



**SREENIVASA INSTITUTE OF TECHNOLOGY
AND MANAGEMENT STUDIES**
[AUTONOMOUS]

**Code of Conduct of Governing Body
(Revised)**

August 2018



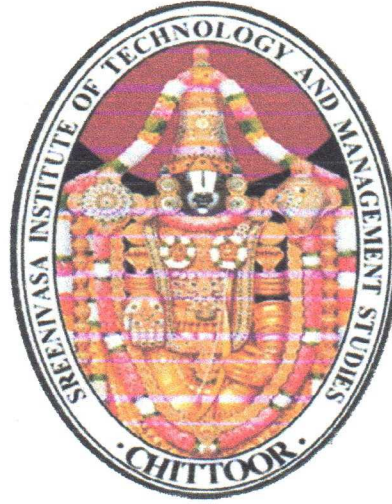
**Sreenivasa Institute of Technology and Management Studies
(Autonomous)**

**Dr. D. K. Audikesavulu Marg, Bangalore-Tirupati Bye-pass Road,
Murukambattu, Chittoor, Andhra Pradesh 517127**

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NEED FOR A 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 Sreenivasa Institute of Technology and Management Studies 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 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 lead to organizational efficiency and effectiveness that supports and fosters the development of high-quality education and research.

Hence, the Governing Body of Sreenivasa Institute of Technology and Management Studies has determined to formulate this Good Governance and Leadership Guidelines for effective implementation in its quest for excellence.





THE 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, within the institution for improving 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
- Contribution to better performance in accreditation
- Focused awareness of institutional outputs, especially increased employability.

References:

1. NBA Accreditation Manual & NAAC Accreditation manual
2. Report of the Central Advisory Board of Education (CABE) Committee On Autonomy of Higher Education Institutions
3. Report on Renovation and Rejuvenation of Higher Education
4. TEQIP Good Practice Guide for Governing Bodies



GENESIS OF THE INSTITUTION

Sreenivasa Institute of Technology and Management Studies (SITAMS) was established in the year 1998-99 under Sreenivasa Trust by a prominent Industrialist late Dr. D. K. Audikesavulu, Ex. M.P, former TTD Chairman. Over the last 20 years, SITAMS has made remarkable progress in Teaching, Research and Consultancy in the field of Technical Education and Management Studies under the Chairpersons Late Sri.D.K.Audikesavulu, Former Lok Sabha M.P. and Smt. D.A. Sathyaprabha, MLA, Chittoor. SITAMS, a pioneer of value based education, offers both U.G. (ECE, CSE, EEE, Civil, & Mechanical) and P.G. (MBA, MCA & M.Tech.), courses under JNTUA, Ananthapuramu and is approved by AICTE, New Delhi. The college got 2(f) and 12(b) recognition by the UGC in the academic year 2011-12, Autonomous in the academic year 2013-14 and NAAC accreditation in the academic year 2014-15.

Vision

To emerge as a Center of Excellence for Learning and Research in the domains of Engineering, Computing and Management.

Mission:

- Provide congenial academic ambiance with state-of-art resources for learning and research.
- Ignite the students to acquire self-reliance in the latest technologies.
- Unleash and encourage the innate potential and creativity of students.
- Inculcate confidence to face and experience new challenges.
- Foster enterprising spirit among students.
- Work collaboratively with Technical Institutes / Universities / Industries of National and International repute.



QUALITY POLICY

Sreenivasa Institute of Technology and Management Studies 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:

