CAPACITY BUILDING COMMISSION

# Toolkit for Preparation of Annual Capacity Building Plan for Urban Local Bodies

Capacity Building Commission
Government of India

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# ABBREVIATIONS

| Abbreviation | Full Form |
|---|---|
| ACBP | Annual Capacity Building Plan |
| ATI | Administrative Training Institute |
| CBC | Capacity Building Commission |
| CBU | Capacity Building Unit |
| DoPT | Department of Personnel and Training |
| FGD | Focus Group Discussion |
| GoI | Government of India |
| HoD | Head of the Department |
| ICT | Information and Communication Technology |
| NPCSCB | National Program for Civil Services Capacity Building |
| SoP | Standard Operating Procedure |
| SWM | Solid Waste Management |
| ULB | Urban Local Body |

MISSION KARMAYOGI

## 1. MISSION KARMAYOGI

Mission Karmayogi - National Program for Civil Services Capacity Building (NPCSCB) was launched in September,2020 as one of the biggest reform initiatives in India aiming to upgrade the post recruitment training mechanism of the Government officers and employees at all levels.

Government officials are critical to the delivery of a range of public services and core governance related functions. Throughout their career, officials contribute to the process of policy formulation, implementation, monitoring, and analysis, thus driving all government work. The unparalleled contribution of government officials to an efficient functioning of government makes it essential that they be equipped with the right attitudes, skills, and knowledge which are duly aligned to the vision of a New India. Recognising this, the Mission Karmayogi refocuses its emphasis on India's civil service capacity building landscape, envisioning a citizen-centric and future-ready civil service including laying out a roadmap to achieve the desired results.

The program- Mission Karmayogi - National Program for Civil Services Capacity Building is based on the core principles as mentioned below. These principles are applicable to all the capacity building interventions which aim at improving human resource management practices in the Government.

1. **Transition from Rule Based to Role Based Human Resource (HR) Management** – The focus is to allocate jobs to the civil servants based on their competencies. These competencies include behavioural attitudes, functional skills, and domain knowledge.
2. **An ecosystem of shared training landscape** – Surpassing complicated and fragmented bureaucracy, where officials work in silos and departmentalism often takes precedence over national aspirations and priorities i.e., Civil servants to adapt to an ecosystem of shared learning materials, institutions, training materials, training infrastructure etc.
3. **Citizen Centricity at the Core**: In addition to creating a competent workforce with the right Attitudes, Skills, and Knowledge (ASK), developing the behavioural competencies of the officials especially dealing with the public to promote an empathetic mindset and address the citizen's grievances in an efficient manner.
4. **Continuous and lifelong learning opportunities:** equitable access to learning material across different levels of the Government, cutting across hierarchies and geographies.
5. **Shift to the 70-20-10 model:** Experiential learning - 70 percent of learning comes from on-the-job experiences and reflections, Relational learning - 20 percent of learning is derived from working with others, Informational learning - 10 percent of learning comes from formal instructor- led activities.
6. **Link goal setting, planning & and achievements:** align learning and capacity building with organisational goals and the career goals of individual officials.
7. **Establish unbiased systems of evaluation:** objective, fair, and independent assessments to determine performance.
8. **Shift the mind set of public officials toward training and capacity building** due to compliance but promoting a holistic culture for learning.

Capacity Building
Commission

## 2. CAPACITY BUILDING COMMISSION

The NPCSCB envisioned to establish a Capacity Building Commission, with a view to ensure a uniform approach in managing and regulating the capacity building ecosystem on collaborative and co-sharing basis. Accordingly, The Capacity Building Commission was constituted through the Gazette of India on 1 April 2021 to drive standardization and harmonization of capacity building efforts across the Indian civil services landscape. The Commission's mission is to create optimal learning opportunities for each public functionary with the objective to build an agile and future-ready civil service.

The Commission is mandated to perform the following key functions-

- Coordinate with Departments, Organizations, and Agencies of the Government of India for evolving a harmonious de-siloed approach to improve capacity and build shared resources.
- Facilitate preparation of Annual Capacity Building Plans of participating Organizations and submit the collated Plans for approval to the Prime Minister's Public Human Resource Council (PMHRC). The Commission will thereafter monitor and report the periodical progress of implementation to the Government.
- Prepare the Annual human resources report on the health of Civil Services along with target achievement and make it public with the approval of the DoPT.
- Undertake Audit of Human Resources available in Government and assess outcomes of the Capacity Building efforts and present an evaluation of the same for approval and necessary guidance to the Cabinet Secretariat Coordination Unit.
- Make recommendations on standardization of training and capacity building, pedagogy and methodology including coordination with Government Training Institutions to carry out research on pedagogy, competency framework, competency gap assessment, etc.
- Exercise functional supervision over institutions engaged in the imparting of training to all Civil Servants, for purposes of adherence to and achievements of annual capacity building plans; and the creation of an ecosystem of shared learning resources including shared internal and external faculty.
- Approve Knowledge Partners for the programme.

# STRUCTURE & MANDATE OF URBAN LOCAL BODIES

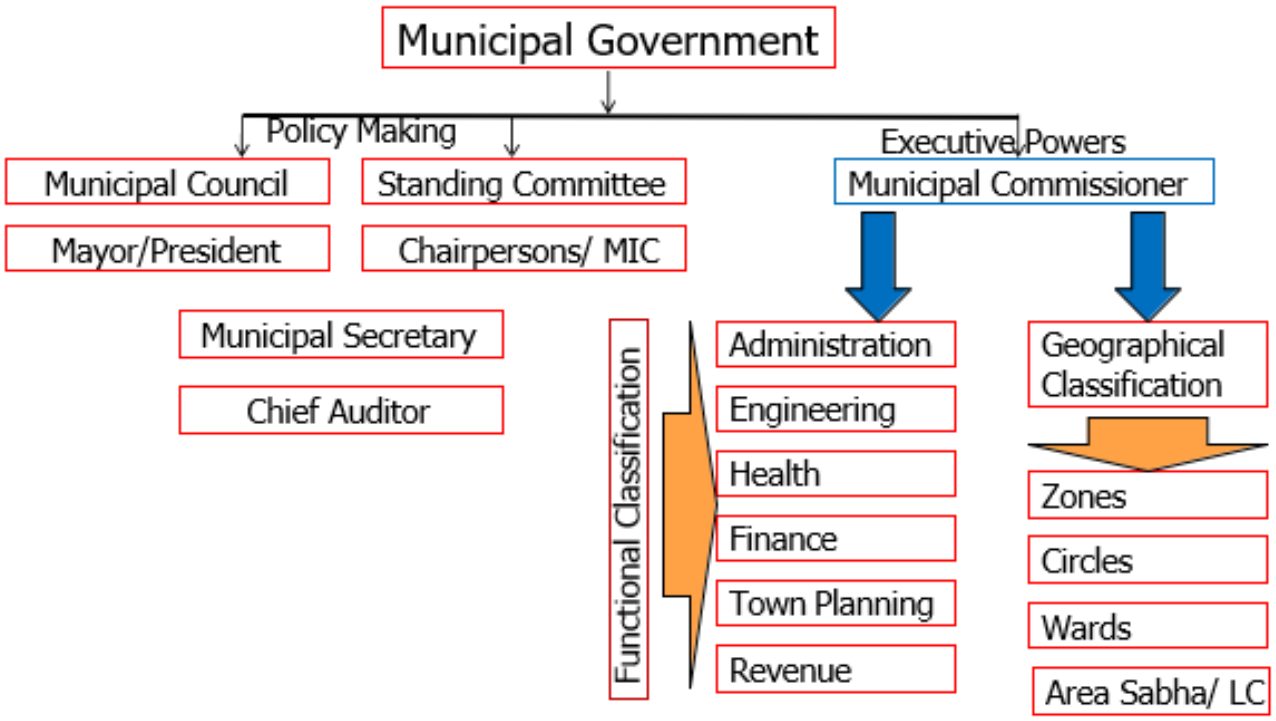
## 3. STRUCTURE & MANDATE OF URBAN LOCAL BODIES

Municipal governance in India has been in existence since the year 1687 with the formation of Madras Municipal Corporation and then Calcutta and Bombay Municipal Corporation in 1726. In 1935 another Government of India act brought local government under the purview of the state or provincial government and specific powers were given.

Till 2011, about 31.14 per cent of India's population lived in urban areas, or which about 70 per cent lived in 468 class I cities and urban agglomerations (out of 7,936 statutory and Census towns). By 2036, this is expected to be around 39.22 per cent . The number of statutory towns increased from 4,011 in 2011 to about 4,865 in 2019-20 (as per statistics of Swachh Bharat Mission – Urban).

In the recent times, mandate given by 74th Constitutional (Amendment) Act for strengthening local governance by devolution of funds, functions and functionaries to local bodies had acquired significance in terms of creation of dedicated municipal cadre for delivering the devolved functions. In order to fully transfer the powers to LSGs, the moot point is strengthening the weak capacities of ULB.

