GOOD GOVERNANCE GUIDELINES

Sree Vidyanikethan Engineering College
Sree Sainath Nagar, A. Rangampet
Chandragiri mandal, Chittoor district,
Andhra Pradesh – 517 102
## CONTENTS

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Item</th>
<th>Page Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Need for good governance system</td>
<td>1</td>
</tr>
<tr>
<td>2.</td>
<td>Preamble</td>
<td>1-2</td>
</tr>
<tr>
<td>3.</td>
<td>Scope of Good Governance</td>
<td>3</td>
</tr>
<tr>
<td>4.</td>
<td>Genesis of the Institution</td>
<td>4</td>
</tr>
<tr>
<td>5.</td>
<td>Vision</td>
<td>4</td>
</tr>
<tr>
<td>6.</td>
<td>Mission</td>
<td>4</td>
</tr>
<tr>
<td>7.</td>
<td>Quality Policy</td>
<td>5</td>
</tr>
<tr>
<td>8.</td>
<td>Approval</td>
<td>5</td>
</tr>
<tr>
<td>9.</td>
<td>Affiliation</td>
<td>5</td>
</tr>
<tr>
<td>10.</td>
<td>Autonomy</td>
<td>5</td>
</tr>
<tr>
<td>11.</td>
<td>Organization Chart</td>
<td>5</td>
</tr>
<tr>
<td>12.</td>
<td>A. Primary Accountabilities</td>
<td>6 – 10</td>
</tr>
<tr>
<td>13.</td>
<td>B. Openness and Transparency in the Operation of Governing Bodies</td>
<td>10 – 11</td>
</tr>
<tr>
<td>14.</td>
<td>C. Key Attributes of Governing Bodies</td>
<td>11 – 12</td>
</tr>
<tr>
<td>15.</td>
<td>D. Effectiveness and Performance Review of Governing Bodies</td>
<td>13</td>
</tr>
<tr>
<td>16.</td>
<td>E. Regulatory Compliance</td>
<td>14</td>
</tr>
<tr>
<td>17.</td>
<td>Self Review template of Governors</td>
<td>15</td>
</tr>
<tr>
<td>18.</td>
<td>Head of the Institution performance evaluation Template</td>
<td>16</td>
</tr>
<tr>
<td>19.</td>
<td>Terms of reference for statutory committees</td>
<td>17 – 20</td>
</tr>
<tr>
<td>20.</td>
<td>Roles &amp; Responsibilities of Chairman &amp; HOI</td>
<td>21 – 25</td>
</tr>
<tr>
<td>21.</td>
<td>Functions of Apex Bodies</td>
<td>26 – 32</td>
</tr>
</tbody>
</table>
Need for good governance system

Independent and fully empowered governing body to
➢ Support the stated Vision, mission and objectives
➢ Foster a stimulating environment and culture to attract talented faculty
➢ Nurture a culture of innovation that improves productivity and support the sustainability and development of the institution
➢ Forge global, national and local collaborations with academic partners, research and industry to realize the Vision
➢ Develop a coherent strategy and a sustainable growth development path

Preamble

Engineering Education in India is the most sought after for career avenues for a large number of students. Improving the learning outcomes of the students and enhancing their employability skills are the major parameters that challenge the Institution. The effective governance at all levels is one of the most important keys to the improvement of the quality of learning, teaching and research outcomes of an Institution. The Good Governance Guidelines provide vital directions and indicators to the Governing Body of Sree Vidyanikethan Engineering College for enhancing the effectiveness and performance and to provide overall satisfaction to all the stakeholders. Through this, the Governors will have the opportunity to directly participate and monitor the key
institutional functions such as developing Institutional Mission, strategic planning, quality standards and quality assurance, accountability and performance, employer engagement, industry interface and stakeholder interaction.

‘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.’

