <p>e) One expert from the field of management finance or any other specialized area nominated by Govt. 1</p> <p>f) Three persons nominated by Sponsoring Body of whom one to be woman and one to be external to the Body 3</p> <p>g) One Pro Vice-Chancellor to be nominated</p>

		<p>by the Chancellor on rotation 1</p> <p>h) One eminent academic nominee of UGC 1</p> <p style="text-align: right;">Total:10</p> <p><b>NOTE:</b></p> <ol style="list-style-type: none"> <li>1. <i>BOG: Principal Executive Body of the Private University constituted for a 3- year term at a time, with its nominated members having a tenure of membership of 2 years;</i></li> <li>2. <i>Chancellor: Chairperson of the Sponsoring Body or an eminent Scientist/Technologist/ Industrialist;</i></li> <li>3. <i>Secretary of the BOG: Registrar(Ex-Officio);</i></li> <li>4. <i>Powers and Functions of the BOG: As prescribed in the relevant University Act and its Statutes.</i></li> </ol>
3	Government Autonomous Engineering Colleges	<p style="text-align: center;"><b>Governing Body (GB)</b></p> <p>a) Eminent Educationist/Industrialist/Professional 1 (Chairperson)(appointed by the State Government)</p> <p>b) Persons of proven academic interest with PG level 2 qualifications (appointed by the State Government)</p> <p>c) Teaching Staff of the College(by rotation) 2 (nominated by the Principal, on seniority basis)</p> <p>d) Nominee of the UGC 1</p> <p>e) Nominee of the AICTE 1</p> <p>f) Nominee of the State Government 1</p> <p>g) Nominee of the Affiliating University 1</p> <p>h) Principal of the Autonomous College (Ex-Officio) 1</p> <p style="text-align: right;">Total: 10</p> <p><b>NOTE:</b></p> <ol style="list-style-type: none"> <li>1. <i>GB: Principal Executive Body of the College, constituted by the State Government for a 5- year term at a time, except for nominated members having a 2-year term;</i></li> <li>2. <i>Chairperson of the GB: Appointed for the full term of 5-years by the State Government;</i></li> <li>3. <i>Member-Secretary of the GB: Principal (Ex-Officio);</i></li> <li>4. <i>Powers and Functions of the GB: As prescribed in the UGC Guidelines for Autonomous Colleges (2014).</i></li> </ol>
4	University Constituent Autonomous Engineering College	<p style="text-align: center;"><b>Governing Body (GB)</b></p> <p>a) Eminent Educationist/Industrialist/Professional 1 (Chairperson)(appointed by the University)</p> <p>b) Persons of proven academic interest with PG 2 qualifications (appointed by the University)</p> <p>c) Teaching Staff of the College(by rotation) 2 (nominated by the Principal, on seniority basis)</p> <p>d) Nominee of the UGC 1</p> <p>e) Nominee of the AICTE 1</p> <p>f) Nominee of the State Government 1</p>

		<p>g) Nominee of the Affiliating University 1  h) Principal of the Autonomous College (<i>Ex-Officio</i>) 1</p> <hr/> <p style="text-align: right;">Total 10</p> <p><b>NOTE:</b></p> <ol style="list-style-type: none"> <li>1. <i>GB: Principal Executive Body of the College, constituted by the University for a 5- year term at a time, except for nominated members having a 2-year term;</i></li> <li>2. <i>Chairperson of the GB: Appointed for the full term of 5-years by the University;</i></li> <li>3. <i>Member-Secretary of the GB: Principal (Ex-Officio);</i></li> <li>4. <i>Powers and Functions of the GB: As prescribed in the UGC Guidelines for Autonomous Colleges (2014);</i></li> </ol>
5	Private Management Aided/Un-aided Autonomous Engineering College	<p style="text-align: center;"><b>Governing Body (GB)</b></p> <p>a) President/Chairperson of Sponsoring Trust  1 (<i>Chairperson</i>)(<i>appointed by the State Government</i>)</p> <p>b) Members of the Sponsoring Trust  4 (<i>nominated</i> by the Management)</p> <p>c) Teaching Staff of the College(<i>by rotation</i>)  2  (<i>nominated by the Principal, on seniority basis</i>)</p> <p>d) Eminent Educationist/Industrialist  1  (<i>nominated by the Management</i>)</p> <p>e) Nominee of the UGC  1</p> <p>f) Nominee of the AICTE  1</p> <p>g) Nominee of the State Government  1</p> <p>h) Nominee of the Affiliating University  1</p> <p>i) Principal of the Autonomous College (<i>Ex-Officio</i>)  1</p> <hr/> <p style="text-align: right;">Total 13</p> <p><b>NOTE:</b></p> <ol style="list-style-type: none"> <li>1. <i>GB: Principal Executive Body of the College, constituted by the Management(sponsoring Trust) for a 5- year term at a time, except for nominated members having a 2-year term;</i></li> <li>2. <i>Chairperson of the GB: Appointed for the full term of 5-years by the Sponsoring Trust;</i></li> <li>3. <i>Member-Secretary of the GB: Principal (Ex-Officio);</i></li> <li>4. <i>Powers and Functions of the GB: As prescribed in the UGC Guidelines for Autonomous Colleges (2014)</i></li> </ol>

### 1.3 Autonomous Institutions-Key to Good Governance

It is well known that institutional autonomies can be of four types, viz., academic, financial, administrative and managerial. Of these, institutions under

TEQIP-II need to have the full academic autonomy for being able to bring about the various reforms envisaged under the project. It is essential that each such institution has a certain level of financial autonomy also in the case of Universities and autonomous colleges and fairly high levels of administrative and managerial autonomies as well. These requirements have been insisted upon as pre-conditions at each institution identified for TEQIP-II support even before its selection by specifying that the institution needs to have the UGC approved autonomy already or should have demonstrated its capability to get such status within two years of coming under TEQIP-II and the other autonomies could follow this in a defined time-frame. This is because institutional governance is closely connected with these autonomies and *good governance* can be practiced only here. In such a situation, the *GB* can enable the institution to progress on the right lines as demonstrated by:

- Excellence in teaching-learning and research contributions.
- Adaptation of academic framework responsive to stakeholders' needs.
- Implementing strong PG and research programmes.
- Students' learning outcomes in tune with employers' expectations.
- Faculty development strongly linked to institutional processes/aspirations.
- Good ICT adaptation to enhance students' learning and faculty competence.
- Enhanced capabilities in sponsored R&D, consultancy and IPR generation.
- Strong academic leaders/administrators driving institutional aspirations.
- Substantial (>30%) internal revenue generation (other than tuition/other fees) to meet part of its annual expenditure.
- Contribution to socio-economic development through entrepreneurship and innovation.

In view of these possible benefits, it has become necessary for each TEQIP-II institution to have at least some degree of autonomy in its functioning. Table 2 gives the State/UT-wise distribution of TEQIP-II institutions along with their autonomy status in the current year 2016-17. It is useful to note from the Table that not all TEQIP-II institutions have the UGC-approved autonomy as required under the Programme even at the time of its conclusion. Such a situation is not acceptable as these institutions will not be able to introduce the well-needed reforms in the absence of *good governance*. It can be seen from Table 2 that five States/UTs have no UGC-approved

autonomous institutions at all and in the four other States/UTs the number of TEQIP-II institutions having such autonomy is inadequate. This calls for an urgent strategy to remedy the situation so that all the eligible engineering institutions in the country under TEQIP or otherwise are enabled to seek and get academic autonomy for benefitting from the *good governance programme* in the near future. The strategy may include:

- Encouraging/assisting engineering institutions in all the 31 States/UTs of India to speed up their efforts to get autonomy.
- Sensitizing/mentoring Universities/Stakeholders in the above 5+4 States/UTs having weak autonomy culture to give top priority to correct this.
- Making serious efforts to cover more number of institutions in the remaining States/UTs so as to achieve 100% success in achieving autonomy.
- Taking up with the Central/State Governments/Universities concerned for urgent attention to grant autonomy to all other *eligible* technical institutions.
- Regular monitoring of progress both at the National and the State levels, to fulfill the outcomes of this strategy in a time-bound manner.

**TABLE 2: AUTONOMOUS INSTITUTES UNDER TEQIP-II, STATUS IN 2016-17**  
(Data extracted from UGC & NPIU Websites, February 2017)

S. No.	State	No. of TEQIP Institutions			No. of TEQIP Autonomous Colleges (UGC approved)	No. of TEQIP Universities/ Departments/ Constituent Colleges*	No. of Other TEQIP Institutes	Remarks on autonomy at TEQIP institutions
		1.1	1.2	Total				
1	Andhra Pradesh	05	06	11	08	03	Nil	Satisfactory
2	Bihar	02	--	02	Nil	Nil	02	Unsatisfactory
3	Chhattisgarh	04	--	04	Nil	Nil	04	Unsatisfactory
4	NCT-Delhi	-	01	01	Nil	01	Nil	Satisfactory
5	Gujarat	07	--	07	01	Nil	06	Low level
6	Haryana	03	03	06	01	05	Nil	Satisfactory
7	Himachal Pradesh	01	--	01	Nil	Nil	01	Unsatisfactory
8	Jharkhand	01	01	02	Nil	01	01	Satisfactory
9	Karnataka	04	15	19	17	01	01	Satisfactory

10	Kerala	19 -- 19	Nil	01	18	Low level
11	Madhya Pradesh	03 02 05	02	01	02	Satisfactory
12	Maharashtra	07 10 17	10	05	02	Satisfactory
13	Odisha	02 -- 02	Nil	Nil	02	Unsatisfactory
14	Punjab	07 01 08	03	03	02	Satisfactory
15	Rajasthan	09 -- 09	Nil	01	08	Low level
16	Tamil Nadu	05 04 09	07	02	Nil	Satisfactory
17	Telangana	09 05 14	11	01	02	Satisfactory
18	Tripura	01 -- 01	Nil	Nil	01	Unsatisfactory
19	UT- Chandigarh	02 01 03	Nil	03	Nil	Satisfactory
20	UT- Puducherry	01 -- 01	01	Nil	Nil	Satisfactory
21	Uttar Pradesh	02 05 07	04	03	Nil	Satisfactory
22	Uttarakhand	01 02 03	02	01	Nil	Satisfactory
23	West Bengal	11 03 14	03	04	07	Low level
	<b>Total</b>	<b>105 59 164</b>	<b>69</b>	<b>36</b>	<b>59</b>	--
	CFIs		No. of NITs	Other CFIs(No.)		--
24	NITs	03 16 19	19	-	-	Satisfactory
25	Others	05 02 07	-	07	-	Satisfactory
	<b>Total</b>	<b>08 18 26</b>	<b>19</b>	<b>07</b>	-	--
	<b>Grand Total</b>	<b>114 77 191</b>	<b>89</b>	<b>43</b>	<b>58</b>	--

- Universities *autonomous*, but their constituent units may not be!

#### 1.4 National Report Objectives

The primary objective of this National Report on TEQIP-II Good Governance - Initiatives and Practices is to place on record the various initiatives launched under the project to develop *good governance* at various engineering institutions including technical/other Universities and NITs, discuss the best practices established, bring out their achievements, successes, concerns and challenges ahead. It is hoped that the Report will be of use to all TEQIP-II institutions in the country in their pursuit of

systemic reforms and transformations and also to those institutions aspiring to join TEQIP-III for taking preparative steps. Besides, planners/ implementers of technical education and all other technical institutions in the country may also find the Report useful for improving their governance which in turn should lead to their enhanced performance.

The Report is divided into six Sections covering different aspects of governance issues in technical education. After Section 1 which is an *Introduction*, the *Governance at Technical Institutions* is presented in Section 2. This is followed by Section 3 on *Good Governance Initiatives* and Section 4 on *Good Practices Established*. The *Lessons Learnt* is then discussed in Section 5, followed by Section 6 giving the *Concluding Remarks*. References to literature and List of Abbreviations are then given in Sections 7, 8. This is followed by an Executive Summary of the Report, supplemented by data/information on the subject in the Appendixes I-VII at the end. A few photographs relating to the Programme are also included in the Report for completion.

## **2. GOVERNANCE AT TECHNICAL INSTITUTIONS**

### **2.1 Governance Strategies**

#### ***(a) Role of Mentors/Performance Auditors:***

As achieving effective good *governance* at all levels is critical to achieving high quality and standard in academic processes to improve the teaching-learning and research outcomes of technical institutions, their quality of governance has assumed much importance in recent years. At its core, *governance* is related to how an institution measures itself and how it intends to grow in the future. A well-run institution instills confidence and respect from students, faculty, and the larger community. Yet, *governance* of engineering institutions is a challenge, as majority of them have limited autonomies in functioning, particularly administrative, managerial and financial, resulting in their inability to take key decisions affecting their operations and performance. Recognizing this, *Mentors* appointed to guide/assist each TEQIP-II institution and the *Performance Auditors* appointed to conduct performance audit of each such institution as per the provisions in the TEQIP Handbook for Mentors and Performance Auditors (March 2013) were required to give specific attention to governance-related issues during their *mentoring and performance auditing* visits. Therefore, discussions with the Chairperson/Members of *GB*, Head of the institution

and other stakeholders on governance matters and reporting of the advice given and observations on the progress made on this subject were part of the *Mentor's Report*. Also the formal assessment of performance of the institution on governance issues after reviewing the status and discussing with the functionaries concerned at the institution were part of each *Performance Audit Report*. Evidently, the latter *Report* had to be more in detail than the former *Report*. Relevant sections of the format of the latter *Report* are given in Appendix I to indicate the support to *good governance* expected from this *Report*. These steps have indeed benefitted the TEQIP-II institutions in improving their governance practices. As can be seen from Appendix I, *Performance Audit Report* can be highly useful to the institution in this endeavour, but at the same time, it is more demanding and requiring more attention to ensure its quality and standard. The assessment practice recommended here is on a three-point grading scale as given in Table 3 which is of much help in maintaining and monitoring the progress of *good governance* at TEQIP-II institutions on a regular basis as envisaged earlier.

**TABLE 3: INSTITUTIONAL PERFORMANCE GRADES AND GRADE DESCRIPTORS**

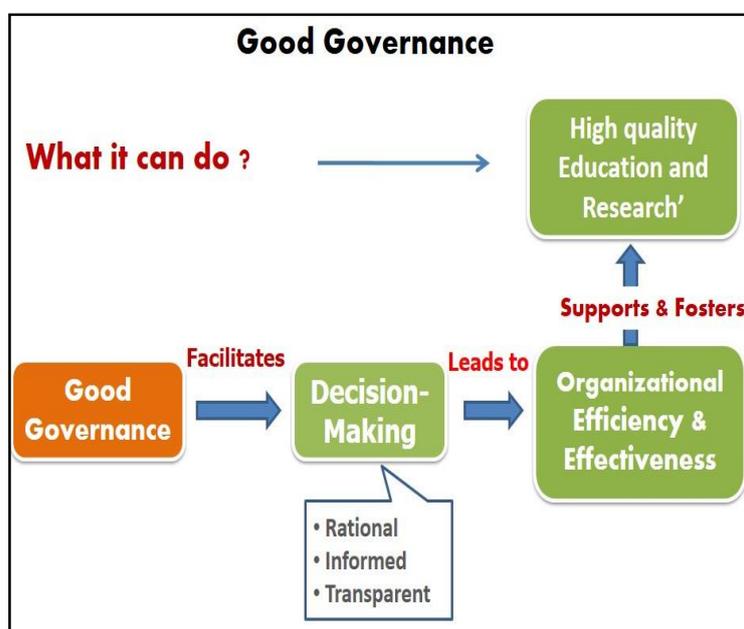
1.	<b>Substantial evidence of good practice</b> in the quality and standards achieved (Assessment identifies clear supporting evidence for at least 75% of the relevant practices.)
2.	<b>Some evidence of good practice</b> in the quality and standards achieved (Assessment identifies clear supporting evidence for at least 50% of the relevant practices.)
3.	<b>Not in place</b> (Institutions may specify the expected date of completion if there are concrete plans in place for implementation.)
	<b>NOTE: SUPPORTING EVIDENCE - PERFORMANCE AUDITORS WILL PROVIDE A BULLET POINT LIST OF THE STRONGEST, CLEAREST EXAMPLES OF EVIDENCE IN SUPPORT OF EVALUATION GRADES.</b> The grade descriptors have two elements: one relating to the <b>amount and nature of the evidence</b> for a given practice; and <b>one relating to the quality</b> of the practice about which the evidence is gathered.

As nearly 90 *Mentors/PAs* were required to be engaged in this task to cover all the 191 TEQIP-II institutions, the NPIU/WB had assigned a group of seniors from among the *Mentors and PAs* (in 2014-15) to evaluate all the Performance Audit Reports

before accepting them. This included reviewing each PA Report for completeness, consistency & relevance, details & specificity, meticulousness and feedback clarity and grading it under three categories of Reports, viz., 'A' – Good, 'B'- Average and 'C'- Poor. The Evaluators were also asked to indicate changes if any, needed in each Report before it could be sent to the institution. While 'A' category Reports could be accepted as 'Completed Reports' directly, both 'B' and 'C' category Reports needed to be revised/ improved based on the changes suggested by the Evaluators. These measures were helpful in ensuring the quality and standard of PA Reports as expected, which in turn enabled the institutions to progress satisfactorily in the good governance area.

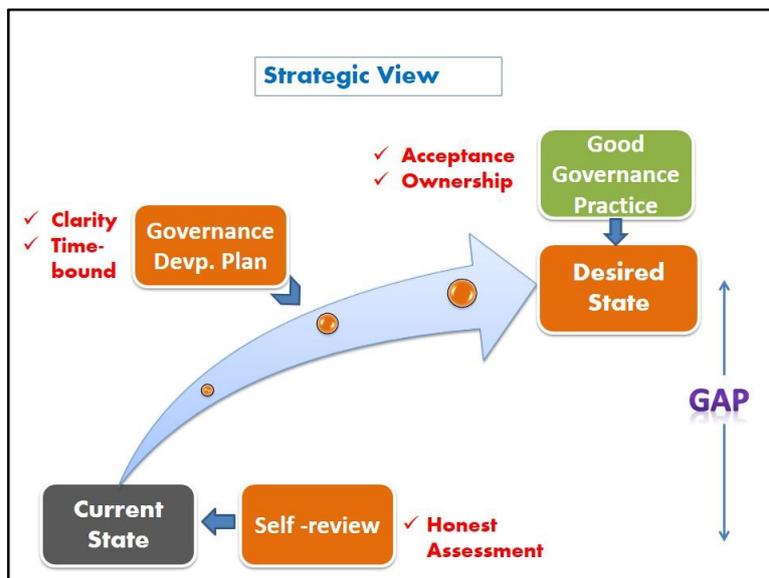
**(b) Good Governance Learning Forums:**

Initiating further steps on this subject, the TEQIP-II GGP was launched in 2012 for the two-year period 2013-14 covering all the project institutions. This was perhaps a good strategy as the Programme had the mandate to demonstrate how good governance supports improved institutional performance and it relates to strong leadership



and effective management. Under this Programme, each project institution was required to establish a governance model that would hold the institution accountable to all its stakeholders. A GB often designated as Board of Governors (BOG) or Board of Management (BOM) as referred to in Table 1 was required to be constituted at the institution as its highest Authority to take care of its governance requirements. Besides, the focus was on institutions helping one another by willingly sharing their experiences and engaging in self-review recognizing the importance of identifying and supporting governance-development needs and most importantly implementing their good governance.

It was expected that this would enable seeking support to strengthen the capacity of GB/BOG/BOM to carry out its duties in guiding and overseeing the activities of the institution concerned and developing effective governance for its long-term development. As part of the GGP, six *Learning Forums*



were arranged at New Delhi in the above period by NPIU with the cooperation of the WB for 50-60 participants at each session. The attendees of *Learning Forums* belonged to TEQIP-II institutions covering: GB Chairman/Members, Heads of institutions and other senior faculty and also SPFU Officials from the participating States/UTs. The GGP facilitators were drawn from amongst EAG members (comprising experts in higher/technical education), faculty of India's top management institutes (IIMs), international consultants from the WB and NPIU/WB staff. Each *Learning Forum* was supported by the following publications / materials brought out under the TEQIP GGP which were made available to the attendees:

- The TEQIP Good Practice Guide for Governing Bodies.
- TEQIP GGP 2013-14 (promoting the development of three institutional outputs: *Self Review, Governance Development and Governance Guidelines*).
- TEQIP Good Governance website ([www.teqipgoodgovernance.in](http://www.teqipgoodgovernance.in)) and resources.
- Encouraging 'Better Governance through TEQIP Management Capacity Enhancement Programme'-Common curriculum.
- Experience from past Good Governance *Learning Forums*.

And, the programme of each *Learning Forum* planned typically over two days included:

- Plenary presentations.
- Interaction with expert facilitators at various stages of the programme.

- Individual/small group work with focused tasks based on institutional needs.
- Feedback by participants to the Plenary to share lessons and key outcomes.
- Peer group interaction throughout the programme



**(c) Learning Forum Outcomes:**

These *Learning Forums* have enabled the participants to have the following items as ‘take-away’ at the end, so that the institutions could derive benefit from the deliberations held:

- An increased understanding of *good governance* and how to implement and embed this into institutional practice.

- How to access a range of *governance development tools* to support their specific needs.
- An understanding of how their institutional practice compares to other similar types of institutions.
- A clear agenda for action with a few specific areas of action identified to improve the governance practice.

The *Learning Forum* outcomes included the following main learning opportunities for everyone concerned with the *Forums*:

- Participants: to gain/share knowledge and information on current governance practices and to benchmark those



practices against others and how *good governance* supports leadership, management and institutional policies.

- Facilitators: to learn about the institutional needs and how best these can be supported.
- *EAG*: to learn about TEQIP-II institutional capacity to implement and embed *good governance*.
- IIMs: to learn how best they can incorporate *good governance* into their Management Capacity Enhancement programmes.

- MHRD/NPIU/SPFUs/WB: to learn how TEQIP-II can more effectively support ways to improve institutional performance and delivery of the project objectives and to understand the areas where they have not been able to make a dent especially with respect to certain State-level institutions.



## 2.2 Governing Bodies

As seen from Tables 1 and 2, there are different types of technical institutions participating in TEQIP-II and each type of institution has a prescribed structure for its *GB*. The main features of a typical *GB* include:

### (a) *Composition:*

- The *GB* to be able to establish a governance model that will hold each institution accountable to stakeholders: Government, civil society, industry.
- The *GB* to be responsible for ensuring effective management of the institution and planning for its future development.
- The composition of *GB* to follow *UGC Regulations/Guidelines, University Statutes or NIT Act* as the case may be, all being amended up to date.
- The appointment of Chairperson/Members of *GB* to be usually done by the sponsoring Government or by the institution itself through a due procedure.

- In all the cases, *GB* to be preferably headed by an eminent industrialist/ engineering education expert/administrator.
- Nominated independent members to be preferably given shorter tenure, rotated at each reconstitution with care taken to avoid '*Conflict of Interest*'.



- Each *GB* to have at least one alumnus and one woman as nominated members to ensure proper representation for its stakeholders.
- The *GB* as existing or being constituted now/later to be acceptable to the Authorities granting the Autonomous Institution status.
- The *GB* to evolve a methodology to interact with those stakeholders having no direct representation in the governance, e.g., other experts, students.
- A few other desirable aspects of *GBs* of State Universities(unitary/other), Departments, Centres, Constituent Colleges and other Units, which may require UGC/AICTE consideration are:
  - Chairperson to be external to the University and not the Vice Chancellor as normally provided for in the Statutes, for better institutional governance.
  - Such a measure enables proper review of performance of the Head of the Institution when required and orderly functioning of its Authorities.
  - Besides, this facilitates the Chairperson to participate in the selection of senior Officers like Head of the Institution, Registrar and the like.
- Other desirable aspects of *GB* meetings in all institutions include associating a few student representatives as *invitees* to receive their inputs/view-points.

**(a) Member Qualities:**

As each *GB* will have both Ex-Officio and independent members nominated/ appointed to serve on this *Body*, it would be desirable for each member to fulfill the following requirements:

- Absolute integrity, objectivity and impartiality.
- Capacity to work effectively at the *GB* level and fill an identified skill-gap.
- Ability to think strategically and critically for achieving the *GB* objectives.
- Commitment to the institution and to devote quality time (1-2 hrs/ wk.) for *GB*.
- Patience to learn the views and concerns of students, faculty and other staff.
- Keenness to strengthen the stakeholders' relationship with the institution.
- Openness, transparency and accountability in all matters connected with *GB*.
- Good aptitude for teamwork and leadership initiatives.
- Willingness to undertake the assigned responsibilities in the working of *GB*.
- Receptivity to stakeholders' feedback to improve one's role in the *GB*.
- Ability to question intelligently, debate constructively, challenge rigorously and decide dispassionately.

Besides, each *GB* member needs to have good experience covering a wide range of academic and professional issues and problem solving abilities for the *GB* to:

- Have a balance of skills, experiences and competencies, putting aside personal interests.
- Function as a well-knit unit almost like in the case of *Corporate/Public Sector* world.
- Exercise senior managerial responsibility in relation to *finances, personnel and society*.
- Apply modern managerial practices/systems for *strategic planning and implementation*.
- Benchmark performance of the institution against comparable institutions worldwide to *enhance its stature*.

**(b) Meetings:**

- The *GB* meetings to be held at least four times in a year or more often as may be required.
- The *GB* to regularly monitor its own effectiveness and institutional performance through suitable reviews.
- The *GB* to also review the performance indicators in the key result areas and initiate the needed rectification steps.

- The *GB* members to be regularly/frequently updated on ATRs relating to *GB* decisions at previous meetings.
- The Agenda for *GB* meetings to be available to members 10-15 days in advance.
- Each *GB* meeting Agenda to include the progress made for implementing the strategic, plan for achieving the institutional Vision and Mission.
- The Minutes of all *GB* meetings to be circulated among members promptly, with all the relevant papers being uploaded on the Institution's website.
- Each *GB* meeting to be conducted by adhering to the highest standards of good behavior among the members.
- Each such meeting to be able to attract the respect and admiration of all stakeholders and the society at large.
- All new *GB* members to be properly oriented/ inducted into the *GB*, so that they can make effective contribution to the institution from the beginning itself.
- Periodic visits to institution's Departments/Facilities and/or presentations by HODs/faculty to be arranged for the Chairperson and members of *GB*.

### **2.3 GB Functions and Responsibilities**

Each *GB* of a technical institution is required to serve as the custodian of values, purpose and mission of the institution. In particular, the *GB* needs to have the following functions and responsibilities:

#### **(a) Major Functions:**

These include, but not limited to:

- Approving the institutional *vision, mission and strategic plan*.
- Ensuring setting up/monitoring of proper system of controls & accountability.
- Monitoring institutional performance and quality assurance arrangements.
- Approving the Annual Report, Annual Accounts/Audit Reports.
- Responding promptly to queries raised by the statutory auditors/authorities.
- Overseeing/monitoring the performance of Head of the Institution.
- Ensuring compliance by the institution of all relevant regulatory requirements.
- Performing academic/administrative/financial functions with transparency.