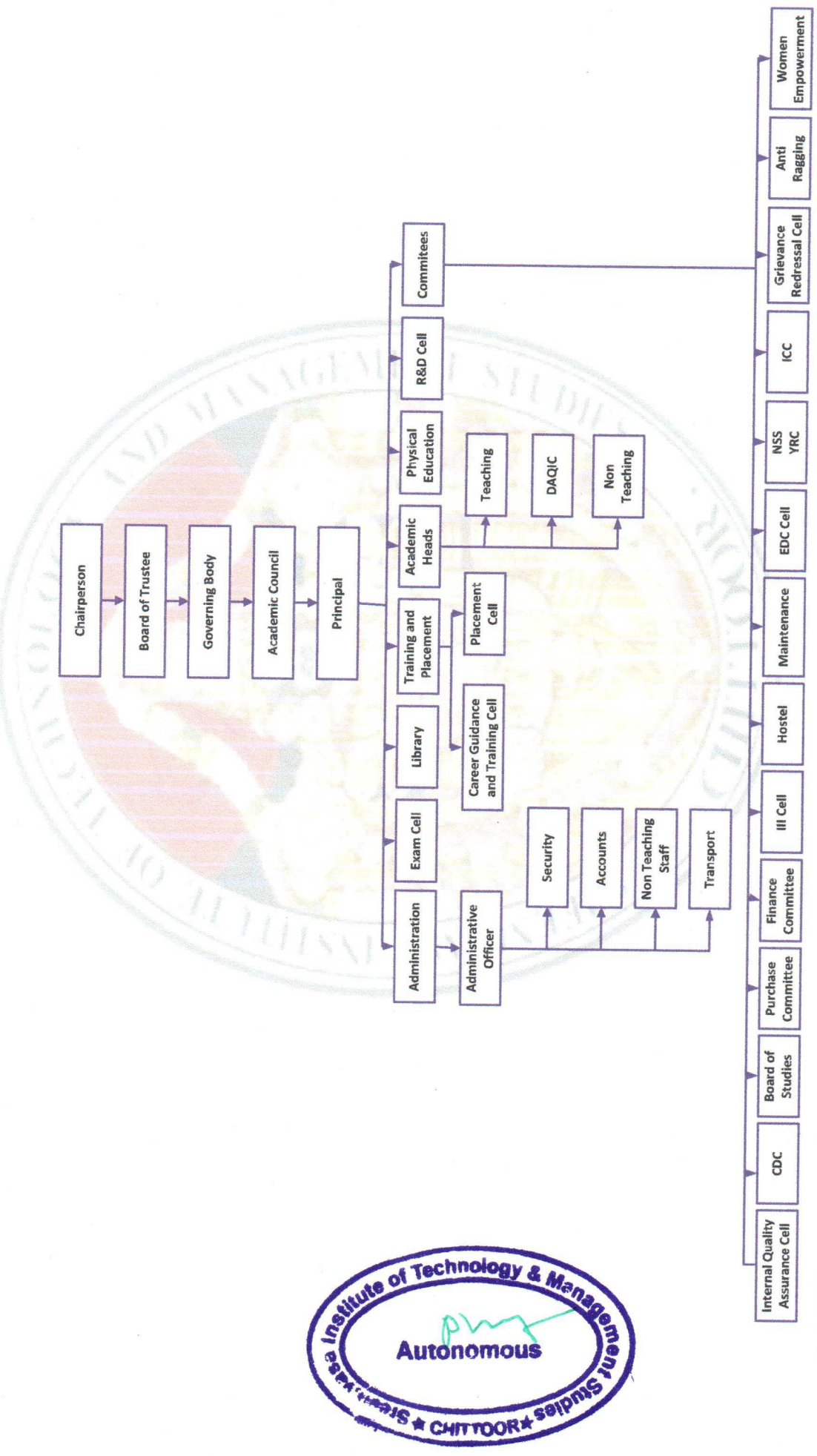
The Institution is affiliated to Jawaharlal Nehru Technological University Anantapur, Ananthapuramu

Autonomy:

The Institution was conferred Autonomy by UGC, New Delhi and JNTUA Ananthapuramu from 2013-14.



ORGANISATION 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 indicates 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 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 be responsible for identification and management of risk 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 is responsible for the 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 the 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 mechanism shall be provided by the Maintenance Supervisor 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 the Governing Body for an update of the 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 BODY

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, need not be disclosed, shall be decided by the Governing Body before making them public.