- World Bank Working Paper 190 Governance of Technical Education in India

Hence the Governing Body of Sree Vidyanikethan Engineering College has determined to formulate this Good Governance and Leadership Guidelines for effective implementation in its quest for excellence.
Scope of Good Governance

The benefits of good governance are demonstrated through

➢ Integrity in appointments at all levels, both external and internal
➢ Strong leadership and management skills in all of the places where they are needed
➢ Processes in place for monitoring the quality of teaching and learning, and within institutions for improving that quality with appropriate student involvement
➢ Processes in place to deliver improvements in research quality
➢ Lean and competent administration
➢ Robust and transparent financial systems, especially regarding procurement, and strong internal and external audit
➢ Effective and transparent mechanisms to determine remuneration at all levels
➢ Strong human resources processes such as appraisal, development and dealing with poor performance
➢ Effective student support arrangements
➢ Student participation in management and governance at all levels
➢ Contribution to better performance in accreditation
➢ Focused awareness of institutional outputs, especially increased employability.
References

1. TEQIP Good Practice Guide for Governing Bodies - December 2012
2. NBA Accreditation Manual
3. NAAC Accreditation manual

Genesis of the Institution

Sree Vidyanikethan Engineering College was established in the year 1996 by Sree Vidyanikethan Educational Trust under the stewardship of Dr. M. Mohan Babu, a renowned Movie Artiste & Producer and formerly a Member of Parliament (Rajya Sabha) with the noble objective of promoting Technical Education in the backward region of Rayalaseema.

Vision

To be one of the Nations’s premier Engineering Colleges by achieving the highest order of excellence in teaching and research.

Mission

➢ To foster intellectual curiosity, pursuit and dissemination of knowledge.
➢ To explore students’ potential through academic freedom and integrity.
➢ To promote technical mastery and nurture skilled professionals to face competition in ever increasing complex world.
Quality Policy
Sree Vidyanikethan Engineering College strives to establish a system of quality assurance to continuously address, monitor and evaluate the quality of education offered to students, thus promoting effective teaching processes for the benefit of students and making the College a Centre of Excellence for Engineering and Technological studies.

Approval
The programs run by the Institution are approved by All India Council for Technical Education (AICTE), New Delhi.

Affiliation
The Institution is affiliated to the Jawaharlal Nehru Technological University Ananthapur, Anathapuramu

Autonomy
The Institution was conferred Autonomy by UGC, New Delhi and JNTUA Ananthapuramu w.e.f. 2010-2011

Organization Chart
A. Primary Accountabilities

A1 Vision, Mission and Strategic Planning

The Governing Body shall ensure that

➢ The Institution draws a clear vision indicating the aims and objectives.
➢ An objective mission which indicate the action plan for comprehensive identification of physical, financial and human resources to achieve the objectives.
➢ A strategic plan is developed upon conducting a SWOT analysis involving the prime stakeholders of the Institution.

The Governing Body shall approve them and monitor the implementation of the strategic plan and assess the outcomes for continuous improvement.

A2 Finance

The prime responsibilities of the Governing Body pertaining to financial matters of the Institution are

➢ Ensuring the solvency of the Institution and safeguarding its assets.
➢ Approving the financial strategy.
➢ Approving annual operating plans and budgets which should reflect the Institution’s strategic plan.
➢ Ensuring that funds provided by funding bodies are used in accordance with the terms and conditions specified in any funding agreements/contracts/memorandum.
- Ensuring that there is a clear and quantified scheme of financial delegated authority of approval and expenditure to functionaries at appropriate levels
- Ensuring the existence and integrity of risk management, control and internal governance systems and monitoring these through an Audit Committee
- Receiving and approving annual accounts (audited financial statements) and periodically monitor the capital and operating expenses (at least once in a quarter) to ensure that the finances of the Institution is managed as per the approved plan and to approve genuine variations, if any.

The Governing Body shall delegate the detailed planning, implementation and monitoring of the financial aspects to the Finance Committee of the Institution.

The Finance committee shall be chaired by the Member Secretary of the Governing body, and Director, Finance will be the member along with a senior professor formed in line with regulations of University Grants Commission for Autonomous Colleges and report to the Governing Body.

A3 Procurement

Governing body should ensure that Value for Money in procurement and is achieved through
- Internal stringent procurement policies and procedures
- An open and transparent manner without any entry barriers and all eligible suppliers, manufacturers and consultants are allowed to participate.
The Central purchase committee chaired by the Head of the Institution, Member Secretary of the Governing Body with the Director, Finance and senior professors of the Institution as the members shall undertake and monitor the process of procurement and report to the Governing Body.

**A4 Audit**

The Governing Body shall direct and oversee the Institution’s arrangements for internal and external audit. An Audit committee chaired by the Head of the Institution, Member Secretary of the Governing Body with the Director, Finance and one senior professor of the Institution as the members shall undertake and facilitate the process of Audit (both internal and external) and report to the Governing Body.