**(b) Major Responsibilities:**

- To delegate academic/financial/administrative powers to various functionaries for streamlining the operations by framing rules/procedures for accountability.
- To form committees/sub-committees/advisory-committees in needed areas to support the functioning of *GB* and empowering the Head of the Institution.
- To have financial autonomy with regard to preparation, sanctioning and spending the budget for achieving the objectives of the institution.
- To have the powers to appropriate the funds and to re-appropriate the same under certain circumstances.
- To evolve proper rules and procedures for exercising its powers as per the MOA/Government Orders/Regulations.
- To delegate the financial powers to different levels of functionaries with sufficient safeguards built in, for efficient discharge of their functions.
- To delegate financial/administrative powers to the faculty for conducting R&D projects, consultancies, continuing education, conferences/seminars etc.
- To evolve norms for operating the following *major funds* established at the institution and also for operating the recurring expenditure:
  - Corpus Fund
  - Faculty Development Fund
  - Equipment Replacement Fund, and
  - Maintenance Fund
- To take steps to formulate and bring out the *Governance Guidelines Document (GGD)* of the institution by associating its major stakeholders.
- To ensure that the *GGD* provides guidance in *governance* to everyone concerned at the institution to sustain it over a long period. .
- To advise the institution to conduct *Governance Self-Review (GSR)* regularly based on the review template in TEQIP Good Practice Guide for *GBs*.

**(c) Other Functions:**

- To fix fees/other charges for students as recommended by the Finance Committee (*FC*).

- To institute scholarships/fellowships/medals/prizes as recommended by the Academic Council (AC).
- To approve starting of new programmes of study at the institution leading to degrees and diplomas.
- To determine the pay packages for faculty/staff of the institution to attract them and retain them with an eye on quality.
- To assess the justification / necessity of foreign travel by faculty of the institution for attending to academic/research work abroad.
- To be in touch with institutional stakeholders through regular open house meetings to get feedback from them on its overall performance, and
- To perform such other functions as may be necessary to fulfill the institutional objectives.

#### **2.4 Good Governance Benefits**

As seen from the functioning of many high-performing TEQIP-II institutions, it is clear that *good governance* has the potential to boost their performance. This is because, several benefits accrue to the institution engaged in *good governance*, like:

- Integrity in making appointments at all levels, both external and internal.
- Strong leadership and management skills in all activities of the *GB*.
- Processes in place for monitoring the teaching- learning quality.
- Systems/procedures in place for improvements in the quality of research.
- Lean, competent and caring administration responding to stakeholder' needs.
- Robust/transparent financial system for procurement and audit.
- Effective/transparent mechanisms to determine/fix remuneration at all levels.
- Strong HR processes: appraisal/ development to deal with poor performance.
- Effective student' support arrangements for better on- campus placement.
- Contribution to better performance in accreditation by various Agencies, and,
- Focused awareness of institutional outputs: academic/ research/ extension.

### 3. GOOD GOVERNANCE INITIATIVES

#### 3.1 Governance Guidelines Documents (GGD)

For implementing *good governance*, the TEQIP-II Good Governance Programme had encouraged the project institutions to develop, and make publicly available, clear institutional guidelines in *GGD* form in each case setting out how *good governance* was being practiced by the institution concerned. Based on the TEQIP generic Good Practice Guide for *GBs* referred to earlier, each institution was required to follow the principles and practices specified therein to support institutional *good governance*. It is good to see that a large number of TEQIP-II institutions have done this exercise well, received the advice of the *EAG* and the Facilitators at *Learning Forums* from time to time and at the end have developed their own *GGDs*. Besides, *SPFUs* and *TEQIP Mentors/PAs* have also contributed significantly to oversee and guide the institutions in developing their *GGDs*. These measures have been of much help to the stakeholders, including students and faculty to have a clear understanding of how *good governance* supports institutional performance and development. The production and adoption of *Institutional GGD* covering the good practices imbibed at each institution and drawing on the TEQIP Good Practice Guide for *GBs* has been the primary outcome of the TEQIP-II *GGP*.

##### (a) What are Governance Guidelines?

The *governance guidelines* of an institution:

- Set out the institution's governance processes and practices.
- Are owned by its *GB* and by its major stakeholders-faculty, staff and students.
- Provide a publicly available framework for developing *good governance*.
- Can be updated, improved and approved by *GB* at periodic intervals..
- Constitute the final outcome under TEQIP-II *GGP*.

The model outline structure of *GGD* of an institution follows the template in the TEQIP Good Practice Guide for *GBs*. It includes various sections listed in Table 4.

**TABLE 4: MODEL OUTLINE STRUCTURE FOR INSTITUTIONAL GGDs**

Section	Title
1.	Principles of governance and management (explaining the essential differences)

2.	The role of members of the <i>GB</i> , including the principles of good behaviour and the need to avoid conflicts of interest
3.	The roles of the Chair and of the head of the institution, and the relationship between them
4.	How members and the Chair are appointed?
5.	The Committee structure and the scheme of delegation to those Committees (terms of reference of committees can be in an Annex)
6.	The definition of primary accountabilities and the <i>GB</i> 's approach to them (drawing on pilot institution's model and Good Practice Guide)
7.	Openness and transparency in the functioning of <i>GB</i>
8.	Key attributes of <i>GB</i> , like size, competency, members- appointment and their responsibilities
9.	Effectiveness and performance review of <i>GB</i>
10	Regulatory compliance as may be required from time to time
	ANNEXURES
A	Terms of reference of committees
B	Development plans for all of the functions of the <i>GB</i>

It is a matter of satisfaction that many project institutions have benefitted by this Model Outline and prepared their *GGDs*. Such an initiative has helped each one of these institutions in their mission to become a high performing institution in a short time. A few examples are taken up to illustrate these achievements.

### **3.2 Governance Self Reviews(*GSRs*) and Development Plans(*GDPs*)**

#### **(a) *GSRs*:**

TEQIP-II *GGP* has promoted and encouraged each project institution to carry out its own assessment of current governance practice under the direction of its *GB* as a first step in developing its *GGD*. Importantly, this *self-review* was expected to identify the strengths and also any gaps and areas for development that need to be taken into account prior to undertaking the drafting of the *GGD* by the institutions. To

assist the institutions in this process a simple Institutional Governance Review Template has been developed based on Sections 6-10 in the Model Outline Structure of GGD of Table 4 (elaborated in the TEQIP Good Practice Guide for GBs) which needs to be followed for conducting the GSR. It is good to see that most of the TEQIP-II institutions had prepared their GSRs following this and submitted the same to NPIU during 2013-14. These were then read through by EAG members who offered their valuable advice, comments and suggestions to the institutions. This has enabled the institutions to identify their initial priorities for development arising out of their *self-review* to support the areas they have chosen for improvement in governance practice. A good *self-review* being characterized by a high degree of candour, self-reflection and a keen interest of the institution for continuous improvement, giving an honest and self-critical account of governance practice in the GSR rather than recording mere intentions, can be useful as a development tool. With this in view, examples of GSRs of two pilot institutions were identified by EAG and uploaded on the Website ([www.teqipgoodgovernance.in](http://www.teqipgoodgovernance.in)) for the benefit of TEQIP-II institutions. The pilot institutions were: (i) BVB College of Engineering and Technology (BVBCET), Hubli, Karnataka (Govt. Aided Autonomous Institution under Sub-Component 1.1) and (ii) College of Engineering, Pune (COEP), Maharashtra (Govt. Funded Autonomous Institution under Sub-Component 1.2). These GSRs have been included in Appendix II and III respectively, to indicate the manner in which good institutional *self-reviews* need to be prepared..

***(b) Sharing Experiences:***

The TEQIP-II GGP has actively promoted the sharing of experiences by organizing several *Good Governance Learning Forums* (referred to earlier) so that invited institutional representatives could share their experiences and discuss with members of the EAG and the Facilitators, on specific aspects of good practices to be followed and also of the common gaps, barriers and issues observed. From these deliberations, the institutions were guided to draw from the process of GSR such aspects of good practices and key areas that they need to develop to strengthen their governance procedures. Besides, the institutions were encouraged to help one another in meeting these goals. Their experiences have also been shared with the remaining TEQIP-II institutions through the efforts of SPFUs in their respective regions. These steps have helped the project institutions to become more

knowledgeable and confident for ushering in *good governance* to take advantage of its many beneficial factors and also prepare their institutional *GDPs*.

**(c) *GDPs*:**

As the next step to *sharing of experience*, the project institutions were guided to develop institutional *GDPs* using the accumulated experience gained from their *GSRs*. Here, each *GD* was required to set out the governance development needs at three levels, viz., individual, institutional and systems, prioritized following the self-review. Therefore, the *GDP* had to include institutional initiatives as well as participation in external initiatives that support individual *GB* members to meet the institutional governance development needs, and a discussion of Systems (or State) level support for encouraging *good governance* and finding positive ways of removing barriers that impede institutional progress. In all the cases, proper time targets need to be spelt out for the proposed actions. It may be noted that a good governance system ensures that educational institutions have independent and fully empowered *GBs* with representation from key constituents such as independent members representing industry, the community, faculty and students, whose sole purpose will be to support the mission and objectives of individual institutions. Here again, a majority of project institutions have prepared their *GDPs*, got them reviewed by *EAG* before the same were cleared for further use.

The *GDPs* of both the pilot institutions (referred to earlier) have also been uploaded by *EAG* on the website. The *GDP* of COEP can be seen as a typical example alongside its *GSR* in Appendix III. Based on *GSRs and GDPs* prepared by TEQIP-II institutions, *EAG* encouraged the project institutions to draft their *GGDs*. The *EAG* review of draft *GGDs* enabled the institutions concerned to finalize their *GGDs* and make them acceptable. This is seen in the example relating to BVBCET in Appendix IV. The *EAG* has indeed contributed to proper implementation of *good governance* under TEQIP-II in a significant and time-bound manner as can be seen from its detailed Report of Activities conducted in 2013-14 period, given in Appendix V. At a later time (2015-16), the *GGDs* finally submitted by the project institutions were further subjected to detailed review and evaluation by a panel of senior/expert *PAs* identified for this purpose based on a format and check list given in Appendix VI and the

outcomes were communicated to the institutions concerned for improvements required in the *GGDs*, if any.

**(d) Strategic Plan:**

The Strategic Plan is a major outcome of preparing the *GDP* of an institution. It is a blue print of ‘where the institution wants to go’ on various attributes of institutional excellence as has been emphasized in the *EAG* discussions and in the *Learning Forums*. This has also been well appreciated by the institutions as a large number of them have evolved their strategic plans and publicized the same widely among their stakeholders and also uploaded the same on their respective websites. As a good Strategic Plan needs to contain clear goals and objectives to be achieved in specified time frames with measurable results, the Strategic Plans prepared by the institutions have included each major goal accompanied by an operational plan. The *GBs* at many institutions have ensured that there are governance processes established at the institution concerned for formulation, implementation and monitoring of such planning exercises. Thus *good governance* has added yet another capability to TEQIP-II institutions to take up planning for the future, so essential in an era of rapidly evolving and expanding science and technology developments nowadays.

**3.3 Good Governance Examples**

From among the 191 project institutions, *EAG* had identified two institutions as *pilot institutions*, viz., BVBCET, Hubli and COE, Pune (as indicated earlier) for a detailed study/analysis in the early years of TEQIP-II due to their observed potential for rapid development based on *good governance*. Both these colleges have contributed significantly to the development of *GSRs*, *GDPs* and *GGDs* under TEQIP-II, and their governance documents were also uploaded on the website ([www.teqipgoodgovernance.in](http://www.teqipgoodgovernance.in)) for the use of project institutions as typical examples of *good governance* at technical institutions. Major successes of these two *pilot institutions* can be seen from their profiles as extracted from their relevant documents and given in Table 5.

**TABLE 5: PROFILES OF EAG-IDENTIFIED PILOT INSTITUTIONS  
(BVBCET, HUBLI AND COE, PUNE)**

Institution	Pre-TEQIP-II Profile	Near-end TEQIP-II Profile
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<p>BVB CET, Hubli (Govt. Aided Institution under Sub-Component 1.1)</p>	<p>A tier-II city institution, low visibility to students &amp; industry; Complacent, absence of goals; Spent more time on daily routine; Absence of academic autonomy, exam. Oriented, rigid academics; Just another Engineering College unable to attract high quality students.</p>	<p>Conferred academic autonomy in 2007-08; Strong governance structure-independent members driving strategic direction; Strategic plan prepared with measurable goals, reviewed from time to time; Implemented quality management system to guide BVB leadership to deliver effective processes; Adopted outcome based education frame-work for curricula; Now established leader among top 5 institutes in the State; Attracting top talent &amp; a good brand name; Huge growth in campus activities- hiring, diverse student groups &amp; industry interaction; Driving regional economic development; Centre for Technology Entrepreneurship set up; 24 tech. MSMEs incubated on campus in last 4 years and &gt;400 engineering jobs created in the region.</p>
<p>COE, Pune (Govt. Funded Institution under Sub-Component 1.2)</p>	<p>No academic/financial autonomy; No governance structure; No administrative freedom; Faculty/ staff transferable to any other Govt. college in the State; Faculty recruitment by State PSC ~once in a decade; High % of unfilled-posts; No ownership of institution among faculty/staff; Poor work culture; Almost no powers at COEP level, but high expectations by society at large.</p>	<p>Strong leadership by GB &amp; chair-person; Independent, committed experienced GB members-many skills for strategic plan, academic financial, HR, managerial, industry/alumni connect, building; Bottoms-up Vision, Mission, Goals; Framing rules, policies, procedures. Now dynamic/vibrant campus; Setting up new institute for Entrepreneurship, Leadership and empowering faculty, staff, students; 24X7 availability of on-campus facilities; State of the art Labs set up in all depts.. with industry support; Major curricular reforms done; New faculty added –now &gt;215 from earlier 99 with Ph.D. holders &gt;116 from earlier 12. Great increase in publications in refereed journals and in patents; COEP now a top college in the country under NIRF and many major awards won by faculty and students. Nano- satellite built by students launched by ISRO in July 2016!</p>

## 4. GOOD PRACTICES ESTABLISHED

### 4.1 Good Practices-General

As a result of the initiation of the TEQIP-II *GGP*, a number of *Good Practices* have been introduced at the project institutions, which has greatly helped them to enhance their image and visibility in the society at large through their higher quality, standard, relevance, effectiveness and excellence of programmes/activities. Some examples of these good practices as picked up from the small-group discussions at the *Learning Forums* and the inputs received from the TEQIP-II institutions themselves have been summarized below. It is useful to note that these examples are only indicative of the transformation that is happening now in the institution concerned and by no means a complete listing of the achievements. The examples have been classified and presented under the following seven broad categories for convenience, viz., *Quality of Education, Faculty Capacity Development, Students/ Faculty Research, Sponsored R&D and Consultancy, Employability of Graduates, Access to Knowledge Resources and Institutional Reforms*. It is interesting to note that a combination of strong leadership and good governance at the institutions has been benefitting the institutions immensely.

#### **(a) Quality of Education-Examples:**

- Adopting *Outcome Based Education* frame-work for curriculum design and better learning leading to better success in accreditation by the Accrediting Agencies like NAAC and NBA.
- Introducing *Choice-Based Credit System (CBCS)* with Relative Grading and transparent evaluation of student' performance and award of letter grades at the institution at the end.
- Periodic revision in the curriculum structure/syllabi to keep pace with the technological advances and be contemporary in the programmes conducted at all times.
- Launching *reforms like* In-Semester and Semester-End examinations for better evaluation of learning by students and with faculty given higher responsibilities. Third party audit of syllabi coverage, question-papers/ evaluation also in place.

- *On-line Student' Feedback*, covering Teaching skills, Syllabi, Facilities and *Uploading of the Action Taken Report on the institutional Website* for better students' participation.
- Identifying *Slow Learners* and conducting *special coaching and/or remedial classes* for them and encouraging them to take up *Self Study* based on e-learning and other methods.
- Assigning *Faculty Proctors* at the institutions to mentor and *guide the students'* academic work and *monitor* their performance with information provided to parents/guardians regularly by text-messaging.
- Peer auditing of faculty teaching by senior/experienced academics in classrooms, tutorials, lab classes and giving them feedback and/or counseling to bring about improvements in the learning quality.

**(b) Faculty Capacity Development-Examples**

- Deputing faculty for *full-time Ph.D.* under *QIP/ Otherwise*, with full service benefits and/or other provisions to encourage them.
- Enabling faculty to attend *chosen National/ Int'l Conferences* in India and abroad with full costs met and/or suitable incentives provided.
- Equipping faculty with *new pedagogical skills* and specialized training for *academic activities like, Teaching/ Learning/Evaluation.*
- Sanctioning *seed grants* to selected faculty to carry out research work in cutting-edge/relevant technologies and help them to bid for major project grants.
- Providing *state-of-the-art ICT facilities* to faculty at the institutions for fulfilling their academic responsibilities.
- Establishing in-house *Faculty Development Centre* for arranging *FDPs* regularly for the benefit of institutional/other faculty.
- Encouraging faculty to attend *FDPs* regularly including *MOOCs certification* being made mandatory for up-gradation/promotion under CAS.
- Insisting on faculty for regular interaction/internships with industries and corporates for preparing the students to be industry ready for employability.

### **(c) Students/Faculty Research-Examples**

- Encouraging *R&D and Innovation* among students and faculty by providing good facilities / incentives for *creativity*.
- Providing travel grants in India/abroad for attending to *research programmes and related activities*.
- Ensuring publication of most of the *Research Papers* in Scopus or Sci-indexed *Journals* having high *impact factor and reputation*.
- Screening at the institutions of all *research contributions* for *IPR and filing Patent-Applications* before clearing them for publication & meeting their costs.
- Arranging workshops on all aspects of research paper preparation and filing of IPR applications for Patents and Design Registration.
- Developing *research culture* by *arranging Seminars* on *emerging trends/ topics/ subjects* as often as required.
- Providing a platform for students to meet and interact with alumni/industry leaders to gain better knowledge of the opportunities and challenges ahead.
- Starting of Innovation and Incubation Centres in different subject areas to provide support to entrepreneurship among faculty/students..
- Checking all the research publications including Ph.D. theses from the institution for plagiarism using software like “Turnitin” and “ Shodh-ganga”.
- Encouraging increased enrolment of research scholars for Ph.D. programmes at the institution by better research facilities and fellowships.

### **(d) Sponsored R&D and Consultancy-Examples**

- Establishing a *Sponsored R&D and Consultancy Cell* to *formalize the procedures* and to encourage *Internal Revenue Generation (IRG)*.
- Setting up of *IPR Cell* for sensitizing *faculty/ students* for filing of Patents and Design Registrations and assisting them on *IPR policy* issues.
- Uploading ‘*Faculty Expertise and Major Facilities Brochure*’ on institutional website for attracting funded *projects* from industry.
- Enabling faculty to handle *Sponsored R&D and Consultancy projects* successfully and on time so as to gain the confidence of sponsors.
- Setting up of in-house *Continuing Education Cell* for *industry personnel* for increased institutional *IRG*.

- Establishing new laboratories/facilities with the support and participation of industry for the benefit of faculty and students alike.
- Giving incentives to faculty who are able tap large research funding from industries and also from research funding agencies.

**(e) Employability of Graduates-Examples**

- Setting up of *Training & Placement Cell* at the institution with commitment for better employment of graduating students.
- Equipping students with soft skills which among others to include aptitude and communication skills.
- Encouraging *UG/PG students* to conduct high quality Project Work and develop new products/processes of technical/commercial value.
- Arranging annual event at the institution, like *Student' Project Expo and Open Day/Seminar* for attracting *industry to the campus*.
- Signing MOUs with industry for better interaction and having *industry executives* in *Academic Bodies like BOS* and as *adjunct /guest faculty*.
- Establishing *Entrepreneurship Development Cell* for student' training to initiate *start-up culture* and lead them to become *job-givers rather than job-seekers*.

**(f) Access to Knowledge Resources-Examples**

- Equipping the Library to make it at the *state- of- the- art* with *ICT facilities and the latest text and reference books*.
- Encouraging *Self Learning* by students at by giving home-work assignments, exposing them to MOOCS and overseeing their work.
- On-campus *broadband Internet/Intranet* for accessing *e-Journals and global information sources*.
- Providing *digital Library* with *e-books/course-ware* for e-Learning and executing MOUs with good/ reputed Libraries for exchange facilities.
- Extending *library access hours both on working days and on holidays* for benefitting all the stakeholders and other users.
- Accessing Virtual Laboratories and e-learning materials, such as NPTEL, created by the MHRD.

## 4.2 Institutional Reforms-Examples

A few examples of good practices relating to *institutional reforms* as observed under TEQIP-II are given below. As some institutions have come out with new, novel and innovative practices through institutional reforms brought about by *good governance*, a small selection of these has been presented institution-wise in Appendix VII. The object of this presentation is primarily to encourage all the TEQIP-II institutions to take advantage of such possibilities in their future activities and the listing is by no means complete. More details of these good practices, if required, can be obtained from the website of the relevant institution.

### **(a) Implementation of Autonomies:**

- *Academic Autonomy:*, from students' admission to flexible course-work, evaluation, grading, results up to degree award-all functions being carried out at the institutional level.
- *Administrative Autonomy:* , with Institutional *GB* having full powers/functions to govern and various committees formed for advising on specific items/issues for smooth running of the institution.
- *Managerial Autonomy:*, with *GB* delegating administrative, financial and other powers to senior functionaries with proper accountability and notifying the same to all the stakeholders.
- *Financial Autonomy:*, with *GB* having full financial powers and responsibilities- *Annual budget formulation, Approval, Incurring expenditure, Annual Audit and Annual Report.*

### **(b) Obtaining Accreditation:**

- Preferably from NBA -helpful for improved *quality, standard, relevance and effectiveness of programmes* being conducted and to derive benefits for the graduating students from NBA membership of the Washington Accord.
- Alternatively from NAAC- helpful for better *quality and standard of education imparted at the institutional level* and also for improving its image and visibility among institutions and in the society at large.
- From International Bodies like ABET, IEEE, and other, so helpful to the institution for *attracting students from abroad for their programmes.*

- Establishing *Internal Quality Assurance Cell (IQAC)* for enabling *continuous quality improvement through regular academic audit* to benefit stakeholders.

**(c) Institutional Good Governance:**

Constituting the *GB* for its governance with *composition* being based on its *legal framework*, e.g. at the,

- *University*, as per its Act/Statute.
- *Constituent College*, as per its University Statute.
- *Govt./Aided/Un-Aided Autonomous College* as per its University/UGC rules.
- *State Private University*, as per its Act/Statute.
- *Deemed to be University*, as per the relevant UGC Regulations, 2016.
- *NIT*, as per the NIT Act, 2007, amended up to date.
- *Other CFIs*, as per their Statutes/Regulations.

**(d) GB Role in Good Governance:**

The *GB* as a whole and in particular the Chairperson and the Member-Secretary to be fully knowledgeable on all aspects covered in the 'TEQIP Good Practice Guide for *GBs*' and ensure that *GB* has due role to play at the entire institution and not only confined to TEQIP. Besides, *GB* role in good governance needs to include:

- Ensuring integrity in *making appointments*.
- Providing strong *leadership and management*.
- Monitoring of *teaching/learning quality*.
- Enhancing the *stakeholders' role* in academic work.
- Upgrading *quality and standard of R&D output*.
- Providing a lean, efficient and caring *administration*.
- Setting up robust, transparent *financial system*.
- Monitoring its own effectiveness and that of the institution/Authorities/Bodies.
- Engaging independent experts, if required for advice/assistance.
- Ensuring compliance with all the directions of regulatory agencies.
- Preparing institutional Perspective Plans-short/medium/long-term & AQARs.
- Considering and approving amendments to institutional *GGD*, when needed.

- Protecting the institutional *GGD* zealously and following it scrupulously.

(e) **Good Governance Examples:**

As these examples have their roots in the institutional *GGD*, it is necessary that every *GB* member is fully familiar with all aspects of this document. Hence every time the *GB* is reconstituted or new member(s) join the *GB*, it would be desirable for them to read the *GGD* in detail and understand the various provisions. If this is done, *good governance* would be possible at the institution at all times. This has been observed at many well-performing TEQIP-II institutions in the last few years. Some examples of *good governance* observed include:

- Giving priority to improve students' experience at the institution.
- Setting up robust mechanisms to avoid institutional unfair/malpractices.
- Encouraging greater openness/transparency in governance & management.
- Adding further value to the institutional output based on alumni' skills.
- Providing for career development of students at different stages of education.
- Engaging *independent experts* to take up institutional review when needed.
- Appointing student representative(s) on *GB* as *invitee* to associate in its work.
- Including certain 'Standing Items' in every *GB* Agenda to enable follow-up.
- 'Standing Items' to include progress reports like: self-fixed targets/goals, strategic plan implementation and removal of obsolescence in facilities.

In addition, a few other examples of *good governance* at the institution cover:

- Regularly updated institutional website with high level of interactivity.
- Institutional Balance Sheet being available within 15 days of closure of FY.
- Clear-cut plan of action to handle major risks before the institution.
- Conduct of energy audit followed by energy conservation strategy.
- Preparation of Annual Report, its approval/uploading on website promptly.
- Uploading results of students' feedback analysis and its ATR on website.
- Timely holding of Convocation for the award of degrees/diplomas every year.
- Implementation of robust 'grievance-redressing mechanism at the institution.
- All meetings of the institutional Authorities being fixed in advance annually.

## 5. LESSONS LEARNT

As a result of the efforts made by NPIU, WB, EAG and TEQIP-II institutions which participated in the GGP and the implementation of *good governance* at a few select institutions, some good lessons have been learnt. These lessons deal with:

- Institutional issues such as, “*How institutions can improve their own systems and practices to achieve better governance?*”
- Individual issues like, “*How individuals at all levels can achieve greater responsibility with appropriate accountability, and how they can influence change?*”
- Systems support issues such as, “*How systems, at the State and National levels, can support and encourage better governance?*”

Some examples of governance development needs at all the three different levels brought out through these lessons include *Institution-related Lessons, Individual-related Lessons, Systems’ support-related Lessons* which are covered below:

### 5.1 Institution-related Lessons

- Ensuring that the *GB* membership encompasses the range of skills and experiences that provide both strong support and help in overcoming the challenge to the institution.
- Being able to use the available freedom to have a full range of professional expertise from external members of the *GB*.
- Given that it is not acceptable to have appointed *GB* members not attending *GB* Meetings, having explicit institutional policies to deal with such instances.
- Taking the lead in achieving a better balance between the delegated powers and suitable systems to ensure accountability at all levels.
- Achieving the highest degree of autonomy and accountability that is consistent with the prevailing regulatory framework.
- Taking the lead in providing management development for institution’s managers and administrators at all levels.

Many of these challenges are a reflection of either poor practice at the individual level (e.g., non-attendance at *GB* meetings, lack of appropriate skill sets to undertake the role of *GB* member, or lack of understanding of the roles/ responsibilities of *GB*

member), or poor practice at the systems' level (e.g., ineffective/ outdated rules/regulations). Such deficiencies can lead to institutional complacency, and worse still poor systems support that is not serving the best interests of students or the country. Therefore institutional leaders and senior managers being key drivers of institutional change, have to play a key role in this regard. Although there are excellent examples of good leadership, governance and management, not enough are recognized and much more can be done to promote and support the need for good leadership, governance and modern management development at technical institutions..

## **5.2 Individual-related Lessons**

- Having clear understanding of the relationship between leadership, management and governance, and in particular what governance might mean for them.
- Having a clear definition of their roles and how this relates to others.
- Being aware of ideas from outside the higher education sector having relevance to a TEQIP II institution, e.g., approaches to quality management.
- Understanding what goes on in the institution and having contact beyond the formal meetings.
- Improving personal performance in *GB* (e.g., regular attendance at meetings and taking other opportunities to learn about the institution).

It is to be noted that a key challenge for *GBs* is not to manage the institution themselves, rather to ensure and oversee that management by others is effective, efficient and delivering high quality teaching, learning and research, and ensure that the institution is not complacent.

