



**CAPACITY  
BUILDING  
COMMISSION**

# Annual Capacity Building Plans Approach Paper



Shri Narendra Modi  
Hon'ble Prime Minister





प्रधान मंत्री  
**Prime Minister**

MESSAGE

It is heartening to learn about the Capacity Building Commission's initiative on creation of Annual Capacity Building Plans for various Ministries and Departments. The endeavour reflects the duty of the government system to nurture, unleash and support the capability of the society.

A key mandate of the Commission is to institutionalize continual capacity building within the Government of India. These plans will help instil a strong sense of collective purpose within civil servants and help them collaborate effectively across the government.

It is notable that the Annual Capacity Building Plans have three special focus areas that are aligned with our national goals. Building capacity to meet New India's national priority of becoming a developed nation by 2047, appreciation of the challenges and opportunities that come with emerging technologies to build a future-ready civil service, and finally, keeping the citizen at the centre of all the efforts.

The plans will serve to empower our civil service institutions to characterize a 'whole of government' approach in policy formulation and implementation.

Our government is working with determination to transform the life of the people. We are guided by the spirit of Nation First to usher in reform in governance.

An effective government machinery banks upon an efficient and high-performing civil service. The Indian civil services form the backbone of governance and bind the nation together by delivering on national aspirations.

Today, our civil servants are solving complex problems in an increasingly dynamic and digitally connected world. It is essential that we significantly develop the existing capacities of our civil servants to make them agile, responsive, and citizen-centric. The Capacity Building Commission is central to transforming government 'karmacharis' into 'karmayogis'.

Amrit Kaal - the period of next 25 years is an opportunity to realise the vision of building a strong, glorious and self-reliant nation.

I congratulate the Commission for developing an approach document to guide Ministries & Departments in the creation and implementation of their own Annual Capacity Building Plans.

May the Commission continue to be instrumental in inspiring our organizations to deliver on the aspirations of New India.

New Delhi

अग्रहायण 08, शक संवत् 1944

29<sup>th</sup> November, 2022

(Narendra Modi)



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# ACRONYMS

<b>ACBPs</b>	Annual Capacity Building Plans
<b>ASK</b>	Attitudes, Skills, and Knowledge
<b>ASO</b>	Assistant Section Officer
<b>CBC</b>	Capacity Building Commission
<b>CBU</b>	Capacity Building Unit
<b>CNA</b>	Capacity Needs Analysis
<b>CRM</b>	Customer Relationship Management
<b>CTI</b>	Central Training Institute
<b>DoPT</b>	Department of Personnel and Training
<b>ERP</b>	Enterprise Resource Planning
<b>HR</b>	Human Resources
<b>iGOT-Karmayogi</b>	Integrated Government Online Training-Karmayogi
<b>ISTM</b>	Institute of Secretariat Training and Management
<b>KPI</b>	Key Performance Indicator
<b>L&amp;D</b>	Learning and Development
<b>LMS</b>	Learning Management System
<b>MDOs</b>	Ministries, Departments, and Organizations
<b>PMHRC</b>	Prime Minister's Public Human Resource Council
<b>RTI</b>	Right to Information
<b>SO</b>	Section Officer
<b>SOPs</b>	Standard Operating Procedures



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# EXECUTIVE SUMMARY

The creation of Annual Capacity Building Plans (ACBPs) for all departments of Government of India is a critical step in fulfilling the vision of Mission Karmayogi - National Programme for Civil Services Capacity Building (NPCSCB). The Mission aims to create a 'citizen-centric, future-ready civil service with the right attitudes, skills and knowledge aligned to the vision of a New India'<sup>1</sup>. This is key to deliver on the aspirations of the citizens of India.

The Capacity Building Commission (CBC) was constituted in 2021 to fulfil the vision of Mission Karmayogi. An integral part of CBC's mandate is to facilitate preparation of Annual Capacity Building Plans (ACBPs) of Departments, Ministries, and Organizations (MDO) of the Government of India.

The objective of creating an ACBP is to:

- (i) Understand and document the capacity building needs of MDOs at the individual, organisational, and institutional levels.
- (ii) Identifying both training and non-training capacity building interventions to bridge these needs. The ACBP is expected to assist in the development and enhancement of capacities of individuals and of MDOs.

This approach paper serves as a guidance document for the preparation, implementation, and monitoring of the ACBPs for MDOs. Specifically, this document provides:



**An overview of Mission Karmayogi and CBC**



**Key lenses and pillars of capacity building**



**A conceptual framework for developing ACBPs**



**Step-by-step guide to develop ACBPs in collaboration with CBC and other experts**



**Broad guidelines concerning the implementation and monitoring of ACBPs**

It is important to reiterate that this approach paper is expected to serve as a guidance document. The approach will evolve as and when CBC receives feedback from relevant stakeholders and hence positive deviations from the described creation steps are encouraged. MDOs are requested to notify CBC of updates made to the ACBP approach, to ensure that best practices are shared across the government.