### 3.1 Typical Organizational structure of Urban Local Body



## 3.2 Key Functions of Urban Local Bodies:

In India, Urban Local Bodies (ULBs) are entities responsible for local governance in urban areas. Constitution of India (74th Amendment Act, 1992) provides for constitution of 3 types of municipalities depending upon the size and area. These are-

(i) Nagar Panchayat- for an area in transition from rural to urban area;

(ii) Municipal Council for smaller urban area; and

(iii) Municipal Corporation for larger urban area

Since municipal bodies are assigned powers and functions under the Constitution of India (12th Schedule), a mapping of functions performed by municipal bodies would be as follows.

| **Functions as assigned under 74th Amendment** | **Sub-functions (Not limited to)** |
|---|---|
| Urban planning including town planning | • Preparation of master plans and/or development plans (nomenclature varies by State)<br>• Preparation of town planning schemes<br>• Strategic planning, vision and mission development for cities<br>• Smart cities development<br>• Urban transportation planning including mobility plans.<br>• Functional plans including economic plans, water resourcing plans, blue and green master plans etc.<br>• Approval to layouts of colonies etc.<br>• Heritage conservation and preservation of such areas as may be identified |
| Public amenities including street lighting, parking lots, bus stops and public conveniences | • Development of urban transport infrastructure including parking, bus stations, stands, stops<br>• Development of pedestrian infrastructure<br>• Street lighting including energy efficient fixtures<br>• Public conveniences – development, operations and maintenance thereof |
| Regulation of land use and construction of buildings | • Building plan approval<br>• Demolition of unauthorized structures<br>• Promotion of energy efficient buildings<br>• Administration of building regulations |
| Roads and bridges | • Plan and implement urban infrastructure including Roads, Bridges, Flyovers, Playgrounds, Commercial complexes, Malls, Convention centres etc. |
| Water supply for domestic and industrial use | • Providing clean drinking water<br>• Source development (wherever relevant), Distribution and water supply through pipelines, tankers etc.<br>• Sewerage management, Storm water management, Rainwater harvesting, grey water recycling |
| Public Health, sanitation conservancy and solid waste management | |

| | |
|---|---|
| Urban forestry, protection of the environment and promotion of ecological aspects | • Public health<br>• Implementation of GoI / State govt. / Donor funded schemes / projects.<br>• Ensure overall cleanliness of the city.<br>• Plan SWM and LWM for the city.<br>• Ensure proper septage management.<br>• Plan and implement Waste to energy projects.<br>• Plan Urban forestry and greening zones<br>• Environment protection<br>• Plan and implement recreation parks and gardens |
| Fire services | • Fire prevention<br>• Fire incident response mechanism<br>• Fire NOCs<br>• Regulation and enforcement |
| Planning for economic and social development | • Supporting implementation of the Street Vendors (Protection of Livelihoods and Regulation of Street Vending) Act, 2014<br>• Identification of spaces for different kinds of business including rationalization of taxes on trades, professions and callings<br>• Streamlining the implementation of shops and commercial establishments act of the State within the municipal area.<br>• Support to Central and State schemes for promotion of livelihoods including serving as the implementing agency, where specified as such. |
| Promotion of educational, cultural and aesthetic aspects | • Operations of schools<br>• Operation of libraries, cultural complexes, theatres and other exhibition spaces<br>• Beautification of buildings and open spaces including development and enforcement of urban design codes<br>• Inheritance of tasks carried out by Improvement Trusts including reclamation and restoration of heritage buildings.<br>• Establishment of specialized markets and public spaces for culturally relevant purposes<br>• Establishment and maintenance of immersion ponds for idols |
| Provision of urban amenities such as parks, playgrounds etc. | • Creation and maintenance of<br>▪ parks, playgrounds<br>▪ sports facilities<br>▪ baraat ghar (marriage venues)<br>▪ community halls<br>▪ night shelters<br>▪ public conveniences<br>▪ primary healthcare facilities |
| Burial and burial grounds, cremation and cremation grounds | • Identification, demarcation, operations and maintenance of<br>▪ Burial grounds<br>▪ Cremation grounds including management of electric, or gas based crematoria<br>▪ Disposal of unclaimed bodies (human) |
| Cattle pounds & prevention of cruelty to animals | • Establishment, operations and maintenance of<br>• Cattle pounds<br>• Pounds for other animals<br>• Stray animal capture, TNR |

| | |
|---|---|
| | • Veterinary services such as neutering, spaying, vaccination and treatment of diseases (small and large animals) |
| Regulation of tanneries and slaughterhouses | • Issue of licenses to tanneries and/or slaughterhouses<br>• Inspection and seizure of unauthorized operations<br>• Oversight on WPC Act<br>• Waste and offal disposal facilities<br>• Quality inspection for meat products from slaughterhouses. |

## 3.3 Classification of Municipal Positions

Typically, municipal staff are grouped as below **(this is as per as per 6th pay commission, this may be upgraded to 7th or subsequent commissions)** -

a. All the posts having pay scale of 15,600 –39,100' and above are classified as Group A.
b. All the posts having pay scale of 9,300 – 34,800 and above but below the pay scale of 15,600 – 39,100 are classified as Group B.
c. All the posts having pay scale of 5200 – 20200 and above but below the pay scale of 9,300 – 34,800 are classified as Group C.
d. All the posts having pay scale of 4,440 – 7,440 is classified as Group D.

Typically, positions are classified as below. **Actual nomenclatures and groups may vary by State, but these usually fall under the following categories.**

| Core service | Position | Group |
|---|---|---|
| Municipal Executive Service | Commissioner | A |
| | Additional Commissioner | A |
| | Deputy Commissioner | B |
| | Assistant Commissioner | B |
| Municipal Social Development Service | Chief Social Development Officer | B |
| | Social Development Officer | B |
| | Assistant Social Development Officer | C |
| | Community Organizer | C |
| Municipal Staff service | Senior Assistant | C |
| | Assistant | C |
| | Junior Assistant | C |
| Municipal Engineering Service | Engineer in Chief | A |
| | Chief Engineer | A |
| | Superintending Engineer | A |
| | Executive Engineer | B |
| | Assistant Engineer | B |
| | Sub-engineer or Junior Engineer | C |
| Municipal Sanitation Service | Sanitary Officer | B |
| | Sanitary Supervisor | C |
| | Sanitary Inspector | C |
| Urban Planning and Transportation Service | Chief Town Planner | A |
| | Senior Town Planner | B |
| | Assistant Town Planner | B |
| | Town Planning Inspector (Building) | C |
| | Chief Fire Officer | B |

| | | |
|---|---|---|
| Municipal Fire Service | Fire Officer | B |
| | Leading Fireman | C |
| | Fireman | C |
| Municipal e-Governance Service | E-Governance officer | B |
| | MIS Associate | C |
| | GIS associate | C |
| Municipal Revenue and Finance Service | Revenue Officer | B |
| | Assistant Revenue Officer | B |
| | Revenue Inspector | C |
| | Tax Assistant | C |
| Municipal Accounts Service | Chief Finance and Accounts Officer | A |
| | Senior Accounts Officer | B |
| | Accountant | B |
| | Accounts Assistant | C |

## 3.4 Competencies and Skillset of the ULB Staff

To fulfil the functions effectively, as entrusted by the Constitution of India, ULB staff play pivotal roles in various capacities as they are responsible for the day-to-day administration, planning, and execution of municipal programs, Centre and State level schemes, etc. to ensure that urban areas receive essential services and witness sustainable development.

In order to that effectively, ULB staff, apart from basic qualifications of education and experience, should possess certain competencies. These competencies encompass a wide range of attributes, including technical skills, soft skills, and personal qualities that an individual possesses to perform specific tasks.

To perform entrusted functions as per assigned roles and responsibilities, **three categories** of Competencies have been identified for the ULB staff which are further bifurcated into **six themes.**

**A. Functional Competencies:** These competencies help cater to the operational requirements of the ULB staff such as administration, procurement, project management, and so on.

**Theme: Administrative & Governance**

This includes updated knowledge about Acts, Laws, Rules and Guidelines pertaining to administration and governance of urban local bodies. It also includes state specific Acts and Regulations, as well as Scheme/Mission specific frameworks and guidelines. It is important that municipal staff is well aware and updated about these provisions. This covers detailed understanding various provisions of relevant Municipal Acts and Civil Services Rules, awareness about various legislations and related compliance such as SWM Rules, RTI Act, etc.

**Theme: Project Management**

Project Management competency of the ULB staff includes ability to conceptualize, plan, execute, supervise and complete the projects effectively. ULB staff with strong project management competencies can ensure that projects are delivered on time, within budget, and with the desired quality. It includes skills such as Project Planning, Budgeting and Cost control, Risk Management, Quality Assurance, Resource Management, Use of Project Planning tools and techniques (software, monitoring applications), etc.

**B. Domain Competencies:** These competencies enable individuals to effectively perform roles within a specialised discipline or field. Domain competencies are generally applicable to the core work. For example, Civil works, Solid Waste Management, Finance and Accounting, etc.

**Theme: Technical & Engineering**

This theme of competency encompasses ability and skills of the ULB staff regarding Planning and execution of Infrastructure Development (roads, bridges, WTPs, STPs, SWDs, etc.), Maintenance of WTP & STPs, Procurement and Estimation, etc. It includes proficiency in preparation of DPRs, use of tools such as CAD/GIS, Knowledge building codes and standards related to civil works and various domain related technical know-how.

**Theme: Information Technology**

Competency of the ULB staff in adoption and use of ICT tools refers to effectively and proficiently use computer hardware, software, and digital technologies to perform tasks, solve problems, and achieve specific objectives. It encompasses software proficiency, operational expertise, digital literacy, cybersecurity awareness, knowledge of relevant legal provisions, etc.

**Theme: Information Technology**

Competency in the finance domain of the municipal staff includes effective financial management and budgeting, proficiency in accounting practices and revenue generation, well versed with different investment and debt management instruments. It encompasses familiarity with relevant Acts and Rules (GST Act, IT Act and related rules), proficiency in Government Budgeting and Auditing principles and processes, Understanding of various sources of municipal revenue and best practices, etc.

**C. Behavioural Competencies:** These are a set of benchmarked behaviours displayed (or observed / felt) by individuals across a range of roles within the ULB.

**Theme: Soft Skills**

This encompasses a wide range of qualities and characteristics, including communication skills, leadership spirit and teamwork, customer service orientation, conflict management ability, ethical and professional conduct, etc. This includes ability to deal with public, handle difficult conversations, resolve conflicts, leadership abilities, building team spirit, effective verbal and non-verbal communications, etc.

## 3.5 Levels of Competencies

As a person progresses in his/her career and moves into higher positions within the ULB, his/her competencies and skillsets need to be evolved and changed to align with the new roles and responsibilities. Accordingly, the level of competencies can be identified as follows-

1. **Basic Competency:** Individuals at this level possess the foundational skills and knowledge required to perform their job tasks with minimal supervision. They can handle routine and straightforward tasks but may struggle with more complex or specialized responsibilities.

2. **Intermediate Competency:** At this level, individuals have a solid understanding of their job roles and can handle a range of tasks independently. They may require occasional guidance for complex or unfamiliar situations.

3. **Advanced Competency**: Those with advanced competency have a deep and comprehensive understanding of their roles. They are proficient in both routine and complex tasks and can work independently with confidence.

4. **Expert Competency:** Individuals at this level are considered subject matter experts in their field. They possess advanced knowledge, skills, and experience, and they are capable of providing guidance and mentoring to others.

5. **Leadership or Management Competency:** This level applies to individuals who hold leadership or management positions. They should have competencies related to leading teams, strategic thinking, decision-making, and guiding the organization toward its goals

As we are moving from Rule Based Governance to Role Based Governance, Competencies of the human resources employed play a crucial role in this transformation. Urban development, urban planning and Urban Local Bodies – as all are under the purview of the respective state governments, it is of high significance that respective State Urban Departments, in collaboration with the ULBs, to adopt this transformation and conduct the exercise of Competency Mapping for the ULB officials with priority.