## **5.3 Systems support-related Lessons**

These include, but are not limited to:

- Demonstrating a commitment to autonomy by removing unnecessary obstacles that impede institutional progress
- Strengthening leadership and management capacity to enable institutions to make good and effective use of the autonomy granted.

- Modernizing accountability mechanisms to ensure proper accountability with reduced burden of bureaucracy on institutional Heads.
- Strengthening the role of external *GB* members, ensuring that a range of skills/experience exists to take advantage of new opportunities/autonomy.
- Strengthening the autonomy of *GBs* by having more number of *GB* members being external to the institutions.
- Preferably limiting the number of *GBs* on which a person can be member to two/three at a time, to achieve higher effectiveness/efficiency in their working.
- Ensuring that both the College and the University are clear about their roles regarding autonomy/accountability, in the case of partnership between them.

#### **5.4 Some challenges for ushering in *good governance***

Some challenges commonly observed during the implementation of *good governance* in technical institutions are listed below. It is expected that these can be overcome by the *GB* based on its wisdom and spirit of trust, respect and accommodation for the institutional executives.

- Adoption of *GGD* with a genuine belief that it can make a positive difference to the development of the institution and not as a mandate from NPIU/WB.
- Buying in the support of Chairperson and members of *GB* so essential for the smooth implementation of *good governance* at the institution.
- Setting up of an empowered Committee by the *GB* Chairperson to oversee the *good governance initiatives* at the institution.
- Providing clarity of roles/ responsibilities of *GB* members and executives with appreciation for each other's distinctiveness to enable *good governance*.
- Educating *GB* members and executives on distinction between governance and management so as to avoid any tensions in *good governance*.
- Understanding that *GB* and executives are partners in development of the institution and not as sources of interference in each other's roles.
- Uploading the CV and contact details of Chairperson and members of *GB* on institutional website for bringing in openness and transparency in governance.
- Associating *GB* in all aspects of decision making relating to the appointment, contract and service conditions of institutional Head.

- Absence of certain categories of Ex-Officio GB members at scheduled GB meetings more often causing hardship to GB in taking major decisions.
- Circumventing a few sensitive issues common in *governance* like: *measuring GB effectiveness, key performance indicators, risk- management, register of interests, independent GB members and student participation in GB.*

## 6. CONCLUDING REMARKS

### 6.1 SWOC Analysis

As seen from discussion in the Report, the quality, standard and relevance of academic programmes at technical institutions are intimately linked with their governance structure. Therefore *good governance* is essential at each institution to enhance these outcomes for the benefit of all the institutional stakeholders. However, *good governance* being highly demanding needs to be able to respond to the institutional *strengths, weaknesses, opportunities and concerns* as can be seen from the following SWOC analysis.

#### **(a) Strengths:**

- GB given freedom to govern the institution and introduce the needed reforms.
- Ability to enhance quality/ standard/ relevance of its academic/other activities.
- Better image and visibility among institutions in the region and also nationally.
- Higher capacity to get better grade during the accreditation of its programmes.
- Increased gratitude, respect, admiration of stakeholders especially students.

#### **(b) Weaknesses:**

- Only small percentage of technical institutions in India having autonomy now.
- But, *good governance* hard to be achieve in institutions without autonomy.
- Only well-performing institutions granted autonomy by Regulatory Bodies.
- Many States/Universities not amended Statutes/Rules for granting autonomy.
- Faculty/staff in such places reluctant for autonomy due to 'fear of unknown'.

#### **(c) Opportunities:**

- Increasing employment opportunities for high quality technical professionals.
- Good campus placement of graduates possible only with autonomy.

- Rapid industrial expansion & increased sponsored R&D and consultancies.
- Autonomous institutions suitable to take advantage of such opportunities.
- Autonomous institutions capable of attracting talented students and faculty.

**(d) Concerns:**

- High demands placed on *GB* and its members to govern well and deliver.
- Difficulties in finding capable *GB* leaders/members to 'lead from the front'.
- Absence of financial autonomy in many cases, limiting academic autonomy.
- General reluctance of Universities in granting autonomy to their constituents.
- Observed long delays in getting NBA accreditation of programmes.

## 6.2 Other Remarks

Other major observations from the Report which deserve special mention are given below. It is suggested that every TEQIP-II institution may give due attention to these remarks as they may be of use to them in their preparations to get themselves included under TEQIP-III. Besides, even other technical institutions in the country may follow these remarks to get benefited considerably.

- Governance reforms being essential at every technical institution, the *Good Practice Guide for GBs* may be mastered and the practices implemented at all the institutions to bring about the needed transformations in a short time.
- Being a continuing activity in the Indian technical education system, periodic meetings among institutions for exchange of ideas, sharing of best practices and experiences need to be given top priority and encouraged.
- Perhaps a 'Forum of TEQIP Institutions' may be formed to have regular meetings, say, on a half-yearly basis for such exchanges and also the Forum may be kept open for other technical institutions to join and get benefitted.
- *GBs* formed at TEQIP-II institutions as part of the reform process need to continue governing each institution entirely in the post-TEQIP period and not be restricted to TEQIP only as observed in some cases.
- Autonomy being essential for *good governance* at each technical institution, MHRD and the Regulatory Bodies concerned may give top priority to grant this status to all eligible institutions in India in a time-bound manner.

- Programme-level accreditation at TEQIP-II institutions being an important requirement and *GB* has played a positive role for this in each case MHRD may assist/direct NBA to clear the long-pending accreditation proposals soon.
- As SPFUs have played only a cursory role in *Good Governance* of technical institutions in their respective States/UTs during TEQIP-II, top priority may be given to rectify this situation when TEQIP-III is launched.
- *EAG* may be re-activated to guide all new institutions joining TEQIP-III and also advise/assist the TEQIP-II institutions as may be necessary. Perhaps *Learning Forums* and quarterly meetings of *EAG* may be arranged for this.
- Periodic review of institutional performance and governance system at technical institutions may continue to be an essential part of TEQIP-III to benefit them in governance matters in a better manner on a continuing basis.

## 7. REFERENCES

1. TEQIP Good Practice Guide for Governing Bodies, MHRD and WB, December 2012
2. TEQIP-Project Implementation Plan, NPIU, 2009
3. Governance of Technical Education in India-Key Issues, Principles and Case Studies, World Bank Working Paper No. 190, WB, March 2010
4. TEQIP Handbook for Mentors and Performance Auditors, NPIU and WB, March 2013
5. TEQIP Good Governance Programme 2013-14 (promoting the development of three institutional outputs: Self Review, Governance Development and Institutional Governance Guidelines)
6. TEQIP Good Governance Website & Resources ([www.teqipgoodgovernance.in](http://www.teqipgoodgovernance.in)).
7. Encouraging 'Better Governance through TEQIP Management Capacity Enhancement Programme'-Common curriculum prepared by IIMs
8. TEQIP-II GSRs, GDPs and GGDs submitted by project institutions for *EAG* review.
9. Proceedings of Good Governance Learning Forums held (2013-16).

## 8. LIST OF ABBREVIATIONS

Abbreviation	Expansion
ABET	Accreditation Board for Engineering and Technology
AC	Academic Council
AICTE	All India Council for Technical Education
AQAR	Annual Quality Assurance Report
ATR	Action Taken Report
BOG/BOM	Board of Governors/Board of Management (=Governing Body)
BOS	Board of Studies
B&WC	Buildings & Works Committee
CAS	Career Advancement Scheme
CFI	Centrally Funded Institution
CV	Curriculum Vitae
EAG	Expert Advisory Group
FC	Finance Committee
FDP	Faculty Development Programme
FY	Financial Year
GGP	Good Governance Programme
GB	Governing Body (=BOG, BOM)
GDP	Governance Development Plan
GGD	Governance Guidelines Document
GSR	Governance Self Review
ICT	Information and Communication Technologies
IIM	Indian Institute of Management
IIT	Indian Institute of Technology

IPR	Intellectual Property Rights
IQAR	Institutional Quality Assurance Cell
IRG	Internal Revenue Generation
MHRD	Ministry of Human Resource Development
MOOCs	Massive Open Online Courses
MOA	Memorandum of Association
MOU	Memorandum of Understanding
NAAC	National Assessment and Accreditation Council
NBA	National Board of Accreditation
NIT	National Institute of Technology
NPIU	National Project Implementation Unit
NPTEL	National Programme on Technology Enhanced Learning
PA	Performance Auditor
PG	Post Graduate
Ph.D.	Doctor of Philosophy
QIP	Quality Improvement Programme
R&D	Research and Development
SPFU	State Project Facilitation Unit
SWOC	Strengths, Weaknesses, Opportunities and Concerns
TEQIP	Technical Education Quality Improvement Programme
UG	Under Graduate
UGC	University Grants Commission
UT	Union Territory
WB	World Bank

## EXECUTIVE SUMMARY

*Good Governance Initiatives and Practices under TEQIP-II* is the subject matter of the National Report prepared at the conclusion of Phase II of the TEQIP Project (2010-16) of the Government of India launched with financial and administrative support of the World Bank (WB). TEQIP-II covered 191 engineering institutions including 164 from 23 States/UTs and 26 CFIs and was more ambitious than TEQIP-I. Its objectives focused on (i) *Improving the quality of education*, and (ii) *Improving the System management* at TEQIP-II institutions. Towards achieving these, the experience gained under TEQIP-I and the recognition that a combination of *strong leadership and good governance* can greatly benefit the institutions in achieving them were made use of and *Good Governance Programme (GGP)* was initiated as part of TEQIP-II during 2013-14. Under *GGP*, TEQIP-II had put in place a few initiatives to support the project institutions for improving their governance. This Report has been prepared to record the various initiatives taken under TEQIP-II to develop *good governance* at TEQIP-II institutions which included engineering Colleges, technical/ other Universities and NITs/other CFIs. The best practices established at these institutions have been covered in the Report and their achievements, successes, concerns and challenges faced highlighted. Possible means of overcoming the problems being faced by the institutions have also been covered in the Report.

### ***Good Governance Programme (GGP)***

As is well known, *governance* is related to how an institution measures itself and how it intends to grow in the future. A well-run institution instills confidence and respect from students, faculty, and the community. Yet, *governance* of engineering institutions is a challenge, as majority of them have limited autonomy in functioning, particularly administrative, managerial and financial, resulting in their inability to take key decisions affecting their operations and academic performance. The object of *GGP* was to guide/assist the institutions in minimizing their hardships in this regard. In *GGP*, each project institution was required to establish a *governance model* that can hold the institution accountable to all its stakeholders. This has resulted in the constitution of a *Board of Governors (BOG)* at each institution as its highest Authority to take care of

its governance requirements. It was also emphasized that each *BOG* member needs to have experience covering a wide range of academic and professional backgrounds and problem solving abilities. Besides, *GGP* also encouraged each project institution to develop, and make publicly available, clear institutional guidelines in *Governance Guidelines Document (GGD)* form setting out how *good governance* was being practiced by the institution concerned. Six *Learning Forums* were also arranged by NPIU under *GGP* with the cooperation of WB for 50-60 participants at a time, covering: *BOG* Chairpersons/ Members, Heads of institutions and other senior faculty and SPFU Officials from participating States/UTs. The *Learning Forums* enabled the participants to get ‘take-away’ items at the end, like: (i) Increased understanding of *good governance* and how to implement and embed this into institutional practices, (ii) How to access a range of *governance development tools* to support their specific needs and (iii) Understanding of how their institutional practice compares to other similar types of institutions. In addition, *GGP* actively promoted the ‘sharing of experience’ at the *Learning Forums*, so that the institutional representatives could discuss with *EAG* members/Facilitators, on specific aspects of good practices to be followed and the ways to overcome the common gaps, barriers and challenges. As the next step to this, the institutions were guided to develop their *Governance Development Plans (GDPs)* using the experience gained from their *Governance Self Reviews (GSRs)*, finally leading to the Strategic Plan in each case and going further to formulating its *GGD*. Mentors/Performance Auditors were also required under *GGP* to give specific attention to governance-related issues during their institutional visits. All these measures have greatly improved the performance of TEQIP-II institutions through better governance as can be seen in detail in the Report.

### **Lessons Learnt and Conclusions**

The Report also includes many good practices established and reforms introduced at a number of TEQIP-II institutions. A few lessons learnt have also been covered along with challenges observed for ushering in good governance at technical institutions, with the hope that these can be taken care of by sincere efforts and leadership of the respective governing bodies. These cover:

- Institutional issues such as, “*How institutions can improve their own systems and practices to achieve better governance?*”
- Individual issues such as, “*How individuals at all levels can achieve greater responsibility with accountability, and how they can influence change?*”
- Systems support issues such as, “*How systems, at the State and National levels, can support and encourage better governance?*”

As the quality, standard and relevance of academic programmes at a technical institution are intimately linked with its governance structure, the importance of *good governance* at the institution to enhance these outcomes has been brought out in the Report. Moreover as *good governance* has to be responsive to the institutional *strengths, weaknesses, opportunities and concerns* to enhance its image and visibility, SWOC analysis of *good governance* has also been presented in the Report. The Report has also discussed the steps that the Government may take to ensure that the early gains demonstrated by TEQIP Institutions do not get withered away and instead get consolidated. It is expected that the Report can be useful to planners and implementers of technical education in the country and also to all the technical institutions aspiring to scale new heights.

## APPENDIX I: PERFORMANCE AUDITOR'S REPORT FORMAT

(Extract relating to *good governance*)

<b>A. PRIMARY ACCOUNTABILITIES</b>
<ul style="list-style-type: none"><li>• <b>Has the Governing Body approved the institutional strategic vision, mission and plan – identifying a clear development path for the institution through its long-term business plans and annual budgets?</b> <i>(Give dates of governing body meetings where the minutes record these matters having been discussed, approved and/or followed up.)</i></li></ul>
<ul style="list-style-type: none"><li>• <b>Has the Governing Body ensured the establishment and monitoring of proper, effective and efficient systems of control and accountability to ensure financial sustainability?</b> <i>(Give dates of governing body meetings where the minutes record these matters having been discussed, approved and/or followed up at the systems level.)</i></li></ul>
<ul style="list-style-type: none"><li>▪ <b>Is the Governing Body monitoring institutional performance and quality assurance arrangements?</b> <i>(Give dates of governing body meetings where the minutes record these matters having been discussed, approved and/or followed up at the systems level.)</i></li></ul>
<ul style="list-style-type: none"><li>▪ <b>Has the Governing Body put in place suitable arrangements for monitoring the head of the institution's performance?</b> <i>(Give dates of governing body meetings where the minutes record these matters having been discussed, approved and/or followed up.)</i></li></ul>
<b>EVALUATION GRADE FOR PRIMARY ACCOUNTABILITIES</b> USING THE 3-POINT GRADING SCALE AND GRADE DESCRIPTORS GIVEN AT THE END
<b>B. OPENNESS &amp; TRANSPARENCY IN THE OPERATION OF GBs</b>
<ul style="list-style-type: none"><li>• <b>Does the Governing Body publish an annual report on institutional performance?</b> <i>(Give the publication date and type of publication of the most recent annual report, if there is one)</i></li></ul>
<ul style="list-style-type: none"><li>• <b>Does the Governing Body maintain, and publicly disclose, a register of interests of members of its governing body?</b> <i>(Given that a formal register is not yet normal practice in colleges, provide evidence of any published information on governing body members' financial and commercial interests)</i></li></ul>
<ul style="list-style-type: none"><li>▪ <b>Is the Governing Body conducted in an open a manner, and does it provide as much information as possible to students, faculty, the general public and potential employers on all aspects of institutional activity related to academic performance, finance and management?</b> <i>(Say whether the governing body minutes are published on the institution website, and note any other steps that the governing body takes to communicate with its stakeholders on its work as a Board)</i></li></ul>
<b>EVALUATION GRADE FOR OPENNESS &amp; TRANSPARENCY IN THE OPERATION OF GBs</b>
<b>C. KEY ATTRIBUTES OF GBs</b>
<ul style="list-style-type: none"><li>▪ <b>Are the size, skills, competences and experiences of the Governing Body, such that it is able to carry out its primary accountabilities effectively and efficiently, and ensure the confidence of its stakeholders and constituents?</b></li></ul>

<i>(Specify the range of skills and experience that the members of the governing body, and especially the external members, have)</i>
<ul style="list-style-type: none"> <li>▪ <b>Are the recruitment processes and procedures for governing body members rigorous and transparent?</b> <i>(Specify how governing body members are selected, and whether that process is transparent)</i></li> </ul>
<ul style="list-style-type: none"> <li>▪ <b>Does the Governing Body have actively involved independent members and is the institution free from direct political interference to ensure academic freedom and focus on long term educational objectives?</b> <i>(Give examples, where possible, of the role of external members in improving the performance of the institution)</i></li> </ul>
<ul style="list-style-type: none"> <li>▪ <b>Are the role and responsibilities of the Chair of the institution and the Member Secretary serving the governing body clearly stated?</b> <i>(If yes, specify the document where these roles are defined)</i></li> </ul>
<ul style="list-style-type: none"> <li>▪ <b>Does the Governing Body meet regularly? Is there clear evidence that members of the governing body attend regularly and participate actively?</b> <i>(State the number of meetings in the last year, and the average number of those Board members present and those members absent at those meetings) (in italics)</i></li> </ul>
<b>EVALUATION GRADE FOR KEY ATTRIBUTES OF GBs</b>
<b>D. EFFECTIVENESS AND PERFORMANCE REVIEW OF GBs</b>
<ul style="list-style-type: none"> <li>▪ <b>Does the Governing Body keep their effectiveness under regular review and in reviewing its performance, reflect on the performance of the institution as a whole in meeting its long-term strategic objectives and its short-term indicators of performance/success?</b> <i>(If yes, give the date(s) of governing body meetings where the minutes show that such a review has been discussed)</i></li> </ul>
<ul style="list-style-type: none"> <li>▪ <b>Does the Governing Body ensure that new members are properly inducted, and existing members receive opportunities for further development as deemed necessary?</b> <i>(If yes, give examples of how these two tasks are carried out)</i></li> </ul>
<b>EVALUATION GRADE FOR EFFECTIVENESS AND PERFORMANCE REVIEW OF GBs</b>
<b>E. REGULATORY COMPLIANCE</b>
<ul style="list-style-type: none"> <li>▪ <b>Does the Governing ensure regulatory compliance* and, subject to this, take all final decisions on fundamental matters of the institution.</b> <i>(If yes, give the date(s) of governing body meetings where the minutes show that regulatory compliance has been discussed)</i></li> </ul>
<ul style="list-style-type: none"> <li>▪ <b>Does the regulatory compliance include demonstrating compliance with the ‘not-for-profit’ purpose of education institutions?</b> <i>(If yes, give evidence that the governing body has been directly involved)</i></li> </ul>
<ul style="list-style-type: none"> <li>▪ <b>Has there been accreditation and/or external quality assurance by a national or professional body? If so, give name, current status of accreditation etc</b> <i>(Provide lists of all courses which have already been accredited, all courses where an application has been made, and all courses where no such application has yet been made)</i></li> </ul>
<b>EVALUATION GRADE FOR REGULATORY COMPLIANCE</b>

**APPENDIX II: TEQIP-II, GSR OF PILOT INSTITUTION, BVBCET, HUBLI (Nov. 2013)**

(Scoring by self-assessment as specified at the end of the Table in APPENDIX III))

<b>A - PRIMARY ACCOUNTABILITIES</b>		
<b>SELF-REVIEW QUESTIONS</b>		Self-Assessment
1	<p><b>Has the Governing Body approved the institutional strategic vision, mission and plan - identifying a clear development path for the institution through its long-term business plans and annual budgets?</b></p> <p><b><u>SUPPORTING EVIDENCE</u></b>  <b>Vision &amp; Mission strategic plan</b></p> <ul style="list-style-type: none"> <li>• Vision, Mission and strategic plan are evolved by institute faculty through extensive deliberations. Vision &amp; Mission have been displayed on college website and lesson plans given to students.</li> <li>• These are discussed in the <i>GB</i> as part of information agenda (college annual progress report) presented by the Principal. However approval was not documented formally as part of the minutes of the meeting.</li> </ul> <p><b>Annual budgets</b></p> <ul style="list-style-type: none"> <li>• Annual budgets are regularly presented to the <i>GB</i> and are deliberated and approved</li> <li>• <b>GB Meeting held on .....</b> Agenda 5: To approve the budget for the year 2012-13</li> </ul> <p><b>Other strategic Initiatives approvals</b></p> <ul style="list-style-type: none"> <li>• <b>GB Meeting held on .....</b> Agenda 3: Information Agenda <ul style="list-style-type: none"> <li>○ Road Map for R&amp;D activities of the institute</li> <li>○ Centre for Technology Entrepreneurship Activities</li> </ul> </li> </ul>	2
2	<p><b>Has the Governing Body ensured the establishment and monitoring of proper, effective and efficient systems of control and accountability to ensure financial sustainability (including financial and operational controls, risk management, clear procedures for managing physical and human resources.) ?</b></p> <p><b><u>SUPPORTING EVIDENCE</u></b></p> <ul style="list-style-type: none"> <li>• The auditors ensure that funds provided by funding bodies are used in accordance with the terms and conditions specified in the funding agreements /contracts /memorandum. Audited statements of accounts are being discussed and approved annually.</li> <li>• Budgets are approved by the <i>GB</i> annually after detailed discussion.</li> <li>• Finance Committee meetings are held twice a year to review and approve the expenditures. Proceedings of Finance committee are presented to the <i>GB</i> for approval.</li> </ul> <p><b>GB Meeting held on .....</b>  Agenda 4: To consider the resolutions of Finance Committee of the college held on 08/10/2011 and 28/01/2012  Agenda 5: To approve the budget for the year 2012-13</p> <ul style="list-style-type: none"> <li>• Policies on a range of systems, including treasury management, investment management, risk management, debt management, and grants and contracts do not exist.</li> <li>• Human resource requirements are met with the permission of chair and approved by <i>GB</i> in the subsequent meetings.</li> </ul>	2

	<p><b>GB Meeting held on.....</b></p> <p>Agenda 8: To consider the appointments of faculty made since last GB meeting and approve the same</p>	
2	<p><b>Has the Governing Body ensured the establishment and monitoring of proper, effective and efficient systems of control and accountability to ensure financial sustainability (including financial and operational controls, risk management, clear procedures for managing physical and human resources.) ?</b></p> <p><b>SUPPORTING EVIDENCE</b></p> <ul style="list-style-type: none"> <li>• The auditors ensure that funds provided by funding bodies are used in accordance with the terms and conditions specified in the funding agreements /contracts /memorandum. Audited statements of accounts are being discussed and approved annually.</li> <li>• Budgets are approved by the GB annually after detailed discussion.</li> <li>• Finance Committee meetings are held twice a year to review and approve the expenditures. Proceedings of Finance committee are presented to the GB for approval.</li> </ul> <p><b>GB Meeting held on .....</b></p> <p>Agenda 4: To consider the resolutions of Finance Committee of the college held on 08/10/2011 and 28/01/2012 Agenda 5: To approve the budget for the year 2012-13</p> <ul style="list-style-type: none"> <li>• Policies on a range of systems, including treasury management, investment management, risk management, debt management, and grants and contracts do not exist.</li> <li>• Human resource requirements are met with the permission of chair and approved by GB in the subsequent meetings.</li> </ul> <p><b>GB Meeting held on.....</b></p> <p>Agenda 8: To consider the appointments of faculty made since last GB meeting and approve the same</p>	2
3	<p><b>Is the Governing Body monitoring institutional performance and quality assurance arrangements? Are these benchmarked against other institutions (including accreditation, and alignment with national and international quality assurance systems) to show that they are broadly keeping pace with the institutions they would regard as their peers or competitors to ensure and enhance institutional reputation?</b></p> <p><b>SUPPORTING EVIDENCE</b></p> <ul style="list-style-type: none"> <li>• Institution has a benchmarking process on the basis of rankings of the incoming students. i.e. meritorious students preferring engineering colleges in the region. At the end of admission year, this data is shared with the GB for deliberations.</li> <li>• Institution has completed two cycles of accreditation with NBA and ISO certified since 2003</li> <li>• However benchmarking with national/international institutions has not been carried out so far due to lack of availability of reliable data. Scientific way of benchmarking is to be taken up.</li> </ul>	3

4	<p><b>Has the Governing Body put in place suitable arrangements for monitoring the head of the institution's performance?</b></p> <p><b><u>SUPPORTING EVIDENCE</u></b></p> <ul style="list-style-type: none"> <li>• Formal arrangement for monitoring does not exist, however his performance is reviewed in an informal way when he presents progress report in the GC.</li> <li>• <b>GB Meeting held on .....</b> Agenda 3: To discuss the college Annual Report for the year 2010-11 presented by the Principal, including progress made in implementation of Academic Autonomy and the students results after the last GB meeting</li> <li>• <b>GB Meeting held on .....</b> Agenda 3: To discuss the college Annual Report to be presented by the Principal</li> <li>• <b>GB Meeting held on .....</b> Agenda 3: To discuss the college Report to be presented by the Principal</li> </ul>	3
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**B - OPENNESS & TRANSPERENCY IN THE OPERATION OF GOVERNING BODIES**

<b>SELF-REVIEW QUESTIONS</b>		Assessment
1	<p><b>Does the Governing Body publish an annual report on institutional performance?</b></p> <p>Annual report is presented and discussed in the GB, however it is <b>not being published as yet.</b></p>	3
2	<p><b>Does the Governing Body maintain, and publicly disclose, a register of interests of members of its governing body?</b></p> <p>No, register of interest is not maintained so far.</p>	3
3	<p><b>Is the Governing Body conducted in an open a manner, and does it provide as much information as possible to students, faculty, the general public and potential employers on all aspects of institutional activity related to academic performance, finance management?</b></p> <ul style="list-style-type: none"> <li>• Governing body is conducted in an open manner. However, the proceedings of the minutes are not published so far.</li> <li>• The sharing of relevant information with departments and faculty happens through CSC meetings.</li> </ul>	3

**C - KEY ATTRIBUTES OF GOVERNING BODIES**

<b>SELF-REVIEW QUESTIONS</b>		Assessment
1	<p><b>Are the size, skills, competences and experiences of the Governing Body, such that it is able to carry out its primary accountabilities effectively and efficiently and ensure the confidence of its stakeholders and constituents?</b></p> <p><b><u>SUPPORTING EVIDENCE</u></b></p>	2

	<i>GB</i> has been constituted as per the guidelines of statutory and regulating bodies (primarily UGC guidelines for autonomous bodies).	
2	<p><b>Are the recruitment processes and procedures for governing body members rigorous and transparent?</b>  <b>Does the Governing Body have actively involved independent members and is the institution free from direct political interference to ensure academic freedom and focus on long-term educational objectives</b></p> <p><b><u>SUPPORTING EVIDENCE</u></b></p> <ul style="list-style-type: none"> <li>Nominations are decided by the <i>GB</i> based upon the merit and competencies in a transparent manner.</li> <li>Members are actively involved in furtherance of institutional objectives held <i>GB</i> meeting on 5-March-2012</li> </ul> <p>Agenda:8 : Resolved to permit establishment of 'Center for Technology Entrepreneurship (CTE)'. Further, it is resolved to form a committee to guide the functioning of this center.</p>	2
3	<p><b>Are the role and responsibilities of the Chair of the Governing Body, the Head of the Institution and the Member Secretary serving the governing body clearly stated?</b></p> <ul style="list-style-type: none"> <li>Have come through practice, not clearly stated</li> </ul>	3
4	<p><b>Does the Governing Body meet regularly? Is there clear evidence that members of the governing body attend regularly and participate actively?</b>  <b>Yes</b>  <b>Last 4 <i>GB</i> Meetings are held on</b></p> <ul style="list-style-type: none"> <li>5<sup>th</sup> March 2012</li> <li>7<sup>th</sup> June 2012</li> <li>5<sup>th</sup> Nov 2012</li> <li>23<sup>rd</sup> March 2013</li> </ul>	1

