

Enhancing the Capabilities of Technical Education Institutions in India

TEQIP-II

Good Governance Programme

February 2013 - September 2014

TEQIP-II GOOD GOVERNANCE PROGRAMME

Introduction

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 organisational 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

The Technical Education Quality Improvement Programme (TEQIP) is in its second phase. The objective of TEQIP-II is to improve the quality of learning, teaching and research outcomes.

Central to achieving that objective is the need to ‘*Strengthen institutions*’. This is a key TEQIP-II programme development objective aimed at ‘*Enhancing Institutional and System Management effectiveness*’, and ‘*Capacity Building to Strengthen Management*’. Achieving effective governance, at all levels, is critical to realising these development objectives and strengthening institutions.

158 institutions have been approved under TEQIP-II, with about another forty expected to be approved. Each institution will be expected to demonstrate how development funds are being used to assist major reforms, build capacity and strengthen management, including the implementation of good governance.

Underpinning the TEQIP-II Good Governance Programme is the development of the TEQIP Good Practice Guide for Governing Bodies which uses the experience of existing Governors as well as drawing on international good practice. The Governance Programme Group (GPG) comprising the NPIU, the World Bank and an Expert Advisory Group has developed the Guide following Learning Forums with States. The Guide will be issued to all TEQIP-II approved institutions. It will also be available electronically.

Focus is now on the roll out of a wider programme of governance development to support the sector, and for all institutions to implement good governance practice.

PURPOSE AND PRINCIPLES

The purpose of the TEQIP-II Good Governance Programme is to enhance the capabilities of technical education institutions in India.

The TEQIP-II Good Governance Programme seeks 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. Developing effective governance will underpin their long-term development.

There is a specific focus on institutions helping one another by willingly sharing their experiences, and engaging in regular self-review, recognising the importance of identifying and supporting governance development needs, and most importantly implementing good governance.

Key principles for implementation of the TEQIP-II Good Governance Programme

- *To share information willingly, and more importantly promote the sharing of information and experience*
- *To support the underlying premise that this is a programme that supports institutions, organisations, State and National Governments to work collaboratively, and that through collaboration the sector as a whole, as well as individual institutions, will benefit*
- *Given the time remaining before TEQIP-II closes in December 2014 it is very important that everyone strives to meet any agreed deadlines, and to set a high professional standard for the programme*
- *To develop TEQIP institutions to be ambassadors for good governance and Indian Technical Education.*

‘Public trust in higher education is paramount. Good governance is vital both to gaining, and maintaining, public trust.

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.’

TEQIP Good Practice Guide for Governing Bodies (published December 2012)

BENEFITS OF GOOD GOVERNANCE

The benefits of good governance are reflected in high achieving institutions that demonstrate:

- 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 (assuming that there is significant research activity)
- 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.

KEY ELEMENTS

The programme will focus on four key good governance development elements as a continuous process:



Implementing good governance practice is the primary outcome of the TEQIP-II Good Governance Programme demonstrated by institutions developing their own governance guidelines based on the principles set out in the TEQIP Good Practice Guide for Governing Bodies

Self-review is a key activity and output of the TEQIP-II Good Governance Programme through which institutions will examine their current governance practice

Sharing experience will underpin and support the TEQIP-II Good Governance Programme through good governance learning forums, and sharing of institutional case studies to identify good practice, common gaps, barriers and issues

Supporting governance development needs of individual governors, governing bodies, institutions and States is a key activity of this and other national and regional initiatives. An output of the TEQIP-II Good Governance Programme is to see how governance development is built into institutional development

KEY ELEMENTS (continued)

Financial resources for improvement of governance activities are available to TEQIP-II institutions as part of the Institutional Management Capacity Enhancement fund.

Implementing Good Governance

The TEQIP-II Good Governance Programme encourages all institutions to develop, and make publicly available, clear institutional governance guidelines setting out how good governance is practiced. TEQIP has developed a generic Good Practice Guide for Governing Bodies identifying five key categories of principles and practice specifically to support institutional good governance practice. By the end of TEQIP-II (September 2014) there is an expectation that all TEQIP-II approved institutions would have developed their own guidelines so that stakeholders, including students and faculty, have a clear understanding of how good governance supports institutional performance and development.

As such, the production and adoption of *Institutional Governance Good Practice Guidelines*, drawing on the generic TEQIP Good Practice Guide for Governing Bodies to support the strengthening of their institutions, is the primary outcome of the TEQIP-II Good Governance Programme.

Self-Review

The TEQIP-II Good Governance Programme will promote and encourage all institutions to carry out their own assessment of current governance practice led by the Governing Body. To assist institutions a simple Institutional Governance Review Template has been developed drawing on the TEQIP Good Practice Guide for Governing Bodies (see Annex 4 of the Good Practice Guide for Governing Bodies).