# OBJECTIVE OF THE TOOLKIT

## 4. OBJECTIVE OF THE TOOLKIT

The proposed toolkit is a guiding document for the ULBs to provide a comprehensive guidance and resources aimed conducting capacity building exercises in a systematic way. The broad objectives of the toolkit are-

1. **Undertake a structured and strategic framework for Capacity Building at ULBs:**
   The toolkit provides detailed approach and methodologies to be adopted for undertaking capacity building program. It highlights the role and responsibilities of important stakeholders and ensures they are engaged in every step of the exercise.

2. **Adopt Demand driven – Bottom up approach**
   The toolkit envisions adoption of a 'bottom up' approach towards whole process of capacity building to keep main beneficiary (Municipal Staff and in turn ULB) at the centre of the program.

3. **Develop Role Specific Competencies in functional, domain and behavioural categories**
   In addition to the Mandatory Qualifications & Job Descriptions regarding each position/designation at the ULBs, the Toolkit emphasizes significance of Roles and Responsibilities associated with it and required competencies to perform the job effectively.

4. **Continuous Process**
   The toolkit aims at making the whole exercise of capacity building a continuous one based on year-on-year improvements instead of a onetime activity linked with any specific scheme/program/mission.

5. **Foster an Effective Training Delivery Ecosystem**
   The toolkit provides for development of training delivery ecosystem where in it gives flexibility to adopt different modes for trainings (online, onsite, exposure visits, classroom, etc.) and aims at creation of a resource pool consisting of training institutions, academic, think tanks which can caters to the training needs of the ULBs.

# HOW TO USE THIS TOOLKIT

# 5. HOW TO USE THIS TOOLKIT

## 5.1 Adoption of the Toolkit

Given the diverse nature of our cities and varying growth of urbanization, the adoption of the toolkit is categorised as below.

| Sr. No. | Type of ULB | Adoption Strategy |
|---|---|---|
| 1 | Municipal Corporation | Develop ACBP as given in the Section 6 of the Toolkit |
| 2 | Municipal Council | Undertake 'Common Trainings' as given in the Annexure I and parallelly conduct the exercise as given in the Section 6 of the Toolkit to develop ACBP for ULB |
| 3 | Nagar Panchayat | Undertake 'Common Trainings' as given in the Annexure I |

## 5.2 Step Wise Guide to Develop Annual Capacity Building Plan

| STAGES | PURPOSE | KEY CONSIDERATIONS | REFERENCE SECTION OF TOOLKIT |
|---|---|---|---|
| 1st | SETTING THE CONTEXT AND DEFINING THE DATA SOURCES | • Propose an open discussion with Identified departments and stakeholders to clarify objectives and expectations on PRIORITIES, CAPACITY BUILDING NEEDS and PRE-REQUISITE for the proposed exercise.<br>• Determine the methods & source for data collection and stakeholder consultations | Section 6.1 to 6.4 |
| 2nd | CAPACITY ASSESSMENT | • Revisit the vision for development of your city (Next 5-10 years), Define the same in case a comprehensive vision does not exist.<br>• Revisit the internal policies, SoPs, systems and guidelines for your ULB.<br>• Revisit the Government policies and ongoing schemes addressing different needs of your city and their performance. | Section 6.5 |

| | | | |
|---|---|---|---|
| | | • Revisit the mandate, roles and responsibilities of each department and individual profiles and assign relevant competencies with respect to Functional, Domain and Behavioural dimensions.<br><br>➢ Literature review<br>➢ Key informant interviews<br>➢ Focus group discussions | |
| 3rd | ANALYSIS & INTERPRETATION OF RESULTS | INSTITUTIONAL LEVEL:-<br><br>• OBJECTIVE: Institutional capacity building often has a broader and more strategic focus. The primary objective is often to strengthen the institution's ability to achieve its overall mission and strategic goals. It may involve reforms in governance, leadership, and the establishment of systems and procedures that improve the institution's overall performance and sustainability.<br><br>• LEVEL OF ANALYSIS : It typically involves a higher-level perspective, looking at the overarching policies, procedures, and systems that govern an entire ULB. It may involve changes to the organization's Structure, Governance, Strategic Planning, Policies, Acts, Budgets etc.<br><br>• KEY STEPS : 1) Listing of Identified key challenges and problem statements during consultations with respect to culture, governance, leadership, policies, and processes which impact the strategic objectives of the ULBs. 2) Defining the problem statements, key issues to be addressed 3) Define key | Section 6.6 |

| | | | |
|---|---|---|---|
| | | support requirements/interventions 4) Define recommendations for each challenge/issues for enhancing the capacity<br><br>ORGANIZATIONAL LEVEL<br><br>• OBJECTIVE : Organizational capacity building tends to be more focused and localized, targeting a specific organizational unit or team within the ULB .The main goal is to enhance the specific functions and services provided by a particular organization or department. This could include improving efficiency, quality, and the ability to meet specific objectives within that organizational unit/department.<br><br>• LEVEL OF ANALYSIS : This is a narrower concept that specifically targets the capabilities and effectiveness of a particular department or unit within a ULB. This is more focused on the internal workings of a particular organization or department. It deals with improving processes, workflows, technology adoption, resource requirements and the skills and capacity of resources within that specific unit/department.<br><br>• KEY STEPS : 1) Listing of Identified key challenges and problem statements during consultations with respect to resources, process flows, systems & tools, data management, program and project management etc. or any other areas which are critical to achieving the goal or | |

| | | | |
|---|---|---|---|
| | | service delivery targets of the department. 2) Defining the problem statements, key issues to be addressed 3) Define key support requirements/interventions 3) Define recommendations for each challenge/issues for enhancing the capacity<br><br>INDIVIDUAL LEVEL<br><br>• OBJECTIVE : Individual Capacity Building is more focused on the specific strengths, weaknesses, and competency needs of individual employees or team members. It often includes training, mentoring, coaching, and skill-building initiatives tailored to each employee's needs with respect to effectively fulfilling the roles and responsibilities assigned to the individual in an ULB.<br><br>• LEVEL OF ANALYSIS : This is more focused on strengthening the knowledge, skills, and competencies of individuals to help them perform their current roles effectively and advance in their careers. This includes mapping of roles and responsibilities with competency requirements, skills assessments, training needs assessments, performance evaluations, coaching, mentoring, and the creation of individual development plans.<br><br>• KEY STEPS : 1) Defining roles and responsibilities for each of the profiles 2) list key competencies requirements with respect to Functional, Domain and Behavioural categories to effectively perform the R&R. (as per | |

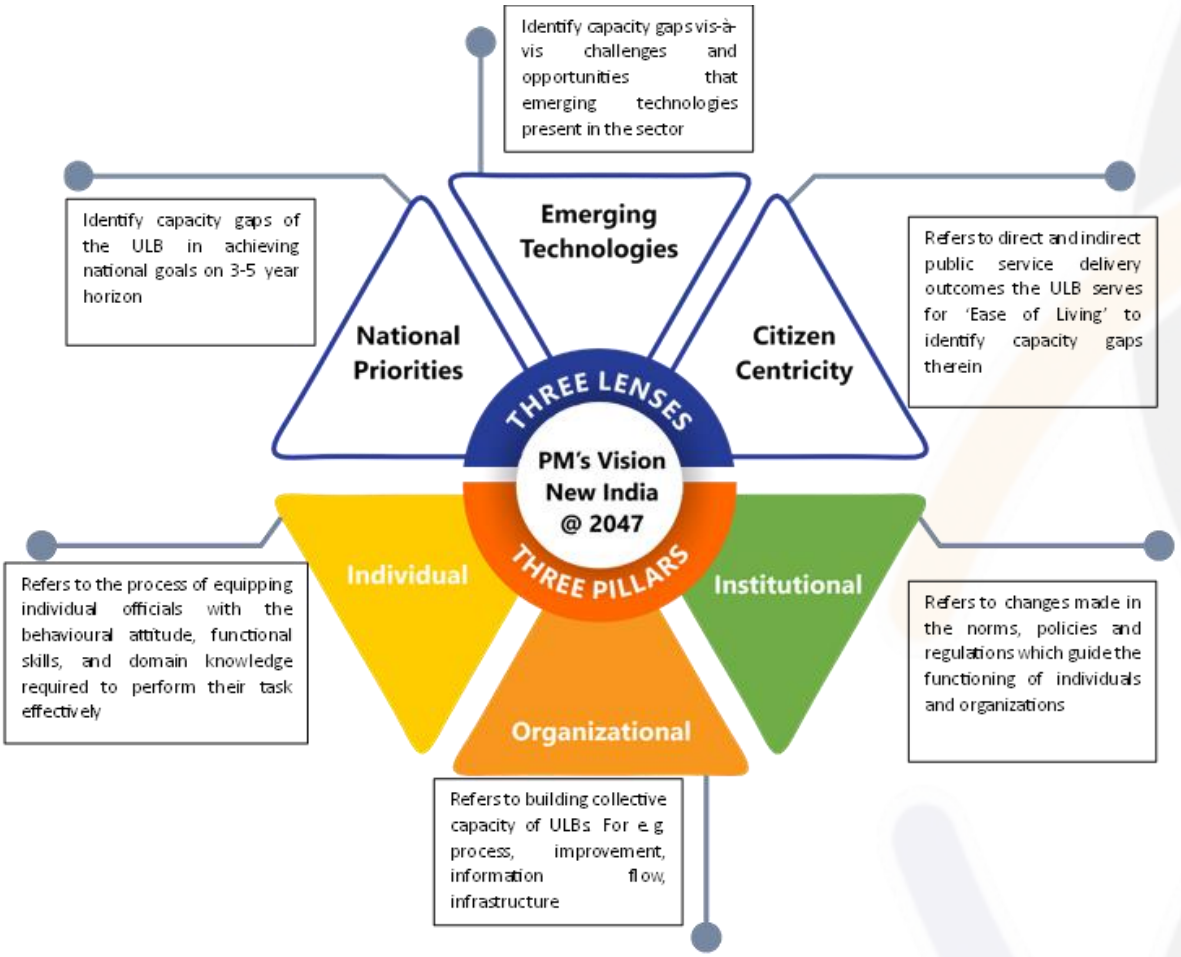
| | | | |
|---|---|---|---|
| | | stakeholder consultations) 3) Define desired trainings and expectations from the training curriculum 4) Prepare individual training plans 5) create universe of all the training needs across the departments and profiles. | |
| 4th | STRATEGY AND ACTION FORMULATION | • Define specific, measurable, achievable, relevant, and time-bound (SMART) targets for each capacity building goal. This helps in tracking progress and evaluating the success of your initiatives.<br>• Identify the resources required to implement your capacity building interventions. This includes financial resources, human resources, technology, training institutes, immersive learning, workshops, exposure visits, relevant literature, and external support if needed.<br>• Create a capacity building – Training Calendar covering all the training needs across the departments.<br>• Ensure that employees have the necessary support, resources, and tools to participate in capacity building activities effectively such as access to training platforms, mentorship, annual training plan, dedicated time for trainings etc. | Section 6.7 to 6.10 |
| 5th | MONITORING AND EVALUATION | • Monitor progress and make necessary adjustments as the initiatives unfold. Collect feedback from participants and make improvements as needed.<br>• Refine training and development programs to address emerging needs or challenges.<br>• Recognize and celebrate achievements and milestones in capacity building. | |