<b>D – EFFECTIVENESS &amp; PERFORMANCE REVIEW OF GOVERNING BODIES</b>		
<b>SELF-REVIEW QUESTIONS</b>		<b>Assessment</b>
1	<p><b>Does the Governing Body keep their effectiveness under regular review and in reviewing its performance, reflect on the performance of the institution as a whole in meeting its long term strategic objectives and its short term indicators of performance/success?</b></p> <p>No, there is no formal process to regularly review the performance of Governing Body</p>	3
2	<p><b>Does the Governing Body ensure that new members are properly inducted, and existing members receive opportunities for further development as deemed necessary?</b></p>	3

No, There is no formal induction process for the GB.	
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<b>E – REGULATORY COMPLIANCE</b>	
<b>SELF-REVIEW QUESTIONS</b>	<b>Assessment</b>
<p><b>Does the Governing Body ensure regulatory compliance* and, subject to this, take all final decisions on matter of fundamental concern to the institution.</b></p> <ul style="list-style-type: none"> <li>The GC makes it a point to treat these (AICTE, UGC, VTU) regulations as a minimum basic requirement and gives directions to higher provisioning of infrastructure, faculty (Human resources) and equipment</li> </ul> <p><b>Does the regulatory compliance include demonstrating compliance with the ‘not-for- profit’ purpose of education institutions?</b> Yes</p> <p><b>Have there been accreditation and/or external quality assurance by a national or professional body? If so, give details: name, status of current accreditation etc.</b></p> <ul style="list-style-type: none"> <li>Every year mandatory disclosure is sent to AICTE and published on website.</li> <li>Fee structure compliance is being followed, which comes for discussion in an indirect way during approval of institute’s budget.</li> <li>Admissions are as per admission rules of Karnataka State</li> <li>Institution has been accredited by NBA in 2004 and 2008 and now it is in the process of applying for re-accreditation.</li> </ul> <p><b>AICTE Approval Letters:</b></p> <ul style="list-style-type: none"> <li>F. No. South-West/1-1374482132/2013/EOA dt. .... and</li> <li>F. No. South-West/1-1374522342/2013/EOA dt. ....</li> </ul> <p><b>NBA Approval Letters:</b></p> <ul style="list-style-type: none"> <li>F. No. NBA/ACCR -397/2004 dt. ....</li> <li>F. No. NBA/ACCR -397/04 dt. ....</li> </ul> <p><b>UGC Conferment of Autonomous Status Letter:</b></p> <ul style="list-style-type: none"> <li>No. F 22-1/2008(AC) dt. ....</li> </ul> <p><b>VTU Grant of Autonomy Letter:</b></p> <ul style="list-style-type: none"> <li>Ref. No. VTU/PS/2002-08/4698 dt. ....</li> </ul> <p><b>VTU Permanent Affiliation Letter:</b></p> <ul style="list-style-type: none"> <li>VTU/ACA/2006-2007/10975 dt. ....</li> </ul>	2

**APPENDIX III: TEQIP-II, GSR & GDP OF PILOT INSTITUTION, COE, PUNE (Dec. 2014)**

(Scoring by self-assessment as specified at the end of the Table)

<b>A . PRIMARY ACCOUNTABILITIES</b>					
	<b>PRACTICE</b>	<b>SCORE*</b>	<b>SELF REVIEW COMMENT</b>	<b>DEVELOPMENT PLAN</b>	<b>Target Date</b>
1	<b>Has the Governing Body approved the institutional strategic vision, mission and plan - identifying a clear development path for the institution through its long-term business plans and annual budgets?</b>	1	<ul style="list-style-type: none"> <li>• Vision &amp; Mission statements evolved through a strategic plan developed by the institute through bottoms up approach involving faculty, staff, students and HODs with the help of TCS &amp; KOEL and these displayed on notice boards at prominent places at COEP and its website. Vision, Mission statements also printed in the curriculum brochure given to all students. The institute also envisioned 10 top goals for the institute.</li> <li>• These were discussed in the BOG Meeting and approved. Based on the institute's vision, mission and goals, each Dept., formulated its vision, mission, goals and the same displayed in respective Depts. In order to achieve these goals, the institute provided adequate budget and the annual budgets worked out by the FC got approved by BOG. The strategic plan, vision, mission and goals discussed in the Senate, presented in the 14th meeting of the BOG held on 2nd April 2009 (item 5 and 7) and approved in the 15th meeting of the BOG held on 17th September 2009. The BOG in its 25th meeting on 18th March 2013 resolved to revisit the vision and mission for the next 5 years.</li> </ul>	<p>The BOG of COEP - a unique example of active involvement of all its members in the development plan of the institute by contributing 80-100 hours each year beyond normal BOG meetings. Thus the BOG empowered the faculty members in decision making on the lines of corporate world.</p> <p>Having bridged the gap between IITs and COEP, the BOG decided to look at the curricula of MIT/ USA and initiate actions to introduce Maths. courses in all semesters, biology courses and electives.</p> <p>The mission and goals of the institute shall be continuously monitored, revised from time to time (once in 5 years) to achieve excellence comparable to the best in the world. The fourth curriculum revision is also undertaken.</p>	Dec 2014  July 2015
2	<b>Has the Governing Body ensured the establishment and monitoring of</b>	2	Yes. The BOG and its sub-committee, viz., FC taken many initiatives to establish and monitor the financial	BOG has been trying and negotiating with State Government authorities to get self-	June 2015

<p><b>proper, effective and efficient systems of control and accountability to ensure financial sustainability? (including financial and operational controls, risk management, clear procedures for managing physical and human resources.)</b></p>	<p>system in the institute. All the institute accounts used to be in single entry format prior to autonomy and these now changed to double entry system. The Institutional audit through statutory auditor appointed by the BOG is taking place regularly and Balance sheet submitted to Income tax department after its approval by BOG. The BOG discusses and approves the Annual budget based on the recommendation of FC, which met 13 times, while BWC met 20 times and reported the proceedings to BOG. Financial and procurement risks are assessed and discussed. Minutes of the meetings are published on the website. Justification with examples:</p> <ul style="list-style-type: none"> <li>• Institutional audits prepared, discussed and approved by the BOG. Every year financial audit is carried out within 3 months from the end of the financial year. It is placed in the BOG meeting. Wide discussions take place and audit reports accepted or instructions given for fine tuning.</li> <li>• Annual budget of the institute prepared at the beginning of every financial year at the institute level, recommended by the FC after due diligence, and finally approved in the BOG. The departments are then informed of institute budget as well as departmental budget. Institutional audits prepared and published in the form of booklets, and circulated by e-mail. Item 2 of 3rd meeting of BOG (8th Jan 2005) Item 4 of 7th Meeting of BOG (1st Sept 2006) Item 2.3 (a) and (b), 6(a)-(d) and 12(a) of 8th meeting of BOG (10th Jan 2007) Item 5 and 6 of 9th meeting of BOG (3rd May</li> </ul>	<p>sustainable status through special Reserve Bank of India (RBI) Loan Scheme titled "Burden on the Beneficiary". As per this scheme, accepted by RBI and several nationalized banks, an amount of Rs 1 lakh per annum per student would be paid by the bank directly to the college which will be treated as a loan against the student. The student shall have to pay back this amount 3-4 years after graduating and settling down at a simple interest. If implemented, this will provide much needed financial autonomy to the college.</p> <ul style="list-style-type: none"> <li>• The above RBI scheme will ensure replacement of equipment which are more than 5 years old, thereby laboratories will always be at the state of the art. Secondly, the old equipment could be given to polytechnics and ITIs thereby quality of education at polytechnic level and ITI level also improves. The BOG has been constantly striving to convince the Govt. to accept RBI Special loan scheme for total financial independence of the institute. The dialogue with alumni for creating corpus and creating many start-ups from the campus with</li> </ul>
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			<p>2007) Item 2(d) and 4 of 12th meeting of BOG ( 15th Jan 2008) Item 2.3 and 3 of the 14th meeting of BOG (2nd April 2009) Item 6 of 7th meeting of BOG (28th May 2010) Item 4 of the 22nd meeting of BOG (20th April 2012) Items 2.16 and 3 of the 23rd Meeting of BOG (18th Aug 2012) Item 7 of 25th meeting of BOG (18th March 2013).</p> <ul style="list-style-type: none"> <li>All Heads of the departments having the financial power up to Rs. 50000/- while the Director having financial power up to Rs. 20 lakhs. FC reviews all purchases above Rs. 20 lakhs.</li> </ul> <p>One of the BOG members heads the FC. The expertise and skills of the member used in negotiations leading to enormous savings on various items purchased for the Institute without compromising quality.</p> <ul style="list-style-type: none"> <li>All the accounts converted into double entry book keeping system. As an outcome of this, financial health of the institute known to all stake holders. Periodic review undertaken on financial status.</li> <li>Four funds generated, as per the guidelines of the TEQIP project. These are Corpus fund, Staff development fund, Maintenance fund and Depreciation and Equipment fund.</li> </ul> <p>Institute partially financially sustainable by retaining tuition fees, getting research and consultancy projects, renting out institute facilities and seeking donations from alumni and industry. The fees raised by 10% annually to take care of inflation</p>	<p>institute share-holding to continue till financial sustainability is achieved</p>	
			.		July 2015
3	<b>Is the Governing Body monitoring institutional</b>	2	The BOG monitors institutional performance regularly with respect to	Benchmarking with IITs and also best institutes in the world	June 2015

<p>performance and quality assurance arrangements?  <b>Are these benchmarked against other institutions to show that they are broadly keeping pace with the institutions they would regard as their peers or competitors to ensure and enhance institutional reputation?</b></p>	<p>finance, results, placements, appointments, compliance, student input quality (cut-off ranks), output quality (placement measures), faculty performance (feedback, appraisals, targets), infrastructure (hard and soft), research quality and action plans for improvement discussed and approved in the BOG.</p> <ul style="list-style-type: none"> <li>• The Board envisioned IITs as the role model in the first 7-8 years of autonomy. Hence thorough gap analysis between IIT Bombay and COEP was made with the help of experts drawn from IITs and industry.</li> <li>• GAP analysis between COEP &amp; IITB was carried out exhaustively covering issues like faculty profile, student intake, curriculum, infrastructure, teaching learning practice, alumni, laboratory facilities, library etc. and discussed the same amongst HOD's and faculty members</li> <li>• In order to bridge this gap, an efficient approach of providing first-hand experience to both faculty and students was undertaken. Seventeen faculty of COEP were deputed to IIT Bombay for full semester and asked to attend PG classes and secure a minimum grade of 8 on a scale of 10 competing with young post graduate students. Similarly, students were provided IIT level education in 19 courses through interactive live videoconference technology. A dedicated bandwidth of 2 Mbps connectivity was established between IITB and COEP for transmission of live video-audio streaming possible. The assignments and question papers were the same as those from IITs. Thus institute pursued the</li> </ul>	<p>will be continued in terms of input quality of students, funding resources, R&amp; D projects, consultancy projects and outcome based quality, results, placement record, higher studies, research output, publications and patents, infrastructure and faculty awards. The benchmarking based on different national engg. schools in the country will also be used for benchmarking. The post of Dean Quality assurance is created by the Board of Governors with emphasis on monitoring quality. Benchmarking with international institutions has not been carried out so far due to lack of availability of reliable data. Scientific way of benchmarking is in progress.</p>
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		<p>policy of catching up with IITs.</p> <ul style="list-style-type: none"> <li>• A few alumni from US were roped in for offering full courses.</li> </ul>	
		<ul style="list-style-type: none"> <li>• Faculty are also deputed regularly for doing their Ph. D. and post-doctoral studies at IIT under QIP and other international institutes of repute. Also many faculty members are deputed to attend conferences and short term courses at IITs/IISc.</li> <li>• In every BOG meeting, the minutes of the Senate meetings including student' performance and quality of the academics of the institute is discussed. Director gives presentation during the BOG Meeting regarding Institute' performance, achievements and difficulties. BOG gives guidelines for further progress.</li> <li>• The Institute regularly gets all its UG and PG programs accredited through NBA.</li> <li>• To ensure excellence in institutional performance, external academic audits were carried out from time to time by the eminent personalities from academics and Industry.</li> <li>• On line feedback of the students about faculty members and courses is taken regularly. This feedback is analyzed and faculty counseled by the HOD and Director. Through the transformational agenda undertaken and turn- around of COEP, the Institute is highly ranked by different national surveys. Brand COEP is getting consolidated. Now, ranking is continuously rising up from 22nd to 26th position (2007-2008) to 8th to 20th position (2013-2014) by different surveys. The audit score during TEQIP-I increased</li> </ul>	<p>A committee of IIT professors and industry experts was appointed by each department to review all the programmes and discussed in the Senate and then in the Board meeting. The above practice is not only continued but every department has now set up an industry advisory board for preparing a technology road map for the department.</p>
			Dec 2014

		<p>from 5 on a scale of 10 in the first audit to 9.5 on a scale of 10 at the end of seventh audit.</p> <ul style="list-style-type: none"> <li>AICTE CII survey recognized COEP for its industry interaction and gave the "Second Best Industry Interaction award" in 2012 and Best industry Interaction Award in mechanical Engineering in 2013.</li> </ul> <p>Item 9 of 5th Meeting of BOG (22nd Dec 2005)  Items 2 and 3 of 13th meeting of BOG (2nd Sept 2008)  Item 5 of 14th Meeting of BOG (2nd April 2009)  Items 2.4 and 6 of the 16th meeting of BOG (4th Feb 2010)  Item 12(k) of 17th Meeting of BOG (28th May 2010)  Item 9 of 5th Meeting of BOG (22nd Dec 2005)</p>		
4	<p><b>Has the Governing Body put in place suitable arrangements for monitoring the head of the institution's performance?</b></p>	2	<p>Head of the institution's performance is regularly monitored by the Chairman BOG. The performance is monitored both qualitatively and quantitatively in terms of achievements of the institute. It is linked with overall achievements/excellence of Institute. Director reports to the Chairman BOG, Dr. F. C. Kohli who regularly monitors the performance of the Director and the institute, gives timely direction and appropriate advise. Thus, monitoring the performance of Director is very regular. Apart from this, Head of the institution presents the institute's performance in BOG meetings. The issues are discussed and BOG members give guidance for further improvement. Initially the incumbent Director came on deputation for five years. Noting the substantial progress of Institute and the excellent achievements in key performance indicators during the tenure and to consolidate the gains made,</p> <p>There is scope to make formal arrangement for monitoring the head of institution's performance BOG shall define quantified measurable objectives based on vision, mission and goals set out for the institute with timelines and Head of Institute's performance may be reviewed and monitored against these measurable objectives by the BOG.</p>	Dec 2015

			Chairman and Board extended his term for another five years, in the larger interest of college. Some of the main features of his performance are that he is hard working, keeps a tab on the functioning of the institute in its minutest detail and is always accessible to all stakeholders for guidance and encouragement in a vibrant manner. He leads by example. Accessibility to all stake holders is another important feature. Minutes of the 9th BOG meeting (3rd May 2007)Item 5 of 14th meeting of BOG (2nd April 2009)Item 2.4 of 16th meeting of BOG (4th Feb 2010)Item 2.9 and 5 of the 18th Meeting of BOG (24th Nov 2010)Item 2.3 of the 22nd meeting of BOG (20th April 2012)		
<b>B</b>	<b>OPENNESS AND TRANSPARENCY IN THE OPERATION OF GOVERNING BODIES</b>				
	<b>PRACTICE</b>	<b>SCORE*</b>	<b>SELF REVIEW COMMENT</b>	<b>DEVELOPMENT PLAN</b>	
1	<b>Does the Governing Body publish annual report on institutional performance?</b>	1	<ul style="list-style-type: none"> <li>On behalf of BOG annual report is presented by the Director at the time of graduation ceremony. Following this, the same report is handed out to students attending the graduation ceremony. Annual report consisting of achievements of the Institute, faculty, students, interaction with industry, alumni etc. is published every year and circulated to all stake holders. E-copies are also available to all stakeholders.</li> <li>In addition to Annual Report the Institute publishes the college magazine, in which, every department publishes their achievements.</li> <li>Minutes of the BOG Meeting are also communicated to all departments and disclosed</li> </ul>	<p>In addition to publishing annual report, the institute decided to publish several other special reports for different stakeholders. These include publishing a quarterly newsletter, the training and placement brochure and R&amp;D report. The institute has started publishing newsletter and will continue to publish it regularly. Institute also started publishing training and placement brochure annually.</p> <p>Institute plans to publish information about institute's R and D capabilities in terms of faculty</p>	Dec 2014

			<p>on the Institute web page.  Item 5 of 14th meeting of BOG (2nd April 2009)  Item 2.4 of 16th meeting of BOG (4th Feb 2010)  Item 2.9 and 5 of the 18th Meeting of BOG (24th Nov 2010)  Item 2.3 of the 22nd meeting of BOG (20th April 2012)</p>	<p>expertise, equipment available etc and send to all industries.</p>	
2	<p><b>Does the Governing Body maintain, and publicly disclose, a register of interests of members of its governing body?</b></p>	2	<ul style="list-style-type: none"> <li>• BOG members are nominated by the State Government considering their competency and their willingness.</li> <li>• Although, no formal public disclosure about register of interests exists, no one has ever shown any personal interest in the institute functioning. There is no conflict of interest of any member. If any agenda related to one's business area comes up, members excuse themselves from participating in that agenda item. Most of the members are from corporate world and follow the public disclosure of interests. In academic institutes, such formal practice does not exist in India. All the members of the Board would be more than willing to disclose a register of interests. On the other hand, each member has contributed his/her expertise in the best interest of the institute.</li> <li>• There are incidences of some members diverting the seating allowance/honorarium of board meetings for welfare of needy students.</li> <li>• BOG is working as per good practice guidelines.</li> <li>• Every member has certain role to play in the institute functioning. Every member has committed 80-100 hours of work in a year for the institute.</li> </ul>	<p>A proposal for maintaining a formal Register of Interests is acceptable to the BOG and shall be implemented soon.</p>	Dec 2014
3	<p><b>Is the Governing Body conducted in</b></p>	1	<ul style="list-style-type: none"> <li>• BOG meetings are</li> </ul>	<p>The placement</p>	Dec 2014

<p><b>an open manner, and does it provide as much information as possible to students, faculty, the general public and potential employers on all aspects of institutional activity related to academic performance, finance and management?</b></p>	<p>conducted in an open and transparent manner. The agenda items can be initiated by faculty and staff of the institute. In the BOG meetings in addition to BOG Members, Deputy Director, and all Heads and Deans of the Institute are invited. Director is the ex officio secretary of the Board and there is a representation of two faculty members on the Board as nominees of the Senate. BOG meeting is held on an average 3 to 4 times in a year. Discussions with students and staff indicate that they have appropriate access to information about the proceedings of their governing body. The discussions ensure that marketing and reported information is truthful. To explain BOG's views and policies, members regularly conduct meetings with: Faculty, students, support staff, alumni, industry representatives and parents separately. The Chairman holds meeting with all faculty at least once a year.</p> <ul style="list-style-type: none"> <li>• Detailed student admission information uses clear and transparent criteria, procedures and processes that are shared on the institutional website to ensure public trust and confidence in the integrity of the processes regarding the selection and admission of students. The student's admission is completely transparent and open to the public. Students Admission of the Institute takes place centrally and the detail of every seat allotted is available online to every stakeholder. During UG admission, the counseling cell works almost 24X7. There is no management quota in the institute.</li> </ul>	<p>brochure is printed every year and provided to all prospective employers. Most of the data of the institute is displayed on the institute website under two tabs: mandatory disclosure and information to stakeholders. All the minutes of BOG, BWC, Finance Committee and Senate are displayed on the institute website. Being a Government Institute, COEP is governed by an RTI Act and hence any information that is desired by public is made available as and when sought. These practices will be continued.</p> <p>The standard operating procedure manual is being prepared for all activities of the institute including 32 plus student clubs.</p>
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C KEY ATTRIBUTES OF GOVERNING BODIES				
	PRACTICE	SCORE*	SELF REVIEW COMMENT	DEVELOPMENT PLAN
1	Are the size, skills, competences and experiences of the Governing Body, such that it is able to carry out its primary accountabilities effectively and efficiently, and ensure the confidence of its stakeholders and constituents?	1	<ul style="list-style-type: none"> <li>The existing BOG members have adequate skills, experience and competencies to carry out the institution's governance effectively, with the total sense of its accountabilities, meeting the expectations of stakeholders, towards raising their satisfaction levels and beliefs in the systems. As per the first Government of Maharashtra Resolution (GR) issued in the year 2002, (No. WBP-2001/(47/01)/VE-5, dated 19th July 2002), the size of the board was decided to be 15, which was reduced to 10, vide another GR issued in 2010. The process of identification and nomination/appointment of members of Board was formulated by the Government of Maharashtra through the Department of Higher and Technical Education, and the Directorate of Technical Education.</li> <li>The first board came in to existence in 2004, chaired by Dr. F. C. Kohli, . Being a strong proponent of Autonomy, he accepted the responsibility of leading the board of COEP upon request from the Government. The board had a proper balance and blend of due representation from Academia, Industry, Entrepreneurs, Administration and Alumni. The identified members were/are luminary contributors, in their own way, in their professions with a highly successful track record.</li> <li>After completion of its first term, the Government decided to grant the second term to most of the members of the existing board, but</li> </ul>	The BOG has maintained a practice of having eminent experts in different fields as invitee members in addition to formal members drawn from industry and academia which ensures that there is adequate expertise in all areas of operation of the institute. This practice will be continued.

			<p>with reduced size of the board and additional new member. However, Institute continued the status of all earlier members as special invitees for all meetings. Readers are requested to refer to the list of members attached herewith for understanding spectrum of personalities. Majority of them are with Engineering/Technology background, some eminent educationists, some leading big industrial houses or renowned institutes, some social entrepreneurs, some learned administrators, but all with commitment towards development of COEP as a role model as Institute par Excellence.</p> <ul style="list-style-type: none"> <li>• One more special contribution of the Board has been to work with the institute for about 80-100 hours per year and actively contribute to the institute functioning in the areas of their expertise, this really being the differentiating aspect.</li> </ul>	
2	<p><b>Are the recruitment processes and procedures for governing body members rigorous and transparent?</b></p>	2	<ul style="list-style-type: none"> <li>• As mentioned earlier, the Government of Maharashtra through the technical education department and directorate of technical education led by the officials like Secretary and Director and their offices are responsible and involved initiate identification and nomination of Board members. The process is adequately transparent and senior leadership of the Institute is aware of the same. In a few specific cases, the recommendations by the Institute for inducting new members in the board have been duly honored by the Government.</li> <li>• All the older and newly inducted members are integrated and committed towards the grooming of the Institute as a role model. As</li> </ul>	<p>There is no formal representation of students on the Board of Governors. Formal student representation exists in the Senate and other academic bodies at the institute level and department level but not on the BOG or the FC. Such practice does not exist in India. However, whenever there is an agenda related to students, and student input is felt necessary, students are invited to the Board meetings as invitees when those agenda items are discussed. We will seriously consider having student members on</p> <p>Dec 2015</p>

		<p>experienced by the stakeholders, there is no evidence of conflict of interests or vested attractions among the members. There is absolutely NO political interference or distraction, ever applied by any member, in executing the autonomy in terms of academic, administrative, managerial and financial freedom and its delegation down the hierarchy. On the contrary, using their current stature and standing in the society, they have been able to influence the Government of Maharashtra to nurture autonomy in a better way. The best examples are fetching Government funds to raise two building towers, for Girls' Hostel and Academic complex.</p>	<p>the BOG as suggested by World Bank Consultants from their experience in many developed countries.</p>	
3	<p><b>Does the Governing Body have actively involved independent members and is the institution free from direct political interference to ensure academic freedom and focus on long term educational objectives?</b></p>	2	<p>The independent members are external to, and are totally independent of the institution. Independent members are proactive and have contributed immensely in the overall development of the institute, by giving minimum of 80 to 100 hours per year in the area of their expertise and mutually agreed to by all the Board members. This devotion of time is in addition to regular Board meetings where suggestions for improvement are made. Such suggestions are minuted and implemented by the institution, and actions taken reported in the following Board meeting, which is evidenced from the minutes of the meetings. The institution is free from any political interference as far as day-to-day operations are concerned. However, political decisions regarding reservation quotas in student admission, admission policy, centralized admissions, faculty and staff recruitment, transfer of staff,</p>	<p>To ensure total autonomy with reference to academic, admin. and finance, a status of Deemed University is necessary. Thankfully, the Government is favourable to this idea based on the excellent performance of the institute. The institute has obtained a No Objection Certificate for making an application for Deemed University to UGC and MHRD from both University of Pune and Government of Maharashtra. The application is pending with MHRD.</p>
				July 2015

			permissible tuition fee and questioning salary fixation for faculty etc from time to time does affect attainment of long term educational objectives of quality and excellence.		
4	<b>Are the role and responsibilities of the Chair of the Governing body, the Head of the Institution and the Member Secretary serving the governing body clearly stated?</b>	2	<ul style="list-style-type: none"> <li>The roles and responsibilities of the BOG have been defined and documented in the GR. The individual member responsibility or that of the Chair are not explicitly stated. However, based on expertise, experience, domain, skills, competencies, every member volunteered for heading a portfolio of his/her interest, encompassing almost all fronts of institutional development. For example, different members have undertaken roles like academic, finance, buildings, hostels, management for governing the institution better.</li> <li>The charter of responsibilities of the Head of the institute, in the capacity of member secretary of governing body and otherwise, Deputy Director, all the Deans, TEQIP coordinator has been well documented and the roles defined in charter are very effective in functionality.</li> </ul>	The institute shall prepare a detailed guide for defining the roles and responsibilities of BOG members while preparing the Statutes.	July 2015
5	<b>Does the Governing Body meet regularly? Is there clear evidence that members of the governing body attend regularly and participate actively?</b>	1	<ul style="list-style-type: none"> <li>BOG meets regularly, with sufficient frequency of three to four times in a year. Sometimes imperative issues necessitate extempore meetings or meetings by circulation over e-mail. Informal meeting/visits of board members as per their association with sub-committees are convened at regular intervals upon accumulation of sufficient agenda or in a non-plan way for certain accidental issues.</li> </ul>	The best practices of holding regular 3-4 meetings a year will be continued. If possible more formal meetings will be arranged.	July 2015

			<p>Attendance record of Board meetings is maintained and majority of members participate with enthusiasm and with thoughtful preparation, that can be inferred easily from the decisions delivered.</p> <p>The minutes of BOG meetings show clear evidence.</p>	
<b>D . EFFECTIVENESS AND PERFORMANCE REVIEW OF GOVERNING BODIES</b>				
	<b>PRACTICE</b>	<b>SCORE*</b>	<b>SELF REVIEW COMMENT</b>	<b>DEVELOPMENT PLAN</b>
1	<p><b>Does the Governing Body keep their effectiveness under regular review and in reviewing its performance, reflect on the performance of the institution as a whole in meeting its longterm strategic objectives and its short-term indicators of performance/success?</b></p>	2	<ul style="list-style-type: none"> <li>• There is essentially a practice of self-review. The formal review process for effectiveness of BOG is not in place. However, Chairman of the Board with his vast experience in the corporate world and association with almost all higher education and industry bodies monitors and reviews the effectiveness of the Board and its members. Moreover, the performance of Director as Member Secretary of the BOG is regularly reviewed by all the members, since he is executive authority of all the policies, face of the board for external stakeholders and interface between Board and internal stakeholders. His assessment indirectly reflects the board's review, in turn, for performance of Institute on all fronts.</li> <li>• The BOG has directed the institute functionaries to face various national level reputed surveys that rank the institute, based on certain performance indicators. The jump in the position of institute at the rank of around 10th to 15th from around 25th to 30th, is itself a reflection of Board's performance. Almost all national surveys indicate consistently COEP's high rankings in the last 4-5 years.</li> </ul>	<p>After having achieved status of excellence nationally, the Board is now looking forward to benchmark itself with global best institutions like MIT and Stanford and adapt ourselves with strong mathematics and science content. Accordingly, institute is revisiting its vision, mission and set of goals. In the meetings of the BOG progress on the vision, mission and goals is reviewed regularly. Recently, it was discussed and reviewed in the 25th BOG meeting held on 18th March 2013. Board has decided to revisit the vision, Mission and Goals of the institute in the above meeting.</p>
				Dec 2014.