# MISSION KARMAYOGI

“

Mission Karmayogi is a new experiment of its kind in the direction of capacity building.

Through this mission, the government employees have to modernize their thinking, approach and improve their skill set. It is to give them an opportunity to become a Karmayogi.

”

- Hon'ble Prime Minister Narendra Modi



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 the proper functioning of government makes it essential that they be equipped with the right attitudes, skills, and knowledge aligned to the vision of a New India. Mission Karmayogi refocuses 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.

India's current civil service capacity building landscape has following challenges<sup>2</sup>:

- **Siloed nature of government:** Government officials currently work in geographical, departmental and sectoral silos instead of adhering to a larger unified vision aligned to national priorities.
- **Training based on seniority:** Current training interventions are generally based on factors such as the tenure of officials, their seniority, the availability of funding, the availability of courses, and so on. Thus, they are not targeted to the specific needs of positions, government priorities, the national vision, technological developments, future requirements, and so on.

- **Unstructured training:** Existing training interventions are sporadic and unstructured. Thus, there is a lack of opportunities for continuous learning across various stages of an officials' career.
- **Restricted access to learning opportunities:** Currently training opportunities are available to only a limited number of officials based on factors such as seniority and grade.
- **Sub-optimal learning ecosystem:** Officials do not have access to an ecosystem that emphasises learning in a holistic manner as well as the one that is in sync with adult learning principles.

- **Lack of future-readiness:** Officials do not have access to capacity building measures that equip them for the future.

In addition to augmenting the executive capacity of the State, Mission Karmayogi also aims to equip government officials for the future. The government of the future is expected to be, among other things, agile, data-driven, tech-enabled and citizen-centric<sup>4</sup>. Each of these collective attributes will enable governments to deliver on long-term national goals while being prepared to face unforeseen challenges.

**Figure 1: Institutional Structure of Mission Karmayogi**





The following institutions have been created to operationalise the Mission:

- PM's HR Council (PMHRC): Apex Body that provides strategic direction to the Mission
- Cabinet Secretariat Coordination Unit: Monitors progress and oversees all capacity building interventions.
- Capacity Building Commission (CBC): Key implementing agency of Mission Karmayogi, suggests policy interventions related to HR practices, puts forth recommendations on standardisation of training and capacity building, supervises all central training institutions
- Special Purpose Vehicle: Owns and operates the online platform - iGOT Karmayogi - facilitating world class learning

### 1.1. Guiding Principles of Mission Karmayogi

Mission Karmayogi is guided by certain core principles that are applicable to all capacity building interventions under the program. These include:

- **Shift from rule to role-based capacity building**


Mission Karmayogi focuses on enhancing the attitudes, skills, and knowledge of government officials through role-based interventions. This means a shift from rule-based, supply-driven training to more role-based, demand-driven capacity building. As such, it is targeted to the individual official's needs, wants and aspirations and would be achieved through role-specific, just-in-time, lifelong training for government officials.

- **Move to a competency-driven approach**

A competency-driven capacity-building approach focuses on developing competencies critical for public officials to effectively undertake various roles. In line with the National Training Policy of 2012, Mission Karmayogi introduces a competency framework for the capacity building of the civil services. This framework will govern training, capacity building, and Human Resource (HR) management, including promotions and postings of government officials. Competencies can be defined as a combination of attitudes, skills and knowledge (ASK) that enable an individual to successfully perform a task or activity in a given job.

- **Democratise and enable continuous, lifelong learning opportunities**

Currently, the civil services capacity building eco-system does not provide a continuous learning environment for government officials. Additionally, such efforts cater mostly to a specific group of officials. Thus, Mission Karmayogi aims to change this situation by making opportunities available to all government officials, across hierarchies and geographies. This includes the opportunity to continuously build and strengthen the competencies required for fulfilling their respective roles. It will also provide equitable access to learning material across different levels of the government thereby making world-class capacity-



building initiatives available to all sections of the civil service.

➤ **Move beyond silos in the Government**

Mission Karmayogi aims to break silos across the various ministries/departments, to encourage collaborative effort in achieving shared national goals and priorities.

➤ **Shift to the 70-20-10 model**

Mission Karmayogi proposes designing learning opportunities based on the 70-20-10 model of life-long learning. The 70-20-10 model is constructed on the following principle:

- 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

➤ **Link goal setting, planning & and achievements**

Mission Karmayogi aims to align learning and capacity building with organisational goals and the career goals of individual officials. This would also include performance measurement.

➤ **Establish unbiased systems of evaluation**

Under Mission Karmayogi, there will be objective, fair, and independent assessments to determine performance.