# DEVELOPMENT OF ANNUAL CAPACITY BUILDING PLAN

# 6. DEVELOPMENT OF ANNUAL CAPACITY BUILDING PLAN

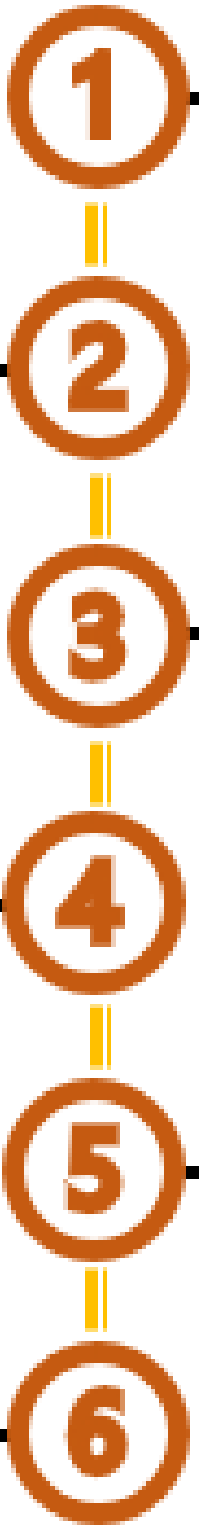
## 6.1 Approach

Drawing on the insights from the distinctive features of Indian cities and learnings gained from the legacy capacity building initiatives, this Capacity Building Commission envisions establishment of a municipal capacity building management system wherein emphasis is being laid on Demand Driven approach instead of Top-down supply of trainings.



## 6.2 Methodology for Developing Annual Capacity Building Plan for ULB

Annual Capacity Building Plan, as the name suggests, is an annual regular activity to be driven by the ULB for its staff ensures that capacity augmentation is a long-term continuous process which is an integral part of the service and does not depend upon implementation of any scheme/reforms.



### 1 Kick Off Meeting

Kick of meeting with all the departments and stakeholders for context setting and to ensure clarity, commitments and

T0

### 2 Establishment of Capacity Building Unit

T0+1 Week

CBU to be establish with official notification by the ULB.

The proposed CBU will drive the whole exercise of capacity building

### 3 Capacity Needs Assessment

To identify gaps in employee skills, knowledge, and competencies.

Activity lead by CBU consists of Personal interviews with the leadership of the ULB and Focus Group Discussions with municipal

T0 + 3 Weeks

### 4 Analysis of Capacity Building Needs

T0+ 5 Weeks

Analyse the inputs received and Suggest recommendations for Institutional and organizational capacity building

Identification of capacity gaps at the

| Domain | Functional | Behavioural |
|---|---|---|
| Enables individuals to perform roles within a specialised field | Enables individuals to perform common operational tasks | Enables individuals to achieve set of benchmarked attitudes |

### 5 Preparation of Action Plan

Development of Training Universe consisting of training programs mapped to municipal staff and departments of the ULB

Categorization training into different modes (online, onsite, exposure visits, immersive learning, etc) and in coordination with state UD development of annual training calendar

T0 + 7 Weeks

### 6 Monitoring and Evaluation

CBU to monitor progress every month/quarter and look after the whole training exercise.

Consult with ULB leadership on regular basis, collect feedback, discuss progress reports and do course correction if any.

## 6.3 Kick Off Meeting

Kick-off meeting is a critical initial step in the capacity-building exercise of ULBs. It gives opportunity to the set the context and clarify objectives and expectations regarding proposed capacity building exercise with ULB staff.

Kick off meeting also provides details about Capacity Building Unit (to be established at ULBS) and its functions, explains program details, fosters ownership & accountability and most importantly enhance the relevance of the exercise. It provides a foundation for mutual understanding, motivation, and commitment, ensuring that participants are well-prepared and engaged in the learning process.

It is an interactive activity in which overall opinion of the ULB staff (which includes Municipal Commissioner[1], Additional Commissioner, Deputy Commissioner, Assistant Commissioner, Heads of the Departments and respective staff of each department) regarding the ULB is noted.

*Following questionnaire to be given to the participants in advance and they are requested to attend the kick off meeting with their responses.*

### Questionnaire

Name :

Department/Division:

Designation:

How long have you been working at the Municipal Corporation?

In your opinion, what are the strengths and weaknesses of our Municipal Corporation today? *(Provide at least 5 strengths and 5 weaknesses)*

Provide your opinion regarding following parameters with respect to our Municipal Corporation.

| **Parameters** | ☑ **Excellent** | ☑ **Satisfactory** | ☑ **Needs Improvement** | ☑ **Needs Immediate Attention** |
|---|---|---|---|---|

[1] The designation of the administrative head may vary as the State specific nomenclatures as well as type of ULB (CEO in case of Municipality), etc.

| | | | | |
|---|---|---|---|---|
| Governance | | | | |
| Administration | | | | |
| Organizational Structure & Internal Policies | | | | |
| Operational Processes and Workflows | | | | |
| Systems and Tools | | | | |
| Technology Adoption | | | | |
| Manpower | | | | |
| Individual Competencies | | | | |
| **Any other** | | | | |

Is there a Vision Document of the Corporation COVERNING TARGETS OR OBJECTIVES TO BE ACHIVED KEEPING THE DEMNDS AND DEVELOPMENT OF THE CITY? *(Yes/No)*

Please specify role of your department in achieving that vision (Mention at least 3 points)

What specific improvements or changes would you like to see in terms of service delivery to Citizens?

Please mention top 3 priorities for the ULB and for your department for which Capacity Building is required.

In addition to your department, in your opinion which other department requires competency building and skilling interventions. *(You have to mention at least one department)*

Based on your experience of earlier Capacity Building exercise or trainings, please suggest areas of improvement to be incorporated in this proposed exercise with respect to delivery of training programs.

| |
|---|
| Do you have any additional comments or suggestions regarding capacity building |

The proposed Kick Off Meeting should provide two important outcomes. One, the ULB staff is well informed about the whole capacity building exercise, their role in it and motivated to be part of it. Second, the response received to the questionnaire provides important inputs which will result in better planning of capacity building program at the ULB.

## 6.4 Establishment of Capacity Building Unit

To institutionalise the whole activity of capacity building and make it a long-term continuous program instead of one-time activity, a Capacity Building Unit (CBU) to be set up at ULB. The established CBU will hold the responsibility of driving the complete exercise of Capacity Building and it take efforts in in operationalizing the competency framework, developing content, curating assessments etc. CBU will work closely with Capacity Building Commission., GOI and respective State Urban Department. It will monitor the whole activity and share progress reports on regular basis.

CBU should be consists of a team of individuals, having the required knowledge and skills in the domain of capacity building. It should be headed by an official no less than rank of Assistant Commissioner. He/she must be from Municipal Service Cadre or permanent employee of the ULB.

**Key Responsibilities of CBU includes:**

- Capacity Needs Assessment and Development of ACBP for the ULB
- Collaboration with State Urban Department and CBC, GoI in conducting training programs for the ULB Staff
- Develop standards and indicators for monitoring and evaluation of progress made by the ULB staff
- Regular feedback and internalisation of the inputs for improvement and upgradation of the whole exercise.

## 6.5 Capacity Needs Assessment

It is a systematic process to identify gaps in employee skills, knowledge, and competencies. In addition to this, it also highlights systematic gaps in the organizational processes or institutional set up. Under this, training requirements are identified which are to be fulfilled so that individuals can effectively perform their roles and responsibilities and in turn achieve departmental as well as organizational goals.

Training Need Analysis (TNA) may take the form of physical/ digital surveys, interviews, focussed group discussions, or workshops in accordance with the availability of officials. **CBU, in consultation with the Leadership of the ULB and Heads of the concerned Departments, to plan and carry out this exercise.**

The methodology to be used for capacity needs assessment is twofold - **Personal interview and Focussed Group Discussions.**

### Pre-requisites for Personal Interviews

1. List the positions/designations in the department *(Sanctioned, Filled and Vacant)*
2. For each position/designation, identify and document 'roles & responsibilities' to be performed effectively
3. Notice for invitation to attend the consultations/survey and confirmation for participation
4. Sharing of the below template with all the HoDs to get inputs for each designation

### 6.5.1 Personal Interview with Municipal Commissioner

| | | |
|---|---|---|
| 1 | Name | |
| 2 | How many years have you held the present position? | |
| 3 | Does your Municipal corporation have a Vision Document driven through different applicable schemes and development plans aligned to cities requirements and national priorities for next 5 to 10 yrs.? | Yes/No. (In case of NO, define a Vision Statement) |
| 4 | Please provide a general assessment of your office in terms of the fulfilment of tasks in following functions. Please mention below statement against each function.<br>(If the function is not responsibility of ULB, please put NA)<br><br># Tasks are managed and fulfilled smoothly- 1<br># Tasks are managed and fulfilled but could be done better - 2<br># Tasks are managed and fulfilled with difficulties - 3<br># Tasks are managed and fulfilled with major difficulties - 4<br># Not a function of corporation-5 | |
| 4.1 | *Urban planning including town planning* | |
| 4.2 | *Regulation of land-use and construction of buildings* | |
| 4.3 | *Planning for economic and social development* | |
| 4.4 | *Construction of Roads and bridges* | |