B1: Annual Report

The Institution will prepare an annual report which Includes:

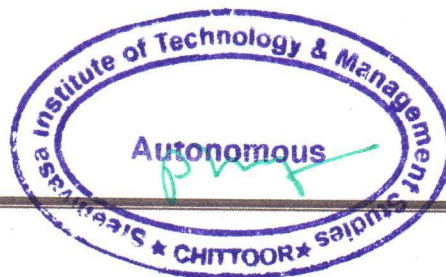
- Attainment of Key Performance Indicators as per strategic plan
- Budget statements
- Delegated Committees and their performance

The annual report shall be approved by the Governing Body

B2: 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
- Minutes of the meeting are published and as well hosted on the Institution's website for the information of all the stakeholders





C. KEY ATTRIBUTES OF GOVERNING BODY

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 Competencies of members

The members of the Governing Body are nominated in such a way 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

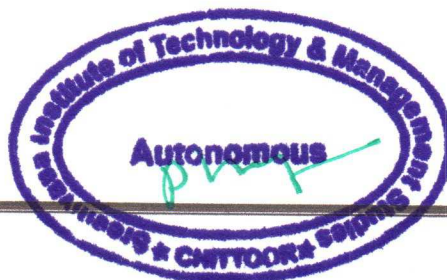
The Governing body shall have independent members who are pioneers in their domains and shall provide unbiased criticism and debate issues leading to quality of systems or processes.

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 faculty on the Body for transparency and encouraging participatory management.





C6: Conduct and Commitment

The Governing Body shall meet at least two times in a year and if required extraordinary meetings can be convened to discuss urgent issues of importance. The Governing Body observes a high level of commitment and maintains 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 Committee members. 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 the 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 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 appraise all the new members on the terms of their appointment and responsibilities placed on them for the proper governance of the Institution.

A 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 and also information 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 UGC and JNTUA, Ananthapuramu approving of the academic autonomy
- Follow the admission process set by the 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





(Annexure - I)

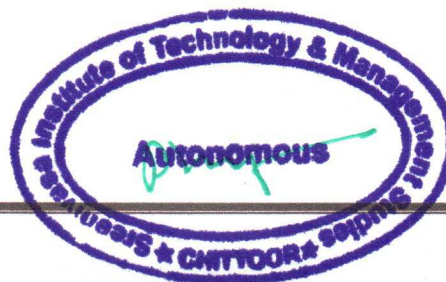
SELF REVIEW TEMPLATE OF GOVERNORS

Note: The purpose of this review is to assess the contribution you have made to the work of the governing body in the last year, and to solicit suggestions for the year ahead. The information given here is strictly confidential and will not be disclosed without your agreement.

- Chairman, Governing Body

1. Your functioning and contributions in the last 12 months as per the Governance Guidelines.
2. Where there are instances where the functions of Governing body deviated from the Governance Guidelines? What is its impact?
3. Your suggestions for the Governing Body functioning for the next 12 months.
4. Your suggestion to improve the corporate governance of the institution
5. Your suggestions on the improvement in the functioning of the Chair of the Governing Body.
6. Any other suggestions for the growth and development of the institution.

- Governor





(Annexure - II)

HEAD OF THE INSTITUTION PERFORMANCE EVALUATION TEMPLATE

1. Leadership:

- Development, alignment and execution of a strategic plan
- Monitoring the curriculum implementation
- Instructional and evaluation strategies
- Motivation

2. Culture:

Development and nurturing a balanced, rigorous, positive and the safety culture among the stakeholders

3. Human Resource Management:

Quality faculty and staff

- Recruitment,
- Orientation,
- Development,
- Evaluation, and
- Retention

4. Organizational Management:

- Support, manage and oversee the operations
- Optimal use of resources of the Institution

5. Communication and Relations

Communication, collaboration and engagement with stakeholders

6. Professionalism

- Demonstrate behavior consistent with legal, ethical, and professional standards
- Engage in continuous professional development
- Contribution to the profession.



7. Student Progress

Foster students at 360-degree development in line with the vision and mission of the Institution.

8. Regulatory

Ensure that information is provided to all regulatory agencies pertaining to the institution timely.