➤ **Shift the mind set of public officials toward training and capacity building**

The goal is to shift the mindset of public officials from pursuing or delivering training due to compliance, to pursuing it due to a love for learning and teaching.

“

The iGOT platform will enable the transition to a role-based HR management & continuous learning. Mission Karmayogi aims to prepare Civil Servants for the future by making them more creative, constructive & innovative through transparency and technology.

”

- Hon'ble Prime Minister Narendra Modi



## iGOT-Karmayogi

*iGOT-Karmayogi is an online learning platform being developed as part of Mission Karmayogi for capacity building of approximately 2 crore civil servants. The content can be curated by individual government ministries, in-house or through knowledge partners. Carefully crafted*

*and vetted content from best-in-class government and non-government institutions, universities, private content providers and individual resources will be made available as training modules through the platform.*



Visit  
[www.igotkarmayogi.gov.in](http://www.igotkarmayogi.gov.in)  
to register



# CAPACITY BUILDING COMMISSION

“ Centre started Mission Karmayogi and set up a Capacity Building Commission to introduce a people-centric approach and efficiency in bureaucracy.

- Hon'ble Prime Minister Narendra Modi



The Capacity Building Commission (CBC) was formally constituted as an independent body in April 20215 to drive the standardisation and harmonisation of capacity building interventions across the Indian civil services landscape. CBC's mission is to create optimal learning opportunities for each civil servant with the objective of building an agile and future-ready civil service<sup>6</sup>.

The Commission is mandated to perform the following key functions<sup>7</sup>:

1. **Facilitate preparation of the Annual Capacity Building Plans** of the ministries, departments, and organizations (MDOs)

and submit the plans for approval to PMHRC.

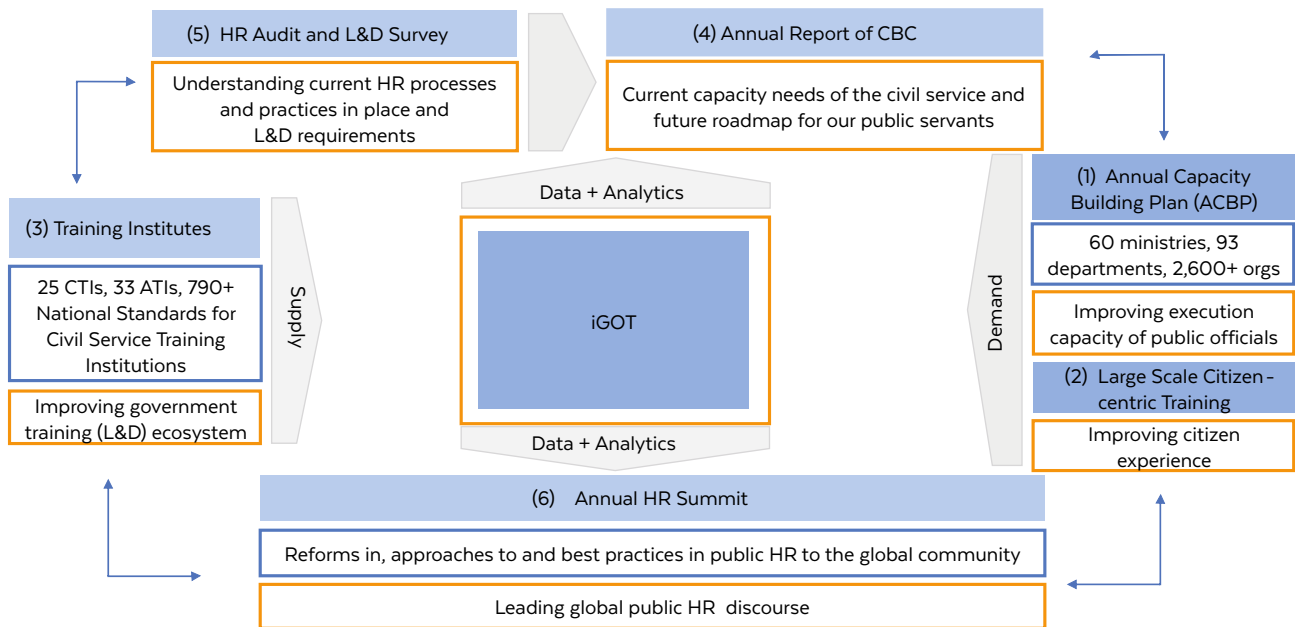
2. **Exercise functional supervision over institutions** engaged in providing training to civil servants
3. **Prepare an Annual HR Report**
4. **Undertake an audit of human resources** available in the Government and present the findings and recommendations to the Cabinet Secretariat Coordination Unit.
5. **Make recommendations about the standardization of training**, capacity building, andragogy and methodology, including coordination with Government

training institutions in conducting further research in these areas.