<table>
<tr><td>4.5</td><td>Water supply domestic, industrial and commercial purposes</td><td></td></tr>
<tr><td>4.6</td><td>Public health, sanitation, conservancy, and solid waste management</td><td></td></tr>
<tr><td>4.7</td><td>Fire services</td><td></td></tr>
<tr><td>4.8</td><td>Urban forestry</td><td></td></tr>
<tr><td>4.9</td><td>Promotion of cultural, educational and aesthetic aspect</td><td></td></tr>
<tr><td>4.10</td><td>Preventive Health Care</td><td></td></tr>
<tr><td>4.11</td><td>Provision of urban amenities and facilities such as parks, gardens, playgrounds</td><td></td></tr>
<tr><td>4.12</td><td>Burials and burial grounds, cremations, cremation ghats/grounds, and electric crematoria</td><td></td></tr>
<tr><td>4.13</td><td>Cattle pounds, prevention of cruelty to animals</td><td></td></tr>
<tr><td>4.14</td><td>Vital statistics including registration of births and deaths</td><td></td></tr>
<tr><td>4.15</td><td>Street lighting</td><td></td></tr>
<tr><td>4.16</td><td>Parking lots, bus stops, and public conveniences</td><td></td></tr>
<tr><td>4.17</td><td>Regulation of slaughter-houses and tanneries</td><td></td></tr>
<tr><td>4.18</td><td>Slum improvement and up-gradation</td><td></td></tr>
<tr><td>4.19</td><td>Protection of the environment and promotion of ecological aspects</td><td></td></tr>
<tr><td>4.20</td><td>Safeguarding the interests of weaker sections of society, including the handicapped and the intellectually disabled</td><td></td></tr>
<tr><td>4.21</td><td>Urban poverty alleviation</td><td></td></tr>
<tr><td>4.22</td><td>Primary Education</td><td></td></tr>
<tr><td>4.23</td><td>Primary Health Care</td><td></td></tr>
<tr><td>5</td><td>Do you have any performance evaluation system/process for departments and individuals?</td><td>Yes/No. If Yes, Provide detail</td></tr>
<tr><td>6</td><td>What is the average annual budget and % of own source revenue (Last 3 FY years)</td><td>Mention the figures</td></tr>
<tr><td>7</td><td>Please provide details regarding establishment<br>(Department wise, Group Wise)<br>Sanctioned Posts<br>Filled Posts<br>Vacant Posts</td><td>e.g., Solid Waste Management Department<br><br><table><tr><td>Posts</td><td>Gr. A</td><td>Gr. B</td><td>Gr. C</td><td>Gr. D</td></tr><tr><td>Sanctioned</td><td></td><td></td><td></td><td></td></tr><tr><td>Filled</td><td></td><td></td><td></td><td></td></tr><tr><td>Vacant</td><td></td><td></td><td></td><td></td></tr></table></td></tr>
<tr><td>8</td><td>Please provide details of contractual employees in the Municipal Corporation. (Department wise, Group wise)</td><td>e.g., Solid Waste Management Department<br><br><table><tr><td>Dept:</td><td>Gr. A</td><td>Gr. B</td><td>Gr. C</td><td>Gr. D</td></tr><tr><td>Contract</td><td></td><td></td><td></td><td></td></tr></table></td></tr>
</table>

| | | |
|---|---|---|
| 9 | Currently what are the key functions/activities where you have appointed external consultants, but you feel can be done internally if specific training can be provided. | |
| 10 | What are the 5 most challenging functions/activities come to your mind across all the departments/sub-departments. | Mention name of the activity/function and department and key reason/issues for the same if any |
| 11 | Please provide your view /suggestions /recommendations on Organizational as well as Governance Structure of Municipal Corporation. (Minimum 2) | |
| 12 | Please name at least 3 policy/regulatory level changes/improvements/development, if implemented, will help your corporation to deliver the roles and responsibility more effectively. | |
| 13 | Please name at least 3 internal processes /procedures/system level changes /improvements /development, if implemented, will help your corporation to deliver the roles and responsibility more effectively. | |
| 14 | Please name at least 5 key areas/topics where trainings can help to improve the effectiveness and efficiency of delivery. | |
| 15 | Any other specific capacity building requirement. | |

### 6.5.2 Personal Interview with HoDs /Additional Municipal Commissioner/Deputy Commissioner/Assistant Municipal Commissioner

| | | |
|---|---|---|
| 1 | Name of the Department/Function | |
| 2 | Name of the HOD | |
| 3 | Composition of the Department<br>*(Please provide hierarchical structure along with all the designations. Also provide status of- number of sanctioned, filled and vacant posts in the department)* | |
| 4 | Please mention Key Functions/Responsibilities of the Department<br>*(Please mention minimum 5)* | |
| 5 | Please mention 3 functions where you feel your department has achieved satisfactory service levels | |

| | | |
|---|---|---|
| 6 | Please mention 3 functions where you feel your department has not achieved satisfactory service levels | |
| 7 | Any sub-division or sub-department exist under your department<br>*(please provide details if any)* | |
| 8 | What are the top 3 Priorities of your department ?<br>*(Example -#Budget/ investments # Social issues # Day-to-day governance, responding to problems as they arise # Operation and Maintenance #Improving the quality of public/municipal services # Any other priority # Don't know, not sure)* | |
| 9 | Please name three areas that are, in your personal opinion, particularly difficult to manage in delivering the responsibility of your department. (Need to be specific)<br><br>*(Example - #Cost estimation #Site supervision #Design and engineering # water quality #working on Software or tool # Procurement through GeM #Documentation #over work #accounting entry # any other issue/activity/area# Don't know, not sure)* | |
| 10 | Does the department have Standard Operating Procedures/Internal Policies in relation to its functions and roles of different posts/designations? (*Yes/No)*<br>*If Yes, please provide* | |
| 11 | Are clear job descriptions available for each staff, and the roles and responsibilities of employees are clearly defined?<br>*(Yes/No) If yes, please provide* | |
| 12 | Is there any presentation or introduction module like 'Know your department' for new joiners or staff member who is transferred to your department?<br>*(Yes/No) If yes, please provide* | |
| 13 | Is there any specific policy/procedure in place in your department regarding 'Knowledge Transfer' at the time of handover or transfer of a staff member ?<br>*(Yes/No) If yes, please provide* | |
| 14 | Keeping in mind the nature of roles & responsibilities and current competencies of your department, please rate mentioned parameters with below ratings.<br><br># Good - 1<br># Satisfactory but needs attention - 2<br># Needs immediate attention - 3 | |

| | | |
|---|---|---|
| 14.1 | *Subject Knowledge* | # 1 |
| 14.2 | *Skills* | # 1 |
| 14.3 | *Tools/Technology* | # 2 |
| 14.4 | *Attitude and Behaviour* | # 2 |
| 15 | Have you identified any tools/techniques/system which can be adopted to improve the performance of your department? | |
| 16 | Your suggestions for 5 key training courses to improve efficiency of your manpower. | |

### 6.5.3 Focus Group Discussion with ULB Staff

| | | |
|---|---|---|
| 1 | Name of the Department/Function | |
| 2 | In your opinion what are the Key Functions/Responsibilities of the Department *(Please specify at least 5)* | |
| 3 | Please mention at least 3 functions(not limited to) where you feel your department has achieved satisfactory service levels | |
| 4 | Please mention 3 functions where you feel your department has not achieved satisfactory service levels | |
| 5 | Specific skills or knowledge gaps do you believe exist among yourself that needs to be addressed through capacity-building programs? | |
| 6 | Have you participated in any capacity-building or training programs offered by the ULB or external agencies? If so, what were your experiences and outcomes? | |
| 7 | What types of training programs have been most beneficial to you and your colleagues in the past? | |
| 8 | Do you have preferences for the format of training (e.g., workshops, online courses, on-the-job training)? If so, why? | |
| 9 | What support or incentives would encourage you and your colleagues to actively participate in capacity-building activities? | |
| 10 | Do you think there are opportunities for collaboration and knowledge sharing among municipal staff? How can these be facilitated? | |
| 11 | Are there best practices or successful experiences within the ULB that can be shared with others? | |
| 12 | According to you, are there any tools/techniques/system which can be | |

| | | |
|---|---|---|
| | adopted to improve the performance of the staff of the department | |
| 13 | Can you provide examples of situations where additional training or skills development would have been beneficial in your work? | |
| 14 | Your suggestions for 5 key training courses to improve efficiency. | |

The exercise provides a comprehensive understanding of the training and development needs of the ULB staff. This analysis yields valuable information that guides the planning and implementation of capacity-building programs. The exercise provides crucial insights about skill and competency gaps, priority training needs, selection of training methods, etc. It ensures that municipal staff is engaged and the whole capacity building program remains targeted and aligned with individual as well as organizational goals.

## 6.6 Analysis of Capacity Needs and Training Requirements

The inputs/suggestions/recommendations received during the assessment phase are being analysed keeping in mind three pillars of capacity building- **Institutional, Organizational and Individual Capacity Building.**

### 6.6.1 Institutional and Organizational Capacity Building

In order to systematically analyse & interpret the data collected and identify interventions for Institutional and Organizational capacity building, the focus areas for capacity building are identified along with the inputs/recommendations received. It is also critical to identify responsible authority to undertake the recommendations and take appropriate action.