Under the Good Governance Programme the timing of such a self-review of governance practice is suggested as preliminary activity to inform the development of institutional governance guidelines. The TEQIP-II Learning Forums on Good Governance will use the institutional self-review process to inform discussion of good governance practice and development. Additionally, institutions will be asked identify initial priorities for development arising out of the self-review to support the areas they have identified for improvement of governance practice. A copy of each institution's initial governance self-review will be shared with the GPG along with their initial priorities for development to inform sharing of experiences.

NOTE:

The GPG will not evaluate these initial self-reviews, but will use this information to identify common areas of good practice, gaps and barriers. A selection of TEQIP Facilitators, Mentors and SPFU TEQIP Coordinators will be available to support institutions, if needed, underpinning the importance of this activity as a TEQIP-II Good Governance Programme development tool and activity.

Sharing Experience

The TEQIP-II Good Governance Programme will actively promote the sharing of experience by organising Good Governance learning forums so that invited institutional representatives can share their experience and discuss with members of the Governance Programme Group, Facilitators, TEQIP Mentors, and SPFU TEQIP Coordinators, specific aspects of good practice (gathered nationally and internationally) as well as common gaps, barriers and issues. They will be asked to draw from the process of governance self-review aspects of good practice and key areas that they believe will need to be developed to strengthen their governance practice.

Institutions are encouraged to help one another and an initial group of institutions have volunteered to begin the TEQIP-II Good Governance Programme first (Group 1). Their experience will be shared with the remaining TEQIP institutions through TEQIP-II Good Governance Forums that will be held at regional locations around the country.

Another important aspect of sharing experience will be the establishment of a purpose-designed TEQIP Good Governance website and the Governance 'Tool Kit' which will provide practical examples found in TEQIP and other institutions to augment the Good Practice Guide for Governing Bodies.

Supporting Development

Institutions will develop institutional governance development plans using the accumulated experience gained from their self-review of current governance practice.

The governance development plan should set out supporting governance development needs on **three levels** (individual, institutional and State/systems level) prioritised following the self-review. The plan should, therefore, include institutional initiatives as well as participation in external initiatives that support individual members of governing bodies, institutional governance development needs, and a discussion of State level support for encouraging good governance and finding positive ways of removing barriers that impede institutional progress.

'A good governance system ensures that educational institutions have independent and fully empowered governing bodies with representation from key constituents such as independent members representing industry, the community, faculty and students, whose sole purpose is to support the mission and objectives of individual institutions.'

TEQIP Good Practice Guide for Governing Bodies

EXPECTED SUCCESS CRITERIA AND KEY MILESTONES

Summary of expected success criteria and key milestones

By the end of TEQIP-II all TEQIP-II institutions will have participated in the TEQIP Good Governance Programme and the following will be achieved by TEQIP-II approved institutions:

- 158 TEQIP-II approved institutions will have carried out a Governance Self-Review (**by 1 October 2013**)
- From the evidence gathered in the Governance Self-Reviews, all TEQIP-II approved institutions will have formulated a Governance Development Plan focusing on prioritised development needs at three levels – individual, institutional and systems (i.e. State) level governance support and activities undertaken (**by 1 October 2013**)
- Experience will be shared through the community of TEQIP institutions - through mentoring and facilitated TEQIP-II Good Governance Forums and the Website (**by December 2014**)
- Reports on the lessons shared and progress made will follow each of the TEQIP-II Good Governance Forums.
- By the end of the programme (**December 2014**) 158 TEQIP institutions should have produced, and adopted, their own institutional good governance guidelines taking account of the generic core principles and practice identified in the TEQIP Good Practice Guide for Governing Bodies.

NB: TEQIP AUDITORS WILL REPORT, INDEPENDENTLY OF THE GOVERNANCE PROGRAMME, ON GOVERNANCE PRACTICE FOUND DURING THEIR REGULAR INSTITUTIONAL VISITS. THESE REPORTS WILL BE SHARED WITH THE GOVERNANCE PROGRAMME GROUP.

CONTRIBUTORS' ROLES AND RESPONSIBILITIES

Governance Programme Group

The National Project Implementation Unit (NPIU), the World Bank (WB) and the Expert Advisory Group (EAG) together represent the Governance Programme Group (GPG) responsible for the TEQIP-II Good Governance Programme. The GPG oversees the TEQIP-II Good Governance Programme providing support and technical advice to the Ministry of Human Resource Development (MRHD):

- To provide strategic leadership and direction
- To bring experts and expert advice to events, and where possible find synergy with other national initiatives
- To provide strategic briefing materials
- To evaluate inputs, processes, outputs and outcomes/benefits
- To organise events in partnership with institutions, State Governments and SPFUs (NPIU)
- To liaise with State and National governments and SPFUs as appropriate regarding the management, delivery and funding for the TEQIP-II Good Governance Programme (NPIU)
- To oversee the content and delivery of a high quality website and governance 'tool kit' that will be a model of good practice under the auspices of the TEQIP-II Good Governance Programme and ensure that it is properly developed, managed and maintained.