6. **Make recommendations about policy interventions** in the areas of personnel/HR and capacity building.
7. **Undertake an assessment of data captured on the iGOT-Karmayogi** pertaining to the various aspects of capacity building, including content creation, competency mapping and feedback.
8. **Organize the Annual Global Public HR Summit** under the overall guidance of the PMHRC and the Cabinet Secretariat Coordination Unit.
9. **Approve knowledge partners for the program.**



**Figure 2: Emerging Ecosystem of Civil Services Capacity Building**



**Figure 2 shows the Emerging Ecosystem of Civil Services Capacity Building as envisioned by CBC.**

As can be seen, demand for capacity building will be driven by the creation and implementation of ACBPs across all MDOs. The ACBPs will provide a detailed analysis of individual and collective organisational needs for the MDO, based on which interventions will be designed, implemented, and monitored. Specific citizen-centric behavioural training will focus on improving citizens' experience while engaging with the State.

Regarding supply side, the focus will be on improving the government learning and development ecosystem. CBC has developed the National Standards for Civil Services Training Institutes (NSCTI) as a benchmark for measuring the existing capacity of government Training Institutes. Targeted interventions across focus areas such as faculty development, training needs assessment, operations & governance will guide the transformation of these institutes and Centres of Excellence.

HR Audit and Learning & Development Survey will help in gathering an understanding of the current HR processes and practices in place, and future L&D requirements. This understanding will help recommend measures for improvement and will be documented in the Annual Report of CBC.

Insights generated by analysing data emanating from the iGOT Karmayogi platform will also inform the Annual Report of CBC, HR Audit, and the global discourse on public sector HR and capacity building. India will lead this global discourse by organising an annual HR Summit.



## CAPACITY BUILDING

“

Mission Karmayogi aims to prepare Civil Servants for future by making them more creative, constructive & innovative through transparency and technology.

”

- Hon'ble Prime Minister Narendra Modi



The Commission defines capacity building as

“

*the process of building, developing, and enhancing the abilities, talents, competencies, efficiency, and qualification of individuals, organisations, and institutions to increase the executive capacity of the State to achieve common national goals now and in future.*

”

# 4 ANNUAL CAPACITY BUILDING PLAN

“ Today, India is rapidly moving towards becoming a digitally empowered society. Information Technology is being used not only to simplify processes but also to ensure transparency and quality of services. Digital technology is being expanded to make the civil services more convenient.

- Hon'ble Prime Minister Narendra Modi




As noted, one of the key mandates of the Commission is to facilitate the creation of an Annual Capacity Building Plan (ACBP) for each MDO of the government.

CBC views the process of capacity building as a marathon, not a sprint. Through the ACBP exercise, it intends to expand the public sector capacity building by going beyond training. Thus, while the ACBP exercise identifies MDO-specific training interventions to build individual capacity, it also looks at organisational interventions that can build capacity of an MDO as a whole or can be scaled up to build capacity pan-government.

The ACBP of a MDO is document detailing all the interventions required to develop and enhance the competencies of individual officials within that MDO as well as the collective capacity of the MDO. Given the nature of the change required, the ACBP may begin with a few simple focus areas instead of comprehensive coverage, and then evolve overtime into a full-fledged workplan.

Creation of ACBP will focus on identifying the demand for capacity by conducting a Capacity Needs Analysis (CNA). The implementation phase will in turn focus on the supply-side of the process. Table 1 lists the demand and supply sides to the ACBP exercise.





Demand	Supply
<ul style="list-style-type: none"> <li>➤ Visioning Exercise</li> <li>➤ Capacity Needs Analysis               <ul style="list-style-type: none"> <li>● Individual competency gaps</li> <li>● Organisational capacity needs</li> </ul> </li> <li>➤ Consultations</li> <li>➤ Surveys</li> </ul> <ul style="list-style-type: none"> <li>➤ Multilateral Organizations</li> </ul>	<ul style="list-style-type: none"> <li>➤ Training institutes associated with respective ministries</li> <li>➤ Other government training institutes</li> <li>➤ iGOT Karmayogi platform</li> <li>➤ Partner training institutes outside of India</li> <li>➤ Indian and foreign universities</li> <li>➤ MDOs implementing interventions that are pan-government</li> <li>➤ Private sector organisations from and outside India</li> <li>➤ Central and State Public Sector Undertakings/Enterprises</li> </ul>

The following section covers the conceptual framework of the ACBP. It is followed by the specific suggested steps for the creation, implementation and monitoring and evaluation of the ACBP by an MDO.