(Annexure - III)

TERMS OF REFERENCE FOR STATUTORY COMMITTEES

1. Finance committee

Composition of the Committee:

Head of the Institution	- Chairman
Finance Officer	- Member
Purchase officer	- Member
Dean (Academics)	- Member
Dean (Research)	- Member
Senior Professor of the Institution	- Member

Terms of reference:

- The annual accounts and financial estimations of the Institution shall be placed before the Finance Committee for consideration and after that submitted to the Governing Body together with the comments of the Finance Committee for approval.
- The Finance Committee shall fix limits of the total recurring expenditure and the total non-recurring expenditure of the year based on the income and resources of the Institution.
- No expenditure other than that provided in the budget shall be incurred by the Institution without the approval of the Finance Committee.
- To recommend to the Governing Body the creation of all types of posts in consultation with the Academic Council.
- To provide the financial estimates in respect of building and other infrastructural facilities that are planned to be provided based on the recommendations of the Academic Council.
- To monitor and control the expenditure and revenue in case of any deviation.





2. Human Resources Committee:

To recruit potential faculty and staff who have the relevant skills, qualifications and experience to make a positive, innovative contribution towards the development of the Institution.

Composition of the Committee:

Head of the Institution	- Chairman
Management Representative	- Member
Dean (Academics)	- Member
Internal Experts (2)	- Member
External Experts (2)	- Member

Terms of reference:

- Identify vacancies
- Prepare job description and person specification
- Advertising the vacancy
- Response Management
- Short-listing
- Arranging interviews
- Evaluation of demonstration and Interview
- Decision making
- Making the appointment
- Formal offer
- Induction, orientation and development
- Relief





Central Purchase Committee:

Monitoring & controlling all the purchases of the Institution as per the guidelines are given by the Governing Body from time to time.

Composition of the Committee:

Head of the Institution	- Chairman
Purchase officer	- Member
Finance Officer	- Member
Dean (Academics)	- Member
Dean (Research)	- Member
Senior Professor of the Institution	- Member

Terms of reference:

- To analyze quotations provided by the institution and provide a recommendation for approval
- To ensure all documentation is accurately completed.
- To ensure that the supplies/services quoted to comply with what was required on the specification.
- To request technical input from relevant faculty and staff as required.
- Seek clarification from suppliers/service providers/consultants where necessary.
- Ensuring proportionality, transparency, accountability and fairness in the procurement process
- Involvement in the evaluation discussion
- Ensuring all relevant documentation is prepared prior to the Purchase Committee meeting
- Ensuring samples are available for review if relevant and are returned to all unsuccessful bidders
- Ensuring all necessary procurement procedures are properly followed and report to the Governing Body



Nomination Committee:

Composition of the Committee:

Chairman of the Governing Body	-	Chairman
Head of the Institution	-	Member
Internal Member of the Governing Body	-	Member
Dean (Academics)	-	Member
Dean (Research)	-	Member

Terms of reference:

- Evolve rigorous and transparent recruitment procedures
- Prepare the role description and capabilities
- Publicizing the vacancies
- Rotation and re-appointment members

Audit committee:

Composition of the Committee:

Head of the Institution	-	Chairman
Finance officer	-	Member
Senior Professor of the Institution	-	Member

Terms of reference:

- Devising, developing and maintaining control systems,
- Causing internal audits
- Evolving Risk management, control and governance procedures
- Facilitating an external audit.





(Annexure — IV)

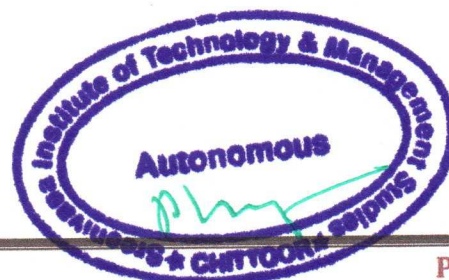
ROLES & RESPONSIBILITIES OF CHAIRMAN & HEAD OF THE INSTITUTE

Role of a Chairman/Chairperson

- The Chairman is responsible for the leadership of the Governing Body and ensures that the necessary business of the Governing Body is carried on efficiently and effectively embracing selflessness, integrity, objectivity, accountability, openness, honesty and leadership.
- The Chairman should ensure, a good working relationship with the Chairs of the Committees of the Governing Body, and regular reports from the committees are presented to the Governing Body to their satisfaction.
- The Chairman shall encourage all members to work together effectively, contributing their skills *and* expertise and shall seek to build consensus among them.
- The Chairman shall ensure that the Governing Body approves and operates a procedure for the regular review of the performance of individual members of the Governing Body, and should participate as a reviewer in that process also the Chairman shall encourage members to participate in institutional training and development events.
- The Chairman shall involve in the process of Induction of new members and encourage all other members also to participate In this process.
- The Chairman shall conduct the performance appraisal of the head of the Institution.
- The Chairman shall ensure to manage appropriately any conflict of interest that arises to uphold the integrity of the Governing Body Business