**Table A: The format used for analysis**

| Capacity Building Component | Focus Areas* for Capacity Building | Capacity Building Inputs / Recommendations Received | Responsibility |
|---|---|---|---|
| Institutional Capacity Building | • Governance<br>• Administration<br>• Organizational Structure & Internal Policies<br>• Operational Processes and Workflows<br>• Systems and Tools<br>• Technology Adoption<br>• Manpower | | |
| Organizational Capacity Building | • Governance<br>• Administration<br>• Organizational Structure & Internal Policies<br>• Operational Processes and Workflows<br>• Systems and Tools<br>• Technology Adoption<br>• Manpower | | |

**Given list of focus areas is non-exhaustive and indicative*

**Table B: A sample analysis for reference purpose only**

| Capacity Building Component | Focus Areas* for Capacity Building | Capacity Building Inputs / Recommendations Received | Responsibility |
|---|---|---|---|
| Institutional Capacity Building | • Manpower | The ULB is highly understaffed and working with high vacancy rate. As many officials have been given additional charges of other departments/duties, due to lack of technical know-how and nitty-gritties, the | State Urban Department |

| | | | |
|---|---|---|---|
| | | overall efficiency of service delivery is being hampered. In order to address this, a revision of establishment structure of the municipal corporation needs to be undertaken at the earliest | |
| Organizational Capacity Building | • Operational Processes and Workflows | Policy of 'Knowledge Transfer' to be adopted- Inter service and inter departmental transfers is a common practise identified in the ULBs. Due to absence of practise of 'Knowledge Transfer' or policy/practise regarding the same, the legacy knowledge gained by the individual in the particular department is not passed on and thus hampers the process of succession and improvement. It also leads to delays, undesirable exposure to the risks and overall decline in the service levels until the successor get the grasp of the scope. | ULB |

Template

### 6.6.2 Individual Capacity Building

Table C: Format for Analysing Individual Capacity Building Needs

| Designation | Roles and responsibilities / Key Activities/ Job Description | Competencies and Skillsets | Training Requirement / Capacity Building needs |
|---|---|---|---|
| | | | |

Table D: Sample Analysis for Reference Purpose Only

| Designation | Roles and responsibilities / Key Activities/ Job Description | Competencies and Skill Sets | Training Requirement / Capacity needs |
|---|---|---|---|
| | 1. Responsible for planning and development of water | 1. Expertise in design, plan and execution projects related to | 1. Advanced training in design and construction of |

| | | | |
|---|---|---|---|
| **Additional City Engineer (HOD), Water Works Project** | distribution system of the whole city<br>2.Overall supervision of construction and maintenance of WTP, swimming pool, under bridge & Pumping Stations.<br>3. Sanction approval on new project proposals DPR and Budgetary estimates | water distribution network<br>2. Skilled in Budgeting and Resource Management<br>3. Problem solving attitude and ability to make quick decisions | water networks of a growing city.<br>2. Exposure visits to the bigger cities having complicated/dense water distribution network<br>3. Workshop on latest technologies in distribution, billing, etc. (smart Valves, smart meters) management ability |
| **Executive Engineer (PWD)** | 1. Responsible for execution of civil works projects<br>2. Supervise ongoing work and ensure quality and regulatory compliances<br>3. Engage with stakeholders and maintain cordial public relations | 1.Expert in Project Management (Civil works)<br>2. Skilled in Planning tools and techniques- AutoCAD/BIM/etc.<br>3. Proficient in Budgeting and cost-effective solutions<br>4. Team Management and leadership abilities<br>5. Ability to take quick decisions | 1. Training on Project Management Tool (Software, applications, etc.)<br>2.Training on advanced construction methodologies and best practices<br>3. Training on construction quality control , testing, Systems and Standards |

Template

## 6.7 Development of Training Universe

Based on mapping of functional vis-à-vis competencies requirement of each designation from the ULBS and subsequent training needs assessment of individual roles, number of topics/areas of interventions will be identified by the CBU. Based on their nature, these topics/areas of interventions to be differentiated into Institutional, Organizational and Individual Capacity Building needs.

With respect to individual capacity development needs, the inputs received during the TNA exercise (section 6.3), need to be converted into suitable training programs or courses and to be mapped with designations from the respective departments by the CBU in consultations with HoDs of the respective departments resulting into development of a Training Universe for the ULB.

In the Training Universe, the individual capacity needs which are bifurcated into three broad categories- Functional, Domain and Behavioural are further sub-categorised into 6 training themes -1) Administrative and Governance, 2) Technical and Engineering, 3) Project Management 4) IT and Computers 5) Finance and 6) Soft skills- as per training need analysis.

A template (A) to develop Training Universe and a sample Training Universe (B) are given below.

**(A) Template for Training Universe**

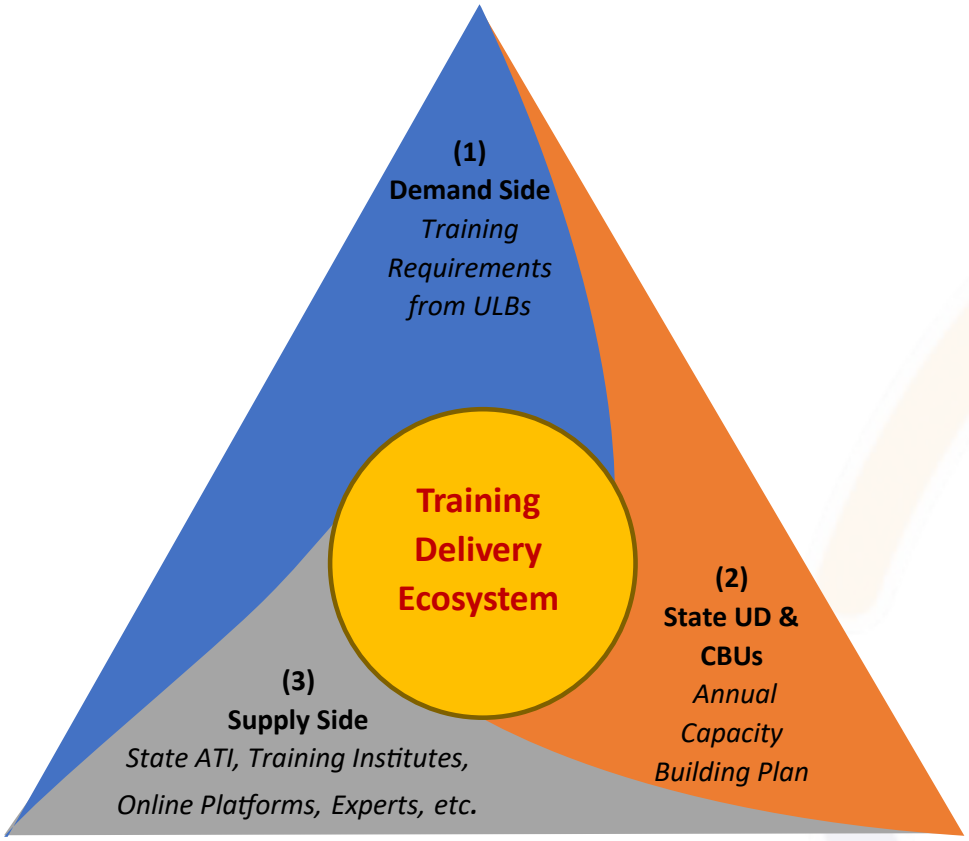
| # | Topics/Themes/Areas identified for Capacity Augmentation | Mode of Training | IT | Finance | General Admin. | SWM | Gen. Engg. Dept. | Priority Level |
|---|---|---|---|---|---|---|---|---|
| Functional Competencies | **Administration and Governance Module** | | | | | | | |
| | Refresher Course on Maharashtra Municipal Corporation Act, 1949. | Classroom Training | | | | | | |
| | **IT and Computer Skills** | | | | | | | |
| | Refresher course and Advanced Training -MS Office | Online | | | | | | |
| | **Project Management** | | | | | | | |
| | Training on- Basic principles of Project | Online | | | | | | |

Template

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | management, PM Tools and Techniques | | | | | | | |
| | **Technical and Engineering Module** | | | | | | | |
| | Training on Computer Aided Design (AutoCAD) | Online | | | | | | |
| **Domain competencies** | Training on Construction and Maintenance- Drainage systems | Exposure Visit | | | | | | |
| | **Finance** | | | | | | | |
| | Refresher course on- Municipal Accounting & Finance (Oracle ERP) | Online | | | | | | |
| **Behavioural Competencies** | **Soft Skills** | | | | | | | |
| | Training on Leadership Development | Classroom Workshop | | | | | | |
| | Training on Effective communication skills (Verbal and Non-Verbal) | Classroom Workshop | | | | | | |

## 6.8 Training Delivery Ecosystem

Training Delivery Ecosystem consists of three stakeholders. ULBs, representing the demand side, identify trainings which are to be undertaken by its staff. Training Institutions, comprising of State Administrative Institutions, Government Training Institutions, Academic, Think Tanks, Online platforms and individual experts/consultant, etc. are on the other side representing the supply side. State Urban Department/State Authority-as a 3rd stakeholder in the ecosystem plays a pivotal role by acting as the main facilitator between ULBs and training institutions.




### 6.8.1 Role of ULBs

:Post development of Training Universe, as given in the section 6.7, the Capacity Building Unit of the concerned ULB is tasked with determining implementation modes for the trainings regarding individual capacity building as provided below.

**Implementation Modes for- Individual Capacity Building Initiatives**

| # | Methods for Implementation of Individual Capacity Building Interventions | Advantage | Suitability |
|---|---|---|---|
| 1 | **Online Training/e-Learning:** Receiving training content through digital platforms, IGoT courses, or other learning management systems. | Accessibility, flexibility, and scalability for remote or widespread audiences | Self-paced learning, technical skills, and knowledge dissemination |
| 2 | **Training Workshops :** Traditional in-person workshops conducted by trainers or subject matter experts | Interactive, face-to-face learning with opportunities for | Skill development, knowledge sharing, and group learning |

| | | | |
|---|---|---|---|
| | | hands-on activities, discussions, and networking. | |
| 3 | **Exposure Visits/Immersive Learnings:** Arranging visits to other organizations, institutions, or sites relevant to the learning objectives. | Participants can observe best practices, gain real-world insights, and learn from peers and experts. | Learning from external experiences and benchmarking, |
| 4 | **Workshops and Seminars :** Participation in industry conferences, seminars, and industry events relevant to functional, behavioural and domain specific needs. | Learn from experts, gain insights into trends, and connect with peers | Leading practices, market trends, new technologies |
| 5 | **Blended Learning :** Combining multiple training methods, such as in-person workshops and online modules, to create a comprehensive learning experience | Offers a balance between face-to-face interactions and online flexibility | Diverse learning objectives and audience preferences |

The courses/trainings which are available on the iGOT platform can be mapped to respective ULB staff and the capacity building exercise can be initiated immediately. With respect to the trainings / courses mapped to other modes of implementation, the concern ULB to send the list of trainings to the respective State Urban Department.

### 6.8.2 Role of State Urban Department

State Urban Department, acting as the main facilitator and approving authority, will receive training requirements from the ULBs of the state. State UD, in collaboration with the CBUs of each ULB, will compile and analyse the exact demand of the trainings.

Post identification of exact demand of trainings, the State UD to join hands with a **Mentor Training Institute**- preferably a State Administrative Training Institute to analyse training demands, curate courses, design curriculum if any, etc. The Mentor Institute in collaboration with State UD and CBUs of all ULBs also create a resource pool of training providers by joining hands with Govt. Training Institutes, Online education Platforms, Academia, Think Tanks, Independent Experts, etc. which will cater to the training needs of the ULBs.