#### 4.1 A Conceptual Framework for Development of Annual Capacity Building Plans

The content of an ACBP will be based on the following two aspects:

- i) Three Lenses: Focus areas for capacity building exercise
- ii) Three Pillars: Scope of capacity building exercise

**Figure 3: CBC’s Approach to Capacity Building**

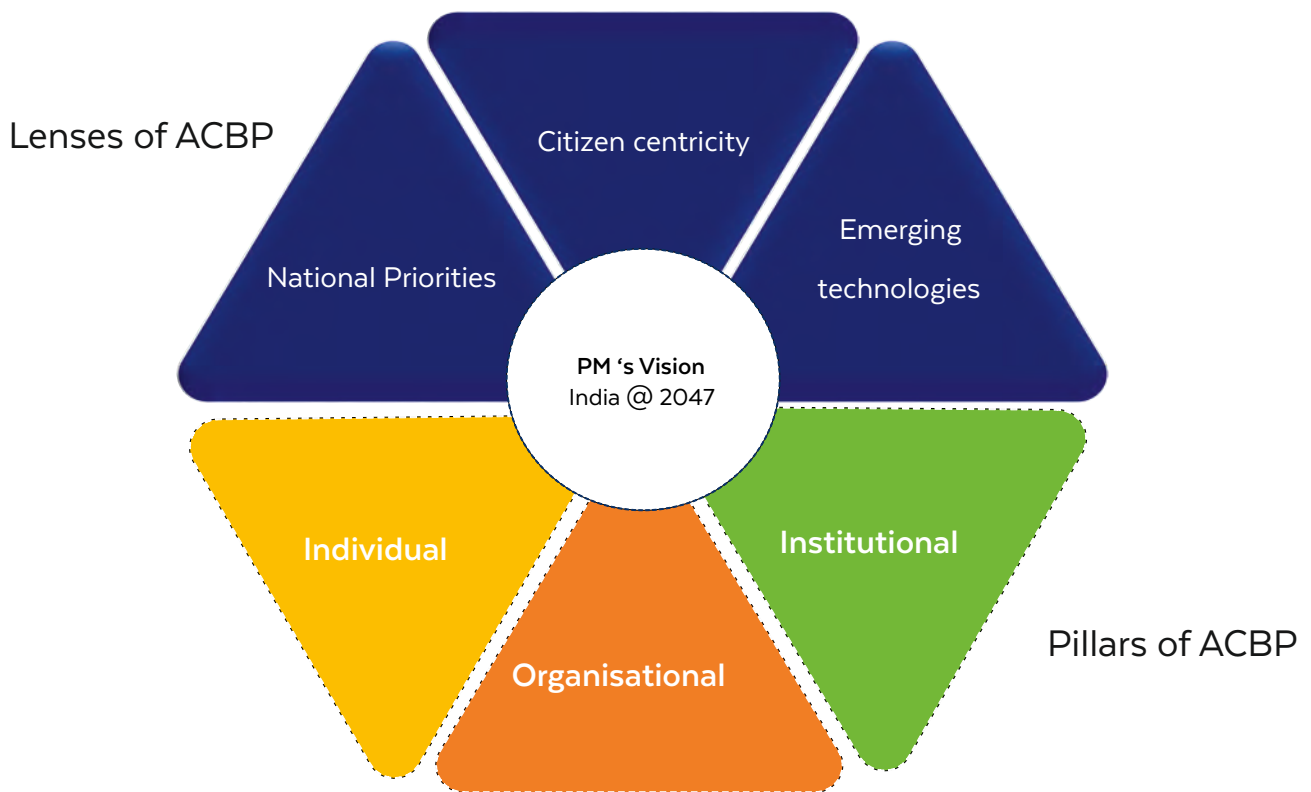


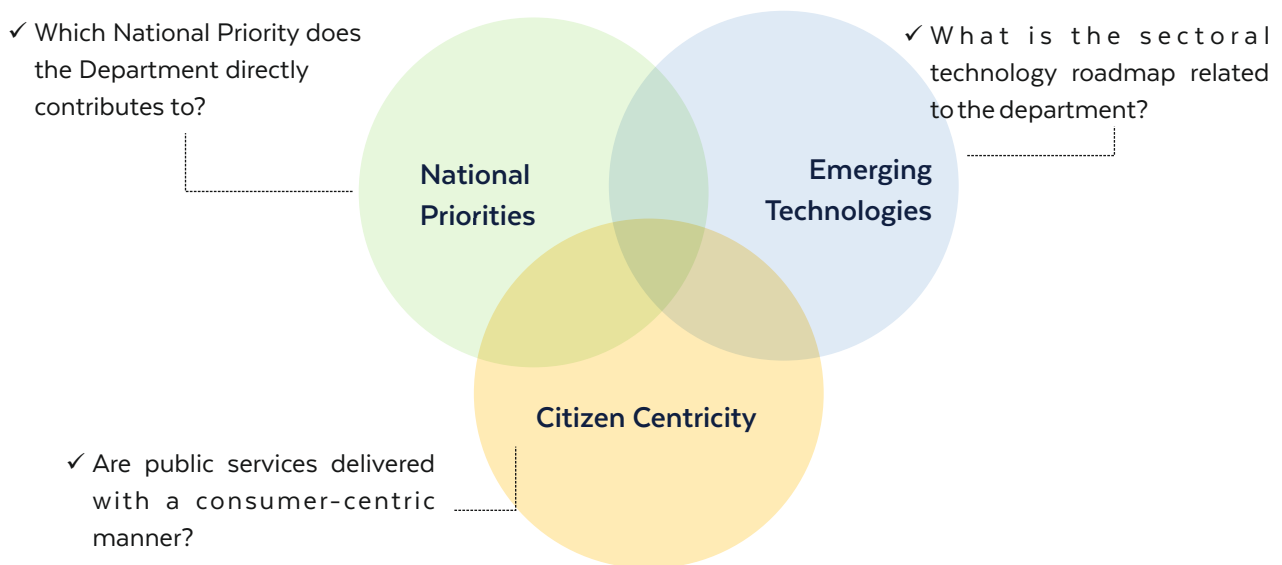
Figure 3 shows the three lenses of ACBP, namely National Priorities, Emerging Technologies, and Citizen Centricity. It also displays the three pillars of ACBP, namely individual, organisational, and institutional capacity building. Each of these has been elaborated in the sections below.

### 4.1.1 Three Lenses: Focus areas for capacity building exercise

Capacity building is a goal-oriented exercise. Each MDO is expected to arrive at its own capacity building goals. To facilitate this process, the CBC has identified the following

three focus areas: Contribution to National Priorities, Ability to assess Emerging Technologies, and Citizen-centricity. These have been elaborated on below.

**Figure 4: Three lenses of Capacity Building**




#### ➤ **Lens 1: National Priorities**

This lens examines how the MDO contributes to National Priorities now and in the future. National Priorities includes goals such as creation of a \$5 trillion economy and Ease of Living. The vision, mission, goals and objectives of the organisation are studied to understand how these will directly contribute to such priorities over a 3-5 year time horizon.

The next step is to gauge whether the MDO has the capacity to achieve such goals and arrive at gaps in capacity, if any, at the individual and organisational level. *Addressing these gaps through training and organisational interventions then becomes a key goal of the ACBP.*

#### ➤ **Lens 2: Emerging Technologies**

In continuation with the overall pursuit of being future-ready, the second focus area



looks to understand the potential impact of and challenges surfacing due to the key technology trends emerging within the relevant sector in which the MDO operates. It then assesses the MDO's capacity to regulate these technologies in an optimal manner – capitalising on the potential impact while mitigating identified challenges. For example, regulating the usage of Unmanned Aerial Vehicle (UAV) technology such that the Ministry of Civil Aviation can safely introduce UAVs in its operations, or the Ministry of Agriculture and Farmers Welfare can introduce UAVs for crop oversight and safety assessments.