**A5 Risk Assessment and Management**

The Audit Committee shall also be responsible for identification and management of risk embedded in all business systems and operations prepare a report and submit it before the Governing Body sits for approval of audited statements.

**A6 Human Resource Management**

The Human Resource Committee chaired by the Head of the Institution and other members including the management representative, senior academicians of the Institution are responsible for recruitment and development of the employees of the Institution. They shall monitor the processes and systems through policies and procedures approved by the Governing Body and report periodically.
A7 Estate Management
The Governing Body shall be responsible for Infrastructure planning, set-up and maintenance to meet the objectives of the institution.
Institution’s land and buildings, laboratories and other physical assets are maintained and monitored by the Estate Manager and the Chief Engineer of the Institution who will report to the Head of the Institution periodically.

A8 Health and Safety
The Governing Body shall be responsible for creating facilities and amenities for health and safety of the stakeholders on the Institution premises.
Full time doctor on campus dispensary, shall be responsible for the health related issues of the inmates and shall report to the Head of the Institution.
Safety systems and mechanisms shall be provided by the Chief Engineer for the benefit of the inmates.

A9 Equality, diversity and reservations
The Equity Action Plan prepared by the Institution for providing 'equal opportunities to all' shall be approved by the Governing Body and Head of the Institution shall monitor its implementation.

A10 Monitoring Institutional Performance
The Governing Body shall evolve an assessment mechanism and a system with key performance indicators to continuously monitor the performance and quality of the Institution.
Internal quality assurance, peer review, benchmarking with institutions and quality accreditations by national and international agencies shall yield the performance indices. These inputs shall be discussed in Governing Body for update of action plan.
A11 Monitoring the Performance of the Head of the Institution

The Governing Body shall monitor the performance of the Head of the Institution annually. The information collected through a standard format will be discussed in the meeting for approval and remedial action, if any.

B. OPENNESS AND TRANSPARENCY IN THE OPERATION OF GOVERNING BODIES

The Governing Body shall promote transparency and openness to ensure public trust and institutional integrity through proper information regarding the outcomes of the deliberations in the Governing Body. However confidential matters pertaining to the institutional secrecy, if any, that need not be disclosed, shall be decided by the Governing Body before making them public.

B1 Publication of Annual Report

The Institution shall publish an annual report which includes

➢ Attainment of Key performance Indictors as per strategic plan
➢ Budget statements
➢ Delegated Committees and their performance

The annual report shall be approved by the Governing Body and published.

B2 Maintenance of Register of Interests

A Register of Interests of all the members of the Governing Body shall be maintained pertaining to the activities of the Institution, where ever and when ever, they arise.
B3 Conduction of Governing Body meetings
The Governing Body meetings shall be conducted in an open manner by

- Earmarking fixed days of a year
- Preparing Agenda on all the vital issues of the Institution
- Sending Invitation and agenda in advance to all the members
- Circular about the event among the students, faculty and staff
- Minutes of the meeting published and as well hosted on the Institution’s website for the information of all the stakeholders

C. KEY ATTRIBUTES OF GOVERNING BODIES
C1 Size of Governing Body
The Governing Body of the Institution should be of optimum size in number and it should satisfy the norms of the apex bodies.

C2 Skills, Experience and Competences of members
The members of the Governing Body shall be nominated in such away that they possess equilibrium of skills, experience and competence to provide leadership and mentorship to the institution in its quest for excellence. The members shall contribute to the growth and development of the Institution with selflessness, integrity, objectivity, accountability, openness, honesty and leadership.
C3 Nomination of Independent members
The Governing body shall have independent members who are pioneers in their domains and shall provide unbiased criticism and debate issues leading to quality of systems or processes.

C4 Appointment
The appointment of members of the Governing Body shall be managed by a Nomination Committee. The Chairman of the Governing Body shall be the Chairman of the Nomination committee.

C5 Representation of staff and students
The Governing Body shall consider the representation of students and staff on the Body for transparency and encouraging participatory management.

C6 Conduct and Commitment
The Governing Body shall meet at least 4 times in a year and if required extraordinary meetings can be convened to discuss urgent issues of importance. The Governing Body shall observe high level of commitment and maintain standards of quality governance in all its businesses.