The Mentor Training Institute ,in consultation with CBUs, and with the approval of State UD will prepare and publish an Annual Training Calendar consisting of details of trainings provided by different training institutes along with the schedule. Accordingly, ULBs across the state, will plan their training program and assign the staff for the trainings.

In addition to this, State UD will play a crucial role in budgeting of the said capacity building exercise and State UD may leverage resources based on local conditions or adopt innovative ways to finance this exercise.

### 6.8.3 Role of Mentor Training Institute

The Mentor Training Institute, preferably a State ATI, will act as a think tank and prominent advisor to the State UD in the domain of capacity building of urban local bodies in the state. It will provide its technical expertise in the domain to analyse the training demands, curate the course, design curriculum, plan exposure visits or immersive learning opportunities for the ULBs.

It will create a resource pool of experts, academia, think tanks and other training institutes which will act as knowledge bank with respect to this capacity building exercise.

The Mentor Institute will play a key role in preparation of Annual Training Calendar for the State which will be referred by ULBs across state to plan their training programs accordingly.

## 6.9 Monitoring & Evaluation

Monitoring and evaluation of capacity-building exercises is crucial because it provides a systematic and evidence-based approach to assess the impact and efficiency of such initiatives. Monitoring also allows for real-time tracking of progress and early identification of challenges, enabling timely adjustments to training content and delivery methods.

CBU established at each ULB will be primarily responsible for monitoring and evaluation of the capacity building exercise. CBU, in consultation with the HoDs and the leadership of the ULB, will conduct monthly/quarterly review regarding completion of trainings by the ULB staff as per the annual training calendar. It will also undertake modifications/adjustments as per the local conditions.

Along with this, CBU will publish monthly/quarterly reports regarding the progress made and share these reports with the leadership of the ULB, State UD and CBC from time to time.

In addition to this, CBU, in consultation with HoDs of the respective departments, is recommended to identify Key Performance Indicators for the ULB staff. These KPIs will be used to assess the performance of an individual in various areas such as completion of trainings, improving work efficiency, etc. and will also form a basis for recommendations and appreciations.

## 6.10 Sample Table of Contents for ACBP of ULB

**Table of Contents**

1. Profile of the District/City
2. Brief about the ULB
3. Organogram
4. Identification of Roles and Responsibilities
5. Competency Mapping
6. Training Needs Assessment
7. Training Needs Analysis
8. Development of Training Universe
9. Setting up Curriculum expectations
7. Drafting of Annual Training Calendar

LEVERAGING IGOT
PLATFORM

## 7. LEVERAGING IGOT PLATFORM

iGOT, or the Integrated Government Online Training (iGOT) platform, is an initiative by the Government of India with a mission objective to Develop and maintain a comprehensive online platform to guide civil service officials in their competency-based capacity building journey by enabling online, face-to-face, and blended learning, facilitating discussions through topical forums, managing career paths, and enabling reliable assessments that credibly signal competencies of officials. It envisions to transform Indian civil services capacity building landscape by establishing a robust digital ecosystem enabling continuous anytime-anywhere learning to make the officials future ready.

Key features and objectives of the iGOT platform include:

1. **Centralized Learning Hub**: iGOT serves as a centralized hub for government employees to access training and development resources online, making it easier for them to access learning materials.
2. **Standardized Content:** The platform offers standardized training content and courses, ensuring consistency in training across government departments.
3. **Diverse Course Catalog:** iGOT provides a wide range of courses covering various topics, including governance, administration, technology, and soft skills.
4. **Customized Learning Paths:** Employees can create personalized learning paths based on their roles, responsibilities, and career goals, allowing for tailored training experiences.
5. **Self-Paced Learning:** The platform supports self-paced learning, enabling government officials to access courses at their convenience and progress at their own speed.
6. **Certification**: iGOT offers certification upon course completion, which can be valuable for career development and progression within the government.
7. **Access for All Government Employees:** The platform is designed to cater to employees at different levels, from frontline staff to senior officials free of charge.
8. **Monitoring and Evaluation:** The platform allows for the monitoring and evaluation of training progress and effectiveness, providing insights for improvement.
9. **Scalability:** iGOT is designed to scale as more government employees use the platform, ensuring that a growing number of civil servants can access training resources.

As the iGOT platform is getting further developed covering training needs specific to the urban local bodies, it can be a valuable tool for ULBs seeking to build the capacity of their workforce and enhance their effectiveness.

# ANNEXURE

## 8. ANNEXURES

### Annexure I: Common Trainings for ULB

| | Training Requirements | Preferred Mode of Training | Course Availability | Course Title | Online Link | Duration | Target Dept. |
|---|---|---|---|---|---|---|---|
| 1 | Refresher Course on Municipal Act / Municipality Act /Nagar Panchayat Act | Online / Offline | -- | -- | -- | -- | All |
| 2 | Refresher course on Solid Waste Management Rules-2016 | Online / Offline | -- | -- | -- | -- | Health, SWM |
| 3 | Refresher Course on General Finance Rules and Procurement Policies | Online / Offline | -- | -- | -- | -- | All (related to Procurement) |
| 4 | Refresher Course on Public Procurement through GeM Portal | Online | iGOT Platform | Procurement Process | https://portal.igotkarmayogi.gov.in/app/toc/do_11369174289047552014 7/overview?primaryCategory=Course&batchId=01370937863983104084 | 3h 6 min | All (related to Procurement) |
| 5 | Training on Document Management System & Office Procedure | Online | iGOT Platform | Office Procedure | https://portal.igotkarmayogi.gov.in/app/toc/do_11359485340070707211 53/overview?primaryCategory=Course | 2h 17 min | All |

| | Training Requirements | Preferred Mode of Training | Course Availability | Course Title | Online Link | Duration | Target Dept. |
|---|---|---|---|---|---|---|---|
| 6 | Training on- Basic Principles of Project management, PM Tools and Techniques | Online | iGOT Platform | Project Management | https://portal.igotkarmayogi.gov.in/app/toc/do_1134128898434662401233/overview?primaryCategory=Course&batchId=0134355641504972803 | 1h 59 min | PWD/Engineering |
| 7 | Refresher course on RTI | Online | iGOT Platform | | | | |
| 8 | Refresher Course for Enhancing Skills in Note Drafting and Report Writing | Online | iGOT Platform | Noting and Drafting | https://portal.igotkarmayogi.gov.in/app/toc/do_1135948071783301121144/overview?primaryCategory=Course&batchId=0135949651763609600 | 2h | All |
| | | Online | iGOT Platform | Self-Paced Learning for Stenographers Grade D | https://portal.igotkarmayogi.gov.in/app/toc/do_1136287758107525121699/overview?primaryCategory=Program | 9h 32 min | All |
| 9 | Refresher Course on Advanced Training -MS Office | Online | iGOT Platform | Microsoft Word Advanced | https://portal.igotkarmayogi.gov.in/app/toc/do_1136368148612055041019/overview?primaryCategory=Course&batchId=0136408501051146247 | 2h 49 min | All |
| | | Online | iGOT Platform | Microsoft PowerPoint Advance | https://portal.igotkarmayogi.gov.in/app/toc/do_1136368153243893761023/overview?primaryCategory=Course | 2h 28 min | All |

| | Training Requirements | Preferred Mode of Training | Course Availability | Course Title | Online Link | Duration | Target Dept. |
|---|---|---|---|---|---|---|---|
| | | Online | iGOT Platform | Excel Advanced | https://portal.igotkarmayogi.gov.in/app/toc/do_11363681497528729611020/overview?primaryCategory=Course | 3h 49 min | All |
| 10 | Training on Contract Management | Online | iGOT Platform | Procurement of Services, Works and Contract Management | https://portal.igotkarmayogi.gov.in/app/toc/do_1134858122342809601393/overview?primaryCategory=Course | 20h | All |
| 11 | `Training on Data Analytics - Basic principles & use cases for ULBs | Online | iGOT Platform | Data Driven Decision Making For Government | https://portal.igotkarmayogi.gov.in/app/toc/do_1137349858229288961285/overview?primaryCategory=Course | 2h 30 min | Information Technology |
| | | Online | iGOT Platform | Insights from Data for Policy | https://portal.igotkarmayogi.gov.in/app/toc/do_1138291610155663361 71/overview?primaryCategory=Course | 5 h | Information Technology |
| 12 | Training on-Computer Aided Design (AutoCAD) | Online | NPTEL | An Introduction to CAD | https://nptel.ac.in/courses/112102101 | -- | PWD/Engineering, Town Planning |
| 13 | Refresher Course-Preparation of Detailed Project Reports | Online | iGOT | Preparation of Detailed Project Report (DPR | https://portal.igotkarmayogi.gov.in/app/toc/do_1137425944336957441191/overview?primaryCategory=Course | 8h 30 min | Works/Engineering/Technology |
| 14 | Training on Advance Construction Methodologies (Global Best Practices) | Online + Offline | iGOT | New Technology Vision 2022 | https://portal.igotkarmayogi.gov.in/app/toc/do_1137667633557340161 76/overview?primaryCategory=Course&batchId=0137681320438824963 | 1h 50min | Works/Engineering |

| | Training Requirements | Preferred Mode of Training | Course Availability | Course Title | Online Link | Duration | Target Dept. |
|---|---|---|---|---|---|---|---|
| 15 | Training on leading practices for operation and maintenance of civil works | Offline | Available at MCMCR powai | | | | Works/Engineering |
| 16 | Training on Quality Control Testing, Systems and Standards - Refresher & Advance | Online + Offline | Course will be available on IGOT by December 23 | | | | |
| 17 | Training on - Latest Technologies in Waste Collection and Processing | Online + Offline | -- | -- | -- | -- | SWM/Environment |
| 18 | Training on Geographical Information System Integration | Online | iGOT | Fundamentals of Geographic Information System | https://portal.igotkarmayogi.gov.in/app/toc/do_11357359725424640016 6/overview?primaryCategory=Course | 4h 45 min | Works/Engineering, Town Planning |
| 19 | Training on Public-Private Partnerships (PPPs) | Online | iGOT | Public Private Partnerships (PPP) for Infrastructure Projects | https://portal.igotkarmayogi.gov.in/app/toc/do_11341288372349337612 00/overview?primaryCategory=Course | 2h 24 min | All |
| 20 | Refresher course on Municipal Finance and Accounting | Online | Course will be available on IGOT by December 23 | -- | -- | -- | Finance / Accounts |
| 21 | Training of project finance and Financial Modelling | Online | Course will be available on IGOT by December 23 | | | | Works/Engineering |