For the ACBP exercise, the MDO will identify relevant technologies through a road-mapping exercise. Based on this exercise, it will be important to gauge the kind of capacity the MDO has and needs to have, including the regulation of such technologies. Gaps in such capacity would then be targeted by the ACBP of the MDO.

➤ **Lens 3: Citizen-centricity**

This lens is aimed at promoting citizen centricity and customer serviceability as a guiding principle while building government capacity. It involves inspecting the MDO's key citizen centric governance objectives such as transparent and efficient public service delivery, hassle-free citizen experience, representation of citizen interests and inclusion of citizen inputs during policy/scheme formulation, stability and continuity of various citizen centric schemes, maintaining smooth and

effective grievance redressal mechanisms, participatory governance and so on. Additionally, it gauges the ministry's contribution to the Prime Minister's vision of Ease of Living.<sup>15</sup>

In the case of ministries/departments that do not interface with citizens directly but instead serve them as customers, this lens will expand to include customer focus and service excellence.

Once it is established how an MDO services the citizens or enables citizen centricity, the next step is to examine the MDO's capacity to do this effectively at the individual and organisational levels. This will be done via self-assessment at all levels of the organisation. Addressing capacity gaps found at the individual or organisational level will become a key goal of the ACBP of the MDO.

For example, as a part of large scale capacity building intervention, the Ministry of Railways has recently concluded initiated behavioural training of 1,00,000 of its customer-facing frontline staff to enable 'People First, Service Excellence'.

It is important to note that the three focus areas are expected to *guide* ministries/departments in setting capacity-building goals. As such, they are only indicative in nature. Where appropriate, the MDOs are free to choose goals that are beyond the ambit of the above three areas. However, the MDOs are also expected to prioritise goals that ensure their future readiness.

## 4.1.2 Three Pillars: Scope of Capacity Building Exercise

Capacity is developed at three levels: individual, organisational and institutional

(as seen in figure 4). These are referred to as the three pillars of capacity building.