Institutions

All institutions will be expected:

- To undertake a self-review of their current governance practice, openly, honestly and critically
- To use the self-review to prioritise governance development needs at the individual level, the institutional level (and where appropriate) at the systems level
- To act on their identified priorities for governance development as set out in their plan
- To contribute to TEQIP-II Learning Forums on Good Governance
- To set out a timetable for action that will lead to the publication of their institutional governance guidelines drawing on the generic TEQIP Good Practice Guide for Governing Bodies
- To carry out self-reviews of their institutional governance practice at regular intervals
- To contribute their own and other institutions' learning to realise the high quality governance practice expected from the community of TEQIP-II institutions.

TEQIP Mentors, SPFU-TCs and the GPG will support institutions. We expect a group of institutions also to contribute to the support of other institutions. Their experience will be important to share with others, especially regional partners in future governance development and related activities.

It is expected that by the end of the programme (December 2014) TEQIP institutions will lead the sector in promoting and supporting good

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governance and good governance development.

State Governments/SPFUs

State Governments are asked to be responsible for encouraging institutions to participate in the TEQIP-II Good Governance Programme, specifically:

- To provide strategic leadership and direction regarding the promotion of good governance at the State level
- To engage with the TEQIP-II Good Governance Programme by actively participating in the promotion of good practice by institutions, State officials and other contributors
- To work in partnership with institutions and those supporting the governance programme in the organisation of regional events
- To liaise with NPIU as appropriate regarding the management, delivery and funding for the TEQIP-II Good Governance Programme activities.

SPFU TEQIP Coordinators (SPFU-TCs) will be responsible for overseeing the local delivery and engagement with programme activities, specifically:

- To liaise with NPIU regarding programme activities and the logistical and other support needed at the local level
- To organise TEQIP-II Regional Good Governance Forums as needed
- To attend and contribute to TEQIP-II Governance events, including briefing sessions about the TEQIP-II Good Governance Programme and to ensure consistency of governance support using the TEQIP Good Practice Guide for Governing Bodies
- To familiarise themselves with the contents of the Guide and with any subsequent 'tools' and reports that come from the GPG
- To liaise with, and provide support to, institutions and State Governments regarding the TEQIP-II Good Governance Programme.

TEQIP Mentors

TEQIP Mentors will use their role, as experienced and trusted advisors to institutions, to provide support to institutions in relation to the TEQIP-II Good Governance Programme in the following ways:

- To familiarise themselves with the TEQIP-II Good Governance Programme and ensure consistency of governance support using the TEQIP Good Practice Guide for Governing Bodies, and to familiarise themselves with the contents of the Guide and with any subsequent 'tools' and reports that come from the GPG
- To attend TEQIP-II Good Governance National and Regional Forums and contribute to their delivery as required
- To provide support and advice to institutions when they are completing their governance self-reviews, as required
- To provide support and advice to institutions when they use their governance self-reviews to identify development needs, as required
- To analyse institutional self-reviews, development plans and comment on these to assist institutional development (and with the GPG to assist sharing of experience, as required)
- To review and comment on institutional governance guides in outline and in practice to assist institutional development (and with the GPG to assist

sharing of experience, as required)

TEQIP Mentors Auditor Responsibilities

TEQIP Mentors in their auditor capacity are charged with the responsibility of evaluating the quality of TEQIP-II institutions. Specifically, in relation to governance:

- To participate in audit visits and carry out an assessment of governance practice at TEQIP institutions and report on progress in relation to the governance objectives identified for the TEQIP project.
- To familiarise themselves with the TEQIP Good Practice Guide for Governing Bodies and with any subsequent 'Good Practice 'Tools' and reports that come from the GPG
- To report independently to GPG on governance practice as and when required, in a consistent manner, in order for the TEQIP-II Governance Programme Group to note the progress made in the implementation of good governance.
- To ensure integrity, professionalism, accountability, openness and independent evaluation of governance and report as they find.

Key Priorities for Governance Development

Using the information derived from the self-review, each institution shall consider which key areas of governance practice are most in need of development, and how such developments will strengthen their institution.

Governance development needs may be considered on three different levels: **Individual**, **Institutional**, and **State**:

Individual: the development needs of individual members of governing bodies, and institutional faculty and administrative staff with responsibilities for governance shall be developed

Institutional: the development needs at the institution level shall be developed to promote and install good governance practices throughout the institution

State: the development needs where institutions in a State share common needs for systemic change or support from the State Government, and/or where the State Governments needs to promote State-wide sector development in establishing better governance practice to sustain and maintain good governance standards in order to deliver high quality education and research across the State.