			<p>AICTE ranked COEP to be the second best engineering institute to have matured and for persistent Industry-Institute Interaction in 2012 while received accolades for being the Best Industry Interaction in Mechanical Engineering in 2013.</p> <ul style="list-style-type: none"> <li>• Regular accreditation from NBA of all UG and PG programs once in three or five years, is also, in some way, the performance audit of road map and policies, the board has laid down, in meeting objectives.</li> </ul>	
2	<p><b>Does the Governing Body ensure that new members are properly inducted, and existing members receive opportunities for further development as deemed necessary?</b></p>	1	<p>As mentioned earlier, induction/nomination of new board members is prerogative of Department of Technical Education, Government of Maharashtra. However, there has been couple of examples of Institute's requests being honored by the Government regarding nomination of illustrious, but contributive personalities into the board.</p> <ul style="list-style-type: none"> <li>• Since the member nominees in the board are aptly experienced and experts in their respective domains, there are rare examples of these members requiring any further training to improve their performance and contributions. The crux of the matter is selection of right Board of Governors and its Chair. The Chairman has identified and requested a role for every member of the Board, to own a portfolio of their interest, and put in 100 hours a year, thus optimizing their effectiveness as board member. The institute representatives on the board, the deans and the Director as member secretary have been receiving adequate opportunities to exert their talents for better efficiency. They have been mentored and trained by the members of the Board and in particular</li> </ul>	<p>The best practice of inducting new Board members will be continued. The training for faculty and staff towards leadership development and governance issues will also be continued. This will be a ongoing regular activity.</p>

			<p>Chairman of the Board.</p> <ul style="list-style-type: none"> <li>• The members are truly dignitaries in their own domain, leading by examples, and creating opportunities for others to develop towards attainment of common goals.</li> <li>• The positions of Deans and Heads of the departments/Co-Extra-curricular Cells are rotated after the period of three years among deserving senior faculty members, thus giving exposure and opportunity to every individual faculty member to contribute in their own way to Institute's progress.</li> </ul>	
<b>E</b>	<b>REGULATORY COMPLIANCE</b>			
	<b>PRACTICE</b>	<b>SCORE*</b>	<b>REGULATORY COMPLIANCE</b>	<b>DEVELOPMENT PLAN</b>
1	<p><b>Does the Governing Body ensure regulatory compliance and, subject to this, take all final decisions on matters of fundamental concern to the institution?</b></p>	1	<ul style="list-style-type: none"> <li>• The regulatory authorities involved in giving full Autonomy to the institute are MHRD-Govt. of India (represented by AICTE and UGC), State Government of Maharashtra and University of Pune. The status of autonomy has been re-assessed by these authorities and the continuation has been granted till year 2016. As per statutes, guidelines, ordinances etc., issued by these bodies from time to time, all the compliances are met by the Institute at regular frequency to run and expand its academic programs. For example, Institute submits AICTE compliance report and Mandatory Disclosure every year to seek a yearly extension of approval.</li> <li>• The admissions to UG and PG programs are carried out not only respecting the rules of State and Central Governments in this regard, but the UG admissions are done by a separate admission cell constituted by State Government, for autonomous institutes.</li> <li>• The institute follows the</li> </ul>	<ul style="list-style-type: none"> <li>• All UG programs of the institute have been accredited by National Board of Accreditation (NBA) twice in the past (first in 2003, then 2007) and the third NBA team visit under Tier-I is completed. All PG specializations are once accredited in 2009 and second iteration is in process. Current practices will be sustained.</li> <li>As COEP is an autonomous institute owned by Govt. of Maharashtra, it is by default a non-profit organization. The fee structure of all programs is regulated by the Government with an annual increase of 10%. Institute is planning a special RBI loan scheme called burden on the beneficiary.</li> </ul>
				July 2015



1.	<b>Substantial evidence of good practice</b> in the quality and standards achieved (Assessment identifies clear supporting evidence for at least 75% of the relevant practices.)
2.	<b>Some evidence of good practice</b> in the quality and standards achieved (Assessment identifies clear supporting evidence for at least 50% of the relevant practices.)
3.	<b>Not in place</b> (Institutions may specify the expected date of completion if there are concrete plans in place for implementation.)

**APPENDIX IV:  
EXPERT ADVISORY GROUP (EAG) REVIEW OF INSTITUTIONAL GGDs**  
**NAME OF INSTITUTION: BVB COLLEGE OF ENGINEERING AND  
TECHNOLOGY, HUBLI, KARNATAKA**

	<b>GOOD GOVERNANCE PRACTICE</b> (As promoted by the TEQIP Good Practice Guide for Governing Bodies):	<b>INSTITUTION'S GOVERNANCE GUIDELINES DOCUMENT</b> (Identifies current governance practice in the following areas):	<b>EXPERT ADVISORY GROUP FEEDBACK</b> (benchmarking the Institution's current governance practice against the TEQIP Good Practice Guide for Governing Bodies):
1	<b>Principles of governance and management</b> (explaining the essential differences between these)	<ul style="list-style-type: none"> <li>▪ Defined by reference to the roles set out in Annex 4 of the Good Practice Guide</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meets the principles set out in the Good Practice Guide</li> </ul>
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	<ul style="list-style-type: none"> <li>▪ Set out in the section on roles and responsibilities of Governors</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meets the principles set out in the Good Practice Guide</li> </ul>
3	<b>The role of the Chair and of the head of the institution</b> , and the relationship between them	<ul style="list-style-type: none"> <li>▪ Set out in the section on roles and responsibilities of Governors</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meets the principles set out in the Good practice Guide</li> </ul>
4	<b>How members and the Chair are appointed</b>	<ul style="list-style-type: none"> <li>▪ Plans in place to establish a Nominations Committee</li> </ul>	<ul style="list-style-type: none"> <li>▪ As elsewhere, the constraints on the composition of the Board raise a system-wide issue which the EAG will consider further</li> </ul>
5	<b>The committee structure and the scheme of delegation to those committees</b> (Terms of Reference of Committees should be included in an Annex)	<ul style="list-style-type: none"> <li>▪ Finance Committee exists</li> </ul>	<ul style="list-style-type: none"> <li>▪ Terms of Reference of Committees can be added as an Annex</li> </ul>
6	<b>The definition of primary accountabilities* and the governing body's approach to them</b>	<ul style="list-style-type: none"> <li>▪ Taken with the BVBCET Governance Development Plan, all aspects listed in the Good Practice Guide are covered</li> </ul>	<ul style="list-style-type: none"> <li>▪ On track to implement the full range of activities set out in this section of the Good Practice Guide by March 2016</li> </ul>
7	<b>Openness and transparency*</b>	<ul style="list-style-type: none"> <li>▪ Taken with the BVBCET Governance Development Plan, all aspects listed in the</li> </ul>	<ul style="list-style-type: none"> <li>▪ On track to implement the full range of activities by September 2014</li> </ul>

		Good Practice Guide are covered	
8	<b>Key attributes*</b>	<ul style="list-style-type: none"> <li>▪ Taken with the BVBCET Governance Development Plan, all aspects listed in the Good Practice Guide are covered</li> </ul>	<ul style="list-style-type: none"> <li>▪ Subject to the external constraints on composition, on track to implement the full range of activities by June 2015</li> </ul>
9	<b>Effectiveness and performance review*</b>	<ul style="list-style-type: none"> <li>▪ Taken with the BVBCET Governance Development Plan, all aspects listed in the Good Practice Guide are covered</li> </ul>	<ul style="list-style-type: none"> <li>▪ On track to implement the full range of activities by December 2014</li> </ul>
10	<b>Regulatory compliance*</b>	<ul style="list-style-type: none"> <li>▪ All aspects listed in the Good Practice Guide are covered</li> </ul>	<ul style="list-style-type: none"> <li>▪ Already meets the principles set out in the Good Practice Guide</li> </ul>
	<b>Annex 1:</b> Terms of reference of committees	<ul style="list-style-type: none"> <li>▪</li> </ul>	<ul style="list-style-type: none"> <li>▪</li> </ul>
	<b>Annex 2:</b> The Governance Development Plan (and performance indicators) for all governance activities	<ul style="list-style-type: none"> <li>▪</li> </ul>	<ul style="list-style-type: none"> <li>▪</li> </ul>

\* Benchmarked against the **TEQIP Good Practice Guide for Governing Bodies**

**APPENDIX V**

**EXPERT REVIEW AND EVALUATION OF GGDs- TYPICAL EXAMPLE**

**Name of the Institution: Typical Institution**

**Name of the Reviewer with date: XXX**

<b>CHECK LIST FOR REVIEWING GOVERNANCE GUIDELINES OF INSTITUTIONS</b>					
<b>S N</b>	<b>ITEMS</b>	<b>WHETHER COVERED IN THE GOVERNANCE GUIDELINES (YES/NO)</b>	<b>EXAMPLES OF ESTABLISHED GOOD PRACTICE</b>	<b>EXAMPLES OF INNOVATIONS WITH POTENTIAL TO BECOME GOOD PRACTICE (BEING SYSTEMATICALLY MONITORED)</b>	<b>AREAS OF MISUNDERSTANDING, CONFUSION OR LACK OF CLARITY</b>
<b>A. PRIMARY ACCOUNTABILITIES</b>					
1	Role of Board of Governors in approving the mission and strategic vision of the institute	Yes	Not likely to be seen in GGD as this is only a Guidelines Document giving the <i>intent of the institution to implement good governance.</i>	Not likely to be seen in GGD as this is only a Guidelines Document giving the <i>intent of the institution to implement good governance.</i>	In Organizational Structure (1.2), BOG&DTE shown at the same level; But, DTE shown as Member of BOG in Table 1(Page 13).
2	Establishing and monitoring proper, effective and efficient systems of control and accountability	Yes	'' '' ''	'' '' ''	In A.2.1, role of BOG in mobilizing new resources to increase IRG seems to be left out.
3	Monitoring institutional performance, including benchmarking against other institutions	Yes	Using agreed KPIs under A3 to go for benchmarking is welcome; But, how this to be done at institute's level not indicated.	'' '' ''	More clarity required here to make A3 implementable.
4	Reviewing the performance of the head of the institute	Yes	Not likely to be seen in GGD as this is only a Guidelines Document giving the <i>intent of the institution to implement</i>	'' '' ''	Reviewing the performance of all other functionaries (as in A4) by BOG may not be required; But, this could be left to the Principal.

CHECK LIST FOR REVIEWING GOVERNANCE GUIDELINES OF INSTITUTIONS					
S N	ITEMS	WHETHER COVERED IN THE GOVERNANCE GUIDELINES (YES/NO)	EXAMPLES OF ESTABLISHED GOOD PRACTICE	EXAMPLES OF INNOVATIONS WITH POTENTIAL TO BECOME GOOD PRACTICE (BEING SYSTEMATICALLY MONITORED)	AREAS OF MISUNDERSTANDING, CONFUSION OR LACK OF CLARITY
			<i>good governance.</i>		
5	Other aspects (please describe) <ul style="list-style-type: none"> <li>• Planning &amp; Monitoring HRD</li> <li>• Instituting scholarships etc.</li> <li>• Launching new programmes</li> </ul>	Yes Yes Yes	” ” ”	” ” ”	These aspects to be covered to be in alignment with the <i>Strategic Plan</i> and not as new or unplanned actions.

CHECK LIST FOR REVIEWING GOVERNANCE GUIDELINES OF INSTITUTIONS					
S N	ITEMS	WHETHER COVERED IN THE GOVERNANCE GUIDELINES (YES/NO)	EXAMPLES OF ESTABLISHED GOOD PRACTICE	EXAMPLES OF INNOVATIONS WITH POTENTIAL TO BECOME GOOD PRACTICE (BEING SYSTEMATICALLY MONITORED)	AREAS OF MISUNDERSTANDING, CONFUSION OR LACK OF CLARITY
<b>B. OPENNESS AND TRANSPARENCY</b>					
6	Responsibility for publishing annual report	No	Not likely to be seen in GGD as this is only a Guidelines Document giving the <i>intent of the institution to implement good governance.</i>	Not likely to be seen in GGD as this is only a Guidelines Document giving the <i>intent of the institution to implement good governance.</i>	To be a comprehensive report unlike the one envisaged in B1 and include also Annual Audit Report, placed on Website
7	Clear provisions regarding conflicts of interest, including definitions of conflicts, guidelines for responding to conflicts as they arise, and publishing a register of members interests	No, but Register of Interests maintained for being publicized (B2).	'' '' ''	'' '' ''	Method of publicizing Register of Interests not specified in B2.
8	Publishing agenda and minutes of the meetings of the Board of Governors in a timely fashion	No, but Minutes to be available on Website (B2).	'' '' ''	'' '' ''	Need of 'timeliness' in handling the Minutes not indicated (B2).
9	Guidelines of availability of information about the workings and activities of the Board of Governors, including what information will be made public and through what channels	No	'' '' ''	'' '' ''	This matter not included, although important.
10	Transparency about any remuneration provided to members in the performance of their work	No	'' '' ''	'' '' ''	'' '' ''

<b>CHECK LIST FOR REVIEWING GOVERNANCE GUIDELINES OF INSTITUTIONS</b>					
<b>S N</b>	<b>ITEMS</b>	<b>WHETHER COVERED IN THE GOVERNANC E GUIDELINES (YES/NO)</b>	<b>EXAMPLES OF ESTABLISHE D GOOD PRACTICE</b>	<b>EXAMPLES OF INNOVATIONS WITH POTENTIAL TO BECOME GOOD PRACTICE (BEING SYSTEMATICAL LY MONITORED)</b>	<b>AREAS OF MISUNDERSTANDIN G, CONFUSION OR LACK OF CLARITY</b>
11	Guidelines to address complaints about the working of the Board of Governors	No	'' '' ''	'' '' ''	'' '' ''
12	Other aspects (please describe)	Nil	Not applicable	Not applicable	Not applicable

CHECK LIST FOR REVIEWING GOVERNANCE GUIDELINES OF INSTITUTIONS					
S N	ITEMS	WHETHER COVERED IN THE GOVERNANCE GUIDELINES (YES/NO)	EXAMPLES OF ESTABLISHED GOOD PRACTICE	EXAMPLES OF INNOVATIONS WITH POTENTIAL TO BECOME GOOD PRACTICE (BEING SYSTEMATICALLY MONITORED)	AREAS OF MISUNDERSTANDING, CONFUSION OR LACK OF CLARITY
<b>C. KEY ATTRIBUTES</b>					
13	The role of the Chair and of the head of the institution, and the demarcation of roles and responsibilities between them	Yes	Not likely to be seen in GGD as this is only a Guidelines Document giving the <i>intent of the institution to implement good governance.</i>	Not likely to be seen in GGD as this is only a Guidelines Document giving the <i>intent of the institution to implement good governance.</i>	Well covered in GGD with good clarity on all major aspects.
14	How members and the Chair are appointed and tenure of service	Yes	'' '' ''	'' '' ''	Appointing senior faculty of institution and periodicity of their rotation as Board members and the method of including students in this Body not made clear(C1.1).
15	The committee structure and the scheme of delegation to those committees	No	'' '' ''	'' '' ''	Method of appointing Committees not given, but delegation of powers to them clearly given (C3.2).
16	Expectations of the behaviour and level of commitment of members and mechanisms to address failure to meet these expectations	No	'' '' ''	'' '' ''	This matter not included although important for smooth functioning of the institution.
17	Other aspects (please describe): <ul style="list-style-type: none"> <li>Clarity on responsibilities at many levels</li> </ul>	No	'' '' ''	'' '' ''	Much needs to be done to avoid any possible conflict/ misunderstanding.

CHECK LIST FOR REVIEWING GOVERNANCE GUIDELINES OF INSTITUTIONS					
S N	ITEMS	WHETHER COVERED IN THE GOVERNANCE GUIDELINES (YES/NO)	EXAMPLES OF ESTABLISHED GOOD PRACTICE	EXAMPLES OF INNOVATIONS WITH POTENTIAL TO BECOME GOOD PRACTICE (BEING SYSTEMATICALLY MONITORED)	AREAS OF MISUNDERSTANDING, CONFUSION OR LACK OF CLARITY
<b>D. EFFECTIVENESS AND PERFORMANCE REVIEW</b>					
18	Mechanism and timetable for review of the performance of the Board of Governors	Yes	Not likely to be seen in GGD as this is only a Guidelines Document giving the <i>intent of the institution to implement good governance.</i>	Not likely to be seen in GGD as this is only a Guidelines Document giving the <i>intent of the institution to implement good governance.</i>	Sufficiently clear in D2.
19	Mechanism and timetable for reviewing the Governance Guidelines	No	'' '' ''	'' '' ''	This matter not included although important for smooth governance of the institution at all times.
20	Other aspects (please describe): <ul style="list-style-type: none"> <li>• Induction of new members</li> </ul>	Yes	'' '' ''	'' '' ''	Sufficiently clear in D1
<b>E. REGULATORY COMPLIANCE</b>					
21	Mechanisms to ensure compliance with statues, ordinances of the institutes as well as any conditions set by the appropriate regulatory bodies	Yes	'' '' ''	'' '' ''	Sufficiently clear in E
22	Other aspects (please describe)	Nil	Not applicable	Not applicable	Not applicable

## **PURPOSE OF REVIEW**

Now that a significant number of institutes have completed their first Governance Guidelines, it has been decided to conduct a review of these Guidelines so as to identify examples of good practice and areas in which institutes need further support. Following the completion of the review of the Guidelines of each institute, the NPIU will prepare an overall summary report, cull out examples of good practice and describe areas in which institutes need further support. The summary report will be shared with all institutes under the TEQIP project, including those who are yet to complete their Guidelines. The report will also be made available on the Good Governance website so that all institutes, including those beyond the TEQIP project, can benefit.

This review will not assess or rank individual Governance Guidelines nor determine whether the Guidelines of a particular institute are acceptable or not. The completed template for each institute will however be shared with the institute so that they might build on their strengths and address their weaknesses. The completed template itself will not be made public by the NPIU or the reviewer.

The purpose of this template is to document important aspects of the Governance Guidelines prepared by each institute. In particular, reviewers should document: (i) specific examples of good practice (please identify top three), (ii) innovative practices which might become good practice and as such should be systematically monitored as they are implemented (please identify top three), and (iii) areas of the institute's Guidelines which appear to the reviewer to be ones in which the Guidelines are unclear either because they appear to be misunderstandings or confusions about the issue and/or the TEQIP Good Governance Guidelines, or for some other reason.

The reviewer should review the institute's Governance Guidelines and fill in the template. It is not necessary to fill in each cell of every row; the reviewer should use their judgment about the important things to document. The reviewer should keep in mind to document those things which will be helpful to other institutes.

However, when a cell is completed, the reviewer should explain clearly in two or three sentences why a particular practice or element of the institute's Guidelines has been documented, including a reference to the relevant page/section of the document.

Once the review is done and the template has been completed, it should be returned to the NPIU.

## APPENDIX VI

### TEQIP-II Good Governance Programme 2013-2014

#### Expert Advisory Group (EAG) Report on the TEQIP-II Good Governance Programme 2013-2014

1. This Expert Advisory Group (EAG) report on the TEQIP-II Good Governance Programme 2013-2014 provides: a short introduction to the programme and the need for good governance; an overarching review of the programme using the same development approach used for the programme itself; and finally an assessment of the current constraints and risks associated with future work based on experience to date:
  - a. What has been achieved and learned from the programme to date? (*Where are we now?*)
  - b. How can achievements and learning from the programme be used in future to continue to strengthen governance practice? (*Where are we going?*)
  - c. What would be needed to implement this follow-up work? (*How will we get there?*)
  - d. What would be the likely indicators of success? (How will we know if we have been successful?)
  - e. What are the constraints and risks associated with any follow-up work?
2. The report has been put together with the long-term interests of TEQIP institutions in mind, and in the spirit of the continuous support that the EAG have tried to offer during this two-year period.

#### Introduction

3. TEQIP-II Good Governance Programme sought to support and strengthen the capacity of governing bodies to carry out their duties in guiding and overseeing the activities of technical education institutions in India. We remain clear that developing effective governance will underpin their long-term development.
4. There has been a specific focus on institutions helping one another by willingly [sharing experiences](#), and engaging in regular [self-review](#), recognizing the importance of identifying and supporting [governance development](#) needs, and most importantly [implementing good governance](#).
5. The Good Governance Programme was designed to familiarize institutions with this method and approach to ensure solid foundations for embedding on-going good governance practice into TEQIP institutions to help them grow into strong institutions of higher education.

#### The Need for Good Governance

6. Underpinning the reason for starting the Good Governance Programme is the premise that Good governance ensures that stakeholders, including students, faculty and institutional management, as well as those from the wider society, have full confidence and trust in our institutions - and that all those who have governance responsibilities and [accountabilities](#), both within and outside institutions, carry these out effectively.
7. Effective governance at all levels is one of the most important keys to the improvement of the quality of learning, teaching and research outcomes in India, as it is internationally. In keeping with the current reform initiatives in India, effective governance requires strengthening of autonomy **with** effective accountability.
8. The outcomes from the good governance programme will be reviewed during the December 2014 Supervisory Mission of the World Bank and this report, therefore, serves to assist the MHRD and the World Bank by informing this review process.

**Where are we now?** What has been achieved and learned from the Good Governance Programme to date?

9. December 2014 marks the end of the two-year Good Governance [Programme of activities](#).
10. To date xx TEQIP-II institutions have engaged in some part of the Good Governance Programme. Of the three major programme outputs: xx institutions have completed a Governance Self-Review (GSR), xx have completed a Governance Development Plan (GDP), and two institutions have completed the whole programme which includes the third major output – the production of their own Institutional Governance Guidelines Document (GGD). These two institutions, the BVB College of Engineering Technology, Hubli and the College of Engineering, Pune were also identified as the two pilot institutions selected from the first pilot Good Governance Learning Forums held in January 2012.
11. The EAG reported comprehensively to the December 2013 Joint Review Mission (**See Annex 1**). This covered a concern for the lack of progress after one year – including a year-long delay in establishing the website and the subsequent delay to institutions in accessing materials developed specifically for their development needs, the number of other constraints/issues (at the institutional, systems support and individual levels) that may have contributed to this overall lack of progress, and also recommendations for improvement. Following this interim review a number of improvements occurred during 2014, including a significant increase in the number of GSRs and GDPs completed – though there has been an inconsistency in the quality of outputs and the level of understanding of good governance. In addition, the final approval for the establishment of the Good Governance [website](#) was obtained. However, delays continued in the delivery of the Good Governance Forums and these did not take place until October 2014.
12. The EAG reported on the progress of the [Governance Self-Reviews in February 2014](#) and on the submission of [Governance Development Plans in June 2014](#).
13. In October 2014 three Good Governance Learning Forums were held in New Delhi for Heads of Institutions and their Chairs of Governing Bodies. Representatives of 90 TEQIP institutions from 19 States and also from 6 SPFUs took part. The forums combined presentations, work in small groups and plenary discussions. Each Forum ran for 24 hours spread over two successive days. The three evening sessions were addressed by Dr F.C Kohli, Mr Ramadorai and Professor Anandkrishnan.
14. The Forums were well attended by senior people from a wide variety of institutions and 6 SPFUs. The format was effective and the discussions were lively and engaged. It was clear that institutions were still at very varied stages in developing their governance and that they faced substantial challenges in that task. There was great interest in the two case studies of successful governance and in other examples of good practice. There are significant opportunities to build on the Forums for institutions and the SPFUs present to improve governance, and to improve outcomes for students as a consequence. (**See Annex 2** for the Report on the Learning Forums).
15. A special Forum for the Centrally Funded Institutions (CFIs) was also planned, but was postponed. It is yet to be agreed if this will take place in 2015 but it will be important not to leave out this important group of institutions with regard to governance improvement.

#### Summary of Key Learning Points (for Institutions and Systems support)

16. The EAG consider that the variation in the range of final outputs and outcomes from the Good Governance Programme are a reflection of the wide range and quality of institutional development achieved across the TEQIP-II project as a whole.
17. There is a broad spectrum: ranging from institutions that are developing into very good models of technical education institutions of which India should rightly be proud; through to institutions that are in dire need not just of good governance, but of strong leadership and effective management -

the lack of which is hampering institutions in their overall development, and is reflected in poor quality teaching, learning and research outcomes.

18. The [case studies](#) of the good institutions demonstrate that institutional development takes time (often 6-8 years if the development needs are high), and that this can only be achieved effectively if certain conditions are in place.
19. The outcomes of the good governance programme demonstrate that it is **good governance with strong leadership and effective management** that provide the essential institutional structures, processes and conditions that support strong institutional outcomes and [benefits](#). However, [governance, leadership and management](#) attributes require the right institutional **and** systemic conditions to be highly effective.
20. Examples of systemic constraints and corresponding questions that were illustrated during the **October Learning Forums**:
  - The absence of genuine autonomy:
    - To what extent are the affiliating universities willing to grant effective academic autonomy?
    - And similarly, to what extent are the relevant funding authorities willing to grant effective financial and administrative autonomy?
21. Examples of institutional constraints related to an uncertainty about how best to develop important institutional development functions (as illustrated is expected of effectively governed and managed institutions in the Good Governance Guide). Such as:
  - a. Strategic planning (where there was a considerable variety of experience)
  - b. Institutional systems for monitoring quality
  - c. Methods of benchmarking against other comparable institutions
  - d. Methods of monitoring the performance of heads of institutions
  - e. Approaches to inducting and developing the understanding of governing body members
  - f. Approaches to assessing the effectiveness of governing bodies.
  - g. And, during the small group work, some institutions noted that they faced powerful daily pressures because of their inability to recruit faculty to fill their teaching posts substantively.
  - h. There were also concerns about the attendance rate of some governing body members and what one participant described as “a lack of vibrancy” in the governing body meetings.

### **Where are we going?**

22. The TEQIP-II programme will be extended until October 2016, and discussions are taking place regarding a TEQIP-III.
23. The EAG considers that there are likely to be diminishing returns if the Good Governance Programme is extended beyond 31 December (the original completion date) in the current form. For example:
  - a. Most institutions which are likely to send representatives to learning forums (of the kind held in New Delhi in October) have probably done so already, apart from the CFIs.
  - b. The EAG are of a mind (see Annex 1) that there are still three categories of institutions and that their development needs remain different in scale and type. These can, and probably should, be met differently.