| | Training Requirements | Preferred Mode of Training | Course Availability | Course Title | Online Link | Duration | Target Dept. |
|---|---|---|---|---|---|---|---|
| 22 | Training on Debt and Investment management | Online | Course will be available on IGOT by December 23 | -- | -- | -- | Finance / Accounts |
| 23 | Refresher course of GST & Income tax | Online | IGOT | A course on TDS under GST ACT | https://igotkarmayogi.gov.in/A COURSE ON TDS UNDER GST ACT | 2 hrs | Finance and Accounts |
| 24 | Training on Leadership Development | Online | iGOT | Leadership | https://portal.igotkarmayogi.gov.in/app/toc/do_11382698185823027211 4/overview?primaryCategory=Course&batchId=0138270131963002881 | 1h 35 min | All |
| | | Online | iGOT | Self-Leadership | https://portal.igotkarmayogi.gov.in/app/toc/do_11365133069214515212 8/overview?primaryCategory=Course&batchId=0136606898537431049 | 1h 26 min | All |
| 25 | Training on Dealing with Public (Conflict Management /Anger Management/Difficult Conversations) | Online | iGOT | Conflict Resolution and Negotiation | https://portal.igotkarmayogi.gov.in/app/toc/do_11383673986320793615 1/overview?primaryCategory=Course | 1h 35 min | All |
| 26 | Training on Effective communication skills (Verbal and Non-Verbal) | Online | iGOT | Effective Communication | https://portal.igotkarmayogi.gov.in/app/toc/do_11347312000583270415 2/overview?primaryCategory=Course&batchId=0134765469324165121 3 | 5h 34min | All |

| | Training Requirements | Preferred Mode of Training | Course Availability | Course Title | Online Link | Duration | Target Dept. |
|---|---|---|---|---|---|---|---|
| 27 | Training on improving Language Proficiency | Online | iGOT | Module 12 - Conversation and Vocabulary | https://portal.igotkarmayogi.gov.in/app/toc/do_11362806819146956816 28/overview?primaryCategory=Course | 1h 20 min | All |
| 28 | Training on Stress Management | Online | iGOT | STRESS MANAGEMENT | https://portal.igotkarmayogi.gov.in/app/toc/do_11341229379143270411 77/overview?primaryCategory=Course&batchId=0134355594080256002 | 1h 54 min | All |
| | | Online | iGOT | Complete Journey to Stress Management | https://portal.igotkarmayogi.gov.in/app/toc/do_11382346309095424014 48/overview?primaryCategory=Course | 6h 8 min | All |
| 29 | Training on Effective communication skills (Verbal and Non-Verbal) | Online / Offline | iGOT | Effective Communication | https://portal.igotkarmayogi.gov.in/app/toc/do_11347312000583270415 2/overview?primaryCategory=Course&batchId=01347654693241651213 | 5h 34min | All |
| 30 | Training on visionary Leadership | Online / Offline | Course will be available on IGOT by December 23 | Visionary Leadership | | | For Leadership |
| 31 | Training on effective Public Speaking | Online / Offline | Course will be available on IGOT by October 23 | Public speaking | | | All |
| 32 | Training on enhancing Problem solving and decision-making skills | Online / Offline | Course will be available on IGOT by October 23 | Problem Solving and Decision-making skills | | | For leadership |

| | Training Requirements | Preferred Mode of Training | Course Availability | Course Title | Online Link | Duration | Target Dept. |
|---|---|---|---|---|---|---|---|
| 33 | Training on Persuasive communication Skills | Online / Offline | Course will be available on IGOT by December 23 | Persuasive communication | | | All Departments |

## Annexure II: Sample Training Universe

| Topics, Themes, Areas identified for Capacity Augmentation | IT | Finan-ce | Primary Educati on | Garden/ Horticultu re | General Adminis tration | SWM | Building Develop ment Dept |
|---|---|---|---|---|---|---|---|
| **Administration and Governance Module** | | | | | | | |
| Refresher Course on Maharashtra Municipal Corporations Act, 1949. | SYM, SYA. DS | CAO, DAO, AO, S, DS | EO, DEO, M | ECO, PCO, DS | DC, AO, DS | DC, AC, ACH, CHI, SHI, AO, DS | JD, DD, AC |
| Refresher Course on Maharashtra Regional and Town Planning Act- 1966 | | | | | | | JD, DD, AC |
| Refresher course on Municipal Solid Waste (Management and Handling) Rules- 2000 | | | | | | AC, ACH, EM, CHI, DHI, SHI, HI | |
| Refresher course - e-Procurement Systems and Process | SYM, SYA, DS | AO, DS | | | DC, AO, DS | | |
| Refresher course -RTI Act and Rules | | | | HCLK, CLK | AO, DS, HCLK, CLK | AC, AO, DS, HCLK, CLK | AC, D, HCLK, CLK |
| Refresher course for Enhancing Skills in Note Drafting and Report Writing | HCLK, CLK | HCLK, CLK | HCLK, CLK | HCLK, CLK | HCLK, CLK | EE, DE, JE, AO, DS, HCLK, CLK | D, HCLK, CLK |
| Training on Document Management System & Office Procedure | HCLK, CLK | AO, HCLK, CLK | DEO, SV, ASE, M, HCLK, CLK | DS, HCLK, CLK | AO, DS, HCLK, CLK | AO, DS, HCLK, CLK | HCLK, CLK, D |
| Refresher Course on DM Act, 2005 and Maharashtra State Disaster Management Plan | | | | | | | |
| **IT and Computer Skills** | | | | | | | |
| Refresher course and Advanced Training -MS Office | JE, DS, HCLK, CLK, STN | AO, S, DS, HCLK, CLK | HS, AH, P, SV, D, M, HCLK, CLK | HCLK, CLK | | ACH, EM, CHI, DHI, SHI, HI, AO, DS, | DE, JE, CSO, SV, HCLK, CLK, D |

Sample

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | | | HCLK, CLK | |
| **Project Management** | | | | | | | |
| Training on- Basic principles of Project management, PM Tools and Techniques | SYM, SYA, DS | CAO, DAO, AO, S, DS | | | AO, DS, HCLK, CLK | | DD, AC, UA |
| **Technical and Engineering Module** | | | | | | | |
| Training on Building Information Modelling (BIM) | | | | | | | UA, DE, JE, CSO, SV |
| Training on Computer Aided Design (AutoCAD) | | | | | | | UA, DE, JE, CSO, SV |
| Training on Construction Quality Assessment | | | | | | | UA, JE, DE, CSO, SV |
| Training on - Latest technologies in waste collection and processing | | | | | | EE, DE, JE, EM, AO, DS | |
| Training on Public-Private Partnerships (PPPs) | | | | | | AC, EE, DE, JE, AO, DS, HCLK, CLK | AC, UA, DE, JE, CSO, SV, HCLK, CLK |
| Training on Cloud Computing (Basic principles, AWS, Sales force, SAP etc.) | JE, CP, CD | | | | | | |
| Training on New Technologies ( AI & Blockchain) and use cases | JE, CP, CD | | | | | | |
| Training on - Cyber Security and use cases | SYA, JE, CP, CD | | | | | | |
| Training in Open Space and Landscape Management (Maintenance and Conservation) | | | | PCO, DS, HCLK, CLK | | | |
| **Finance** | | | | | | | |
| Refresher course on- Municipal Accounting & Finance | | CAO, DAO, AO, HCLK, CLK | | DS, HCLK, CLK | | | AC, HCLK, CLK |
| Training on Debt and Investment management | | AO, HCLK, CLK | | | | | |

Sample

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Refresher course on-Government Budgeting principles and processes | | AO, S, DS, HCLK, CLK | | ECO, PCO, DS | DS, HCLK, CLK | | |
| Training on - Audits (Applicable Acts/Rules/Processes) | SYM, SYA, DS, HCLK, CLK | AO, S, DS | | | AO, DS, HCLK, CLK | | |
| Training on Revenue Augmentation | | AMC | | | AMC | | AMC |
| **Soft Skills** | | | | | | | |
| Training on Leadership Development | SYM, SYA | CAO, DAO, AO | EO DEO, HS, P, D | ECO, PCO | DC, AO, DS | DC, AC, ACH, CHI, SHI, AO | JD, DD, AC |
| Training on Dealing with Public (Conflict Management/Anger Management/Difficult Conversations) | | | EO DEO, HS, P, D | PCO, PI, DS | DC, AO, DS | | DD, AC, CSO, SV |
| Training on Effective communication skills (Verbal and Non Verbal) | JE, DCP, CD, HCLK, CLK | AO, S,, DS, HCLK, CLK | AH, SV,ASE, ASL,M, ST, HCLK, CLK | PI, DS, HCLK, CLK | HCLK, CLK, STN | EE, DE, JE, EM, HCLK, CLK | DE, JE, CSO, SV, D, HCLK, CLK |
| Training on improving Language Proficiency | | | ST, HCLK, CLK | HCLK, CLK | HCLK, CLK, STN | HCLK, CLK, STN | DE, JE, CSO, SV, D, HCLK, CLK |
| Training on Stress Management | SYM, SYA | CAO, DAO, AO | EO, DEO, HS, P, D | ECO, PCO, PI | DC, AO, DS | DC, AC, ACH, CHI, SHI, AO | JD, DD, AC |

*Designations and Abbreviations*

| Designations | Abbreviations | Designations | Abbreviations | Designations | Abbreviations |
|---|---|---|---|---|---|
| System Manager | SYM | Principal (ITI) | P | Disaster Management Officer | DMO |
| System Analyst | SYA | Supervisor (Group Director) | SV | Executive Engineer | EE |
| Junior Engineer | JE | Director (ITI) | D | Deputy Engineer | DE |
| Senior Clerk | HCLK | Assistant Superintendent of Engg. | ASE | Junior Engineer | JE |
| Computer Driver | CD | Assistant Lecturer/ Junior Lecturer | ASL | Assistant Commissioner | AC |
| Deputy Superintendent | DS | Senior Clerk | HCLK | Deputy Executive Engineer | DEE |

Sample

## 9. RESOURCES AND END NOTES


- *https://dopt.gov.in/sites/default/files/Mission_KarmYogiBooklet.pdf.* Retrieved from https://dopt.gov.in/: https://dopt.gov.in/sites/default/files/Mission_KarmYogiBooklet.pdf
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