- The Chair shall ensure that the Administrator to the Governing Body maintains a Register of the Interests of members of the Governing Body up-to-date and timely disclosure
- The Chairman shall ensure that the Governing Body exercises efficient and effective use of the resources of the Institution, maintains its long-term financial viability, safeguards its assets, proper financial control and prevention of fraud.
- The Chairman shall be responsible for ensuring that the Governing Body exercises control over the strategic direction of the institution, through effective planning.
- The Chairman shall establish a constructive and supportive working relationship with the Head of the Institution, recognizing the proper separation between governance and executive management.
- The Chairman shall represent the Governing Body and the institution externally.
- The Chairman shall play a major role in liaising between key Stakeholders and the institution, including fund-raising.
- The Chairman shall have a strong personal commitment to Higher Education and the values, aims and objectives of the institution.
- The Chairman shall act fairly and impartially in the Interests of the institution by using Independent judgment and maintaining confidentiality.
- The Chairman shall attend all meetings of which he is Chairman or a member; if an absence is unavoidable prior information shall be provided.





ROLE OF HEAD OF THE INSTITUTION

Duties and Responsibilities:

The Principal shall be the Executive Head of the Institution appointed by the Governing Body of the College and shall exercise general supervision and control over the affairs of the Institution and implement the decisions of all authorities of the Institution.

The Principal, unless otherwise provided, shall be the Ex-officio Member Secretary of the Governing Body, Chairman of the Academic Council and the Finance Committee.

The responsibilities of the Principal are:

- To ensure that the Memorandum of Association, the Rules, Bye-laws and Regulations of the Institution are duly observed and implemented.
- To re-delegate some of his powers to any of his subordinate officers with the concurrence and approval of the Governing Body.
- To exercise general control over the affairs of the Institution and be responsible for implementation of recommendations of the various committees of the Institution, in consultation with the Administrator.
- To convene meetings of the various bodies of the Institution.
- To prepare the agenda items, coordinate the conduct of meetings, record the minutes and arrange for follow-up actions for the development of the Institution.
- To apply to AICTE (for extension of approval, a sanction of new programs and courses and variation in intake).
- To apply to JNTUA, Anantapuramu for affiliation.



- To apply for accreditation to different agencies like NBA, NAAC, etc
- To ensure timely correspondence with APSICHE, Commissioner of Technical Education, Convener EAMCET, Convener ECET, Convener ICET and Convener PGCET for student admissions and other relevant matters.
- To correspond with the various Welfare Departments (for submission of scholarship applications for students of SITAMS), and all other relevant Govt. offices (like the office of the District Collector for attending meetings on anti-ragging, etc).
- To send statistical data to State Government and University Grants Commission, New Delhi, etc. and other apex agencies.
- To comply with all statutory obligations pertaining to the Institution.
- To conduct internal, end and other examinations.
- To ensure and receive all Department budget proposals for the next academic year in the prescribed format by 31st January of every calendar year. Taking into consideration the central requirements and those of various Departments in the form of operational budget, maintenance budget and developmental budget, prepare a consolidated budget proposal for the approval of the Governing Body.
- To maintain student discipline and orderly functioning of Institution and for taking all the decisions in this regard with the help of the disciplinary committee.
- To inculcate discipline, decency, decorum and dignity among the faculty and staff of Institution



- To be responsible for the general amenities and arrangements for the students and the employees of the Institution.
- To conduct faculty recruitment as a part of the HR Committee.
- In the absence of the Principal, his duties will be entrusted to any Professor, as per the Instructions of the Governing Body.
- In line with the philosophy of the Governing Body to support deserving economically poor students, scrutinize the applications regarding sanction of fee concession, scholarship and financial support to the Students in consultation with Administrator and submit to the Governing Body.
- Any other work assigned by the Chairman/Governing Body connected with the development of Institution.