- c. The EAG itself has provided much development material (see the [Good Governance website](#)). Focus should now be on finding ways to make better use of the material available and to ensure that its use is promoted. Two important examples of development are being considered at present to support these processes. They are:
  - i. To create a simple, and even more, concise version of the Good Practice Guide for Governing Bodies and ensuring that this is made available to **all** governing body members.
    - It was disappointing to hear at the October 2014 Forums (ie. almost at the end of the programme) that many governing body members from the 90 institutions in attendance had never seen the Guide before, despite the fact that this has available in printed and electronic form from February 2013 – and one printed copy has been available for members of all governing bodies. This indicates a poor communications delivery framework for TEQIP-II, which needs to be improved (see below).
  - ii. To create an online (open access) Good Governance course using the experience of the few institutions who have successfully completed the programme, as well as website and other forum materials. This will allow institutions to complete all the programme outputs at their own speed. It should also be possible through the course to monitor institutional governance development progress - which in turn can feed into the on-going TEQIP benchmarking and review processes. The online course should have a progressive structure and be accessible to all institutions – no matter what their level (since it is clear that in some states there is very little understanding of governance at the most basic level and that until this is tackled other greater aspirations of improving governance cannot be achieved). It is expected that the one of the pilot institutions will provide the leadership for this development supported by voluntary assistance from TCS, and WB consultants as necessary.
- d. Concerns have been raised about the inefficiency in the running of the TEQIP programme, and we believe the support network for TEQIP institutions needs radical improvement. The inconsistency in the quality of this support has presented, throughout the two-year programme, problems that will continue to exist if improvements are not made. In particular:
  - i. The management and oversight of the Mentors and Performance Auditors work. There is a wide variation in delivery of this work – ranging from exemplary to non-existent - with few sanctioning processes in place to ensure institutions have access to good quality support in all States.
  - ii. There are unacceptably high levels of variation in the quality and quantity of systems support both nationally and across all States – in terms of the capacity and capabilities of the implementation units (SPFUs and NPIU) to provide the high-level expertise needed to support such major reform programmes.
  - iii. Such inefficiencies hinder progress and create poor management and administration practices long-term adding to the already major issues that relate to the granting of autonomy, systems data collection, quality control and severe resource management problems (such as poor levels of faculty recruitment).

### **How will we get there?**

- 24. In terms of on-going Good Governance development support – it is likely that a twin-track approach will be needed.
- 25. Firstly, in relation to the TEQIP Project and on-going good governance development work:
  - a. To encourage and support self-learning and completion of the good governance programme through the development of a progressive on-line course version of the good

governance programme. Both TEQIP institutions' engagement and outcomes should be monitored regularly through the engagement (or not) with the online course.

- b. To encourage the IIMs, which have been paid to deliver leadership and management development programmes, to work even better together, to tailor-make development programmes specifically to the needs of TEQIP institutions in their charge, for them to retain a close contact with how institutions are improving governance practices, and for the outcomes of IIMs work to be monitored to ensure delivery of high quality inputs, processes, outputs and outcomes for the institutions concerned.
  - c. To overhaul the Mentoring and Performance Auditor system to ensure that high quality support and assessment of outcomes is consistently applied across all States.
26. Secondly, that the RUSA or other national and State level reforms take account of the observations identified through the Good Governance Programme and respond with an eye to updating rules and regulations where needed, examining (with the good institutions) how their practices can be shared widely, and how all institutions can be better engaged with improved autonomy **and** sound accountability systems in place.

**How will we know if we have been successful?**

27. The JRM needs to consider how their own review mechanisms can give them a manageable and better quality evaluation of the programme in the years to come. The identification of indicators of success needs to be clearly articulated and embedded in any new processes and activities.
28. Less, but better quality management and administration processes that provide open and transparent reporting of the programmes strengths, weaknesses, opportunities and threats will help to focus future developments so that time, effort and most importantly the positive energy provided by those who are achieving good results for India and its local communities is not wasted, or lost.
29. Finding strong leaders to oversee and take the programme forward at all levels is imperative.

## Expert Advisory Group Report to the December 2013 TEQIP Joint Review Mission (Interim Review)

### Introduction

2. The purpose of this paper is for the Good Governance Expert Advisory Group<sup>1</sup> (EAG) to report to the December 2013 TEQIP Joint Review Mission (JRM) interim review. (This document also constitutes Annex XX: Governance and Management Development of the JRM report.)
3. There are undoubtedly governance challenges for institutions, for those providing systems support, and for individuals - if real progress is to be achieved by all those concerned with delivering quality improvement to Indian higher education.
4. In this context, this report takes as its baseline principle (keeping in mind the overall TEQIP-II<sup>2</sup> objectives) that achieving effective governance (at all levels) is critical to realising the TEQIP development objectives and to strengthening institutions.
5. The report takes into account observations on institutional governance practice as evidenced through selected institutional visits<sup>3</sup>, governance learning forums<sup>4</sup>, workshops with Mentors and Performance Auditors<sup>5</sup>, 88 institutional governance self-reviews, and more recently from the evidence gathered in the first week of the JRM, including presentations by 39 TEQIP-II institutions.
6. Using this evidence we are reporting on the current status of both governance practice in TEQIP institutions, and the TEQIP Good Governance Programme<sup>6</sup> initiative established to support governance development.
7. The report includes key governance practice challenges, issues and concerns, good practices, and finally our recommendations. We have taken into account that this is a critical stage for TEQIP-II with just over a year before the programme comes to a close.

### What is the current situation/status, including the current strengths, weaknesses, opportunities and threats?

#### The complex context...

8. The Indian higher education system is complex with its government institutions, private (aided and unaided) colleges, university departments, the affiliating system and different funding systems – not to mention the varied geographical challenges experienced by the remote institutions. All are represented in the 191 institutions currently in the TEQIP-II programme. In addition, there has been a rapid expansion of many small colleges in the private sector.
9. The current situation has further complexities. Institutions vary greatly in:
  - The degree of autonomy that they have
  - The way in which their governing body functions
  - How they are accountable, and to whom

<sup>1</sup> Prof Anandakrishnan, Prof Natarajan, Mr Ramadorai, Sir Andrew Cubie, Dr Nick Sanders and Ms Jannette Cheong

<sup>2</sup> Strengthening Institutions to produce high quality Engineers for better employability; Scaling-up Postgraduate Education and demand-driven Research & Development and Innovation; Establishing Centers of Excellence for focused applicable research; Training of Faculty for effective Teaching; and Enhancing Institutional and System Management effectiveness.

<sup>3</sup> 12 visits were made to TEQIP institutions in 2013

<sup>4</sup> Governance learning forums were held in January 2013

<sup>5</sup> Mentor and Performance workshops held in September 2013

<sup>6</sup> <http://www.npiu.nic.in/PDF/News/Good%20Governance%20Programme.pdf>

- The availability of external support for developing their own governance and management systems and practices

The key objective...

10. However, as complex as the above picture represents, the focus of all those concerned should remain simple and that is in the title of this programme: 'Quality Improvement'. The fundamental question therefore is: to what extent has there been any quality improvement in the 191 institutions represented?
11. To help focus what we have observed in relation to this key objective and the governance challenges, we have summarized the current status and learning points drawn from the evidence as they relate to three levels: *institution, systems support and at the individual level*, since we believe that it is crucial to use the evidence to draw out how everyone concerned with quality improvement has a role to play and can make a difference, and further to consider how all three levels are interconnected.
12. Governance improvement has been put under the spotlight since the publication of the TEQIP Good Practice Guide for Governing Bodies<sup>7</sup> (December 2012) circulated to all TEQIP institutions governing bodies and made available on the NPIU website. The 'Guide' makes clear that '*good governance requires all higher education institutions to have an effective governing body*', and that '*the governing body of an institution is collectively responsible for overseeing that institution's activities, determining its future direction, and fostering an environment in which the institutional mission is achieved.*' The JRM Interim Review provides a good opportunity to establish the extent to which this is happening in TEQIP institutions.
13. The TEQIP-II Good Governance Programme initiative was launched in March 2013 following two Good Governance pilot learning forums in January 2013 (attended by 12 institutions and their Mentors - a total of 54 participants). There are three key outputs of the TEQIP-II Good Governance Programme expected:
  - a. for institutions to undertake a 'self-review' of their current governance practice;
  - b. from the self-review identify governance development needs;
  - c. and finally to set out institutional governance guidelines that can be shared publicly and thereby demonstrate a clear engagement with governance implementation and development.

*Institutional challenges and learning points... How institutions have, or have not, improved their own systems and practices to achieve better governance.*

14. *Current status:*

- a. Eighty-eight out of 191 institutions have completed governance self-reviews. Six States (Tamil Nadu, Kerala, Karnataka, West Bengal, AP and Maharashtra) have engaged significantly with their institutions resulting in a high rate of returns. To date there are no self-reviews for 15 States and the CFIs.
- b. The active participation and leadership in some States (for example, Kerala, Tamil Nadu and Karnataka) is reflected in all institutions from these states having engaged in improving governance by carrying out their initial self-review. At the time of writing, of the 88 initial self-reviews the completion profile is as follows: **Tamil Nadu** – All; **Kerala** – All; **Karnataka** - All; **West Bengal** - 12 out of 15; **AP** - 20 out of 24; **Maharashtra** - 9 out of 18; **Uttarakhand** - 1 out of 3; and none from the remaining 15 States and the CFIs.
- c. It is clear that the process of governance self-review has been challenging for many institutions. The Expert Advisory Group's assessment of the self-reviews reveals about 25%

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<sup>7</sup> [http://www.npiu.nic.in/PDF/News/Good\\_Practice\\_Guide.pdf](http://www.npiu.nic.in/PDF/News/Good_Practice_Guide.pdf)

of the 88 self-reviews institutions have undertaken the exercise well and have used the self-review as it is intended, as a development tool, giving an honest and self-critical account of current governance practice. The remainder is a mix of self-reviews that are not complete, not sufficiently self-critical, or with insufficient evidence in both range and degree of detail. There is a general reluctance to use the lowest grade (3) and there are frequent examples of grading on the basis of intention rather than reality.

- d. Only two institutions has submitted a set of governance development priorities (BVBCET, Hubli, and PESIT Bangalore).
- e. It follows that there is scope in most cases for support by institutions' Mentors to improve the self-reviews with a key priority to give examples of satisfactory evidence and of drawing robust conclusions from that evidence, even if it means grading aspects at 2 or (where appropriate) 3.
- f. Eighty-two Mentors, and the monitoring work of Performance Auditors, support the raising of awareness of good governance practice and how this contributes to the strengthening of institutions. However, it is of some concern that only 40 out of 82 Mentors participated in briefing workshops for Mentors/Performance Auditors in September 2013 (prior to the date for submission of governance self-reviews).
- g. We have observed that strong institutions have strong leaders who understand the need to have a governing body whose members both understand their governance role and primary accountabilities and are willing and prepared to discharge these and utilise the right kind of expertise for effective governance and governing bodies. For example, one external, industry Chairperson of a governing body only selects governing body members if they are prepared to work between 80-100 hours a year for the institution.
- h. There has been a significant shift in awareness raising regarding good governance – through the TEQIP Good Governance initiative which is beginning to identify those institutions who are actively engaging in governance development and the need for leadership and management development training as a result of good practice materials, discussion and training opportunities. In addition, seven IIMs have been commissioned to undertake management development training for TEQIP-II institutions. To date 464 participants out of a planned 2268 have participated in training by four of the IIMs at a total cost of 293.73 Rs.Lakhs. Three IIMs have yet to start their training courses.
- i. Additional financial resources for improvement of governance and management activities are available to TEQIP-II institutions as part of the *Institutional Management Capacity Enhancement fund*. To date 134 (out of 191f) institutions have utilised this fund. Five States have not accessed the fund at all (Bihar, NCT-Delhi, Odisha, Tripura, UT-Chandigar). In Rajasthan, two out of nine, in Haryana, three out of six and for the CFIs 10 out of 19 institutions have utilised these funds. Most of the sums used are below 5 lakhs, but 14 institutions have spent over 10 lakhs. A total of 568 Rs. lakhs has been spent from the 25 crores available. However, we have not yet been supplied with data, which indicates clearly how this money has been spent, though each institution is expected to demonstrate how development funds are being used to assist major reforms, build capacity and strengthen management, including the implementation of good governance.
- j. The lower performing institutions express anxieties with the many constraints they face in strengthening their governing bodies. For example, one institution's governing body has not met at all in 2013 and only twice in 2012, is without a chairperson and has a government official acting as chair but who clearly does not have the time to carry out these responsibilities. Such a person is also conflicted in these two roles.
- k. Stronger institutions either have fewer constraints (if they are not a government institution), or if they are a government institution they are prepared to use the available freedoms and recruit a full range of professional expertise from external members of the governing body and fully engage the institution in the work of the governing body.

- I. Some institutions reported that governing body meetings were taking place away from the institution and that attendance by chairpersons has been a problem.

15. *Summary of key learning points:*

- Good governance is inextricably linked to good leadership and effective and efficient management. These lie at the heart of whether institutions can respond well to all of the TEQIP-II objectives and strengthen their institutions over a more sustainable period.
- *Good Governance also reflects on the nature and effectiveness of national and state policies, and the formal interactions between governments and institutions. It remains that the values of 'Good Governance statements'<sup>8</sup> in the TEQIP Good Practice Guide for Governing Bodies need to be reflected more at both institutional and systems level.*
- Ensuring that the membership of governing bodies encompasses the range of skills and experience that will provide both strong leadership, support and well-founded challenge to the institution.
- Given that it is unacceptable to have appointed members of the governing body who never attend, institutions should have explicit institutional governance guidelines to deal with any such instances
- Achieving the greatest degree of autonomy and accountability, which is consistent with the regulatory framework. Taking the lead, at the institutional level to establish suitable systems to ensure proper accountabilities and delegated personal responsibilities
- Seeing openness and transparency as an opportunity, not a threat, and making better use of institutional websites to provide information on governing body activities, especially through the publication of minutes of governing body meetings
- All institutions will be better served if the management of information at both institutional and systems level was more accurate and efficiently gathered, and used by governing bodies and institutional managers to assess quality improvements.
- Institutions should take the lead in providing leadership and management development for managers and administrators at all levels, supported by, and contributing to, the development of 'quality circles' in leadership and management development provided by the IIMs.
- Looking outside of their institutions to see how others tackle continuous quality improvement and to benchmark their performance with that of others.

16. Institutional leaders and senior managers are key drivers of institutional change. There are excellent examples of good leadership, governance and management, and some excellent contributions by corporate industry leaders (including significant numbers of alumni) who, by working together, have turned around whole institutions. But not enough are recognized, and much more can be done to promote and support the need for good leadership, governance and (modern) management development both at the institutional and systems levels.

17. Good governance is one of the main TEQIP initiatives focused on highlighting the need to strengthen institution-wide strategic planning and monitoring of institutional performance. IIM Indore's feedback on progress to date indicated that the majority of the institutions with which they have worked do not have institutional strategic plans and that governance needs to be strengthened. The absence of effective strategic planning in many institutions to improve human and physical resources, quality assurance, student support and the strengthening of teaching,

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<sup>8</sup> Good Governance creates a sound, ethical and sustainable strategy, acceptable to the institution as a whole and to other key stakeholders. Good Governance oversees the implementation of such strategy through well-considered processes in an open, transparent and honest manner. Good Governance is essential to the grant or assertion of autonomy. Boards of Governors, by embracing good governance approaches accept, unequivocally, their own collective and individual responsibilities. Good governance facilitates decision-making that is rational, informed, and transparent which leads to organizational efficiency and effectiveness that supports and fosters the development of high quality education and research.

learning and research is a critical issue for governing bodies. Effective, professional and challenging governing bodies play a fundamentally important role in ensuring that institutions not only rise to these challenges, but also deliver significant quality improvements.

18. For all institutions this will be an on-going agenda, but there are some excellent examples of good practice. Institutions are clear that governance and management practices contribute a great deal to their overall success as an institution, and not only as a response to the TEQIP project but in their ability to respond and to do things they want to do for TEQIP and beyond. As states and institutions are engaging with questions about how they organise themselves, and questions about governance and leadership, they quickly realise that this is not about the TEQIP project and a few engineering departments - it is about whole institutional development.

*Systems support challenges and learning points... How systems, at the State and National level, have (or have not) supported and encouraged governance development and good governance practice.*

19. In focusing on the extent of good governance in TEQIP institutions – not only is the quality of institutional leadership and management also observed, but so is the systemic support and stakeholder engagement with institutions, as these are all inextricably linked to each other. This, therefore, can be seen as an (unforeseen) additional consequence of TEQIP, that it has provided an important opportunity to learn about the impact of systems support and the impact of national and state policies more generally.

*20. Current status:*

- a. There have been some notable state-level encouragement to institutions to engage with the governance development agenda set out in the TEQIP Good Governance programme (Kerala, Tamil Nadu, Karnataka, West Bengal, AP and Maharashtra – are the most prominent to date, though we may see that a few other states are also making some good progress when we receive more governance self-reviews.)
- b. There are apparently significant delays and a lack of progress in many states and at the national level. Issues and deficiencies can lead to institutional complacency, and worse still dysfunctional systems that are not serving the best interests of students or the country. For example, the unacceptable major delays in payment of grant (in some states this was as much as 350 days) resulting in major management and procurement challenges for institutions affected by such serious systems inefficiencies.
- c. The lack of effective and efficient management of information systems hampers both institutions, and how they can use nationally monitored data to inform institution-wide quality improvement, and systems-level governance and support.

*21. Summary of other key learning points:*

- Institutions would benefit if Regulatory Bodies reviewed the existing guidelines for the composition of governing bodies for different types of institutions, as soon as possible, in particular:
  - To allow a wider range of skills and experience from external members
  - To ensure that the chairperson is always an external member, that they actually attend governing body meetings, and (to assist the chairperson's and all governing body members' understanding of the institution) that governing body meetings take place in the institution concerned
  - To consider whether it would be more effective and efficient if those put forward as potential members of governing bodies are not members of more than two governing bodies

- To recognize that appointing representatives of funding bodies (e.g. MHRD, UGC, State Governments) leads to an inevitable conflict of interest because it makes such representatives accountable to themselves in their other capacity with all the consequential risks for them. An alternative would be for them to attend in the capacity of observer (or assessor) rather than as a full member.
  - To clarify the possibility of extension of the membership period for governing body members.
  - Reviewing the impact of existing regulations for government funded institutions to ensure proper accountabilities while greatly reducing the burden of inefficient bureaucracy, especially (but not only) on Heads of Institutions.
  - Demonstrating a commitment to genuine autonomy by removing ‘unnecessary’ regulatory obstacles
  - Where there is a partnership between a college and a university, ensuring that both are clear about their respective roles and that any unnecessary obstacles are removed.
22. Many key system challenges relate to a need to review current rules and regulations: a) to ensure their fitness-for-purpose, especially in relation to autonomy and proper accountabilities, b) to remove potential conflicts of interest for policy makers, and c) to promote proper and higher standards of professionalism, efficiency and effectiveness at the systems level.

*Individual challenges and learning points... How individuals at all levels can achieve greater responsibility with appropriate accountability, and how individuals at all levels can influence change.*

23. *Current Status:*

- a. There are some excellent examples of corporate industry leaders contributing to the governing bodies of TEQIP institutions. These excellent practices need better promoting and experiences shared. The best examples have resulted in major institutional change agendas and have delivered significant quality improvement.
- b. However, there are many instances where chairpersons and members of governing bodies are not attending governing body meetings, and not undertaking their primary responsibilities and therefore not practicing good governance.
- c. There are also cases where Heads of Institutions are following a regulator’s guidelines that stipulate that the Head of the Institution is also the chair of the governing body. This practice needs to be reviewed to remove the conflict of interest for the Head of the Institution. One Vice-Chancellor felt that he was often in a very difficult position as a result of this dual responsibility.
- d. Although the TEQIP Good Practice Guide for Governing Bodies has been circulated to all institutions there are still some accounts that members of governing bodies are not aware of its existence.
- e. It is important for all those offering systems-level support to ensure they are operating effectively and efficiently.

24. *Summary key learning points for individuals:*

- Having a clear understanding of the relationship between leadership, management and governance, and in particular what good governance might mean for them.
- Having a clear definition of their own role and how this relates to others
- Being aware of ideas from outside the higher education sector which could have relevance to a TEQIP institution, such as approaches to quality management

- Understanding what goes on in the institution and having contact beyond the formal governing body meetings
  - Improving personal performance whatever the role is (for example, for governing body members, through regular attendance at meetings and taking other opportunities to learn about the institution)
  - Being reminded (as one excellent governing body member remarked) that accountability starts with the self.
  - A challenge for governing bodies is not to manage the institution themselves, rather to ensure and oversee that there are proper monitoring systems in place; that management by others is effective, efficient and delivering high quality teaching, learning and research; and that the institution is not complacent, by challenging managers (and themselves) sufficiently.
25. We have gathered examples of some excellent practices in TEQIP institutions, but there are also major challenges that stakeholders, institutions and individuals can review seriously, and in a timely manner, to prevent further frustrations in the sector and most importantly remove any unnecessary obstacles that prevent institutions from providing the best they can for all students, and maximizing the benefits both in the short, medium and long term for Indian higher education.

### **Strengths, weaknesses, opportunities and threats**

26. From this report it is clear that there is a wide range of practice, and a number of specific challenges. Our summary SWOT analysis summarizes these as:

#### Strengths

- a. As can be seen, there are some excellent examples of good practice. These need to be better promoted and shared to assist the development of others.
- b. There is much of value in the best of corporate Indian governance practice, which can be drawn on much more, and which is already informing some of the best good governance examples found in TEQIP institutions.
- c. The 'quality circles' that are being formed as part of the TEQIP support initiatives for TEQIP institutions for both management and governance, including dissemination of a range of internationally tested guidance and tools specifically designed for TEQIP institutions.
- d. Eighty-eight institutions (to date) have submitted a self-review of their governance, all but one in just 6 States.

#### Weaknesses

- a. The Good Governance pilot engaged with the 'best institutions'. In a few of these institutions, we have found examples of good practice, but we are anxious as to the remaining institutions, and whether they have the capacity and capability – and professional skills sets - for the leadership, management and governance needed to deliver the TEQIP-II objectives.
- b. There is little consistency in what is required of institutions by funders and regulators in regard to principles and expected standards for governance and management (in terms of current rules, regulations and initiatives) for both the institutions and the systems level support.
- c. There are few levers to bring about improvement in governance.
- d. There is a need for a greater engagement with Registrars/Clerks to governing bodies and role they play in delivering good governance.
- e. The student voice is heard too little; not only are they and their families the consumers but visits to institutions confirmed they are able to provide constructive feedback to the

institutional leadership.

- f. There are repeated failures by the systems support to deliver aspects of the support initiatives on time, including delivery of the Good Governance website which after a one year delay is unacceptable given the impact to the delivery of the governance support planned for institutions. It is also disappointing to hear that some governing bodies have not received copies of the TEQIP Good Practice Guide for Governing Bodies (even though these have been distributed to every TEQIP institution).
- g. We have yet to receive governance self-reviews from 102 institutions. This includes 15 States and all centrally funded institutions, (though there may be other institutions that have completed their self-reviews but they have not yet been received by NPIU.)

#### Opportunities

- a. The converse of all of the weaknesses.
- b. To build on the work undertaken by IIMs and IITs to create either state and/or nationally sponsored 'quality circles' or organizations to expand the capacity to deliver academic and governance, leadership and management programmes.
- c. To build on the experience of the successful institutions to create 'quality hubs' which can act as (or utilize) institutional case studies from which others might learn. There is a willingness to share experiences among the stronger institutions TEQIP should find as many ways as possible (preferably institution-led) to do this.
- d. To find ways to utilize the abilities of the best of corporate leaders in India to support governance improvement, and the opportunity to learn from best practices in the corporate sector. This will have additional 'value-added' benefits to strengthen other potential industry-institute interactions
- e. To consider the prospect of some States bringing about significant state change.

#### Threats

- a. The lack of engagement with UGC, AICTE and other national partners and regulating bodies when there are clearly systemic issues that need to be explored, and would benefit from more 'joined up' thinking.
- b. The lack of levers to bring about change.
- c. Other crowded agendas in institutions. Their lack of understanding of governance means institutions do not give it priority in a crowded agenda.
- d. Lack of commitment and consistency in the implementation is apparent, though the cause(s) are less clear and may be more a symptom of poor leadership, management and communication than interest on the part of States, institutions or others.
- e. Processes poorly embedded, perhaps because of inconsistent, or often, little follow-up.
- f. The programme is under threat if issues concerning the lack of capacity and capabilities of the majority of institutions and at the systems (both State and national) level is not addressed.
- g. When good governance is seen as 'add-on' or a 'response/compliance to' rather than an embedded good practice in the whole institution/system.

### **Differentiating institutional progress and governance development needs**

27. Taking account of the above current status, learning points and SWOT analysis, there is a pattern emerging of three groups of institutions in terms of their overall performance:

- a. Those that are clearly able and readily engaging in the development of institutional governance and management and exercising their given freedoms to the point where they are clearly making a major difference to the quality of the student experience and their achievements;
- b. Those that have produced a governance self-review, but which need further support from their mentors to build on their self-reviews to convert them into development plans to improve governance;
- c. Those where we have no evidence that they have engaged in governance or management improvement, for example, we have received no governance self-reviews.

*Category I institutions*

28. Institutions in this category did not develop their strengths purely as a result of TEQIP. TEQIP has added to what has been (certainly in the case of our pilot institutions) a 6-8 year development journey that has only been achieved through strong leadership by the Heads of the Institutions and their governing bodies.
29. However, TEQIP has enabled these institutions, and some other strongly led institutions, to focus on areas that can be further developed and to build extensively on their existing strengths. Most importantly, there is a willingness by the strong institutions to share their learning and development with other institutions to assist the development of their regions and the country as a whole. If such institutions can further develop in the remaining period of TEQIP and more of their lessons shared, these are likely to be among the best TEQIP-II practice outcomes.
30. In terms of the TEQIP Good Governance initiative it is presumed that these institutions will complete all the expected governance programme outputs: a governance self-review, an initial governance development plan, and institutional governance guidelines which set out expected standards and the further action planned to improve governance on a continuous basis. As a result it is expected that there will be clear outcomes in terms of demonstrating institutional strengths, capacity and capabilities and enhancing institutional and management effectiveness.

*Category II institutions*

31. For other institutions that have already begun governance development by undertaking their self-reviews, they need to demonstrate further quality improvement against the TEQIP benchmarks set and their understanding of good governance principles and practices. More support from Mentors will be needed for this group, and their engagement with governance development can be monitored and supported.

*Category III institutions*

32. It should be recognized that institutions in this category are those that have not yet demonstrated that they have the capacity or capabilities to engage with governance development as they have not submitted a governance self-review.

Sharing experiences and dissemination of good practice...

33. Recognizing where good practice exists, and how this can be shared with others, is a key challenge for TEQIP. The key instruments for sharing governance experiences are:
  - a. Sharing information about good practice (some of this has taken place through the distribution of the TEQIP Good Practice Guide for Governing Bodies, but more could be done to speed up the delivery of the website<sup>9</sup> – now over a year behind schedule due to system support delays)
  - b. Workshops/Forums for institutional representatives, including governing body members. Some pilot workshops have been undertaken, and the EAG are supporting more learning forums in

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<sup>9</sup> The Good Governance website is still under construction – it is hoped it will be launched for testing by the end of December 2013.