Institutions will be asked to develop full development plans using their self-reviews and take action. The objective is to encourage institutions not only to identify on-going development needs – and regularly update these, but also to use the information and accumulated experience in the preparation and practice of their Institutional Governance Guidelines - the primary outcome of the TEQIP-II Good Governance Programme. Governance development plans should include all development activities undertaken under TEQIP or other national and regional initiatives.

A Development Priorities Template (opposite) is a useful tool for institutions to identify their top priorities for governance development.

Development Priorities Template

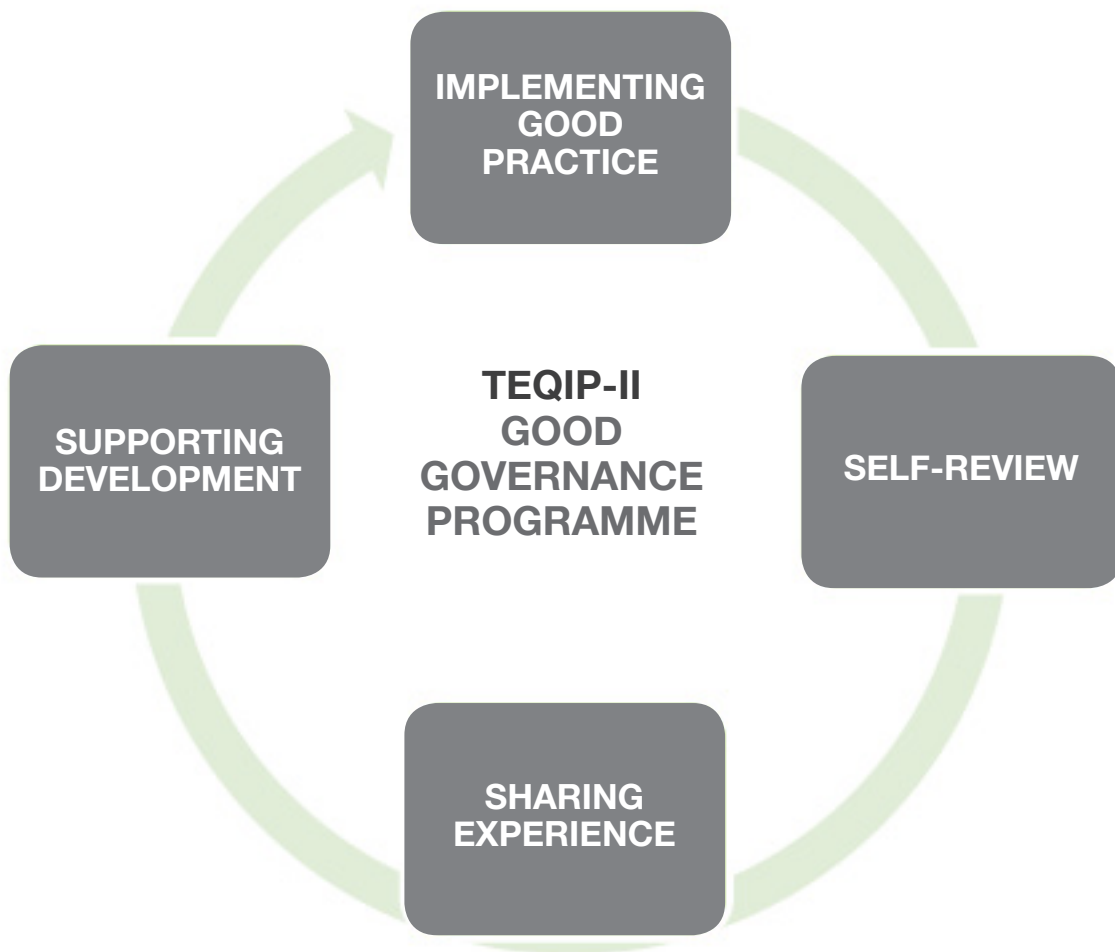
GOVERNANCE PRACTICE		INDIVIDUAL	INSTITUTION	STATE
A	PRIMARY ACCOUNTABILITIES	1	1	1
		2	2	2
B	OPENNESS AND TRANSPARENCY IN THE OPERATION OF THE GOVERNING BODY	1	1	1
		2	2	2
C	KEY ATTRIBUTES OF GOVERNING BODIES	1	1	1
		2	2	2
E	EFFECTIVENESS AND PERFORMANCE OF THE GOVERNING BODY	1	1	1
		2	2	2
F	REGULATORY REQUIREMENTS	1	1	1
		2	2	2
Other Development Needs:		1	1	1
		2	2	2

DATE COMPLETED _____

BY _____
[NAME AND POSITION]

CHAIR OF THE GOVERNING BODY (Print name) _____

NAME OF INSTITUTION _____



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