**Figure 5: The Three Pillars of Capacity Building**



### Pillar 1: At the Individual Level

Competencies form the basis of individual capacity building. *A competency is defined as the combination of attitudes, knowledge, and skills that enable an individual to perform a job or task effectively.* Capacity building at the individual level refers to the process of **equipping individual government officials with the competencies required to effectively perform their assigned roles.**

For example, developing ‘project management’ as a competency for the role of a Director or developing ‘attention to detail’ as a competency for an Assistant Section Officer (ASO).<sup>8,9</sup>

#### a. Capacity Constituents at the individual level:

There are three categories of competencies:

➤ **Behavioural competencies:** These are a set of benchmarked behaviours displayed (or

observed / felt) by individuals across a range of roles within the MDO. For example empathy and leadership.

➤ **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 of a MDO or set of related ministries /departments. For example, public health policy development and water resources management.

➤ **Functional competencies:** These competencies help cater to the operational requirements of an MDO such as administration, procurement, financial management, and so on. Functional competencies are applicable across a wide range of ministries/departments of the

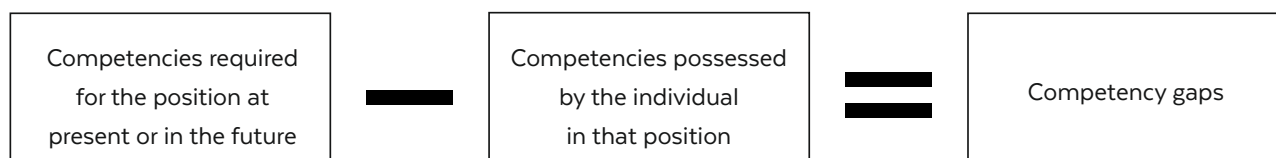
Government. For example budgeting, project management, and data analysis.

**b. Building capacity at the individual level:**

At the individual level, capacity is built by addressing the competency gaps of

individual government officials. Competency gaps refer to the difference between the competencies required for a position and those that an individual official possesses.

**Figure 6: Identification of a competency gap**



As seen in Figure 5, to identify the competency gap, the competencies required by a **position in present times or in the future** are compared with the competencies possessed by the incumbent **individual**. In terms of building capacity at the individual level, we must consider the competencies required for a position. For example, the Joint Secretary (Administration) of a MDO will require competencies such as budget administration, public procurement, et cetera. These will be based on the roles undertaken by the position. In the future, they may require competencies related to Internet of Things, ubiquitous computing, et cetera. Similarly, an Anganwadi worker will require competencies such as record management, stakeholder engagement, attention to detail, et cetera.

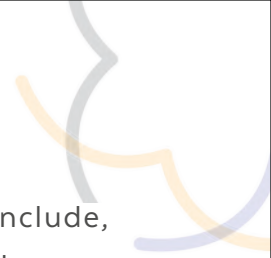
**In the first year of ACBP implementation, capacity building at the individual level will be done through position-level interventions.** Gaps will be assessed and bridged for all government officials within a specific position collectively. For example, if a department has 50 ASOs, All ASOs with unique roles (for

example, an ASO in the vigilance section, cash section, et cetera.) will be asked to self-assess their competency gaps. Based on the self-assessment, suitable training interventions will be identified for all 50 ASOs. Training interventions are defined below.

In the long run, once a FRAC consultant is hired for the MDO, competency gaps will be assessed for each individual, leading to customised training for every official (as opposed to unique roles). Thus, if an MDO has 50 ASOs, competency gaps identified for each may differ. By extension, the recommended training interventions would be specific to each official's needs.

Once competency gaps are identified at the individual level, they will be addressed through **training interventions**.

**Training interventions** refer to structured learning opportunities provided to individual officials. These interventions have clearly defined learning objectives (competencies to be developed/enhanced). They are based on design of learning materials, delivery mode/s



(for example, instructor-led, peer-to-peer, on-the-job), and assessment/s. Examples of training interventions would include a course on noting and drafting created by Institute of secretariat Training and Management (ISTM), or an immersion program designed by the Ministry of Ports, Shipping, and Waterways with the objective of ensuring SOs learn about the day-to-day functioning of ports.

Once identified, the MDO can invest in these training interventions to address the competency gaps of its officials.

## **Pillar 2: At the Organisational Level**

This refers to the process of *building the capacity of collective and shared aspects of the organisation* such as existing processes, digital and physical infrastructure and technological capabilities that enable the organisation to achieve its goals.