February 2014 for those institutions who have begun to engage with governance development, using the direct experience of high performing institutions

- c. Through the Mentors (as they are the primary contact for institutional support)
  - d. Through the Good Governance Programme by sharing lessons learned through self-review and the initial identification of governance development needs
  - e. Through a review of performance and data audit reports to monitor governance development and identify good (and poor) practice.
34. To allow for more self-reviews to be completed it is proposed that the schedule for the Good Governance programme is revised as follows:

December 2013	EAG submits an interim report on governance practice and the governance programme to the JRM (TEQIP Joint Review Mission) Interim Review
15 January 2014	Final deadline for institutions (who will participate in the February Learning Forums) to submit self-reviews
16 January-14 February 2014	EAG completes its review of the self-reviews and initial governance development plans in preparation for the Governance Learning Forums
Week beginning 24 February 2014	Regional Governance Learning Forums take place to share lessons with institutions who have completed a self-review
By 31 March 2014	Institutions revise their self-reviews and initial governance development plans in the light of the learning forums and submit them
30 September 2014	Institutions submit their Institutional Governance Guidelines
October - November 2014	EAG reviews all Institutional Governance Guideline documents and conducts final sample of institutional visits

**Recommendations:**

35. From the evidence to date on governance practice, and taking into consideration the responses to the initial institutional governance self-review: there appear to be emerging three categories of institutions in terms of their response to the TEQIP-II governance development initiative These are:
- a. Those that are clearly able and readily engaging in the development of institutional governance and management and exercising their given freedoms to the point where they are clearly making a major difference to the quality of the student experience and their achievements;
  - b. Those that have produced a governance self-review, but all of which need further support from their mentors to build on their self-reviews to convert them into development plans to improve governance;
  - c. Those where we have no evidence that they have engaged in governance improvement, for example, we have received no self-reviews.
36. All institutions should be actively encouraged to submit their governance self-review.
37. The good governance development initiative for 2014 should focus on those institutions that have engaged with a governance self-review and development agenda.

38. Special measures for institutional development may need to be considered for those institutions unable to engage with governance development.
39. Ways to strengthen systems support for 2014 need to be considered in order for the programme to be efficiently and effectively delivered in the remaining year, and to avoid further poor implementation.
40. There is much of value in the best of corporate leaders engaging in institutional governance development. The TEQIP project needs to find ways to encourage more such leaders to support institutional quality improvement through better governance development and engagement.
41. Regulators should review their rules and regulations, in discussion with institutions, to ensure that they support and reinforce the autonomies and accountabilities required to exercise good governance.
42. There are few opportunities for dissemination of good practice. Materials prepared for the proposed Good Governance website with many Indian examples of good practice are not easily accessible as the website development has been delayed for a year. There appears to be little contact between different IIMs and sharing of learning, which would be especially useful to IIMs that have yet to begin their training programmes. It would also be good if the Governance, Management and other initiatives could find ways to share experiences and give some focus to the important issue of strengthening leadership and quality improvement at all levels.

## TEQIP-II OCTOBER 2014 GOOD GOVERNANCE LEARNING FORUMS

NEW DELHI, 12-17 OCTOBER 2014

### SUMMARY

1. The Forums were well attended by senior people from a wide variety of institutions. The format was effective and the discussions were lively and engaged. It became clear that institutions were at very varied stages in developing their governance and that they faced substantial challenges in that task. There was great interest in the two case studies of successful governance and in other examples of good practice. There are significant opportunities to build on the Forums and to improve governance, and to improve outcomes for students as a consequence.

### THE LEARNING FORUMS

2. Under the auspices of MHRD and the World Bank, three Learning Forums on Good Governance were held in New Delhi in the week 12-17 October 2014. Representatives of some 90 TEQIP institutions from 19 States and also from 6 SPFUs took part. The forums combined presentations, work in small groups and plenary discussions, and each ran for 24 hours spread over two successive days. The three evening sessions were addressed by Dr F C Kohli, Mr Ramadorai and Professor Anandakrishnan.
3. The representatives of the institutions were, almost without exception, the heads of the institution and the Chair or a senior member of the governing body. That led, in the view of the Expert Advisory Group members present, to a very high quality of discussion and significantly increased the impact of the learning process.
4. When, at the end of each forum, every participant was given the opportunity to express a reaction to the experience, there was very general praise for the format, and especially for the opportunity to take part in the small group work, and for the quality of the planning of the Forums.

### STARTING POINTS

5. A clear conclusion emerging from the Forums was that before the meetings only a minority – at most a third – of the participants had been familiar with the Good Governance Guide (the Green Book). All of the institutions present had set up governing bodies, but in a small minority of cases – perhaps 10 – there was a separate governing body established exclusively for TEQIP purposes, contrary to the intention of the programme.
6. The discussions, especially in the small groups, provided an opportunity for detailed exposition of the concepts underlying the Good Governance Programme. That was very generally welcomed, but revealed how far the great majority of institutions have to go in establishing robust governance arrangements which deliver the primary accountabilities defined in the Good Governance Guide.
7. The discussions in the Forums identified some aspects of the recommended good practice which were unfamiliar in India, notably systematic risk analysis and management and the compilation of Registers of Interest (the latter proved much easier to debate when it was redefined as a measure to minimise the risk of bias in decision-making).

## **CONSTRAINTS**

8. The discussions in both the small groups and the plenary sessions were realistic about the constraints affecting the introduction of better governance in TQIP institutions. There was a general concern, especially in government colleges, about the absence of genuine autonomy. There was concern about the willingness of the affiliating universities to grant effective academic autonomy and about the willingness of the relevant funding authorities to grant effective financial and administrative autonomy.
9. There was uncertainty about how best to develop some of the functions listed in the Good Governance Guide. Examples included strategic planning (where there was a considerable variety of experience); institutional systems for monitoring quality; methods of benchmarking against other comparable institutions; methods of monitoring the performance of heads of institutions; approaches to inducting and developing the understanding of governing body members; and approaches to assessing the effectiveness of governing bodies.
10. In the small group work some institutions noted that they faced powerful daily pressures because of their inability to recruit faculty to fill their teaching posts substantively. There were also concerns about the attendance rate of some governing body members and what one participant described as “a lack of vibrancy” in the governing body meetings.

## **EXAMPLES OF GOOD PRACTICE**

11. Despite all of these constraints, there were a number of examples of good practice which were reported to the Forums and which attracted considerable interest.
12. Chief among these examples were the two case studies, presented in detail at each Forum, of BVB Hubli and COE Pune. In their different ways they both demonstrated to Forum participants how strong leadership, effective management and high quality governance can work together to produce greatly improved institutional performance and greatly improved outcomes for students. There was extensive discussion in the plenary sessions, in the small groups and informally with the Hubli and Pune representatives about lessons to be learned from their experience.
13. There was also great interest in the presentation, by three different senior IIM staff members over the three Forums, on strategic planning, followed by presentations from Professor Sonde and from BVB Hubli on the role of governing bodies and better governance more generally in improving that strategic planning. As had become clear in the small group work and as noted above, there was a very wide range of experience among the participants, from institutions at the beginning of the process of introducing effective longer-term planning to those who had well-established systems in place.
14. The underlying structure of the Forums followed the stages set out in the Good Governance Programme. Participants looked again at their own Governance Self-Reviews; then sought to improve their Governance Development Plans, not least by ensuring that all of their development objectives were SMART and translated into detailed Action Plans; and finally considered how they would approach the task of drawing up Governance Guidelines Documents. The materials provided by the two case study institutions were much appreciated in illuminating these discussions.
15. All three of the addresses in the evening sessions were memorable. Dr Kohli ranged widely over his remarkable experience; Mr Ramadorai brought to bear his conclusions from the application of good governance in the corporate sector; and Professor Anandakrishnan challenged the participants to make a Quantum Leap towards Quality.
16. There were also many examples of individual initiatives in TEQIP institutions. Participants showed special interest in, for example, the move in Karnataka to appoint student members to governing bodies; in the open and candid method used by the Principal of Barton Hill College in Kerala to engage the whole range of stakeholders in evaluating his own effectiveness; and in the way in

which colleges were already following COE Pune's example by sending staff to other institutions such as IITs to provide benchmarking experiences.

## **OPPORTUNITIES FOR THE FUTURE**

17. The Forums provide a foundation for future work, over the remaining months of TEQIP II and beyond.
18. Firstly, they enable all of the institutions who attended to continue the process of improving their governance, leading in due course to the preparation of Governance Guidelines Documents.
19. Secondly, the Forum materials could be used to reach out to the institutions who were not able to attend. The Forums involved institutions of all types except Centrally Funded Institutions, and it became clear that the principles set out in the Good Governance Guide could be applied to all types of TEQIP institution.
20. Thirdly, one of the Forum sessions introduced participants to the TEQIP Good Governance website – [www.teqipgoodgovernance.in](http://www.teqipgoodgovernance.in). The Forum materials can be added to the website; and all participants were invited to submit examples of good governance practice to be added to the website.
21. Fourthly, BVB Hubli and COE Pune have generously offered to make their experience available to others, in Pune's case potentially involving up to 70 institutions.
22. Fifthly, there will be a continuing need to monitor progress, at the institutional and national levels.
23. In conclusion, the case studies and other examples of good practice identified at the Forums demonstrated that good governance, when combined with strong leadership and effective management, can lead to greatly improved outcomes for students and for the regional community. That process is lengthy and requires long-term commitment; and the approaches and materials provided by the Good Governance Programme are a powerful source of support in that work.

November 2014

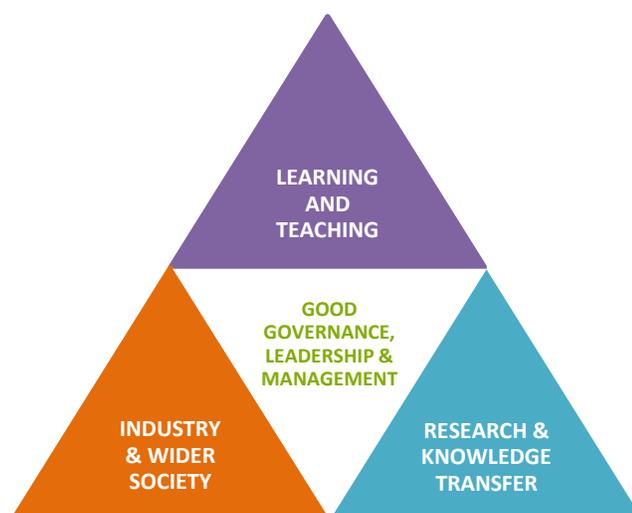
**ANNEX: Sample Forum Programme**

**TEQIP-II Learning Forum**

**12-13 October 2014, Hotel Metropolitan, New Delhi**

**Good Governance, Leadership and Management**

**FORUM PROGRAMME**



**Good Governance, Leadership and Management Supports all Institutional Activities**

An MHRD/NPIU-World Bank Initiative in partnership with State Governments

## TEQIP-II Learning Forum: Good Governance, Leadership and Management

12-13 October 2014, Metropolitan Hotel, New Delhi

### DAY ONE

TIME	PROGRAMME
1230-1400	<b>ARRIVAL AND REGISTRATION (Lunch on arrival)</b>
1400-1530	<p><b>SESSION ONE: Where are we now?</b></p> <p><b>Welcome/Introduction:</b> Mr Toby Linden (15mins)</p> <p><b>Plenary presentations:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Why, Good Governance, Leadership and Management</b> (Prof Saji Gopinath) (5mins)</li> <li>▪ <b>Better governance: what is governance and what is the role of a governing body, including external members?</b> (Sir Andrew Cubie) 10mins</li> <li>▪ <b>How can a strong governing body contribute to institutional success?</b> (Prof Sahasrabudhe, Prof Shettar) (30mins)</li> <li>▪ <b>How can Governance Development 'tools' (self-review, governance development planning, and governance guidelines) help support and embed Good Governance?</b> (<i>Expert Witnesses</i> answer questions from the Forum Plenary Group drawing on generic lessons: Prof Sahasrabudhe, Prof Shettar, Sir Andrew Cubie, Dr Nick Sanders (20mins) (Prof Saji Gopinath to Chair)</li> </ul> <p><b>Briefing for Session 2</b> (Mr Toby Linden)</p>
1530-1700	<p><b>SESSION TWO: Making the most of Governance Self-Review</b> (Small Groups working with members of the Expert Panel)</p> <p><i>(Tea will be served in the small group rooms)</i></p>
1700-1800	<p><b>SESSION THREE: Where are we going?</b></p> <p><b>Plenary</b> (Facilitator: Prof Saji Gopinath)</p> <ul style="list-style-type: none"> <li>▪ Groups feedback their summary findings from their discussions to the plenary (5mins per group)</li> <li>▪ 'Ask the Panel' discussion with our Panel of Experts (Facilitated discussion)</li> <li>▪ An introduction to the Good Governance website: <a href="http://www.teqipgoodgovernance.in/index.html">http://www.teqipgoodgovernance.in/index.html</a> (20mins) including Q&amp;A (Dr Nick Sanders)</li> </ul> <p><b>Briefing on the overnight task and DAY TWO</b> (Mr Toby Linden)</p>
1830	<b>FORUM DINNER</b> Keynote Speaker: Dr F C Kohli, Chair: Sir Andrew Cubie
	<b>Participants complete overnight task</b>

### DAY TWO

0900-0930	<p><b>SESSION FOUR: How will we get there?</b></p> <p><b>Plenary presentations</b></p> <ul style="list-style-type: none"> <li>▪ <b>What makes a good institutional strategic plan?</b> (Prof Saji Gopinath) (10mins)</li> <li>▪ <b>What is the role of the governing body in strategic planning?</b> (Prof Sonde) (5mins)</li> <li>▪ <b>How is governance self-review and development planning relevant to institutional strategic planning?</b> Panel: (Prof Shettar, Prof Sahasrabudhe, Dr Nick Sanders) (15mins)</li> </ul> <p><b>Facilitated Q&amp;A:</b> 10mins (Prof Saji Gopinath)</p> <p><b>Briefing for Session 5 &amp; 6</b> (5mins) (Mr Toby Linden)</p>
0930-1030	<p><b>SESSION FIVE: SMART Governance Development Planning</b> (Small Group work)</p> <p>Expert facilitators will draw on generic lessons gained so far.</p>
1030-1100	<p><b>SESSION SIX: How do we know if we have been successful?</b></p> <p><u>Plenary Feedback:</u> (Prof Saji Gopinath)</p> <ul style="list-style-type: none"> <li>▪ Groups feedback the summary findings from their discussions (5mins per group)</li> <li>▪ Panel Summary responses and commentary on ways of reviewing governing body, and institutional governance</li> </ul> <p><b>Briefing for Session 7 &amp; 8</b> (Toby Linden) The importance of Institutional Governance Guidelines</p>
1100-1130	<p><b>Tea/coffee</b></p>
1130-1200	<p><b>SESSION SEVEN: Embedding Good Governance</b></p> <p><b>Plenary presentations:</b> (Facilitator – Toby Linden)</p> <ul style="list-style-type: none"> <li>▪ <b>What are Institutional Governance Guidelines?</b> Dr Nick Sanders (10mins)</li> <li>▪ <b>What are the challenges of producing Governance Guidelines?</b> Prof Shettar, Prof Sonde (10mins)</li> </ul> <p><b>Facilitated Q&amp;A with the Expert Panel:</b> Chair: Sir Andrew Cubie (15mins)</p> <ul style="list-style-type: none"> <li>▪ <b>How can good governance support long-term institutional development?</b></li> </ul>
1200-1300	<p><b>SESSION EIGHT: Completing the Good Governance Programme and ways to sustain and enhance good governance practice to support improved institutional performance and achievements</b> (Small group work)</p>

1300-1345	<p><b>SESSION NINE: FINAL PLENARY</b></p> <p><u>Plenary Feedback:</u></p> <ul style="list-style-type: none"> <li>▪ Groups feedback the summary findings from their discussions (5mins per group) (Facilitator: Prof Saji Gopinath)</li> <li>▪ <b>Final Summary Response by Participants and the Panel of Facilitators on Forum Outputs and Key Learning Points that should be shared with institutions and States unable to participate.</b> (Chair: Mr Toby Linden)</li> </ul>
1345-1400	Valedictory Keynote: (5mins) and Participants' evaluation (5mins)

## APPENDIX VII

### TEQIP-II INSTITUTION-WISE GOOD GOVERNANCE PRACTICES

Some examples compiled and arranged in alphabetical order

#### 1. BMS College of Engineering, Bangalore (Karnataka)

(under Sub-component 1.2)

- a) Detailed *GGD* of BMSCE approved by the *GB* printed and widely distributed to members of all the Authorities and other stakeholders concerned. This has enabled the *GB* members to actively participate in various institutional development activities.
- b) *GB* Meetings conducted in a fair and transparent manner, with members also interacting with students and other stakeholders. The Minutes of *GB*, *AC* meetings and the Annual Report uploaded on College Website regularly.
- c) College work delegated to individuals/committees both statutory and non-statutory, the constitution of these committees being based on bottom-up approach to provide effectiveness. *GB* also defined specific norms for staff members, provided in the booklet form and also uploaded on the website.
- d) College Strategic Plan 2013-2020, 'VISION 2020' approved by *GB* in place. Its implementation status periodically reviewed by *GB* to initiate necessary action.
- e) The *FC* regularly appraising the *GB* on all matters connected with College finances. Budgetary provisions for the departments made based on the requirements/inputs provided by the HOD concerned in advance.
- f) Promoting Research, Innovation & entrepreneurship through dedicated R&D cell, centres of excellence and incubation. Faculty motivated for research through incentives from the Management funds for publishing Research papers in Refereed Journals with impact factor & fetching external grants *and seed money for research*.
- g) Academic Audits at the departmental/Institution levels for monitoring the continuous improvement in vogue. IQAC constituted to monitor/maintain quality at all levels. Effective Student Feedback system on faculty and the institutional facilities also in vogue. Departmental Advisory Board (DAB) created for advising in academic matters. Rubrics to assess the level of student projects.
- h) Use of technology (MOOCs and Blended MOOCs) for enhancing the learnability coefficient (self-pace) of the graduates, recording of live lectures and social learning platforms like WIKSATE. E-learning solution for automatic recording and distribution of class room lectures and flipped class model.

- i) Deputation of faculty with full pay for higher education to IISc, IITs and other premier institutions in the Country. Deputation of faculty & technical staff for seminars, training sessions etc. Newly recruited faculty made to attend pedagogical training conducted regularly. Healthy Faculty-Student ratio maintained at all times.
- j) Views of Teachers, students and industry representatives given due weightage in deciding the initiation of new courses, curriculum framing, teaching methodology and evaluation criteria. Several brainstorm sessions by the stake holders ensure robust/ relevant curriculum and practicing OBE.
- k) Industry-Institute-Interaction: Collaborative efforts with the industry personnel for enhancing the learning levels of the graduates. Conducting Annual Technical Symposium- “PHASE SHIFT”, Exhibition of research projects of UG/PG students, industrial visits in coordination with industries.
- l) Remedial Classes for the slow learners and Bridge courses for lateral entry students conducted regularly. Participation of students in national/ international level competitions of curricular and extra-curricular activities also encouraged.
- m) Alumni Network functioning well. Committed alumni association having a wide global network sponsors/ conducts Workshops in Current Trends/Technology for enhancing capabilities of students; provides scholarship(merit-cum-means basis) interest free loans & prizes for meritorious students.
- n) Medical insurance coverage for all the students, staff and their family members. Management also providing a seat to the ward of the staff in the BMS institutions with fee concession. Financial aid to staff members by reimbursement of tuition fee paid towards children
- o) Social responsibility: Management adopted two government schools and regularly supporting the staff and students of the school in their activities by providing computers, technology transfer, and uniforms to students etc. *GB* fully supportive of such activities under NSS & NCC wings also.

## 2. BVB College of Engineering & Technology, Hubli (Karnataka)

(under Sub-component 1.1)

- a) **Institutional Governance Document:** Based on the world-wide best practices in Governance, the college came up with its own *GGD* to bring clarity to the roles, responsibilities and accountability of the Board.
- b) **Self-review of governance practices:** By self-reviewing governance practices, the gaps identified and through several strategic initiatives continual improvement of practices undertaken.
- c) **Strategic planning and monitoring:** Every five years to set the direction for institutional growth strategic planning process undertaken. Based on the detailed analysis, goals, strategic objectives, action plans and performance indicators are evolved. Progress of the implementation of the Strategic plan monitored regularly by *GB*.

- d) **Institutional Performance Monitoring:** To effectively measure and monitor institutional performance, the Key Performance Indicators (KPI) set and approved by the *GB*. Many of the KPI's are common with performance measurements sought for NBA accreditation. Every year these KPI's presented to the *GB* to keep the members abreast with the performance of the institution and also opportunities for improvement.
- e) **Engagement with Independent *GB* Members:** Independent members of the *GB*, carefully chosen based on the experience and expertise are engaged beyond the *GB* meetings, by giving them opportunities to mentor and lead many new initiatives of the college.
- f) **Delegation of power through sub-committees:** To focus on specific task or area sub-committees consisting of *GB* members and executive leaders, are formed to make recommendations to *GB*.
- g) **Publication of Annual report:** Annual reports of the institution with all relevant data of enrolments, academic performance, research progress and financial details published and made available on the College website.
- h) **Performance review of head of Institution:** The *GB* regularly reviews the performance of head of institution based on the KPI's set.
- i) **Self-Review of *GB* Functioning:** *GB* recognizes the need for self-review of its functioning, and provision made to undertake rigorous evaluation of its own effectiveness and that of its committees at least once in 5 years.

### 3. BVB's Sardar Patel College of Engineering, Mumbai (Maharashtra) (under Sub-component 1.1)

- a) *GB* meetings held four times a year and minutes of meetings regularly displayed on website. Vision-Mission document reviewed last year. Mission considered to be student-centric; in next revision all the stakeholders to be considered. The *GB* maintaining the Register of Interests.
- b) Development plan for Good Governance prepared. Self-review of *GGP* done. *GGD* prepared, approved by *GB* and now in use.
- c) Well defined organization structure with Chairman *GB*, Principal, Vice-Principal, Deans and Heads of Department in position. Minimum resources utilized for maximum output (Faculty and Support Staff).
- d) Academic Calendar displayed on website before beginning of the next Academic year. Curricula revised every year based on the input from various stakeholders, to meet the industry needs.
- e) Assessed answer books with synoptic are shown to the students. on specific dates. All examination activities conducted strictly as per the calendar. Audit of question papers, answer books, synoptic, coverage of syllabus and examination procedure by expert faculty from other institutes in every semester. Best Practices adopted by the examination section also listed on website. A Committee formed by the Chairman to look into Malpractices / Unfair Means during examinations and to recommend action to be taken.

- f) Digitization of Documents in place. Annual report, Future plans, Strength of department and best practices adopted by the department displayed on website.
- g) Quality research carried out by PG, & PhD Students and faculty members. IIT Professors appointed as Senior Research Advisors for guiding research students and faculty members.
- h) MoUs signed with various reputed industries and institutes for activities like Industry visits, Guest Lecture by experts, STTP's/Workshops/ Training programmes in collaboration with Industry.
- i) The GB encouraging/directing College for higher standards, like provisioning of infrastructure, faculty (Human resources) and equipment than the norms of regulatory bodies and strive for excellence.. .

**4. Coimbatore Institute of Technology, Coimbatore (Tamil Nadu)**  
(under Sub-component 1.1)

- a) The GB attracting and retaining talented and diverse faculty members to achieve the goals by creating a highly motivating environment which is also collaborative in an atmosphere of mutual respect and commitment to excellence.
- b) The GB also encouraging multidisciplinary research and education targeting towards providing global-level consultancy to industry, Government and society by the highly motivated staff covering many disciplines.
- c) The Management Planning a broad range of activities for the students within and beyond their studies to help them develop wider talents and be successful and working continuously to enhance the portfolio of student support services at the institute.
- d) The Management also striving to increase excellence, breadth of knowledge , global connections and “Make in India” in the students so as to bring them together and develop them as key decision makers in industries and the Government for the benefit of the society.
- e) The teaching and learning process and research led curriculum enable students to engage actively with multidisciplinary research.
- f) Ample self- learning facilities/opportunities provided to students to enhance their knowledge and skill sets.
- g) Fully computerized comprehensive University Management System (UMS) installed for all administrative /academic activities of the Institute and now fully functional.

**5. College of Engineering, Pune (Maharashtra)**  
(under Sub-component 1.2)

- a) Well documented processes in vogue for Procurement, Faculty and Staff Recruitments, Consultancy and R & D, Finance and Accounts, Faculty Development/Empowerment Schemes, Gymkhana, Students Development, Staff Welfare etc.  
***-“Defined Processes bring uniformity and person-independence in taking decisions”***
- b) Deans and Heads positions by Rotation of THREE years amongst Senior Professors introduced.  
***-“All Potential Performing functionaries get an experience of Excellence-oriented Administration”.***
- c) Delegation of Financial and Administrative powers introduced down the hierarchy from amongst Deputy Director, Deans, Heads, Administrative Officer, Registrar, Controller of Examination, various Central Port-folios etc., as per role and responsibility.  
***-“Empowerment through Delegation enables swift implementation of Policies and Practices”.***
- d) Minutes of Meetings of GB, Senate, BWC. placed in Public domain on Institute's website [www.coep.org.in](http://www.coep.org.in).  
***-“Availability of Information at the finger-tips brings in Transparency for the Institute in Public eyes”.***
- e) Appealing Corporate and Industry to amalgamate in COEP’s Development through their CSR, creating state-of-art facility/Labs in ALL Departments.  
***-“Now, ‘I.I.I.’ for COEP means ‘Industry-Institute-Integration”.***
- f) Mentoring upcoming Autonomous Institutes in the vicinity, which have a potential and desire to transform themselves.  
***-“Handholding the aspiring Institutes and sharing Best & Next Practices of COEP which is a part of Institute Social Responsibility (ISR) for COEP.”***
- g) All GB members contributing at least 100 hours a year towards Institute's development without Conflict of Interest, in various sub-committees of the GB.  
***-“Contribution of Committed & Elite Board Members has fueled COEP’s Journey towards Transformation bringing Excellence”.***
- h) Many academic reforms introduced at COEP for continuous improvement of quality and standard of academic/ research work, like:
- *Learner- centric academic system with Choice and Transparency at every step.*
  - *Innovations being imbibed in every revision, considering rapid and global changes in technology and attitudinal changes in mindset of learners.*
  - *Initiatives for self-learning, industry & corporate exposure, and development of testable prototype after design & simulate in mini-project.*
  - *With a firm belief that Mathematics is language of engineers, to be ubiquitously present across all semesters on-campus.*
  - *Engineering curriculum encompassing Living Machines as a paradigm to be explored technologically.*
  - *Towards enhancing Employability in tune with Nation’s ‘Skill India’ initiative.*
  - *Associating industry partner, in co-teaching a course, bringing in industrial essence.*

- *Bilateral students' exchange among Autonomous Institutes in the State, with credit transfer, adding value to the aspirants in terms of experiential learning.*

## **6. Cooperative Institute of Technology, Vadakara, Kozhikode (Kerala)**

(under Sub-component 1.1)

- Conducting high intensity training programme at each Department of the Institute for the students to improve their placements.
- Faculty members (~60) deputed to undergo 'management capacity enhancement' programme at IIM kozhikode.
- Meritorious Students and staff being rewarded suitably by the PTA /Alumni to encourage merit and talent.