C7 Delegation and Clarity of Responsibilities
The Governing Body shall ensure proper delegation of responsibility to the Chair of the Governing Body, Head of the Institution, Member secretary and Committees. Also their roles and responsibilities shall be defined clearly. Delegated committees should be empowered to conduct the work judiciously and report to the Governing Body.
and certain key functions shall be retained by the Governing Body itself.

D. EFFECTIVENESS AND PERFORMANCE REVIEW OF GOVERNING BODIES

D1 Self-Review of the Governing Body
The Governing Body and its committees shall undertake a formal and rigorous performance evaluation on level of attainment of long term strategic objectives and short term key performance indicators periodically. The statement of primary accountabilities shall be the indicator to measure its effectiveness. The self assessment and review process shall contribute to the restructuring the body or adopting newer processes for development.

D2 Induction and Development of new members
The Chairman of the governing body, the Administrator who supports the Governing Body, shall apprise all the new members on the terms of their appointment and responsibilities placed on them for the proper governance of the institution.

Few documents to be delivered during their appointment include

- A copy of the institution’s governance guidelines
- The Institution’s annual report, audited financial statements and financial forecast
- The overall strategic plan and strategy documents covering areas such as learning and teaching, evaluation, research, industry interaction and Infrastructure
➢ The institution’s organizational structure
➢ The rules and procedures of the Governing Body.

E. REGULATORY COMPLIANCE

Governing body shall ensure compliance with the statutes, ordinances and provisions regulating the Institution; and, subject to these, take all final decisions on matters of fundamental concern to the institution. Also information is furnished by the institution to regulatory agencies indicative of that it complies with the stated purpose of the institution.

The prime aspects of Compliance shall be

➢ Communicate on time with all Government, Quasi and other statutory apex agencies
➢ Maintain the standards required for official approval set by AICTE
➢ Adhere to the rules of affiliation issued by JNTUA Ananthapuramu
➢ Comply with the guidelines set forward by the UGC and JNTUA Ananthapuramu approving of the academic autonomy
➢ Follow the admission process set by AP State Council of Higher Education
➢ The statutory basis on which public funding is provided to the Institution and the purposes for which it is provided
➢ Proper stewardship and effective use of public and other funding and internal and external accounting systems which enable the fulfillment of these requirements
➢ To have in place sound systems of governance, management including risk management and internal control
➢ To safeguard the financial viability of the Institution.
The Governing Body has identified the sections

- Self Review template of Governors
- Head of the Institution performance evaluation Template
- Terms of reference for Statutory Committees
- Roles & Responsibilities of Chairman & HOI
- Functions of Apex Bodies

are subjective to the Institution.

Hence, they are made available only in the base document for implementation and use.
Minutes of the TENTH Meeting of Board of
Governors of Sree Vidyanikethan Engineering College
(As Autonomous College with effect from 2010-2011) held
on 18.03.2015 at 03:30 PM in the Conference Hall

Members Present

1. Dr. M. MOHAN BABU  Chairman
   Chief Executive Officer
   Sree Vidyanikethan Educational Trust

2. Sri M. VISHNU VARDHAN BABU  Member
   Member
   Sree Vidyanikethan Educational Trust

3. Sri M. VENKATESWARLU NAIQU  Member
   Member
   Sree Vidyanikethan Educational Trust

4. Sri M. KRISHNA  Member
   Member
   Sree Vidyanikethan Educational Trust

5. Sri P. JANARDHAN REDDY  Member
   Member
   Sree Vidyanikethan Educational Trust

6. Dr. V. V. RAMA PRASAD  Member
   Professor, Dept. of CSE
   S.V.E.C
1. Dr. P. RAMANA REDDY  
   Member  
   Professor, Dept. of EEE  
   J.N.I.T.C.  

2. Dr. K.T. VARA PRASAD REDDY  
   Member  
   Founder and Chairman  
   Shantha Biotechnics Ltd.  
   Hyderabad  

3. Shri. NARAIN SINGH  
   Member  
   Former Joint Secretary  
   UGC - New Delhi  

4. Prof. K.S.R. ANJANEYULU  
   Member  
   Professor of EEE &  
   Principal  
   JNTU College of Engineering, Ananthapuramu  
   Ananthapuramu  

5. Dr. P.C. KRISHNAMACHARY  
   Member  
   Principal  
   Secretary  
   Sree Vidyanikethan Engineering College  
   18/09/2015