## **7. College of Engineering, Cherthala, Pallippuram (Kerala)**

(under Sub-component 1.1)

- Active participation of *GB* members in conferences/Seminars conducted by the college as an encouragement to faculty and students..
- Close association of *GB* members with faculty, staff and students for academic growth and development, e.g., *GB* Chairman frequently conducting expert lectures on various subjects. Other *GB* members are regularly participating in FDPs as resource persons.
- GB* meetings conducted regularly in every 3 months
- GB* providing help and support for faculty and students like: Meetings being conducted to appreciate the achievements of faculty and students, felicitating rank holders, etc.
- GB* monitoring the institutional performance and quality assurance- Periodic review of progress of accreditation and related activities and of the status of implementation of the strategic plan of the College.

## **8. Dr. Ambedkar Institute of Technology, Bangalore (Karnataka)**

(under Sub-component 1.2)

- The *GB* members participate regularly to make active contributions for academic growth and development
- The Student representatives invited regularly to *BOS*, *AC* and *GB* meetings. The *GB* adopts transparency for the stakeholders and encourages inviting additional experts from the industries to enhance the academia and industries relationship.
- Regular online student feedback system is in force for the past few years.

- d) Monitoring of the implementation of strategic plan through periodical reviews at *GB* meetings.
- e) E-Governance with an aim to efficient and transparent administration introduced in all the Administrative and academic processes. Paperless communication in place with interdepartmental and institutional communication being carried out through ICT.
- f) The Digital evaluation system already incorporated.
- g) The Institute publishing Academic Calendar for each session in advance for the benefit of faculty and students.
- h) *GB* encouraging the faculty and students to take up innovative and research activities by providing seed grant to them.

**9. G.H. Raisoni College of Engineering, Nagpur (Maharashtra)**  
(under Sub-component 1.2)

- a) Feedback taken on every process and activities including academic from all stakeholders and the system rectified regularly.
- b) Departmental Industry advisory board, Startup meet, Partial delivery of curriculum through guest lectures, industrial visits, STTP in association with industry, Funded laboratories by industries given due attention and importance,
- c) Mandatory Internship introduced: Six week internship including two weeks social Internship & Six Months industry internship & Field Project , Student portal (e-governance) for uploading data
- d) Establishment of Incubation Centre , Organization of EDP, National level B-plan competition ( R-Idea), Best Innovation awards , Financial Support for Product development (Rs.15 lacs per annum), Financial Support for Exhibition/ commercialization, EDP subject in curriculum, Seed money support, IPR Training encouraged at the College.
- e) Remedial Classes for Academically weaker students, Academic Audit – Internal and External Choice based Credit System (CBCS) in place,
- f) Credit Transfer Scheme (CTS) with VJTI Mumbai & COE Pune, PEER teaching to improve academic quality.
- g) Answer sheets of each CAE & End Semester exam shown to students, Relative Grading Skill enhancement programmes for 40 courses free of cost under finishing school, Yamaha Academy, SAP Academy functioning.
- h) Seed money for Research Projects , Every year National / International Conference, Ph.D. Pre Submission before experts from IITs/IISc, Study leaves for Ph.D. work
- i) Pedagogy training of 200 hours to all faculty members made mandatory before actual classroom teaching, Report submission and presentation to all after attending training.

## **10. Government College of Engineering, Aurangabad (Maharashtra)**

(under Sub-component 1.2)

- a) *GB* regularly apprised of academic improvements and relevant issues so that it is aware about the manner in which institute fulfills academic requirements.
- b) Academic calendar brought out for the academic year in advance and widely publicized among the stakeholders.
- c) *GB* supportive of engaging the services of various categories of faculty including adjunct faculty, and fixing their terms of remuneration.
- d) *GB* approving the budgetary provisions every year submitted by *FC* depending upon proposals submitted, and later report on status placed again in *GB* meetings.
- e) *GB* sanctioning approvals up to 10 lakhs to *FC* Chaired by the Principal. But, details need to be yet approved by *GB*.
- f) Improvement in institute infrastructure, appearance and remedial measures suggested by *GB* on a regular basis..
- g) Total transparency maintained and all stakeholders permitted to have access to *GB* if there are grievances, and outcomes that include results of students and placement records being viewed by *GB*, and depending upon feedback the concerned stakeholders informed of improvements.

## **11. Government College of Engineering, Baragur, Krishnagiri (Tamil Nadu)**

(under Sub-component 1.1)

- a) All the administrative and financial powers well demarcated and published in the website, G.O and Gazette.
- b) Minutes of every *GB* meeting, annual reports, audit reports, student achievements, faculty achievements, details about the college like AICTE mandatory disclosure, testing consultancy services and funded projects uploaded in the institution website.
- c) Before every *GB* meeting the draft agenda circulated to the departments to include/modify the agenda points. The inputs from class committee meeting, staff meeting also added to the *GB* agenda. Any genuine representation from staff, student, parent and alumni and other stakeholders also considered for inclusion in *GB* agenda.
- d) Representation of sub-committee members, fund allotment to the departments, deputing faculty members to the training/conducting training programmes done by uniform and equal distribution. Equal opportunities provided to male/female members, minorities and deprived sections of the society.
- e) Effective implementations of the project/activities monitored in every *GB* meeting with Institution head presenting the action taken report/completion report of the previous *GB* agenda. The salient achievements and annual report also presented

## **12. Government Engineering College, Kozhikode (Kerala)**

(under Sub-component 1.1)

- a) Academic auditing (With Internal and External auditors) regularly taken up at the College to monitor and enhance the quality of technical education. and to ensure academic accountability.
- b) For regular quality assurance, College following the ISO 9001:2015 procedures.
- c) Process effectiveness review done once in 6 months, computing effectiveness of academic process, administration process, examination (internal and external) process, library process, training and placement process, and purchase and stores process all being part of this.

## **13. Government Engineering College, Sreekrishnapur, Palakkad (Kerala)**

(under Sub-component 1.1)

- a) Lead roles played by the faculty members in all developmental activities at the College.
- b) Collective decision making and transparent administration, taking all stake holders into confidence.
- c) WiFi-enabled campus, digital processing of files, and smart class rooms set up.
- d) Faculty going the extra mile to address the issues of poorly performing students in academic and related matters.
- e) Emphasis on interaction with faculty of top level institutions, resulting in several of them visiting the campus and giving invited lectures of great benefit to the College.
- f) Faculty Experience Sharing in TEQIP: Regular sessions held in the departments to discuss the faculty members' experience during training programs they attended, with colleagues.

## **14. Government College of Technology, Coimbatore (Tamil Nadu)**

(under Sub-component 1.2)

- a) Syllabi revisions made in every Four years with subject experts and industrial experts in accordance with the vision and mission of the college.
- b) Students Research Foundation (SRF) set up to encourage students for innovative projects.
- c) Performance based academic award given for faculty members, technicians, non-teaching staff.
- d) Students encouraged to present papers through TEQIP Funding in National / International levels.

- e) *GB* Members periodically interacting with alumni to sort out many problems relating to the College.
- f) The Agenda for *GB* Meetings prepared in consultation with HoD's, Administrative staff and other stake holders.
- g) Number of Committees formed for *AC*, *FC*, Purchase, Institutional Development, Student Affairs, Library, Grievance, Faculty and Staff Development and Anti Gender Harassment and functioning well.
- h) The *GB* team and Alumni monitoring the key performance indicators of the college in terms of strategic planning and students' progress.
- i) All HoD's and Faculty members trained to understand the process of NBA accreditation on outcome based education and engaged in implementing the same.

**15. GVP's College of Engineering, Madhurawada, Visakhapatnam (Andhra Pradesh)**  
(under Sub-component 1.2)

- a) Student feedback system on Academic and Non-Academic front in place and made use of to improve educational quality and standard.
- b) Encouraging students to take internship in various industries to benefit them in getting good employment.
- c) Social service through Student groups (formed by themselves).
- d) College active in WeR4Help, YES (Youth Enlightening the Society), Organizing Social awareness programs (Ex. NSS, Blood donation camps)
- e) Incentives provided by *GB* for Research Paper Publications, Text book writing, Guiding Ph.D. scholars, securing R&D Projects and consultancy work.
- f) Encouraging Faculty by deputing with salary to pursue Ph.D. in IITs and NITs under QIP
- g) Motivating faculty by granting Study Leave and/or Academic leave attending Refresher/ Training programs for skill/qualification up-gradation.
- h) MoUs executed with companies for offering industry oriented electives for the benefit of students.
- i) Industry specific centres like CISCO Academy, IBM Centre of Excellence and Microsoft Innovation Centre to train students for industry Certification of immense benefit to them.

**16. Malnad College of Engineering, Hassan (Karnataka)**  
(under Sub-component 1.2)

- a) Providing a platform for students to meet Alumni / Senior delegates of Industry for better interaction through organizing Knowledge Bridge Programmes (*Jnana Sethu*) at Bangalore.
- b) Providing platforms for Alumni to mentor students of the college. 1986 - 1990 batch Alumni students have initiated "*MAKE IN MCE - CHAITHANYASETHU*" programme to identify, groom and provide a platform to launch potential projects as an entrepreneurial venture.
- c) Establishment of Proctor system for women safety and security at the College.
- d) Motivating students to participate in certification programmes like *MOOC and PHYTHON*.
- e) Setting up of Medication and Yoga Centre - "*DIVYA CHAITHANYA*" in the campus for the benefit of students, staff members and citizens of the town.
- f) Incentives to faculty members involved in consultancy and externally funded research activities.
- g) Organization of regular interaction-session with all the stakeholders of the college and the implementation of the suggestions given.
- h) Conducting monthly meetings on first Monday of every month, involving all the HoDs, Deans and Section Heads to take stock of the day to day development and work out plans in the direction of continuous development.
- i) Transparency in Administration through Digitalization process.
- j) Noninterference of Management in day to day administration - a good practice of the college management.

## **17. MCKV Institute of Engineering, Howrah (West Bengal)**

(under Sub-component 1.1)

- a) Conducting online diagnostic test for new entrants.
- b) Introduction of online feedback of students on Faculty Performance.
- c) Waving of admission fee for Girls students.
- d) Conduct of value education classes for students through "Swami Vivekananda Centre for Positive Thinking" and participation of students and faculties in various social activities.
- e) Introduction of ICT-based teaching learning process through Wi-Fi campus, QEEE Programmes, NPTEL course, online Journals, e-books etc.
- f) Introduction of a practice of interaction with Staff and students by *GB* members before each *GB* meeting.
- g) Conducting FDPs for Polytechnic institutes of West Bengal on continuous basis.
- h) Uploading of Agenda and resolutions of each *GB* meeting on the Institute's Website.

## **18. MS Ramaiah Institute of Technology, Bangalore (Karnataka)**

(under Sub-component 1.2)

- a) Vision and Mission Statements of the Institute framed by it approved by the *GB*.
- b) *FC* engaged in developing strategic plans for future financial assets creation and development.
- c) *GB* Ensuring the procurement and providing physical resources for the Institute.
- d) *GB* taking care to see that employment and promotion strictly as per the regulatory body norms.
- e) *GB* facilitated Insurance coverage of Rs.1, 00,000 to all teaching and non-teaching staff, their Dependents and students.
- f) Extra-curricular activities MSRIT planned and implemented through a separate department, i.e., Department of Extra-Curricular Activities (DECA) and credits allocated in curriculum.
- g) Student awards, scholarship and certificates for various categories like sports, curricular and extracurricular activities introduced by Management and partly by Alumni Association too.
- h) Strong and effective system of student mentoring called the “Proctor System” in place and groups of 20-25 students provided academic/other advice by them during their studies at the Institute.
- i) ED-Cell also actively incubates start-up ideas by linking the right investors with the right entrepreneurs.
- j) Separate Grievance Redressing Committee in place to handle all cases of student’ problems.
- k) The anti-ragging committee constituted in the beginning of every academic year to anticipate and strictly deal with. The ragging menace in the campus, particularly hostels.
- l) Anti-Sexual Harassment Committee also established providing a healthy/congenial atmosphere to staff and students of the Institute.
- m) Quality Management System set up at the Institute on the lines of ISO and IQAC cells.
- n) Active Industry Institute Interaction Cell (IIIC) in place for exchange of ideas amongst faculty, students and the industry experts resulting in more than 30 MOUs with industries.
- o) Accreditation by NAAC and NBA encouraged and facilitated by *GB* resulting in high accreditation ratings.
- p) Dynamic Student Information System (SIS) in place, an online application offering students and their parents/ wards/ guardians up-to-date information, both academic performance and other.
- q) Annual Report, Academic Review and other reports as well as *GB* meeting minutes as approved by *GB* regularly uploaded on MSRIT website.
- r) *GB* also encouraging active participation of marketing campaigns in Educational fairs across the globe, ensuring that all reported information is factual and correct

- s) Many committees formed by *GB* activities are delegated to them for smooth functioning of the Institute.

### **19. National Institute of Technology, Tiruchirapalli (Tamil Nadu)**

(Under Sub-component 1.2)

- a) Weekly review of progress in place for procurement activities to help in identifying the problems faced and seeking solutions.
- b) Provision made for Fellowships for pursuing Ph.D. by faculty members and also to support their travel for attending conference, workshop, training and reimbursing their contingency expenses..
- c) Financial support given for organizing workshop, national/international conferences, seminars and symposium, MCEPs.
- d) Grants made available for International travel by both faculty members and Ph.D. scholars.
- e) Financial support also given for industrial visits by PG Students, finishing school programmes, student centred counselling cell and personality development of weak students.

### **20. NC College of Engineering, Israna, Panipat (Haryana)**

(Under Sub-component 1.1)

- a) *AC* engaged in laying down, regulating, and maintaining the standards of teaching, research, and examinations in the college. Helpful in developing unique Industry catalyzed Syllabus updating mechanism through departmental BOS catering to the needs of industries.
- b) Continuous Evaluation System for students' performance followed by reporting to their parents/guardians regularly in vogue.
- c) Academic Auditing including faculty evaluation being done by external agency (NITTR) as per *GB* directions. Director NITTR, Chandigarh also a member of *GB*.
- d) To generate spirit de - corp and healthy competitive spirit, all co-curricular activities being held in a competitive manner and recognition of best overall boy/girl student and champion team taken up with the evaluation criteria being marks scored in academics, sports, cultural and discipline.
- e) To promote industry interaction MOUs signed with leading IT companies and many programmes conducted to train faculty and students. MOU also signed with Thapar University Patiala for R&D and Ph.D. registration of faculty members.

### **21. PEC University of Technology, Chandigarh (UT-Chandigarh)**

(under Sub-component 1.2)

- a) Decentralization in place through delegation of powers to Deans and HODs and functioning well.
- b) Faculty members given seed grants to initiate research activity in cutting edge technologies.
- c) Students participating in research projects incentivized under 'Earn While you Learn Scheme'.
- d) Statutes and By-laws of the university well documented and made available widely.
- e) Entrepreneurship and Incubation cell created to facilitate students/faculty to launch 'start-ups' from the campus. For these students, 'campus placement deferment policy' also in place.
- f) Faculty members given perks on the lines of IIT (e.g., each faculty member is given Rs. 3 Lacs in a block of three years) for their professional development.
- g) *GB* also decided to place rolling advertisement for the faculty recruitment on the pattern of IIT.
- h) Provision made for recruiting emeritus/visiting/adjunct faculty to have eminent experts from engineering fraternity and compensate for the shortage of faculty.
- i) *GB* members visit the campus and interact with all stakeholders from time to time during the year.
- j) Director and HODs discuss the progress of the institute at each *GB* meeting held quarterly.
- k) Transparent examination system, Question paper moderation in place. The students shown their answer scripts within 96 hours of the examination

## **22. PES Institute of Technology, Bangalore (Karnataka)**

(under Sub-component 1.2)

- a) The institute chalked out a long-term business plan for growth, placed before *GB*, deliberated, modified and approved the same for implementation.
- b) Policies and procedures established for approval limits, delegation of authority, expense controls and other financial parameters. The *FC* overseeing alignment of expenses as per budget, meeting twice a year to monitor and recommend actions to *GB*.
- c) Over time, PESIT benchmarked itself against the best local colleges and later against the best national level colleges. The competitive playing resulted in PESIT continuing to reach higher levels as evidenced by lower student acceptance ratio, higher employability and improved brand.
- d) Quality representation of Industry Members in *GB* and *AC* ensured. *GB* Members interacting with academic community to share their experience in the field of education.
- e) In addition to reviewing the progress of committees such as Audit, Finance, Research, the *GB* being apprised of student' feedback results.

- f) A student representative nominated to the *GB*-privy to its proceedings.
- g) Based on feedback from industry, new methods of teaching-learning being experimented.
- h) All academic activities automated through development of an in-house academic ERP system called GEMS.

### **23. PSG College of Technology, Coimbatore (TN)**

(under Sub-component 1.1)

- a) Benchmarking with institutions of higher standards regarding Autonomy, Relative Grading, Examination systems being given due attention.
- b) Formation of Quality circle teams - to improve the Placement in core companies, Quality of UG Projects, UG Transition, PG Internship & UG Students Pursuing higher education taken up.
- c) Continuously organizing MCEPS to Senior Faculty, HODs and Deans.
- d) Formation of committees like Planning & Evaluation Committee to enhance the academic performance of students given importance.
- e) Soft skills training programmes being arranged for Pre- Final year UG & PG students to improve placement successes.
- f) A new dean position, Dean - IRD (Industrial Research & Development) created to increase the Industrial Consultancy, Research activities and Sponsored projects.
- g) With the advantage of academic autonomy, a new arrangement, in the form of 1-credit course introduced. Through this industry experts offering a course on current topic of industry relevance for 15 hrs in semester (= 1 credit) Three such courses = 1 Full length course of 3 credits.
- h) CEP, Graduate level training programmes, Certification courses organized regularly to industrial executives and academicians through CNCE [Center for Non- Formal and Continuing Education].
- i) A Dedicated Student Research Council in place to inculcate UG & PG students and Research Scholars to conduct various research activities.
- j) Faculty encouraged for paper publications, completing / guiding PhD, conducting continuing education programmes, consultancy, Research Projects, co-curricular/extracurricular activities.

### **24. RV College of Engineering, Bangalore (Karnataka)**

(under Sub-component 1.2)

- a) Experiential learning introduced to motivate students to innovate, bring in teamwork and lifelong learning.
- b) Implementation of OBE practices in progress to meet NBA accreditation requirements.

- c) Credits specified for Humanities and Innovation skills
- d) Encouragement to form multidisciplinary student groups for major projects leading to Interdisciplinary project culture.
- e) *GGD* prepared, got *GB* approval and now being implemented.
- f) Enabling enhanced Quality Teaching through Pedagogical Training of all faculty members.
- g) Student representatives nominated on the *GB*.
- h) Interdisciplinary research focus with faculty from different departments participating. Creation of Centres of Excellences Encouraging research culture at UG level with patent filing of innovative work
- i) Setting up industry sponsored laboratories and starting of industry based electives
- j) Taking up joint projects with industry in data analytics, biomedical and bioinformatics areas.
- k) Equal opportunity provided for female members in leadership, research and administration.
- l) International conferences conducted to share best practices at various places
- m) Taken up green energy initiatives through TEQIP, adopting village and transfer of technology through prototypes.

**25. SDM College of Engineering & Technology, Dharwad (Karnataka)**  
(under Sub-component 1.2)

- a) Academic calendar made available to faculty/students and publicized at least two weeks prior to the commencement of a semester.
- b) The student evaluation consisting of two components viz., Continuous Internal Evaluation (CIE) and Semester End Examination (SEE) with equal weightage.
- c) The Internal Assessment Tests conducted centrally in a coordinated fashion by announcing the schedule in advance to avoid any ambiguity among the departments and to adhere to the academic calendar.
- d) The statutory bodies constituted to carry out the defined functions involving members as prescribed by the University for proper implementation in tune with the vision and mission of the institution.
- e) Conducting workshop for office and staff regarding soft skills, manners and protocols, ethics, etc.
- f) Recording of daily work done for the office staff initiated and now functioning.
- g) Senior faculty members attached with one or two junior faculty to guide and advise them in all academic and evaluation related matters.

## **26. SJ College of Engineering, Mysore (Karnataka)**

(under Sub-component 1.2)

- a) Current technology under teaching learning process being adopted.
- b) Focus is given on cutting edge research of global importance.
- c) Institution providing a conducive environment for thriving teaching community to pioneer advances in education and research and make a strong positive impact.
- d) Institution encouraging the faculty to take-up R&D and consultancy projects.
- e) Introduced innovation study courses for first year UG students (2 credits).
- f) Also introduced students' counselling from psychology experts at first year level to enhance the capability of weak students.
- g) Industry labs set-up at SJCE by many Companies: GM, HP, IBM, Bosch-Rexroth, Philips, etc.
- h) Value added soft skills and add-on courses arranged in emerging areas.
- i) Organizing Finishing Schools to bridge the gap between industry and academics as a regular feature.
- j) Selected under the GIAN programme by Government of India (8 proposals accepted and in progress).
- k) Implementation of ICT Initiatives for good governance in an advanced stage.

## **27. Thangal Kunju Musaliar College of Engineering, Kollam (Kerala)**

(under Sub-component 1.1)

- a) Robust Mentoring System in place at the College for students' support.
- b) A senior Advisor and an advisor each taking care of a batch of 20 students to motivate and inspire them.
- c) Overall development of students facilitated and a strong connectivity maintained with parents
- d) Appropriate steps being taken for the empowerment of socially and financially under privileged students.
- e) Conduct of stem cell donation Camp for the benefit of society.

- f) Also organized adalat for differently abled with the help of District administration as a social service.
- g) MERIT CUM MEANS Scholarships provided for financially under privileged. By raising funds from faculty, staff and alumni .

## **28. Thiagarajar College of Engineering, Madurai (Tamil Nadu)**

(under Sub-component 1.1)

- a) The College activities grouped under Planning& Development, Teaching& Learning, R&D, Industry Interaction, Students-Extra/Co-curricular Activities and Administration for convenience.
- b) The decentralization of administration taken up as part of MCEP.
- c) Quality Management Systems like ISO, QC, 5S for all the above said processes established.
- d) To synergize the efforts of faculty/students in each department, theme areas based on technology trends, expertise available and the direction to grow chosen and now progressing.
- e) Students' admissions only merit-based even for management quota students.
- f) Pedagogy Group set up in the College for establishing processes for Curriculum Design, Content Delivery and Assessment.
- g) Faculty/students working in a particular area grouped to form Special Interest Groups for curriculum design, organize conferences, publish technical papers, carryout R&D in their areas.
- h) Thiagarajar Advanced Research Centre (TARC)set up in the campus, hosting high end labs in niche areas such as Material Science, Machine Vision and RF., Facilitation for encouraging IPR.
- i) Incubation facilities set up– Thiagarajar Telekom Solutions Ltd.(TTSL) an Incubated Company in the area of Antennas & RF based on in house R& D.
- j) Special provision made on the campus to provide academic support for slow learners.
- k) Students encouraged to engage in technology based social work at adopted villages in the College vicinity.

## **29. VR Siddhartha Engineering College, Kanuru, Vijayawada (Andhra Pradesh)**

(under Sub-component 1.2)

- a) *Good governance* policies in place to promote accountability and continuous improvement.
- b) Implementation of CBCS- Students given flexibility to do internships/Industry Projects for the full semester outside the Institute.
- c) Bridge Courses for fresher students to bridge the gap in courses offered in UG-1<sup>st</sup> year based on a diagnosis test.

- d) Remedial Classes conducted for slow-learners to help students gain a better understanding of a particular course
- e) Mentoring System in place to monitor the progress of students and to offer advice and guidance in academic matters.(Student Proctor System)
- f) Student-centric learning (Following Outcome Based Education, Practicing blended learning, Inquiry based learning) put in place and progressing well.
- g) Provision made for open electives in the curriculum to facilitate students with the option to study multidisciplinary courses as per their choice and interest
- h) Industry collaborative laboratories established and being regularly used, e.g., IBM, Oracle.
- i) Learning management systems being used at the College regularly- MOODLE
- j) Adoption of Bloom's taxonomy for Question Paper Setting encouraged at the College.
- k) Established "THE GARAGE" (Centre for Incubation, Innovation and Entrepreneurship) for the benefit of faculty and students.
- l) Campus Connect programmes enabled at the College with Infosys, Virtusa and other companies
- m) Incentives being given to faculty members for research publications, text book writing and consultancy to promote research, R&D Projects, bringing in good results.

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## CONTRIBUTIONS FROM THE AUTHORS

**Prof. B. S. Sonde** was a member of the academic staff of Indian Institute of Science, Bangalore (1964-97) occupying key positions: Chairman of CEDT, Department of ECE and Division of Electrical Sciences, Dean-Faculty of Engineering and Tata-Chem. Chair, until his appointment as Vice Chancellor, Goa University (1997-2002). His fields of teaching and research cover microelectronics, instrumentation and communication engineering, wherein he has trained many students for B.E., M.E., M. Sc (Engg.), Ph. D. Degrees and authored many research publications, reports and text/reference books. During his service at IISc, Prof. Sonde planned and set up CEDT, an Indo-Swiss project for training R&D engineers for industry. In this period, he was Advisor to Chulalongkorn University, Bangkok for establishing its Electronics Design Laboratory under Indo-Thai Cooperation; Member, Electronics Commission, Government of India; Member, Engineering Panel of UGC; Chairman, Expert Committee to establish Central Research Laboratories at Bharat Electronics Ltd. and Chairman, DOE Working Group on Consumer Electronics.

Besides, Prof. Sonde was elected Founder-Chairman, ISHM (India) and President, IETE. Later, he was appointed Chairman, National Board of Accreditation and also of AICTE Board of UG Studies in Engineering & Technology. He has widely travelled in India and abroad on academic assignments. He is now engaged in Advisory/Expert Committees on higher/technical education, research and accreditation under UGC, AICTE, NAAC, TEQIP and other Bodies. He is Distinguished Fellow of IETE, Fellow of IE (India), Honorary Fellow of ISTE, Senior Member of IEEE (USA) and has been closely connected with the development of higher education, research and electronics industry in the country.

**Shri R.P. Agrawal, IAS (Retd.),** is a Fellow of IE (India), former Secretary to Department of Higher Education, Ministry of Human Resource Development, Government of India (2006-09) and former Chairman of the Board of Governors of IIT, Delhi and of the Board of Management of Delhi Technological University. He was also a Member of Governing Boards of many national Bodies, such as, UGC, AICTE, IIT Council and many national level institutions like: NUEPA, IGNOU, IIMs at Ahmedabad, Shillong and Kolkata, IIT Kharagpur, IISc, Bangalore and IISERs at Kolkata, Pune, Mohali. Currently, he is a member of Executive Councils and Governing Bodies of many Universities in the country.

Earlier Shri Agrawal was Deputy Chief of Mission at Embassy of India, Brussels, accredited to EU, Belgium and Luxembourg. Also he was an Expert Panelist on WTO's Dispute Settlement Body. Besides, he had served for over 7 years including 4 years as VC&MD, in Hyderabad Allwyn Ltd., which was manufacturing Refrigerators, Watches, Bus-bodies, Industrial Sewing Machines and Home Appliances and also as Chairman Allwyn Nissan Ltd., before its privatization. Other important assignments of Shri Agrawal were in the Government of Andhra Pradesh as Secretary [Industries & Commerce], Secretary [Finance], MD, AP State Financial Corporation Ltd., VC & MD, AP Heavy Machinery and Engineering Ltd., Vice Chairman, Hyderabad Urban Development Authority, Collector & District Magistrate of Krishna and Prakasham Districts.