### **a. Capacity constituents at the organisational level:**

Capacity at the organisational level is assessed based on the collective aspects of a ministry or department. Some examples of these aspects include:

- **Technology and Data:** This dimension deals with the technology solutions employed by the MDO to improve its functioning. Examples include software that enables shorter turnaround time on repetitive tasks, digital tools that increase efficiency or enable faster resolution of pain points, and PQSoft for management of parliamentary questions for the MDO.
- **Systems and Processes:** This dimension includes all the established systems and processes of the MDO to carry out its day-

to-day functions. Examples include, monitoring mechanism for schemes, standard operating procedures, Learning Management Systems, et cetera.

- **Resources and Assets:** This includes the resources and assets of the MDO such as hard and soft infrastructure that the MDO uses for its day-to-day functioning. For example: the physical premises, budgets et cetera.
- **Partnerships and Relationships:** This dimension includes all external partnerships that the MDO is part of such as those with other ministries/departments, global organisations and citizen groups.
- **Personnel Management:** This includes all the functions associated with managing human resources of the MDO such as performance appraisals, training and development, performance management, succession planning et cetera.

### **b. Building capacity at the organisational level:**

Organisational capacity of Ministries/ departments will be developed through **organisational interventions**.

**Organisational interventions** are initiatives that improve the shared aspects within which officials operate (e.g., systems and processes, technology and data, resources and assets, et cetera.) - thereby, improving the collective capacity of the MDO. Some examples of organisational interventions include automation of repetitive processes within the department/organisation, procurement of an online collaboration tool, knowledge management et cetera.

In the context of building capacity at the organisational level, organisational interventions will include initiatives taken by the MDO to enhance the capacity of the organisation as a

whole by investing in improving one or more of its dimensions (as defined above). Table 1 lists some organisational capacity building interventions.

**Table 2: Illustrative list of organisational capacity building interventions**

<b>Organisational Interventions for Capacity Building</b>			
<b>No.</b>	<b>Intervention</b>	<b>Type</b>	<b>Use Case / Examples</b>
1	Knowledge Bank	Internal Wikipedia, Newsletters, Process documentation, Research papers, Reports	Wikipedia that documents internal Standard Operating Procedures (SOPs); how to apply for leave using eLeave, how to use the eFile records management system, et cetera.
2	Infrastructure	Libraries, Auditoriums, iGOT onboarding, ERP, CRM, Apps	Game-based learning application
3	Consultancy	Management, Operational, Domain-expertise, Strategic	Department of Commerce's organisational restructuring by professional services of a management consulting firm
4	Project governance	Creation of task forces, Project review cycles	Institutionalise project review cycles (focusing on the successes, failures and distilling lessons learnt for future use)
5	Community (Citizens and Customers)	Creation of effective feedback mechanism	Cultivating a culture of daily morning feedback meetings where stakeholder feedbacks is reviewed <ul style="list-style-type: none"> <li>- 'Why-Why' analysis is undertaken</li> <li>- Emphasis is on stakeholder satisfaction</li> </ul>
6	Technology	Internet access, Process automation	Online tools for data collection





A longer list of sample organisational interventions categorised based on the dimensions noted above is attached to this document as Annexure 1. This list will be updated over time, based on inputs from various stakeholders and will be made accessible to all MDOs accordingly.

The ACBP exercise is expected to take the discourse on public sector capacity building **beyond training**. This exercise looks at capacity building as a long-term process, with training interventions forming only one, albeit an important, aspect of the larger capacity building process.

### Pillar 3: At the Institutional Level

Institutional capacity building refers to changes made in the norms, policies and regulations that guide the functioning of individuals and organisations. In the context of the government, institutional capacity building refers to policy level interventions that affect all ministries and departments of the government. For example, The National Training Policy 2012, Mission Karmayogi, creation of the Capacity Building Commission. All these are examples of interventions that affect the government as a whole.<sup>12|3|4</sup>

**Table 3: Summary of levels of capacity building**

Level of capacity	Individual	Organisational	Institutional
Constituents	Attitudes, skills and knowledge, that is, competencies of individual officials	Shared and collective aspects of a MDO such as shared infrastructure, systems and processes et cetera.	Attributes of the government as a whole
Capacity building examples	Training interventions  For example, Course on noting and drafting by ISTM undertaken by an ASO of the MDO	Organisational interventions  For example, Investment by the MDO in knowledge management software	Organisational interventions (All-of-government reforms)  For example, Launching Mission Karmayogi, creation of the CBC

Since institutional capacity building interventions affect all ministries/ departments of the government, the scope of the ACBP exercise for a specific MDO is not expected to cover institutional measures. However, the MDO is encouraged to initiate

pilot interventions that can serve as a best practice for the rest of the government. Such pilots have the potential to be scaled up. CBC is committed to providing support for such interventions.

# 5

## STAGES OF ANNUAL CAPACITY BUILDING PLANS

“

Efficiency of government departments has increased due to the efforts of our Karmayogis.

”

- Hon'ble Prime Minister Narendra Modi



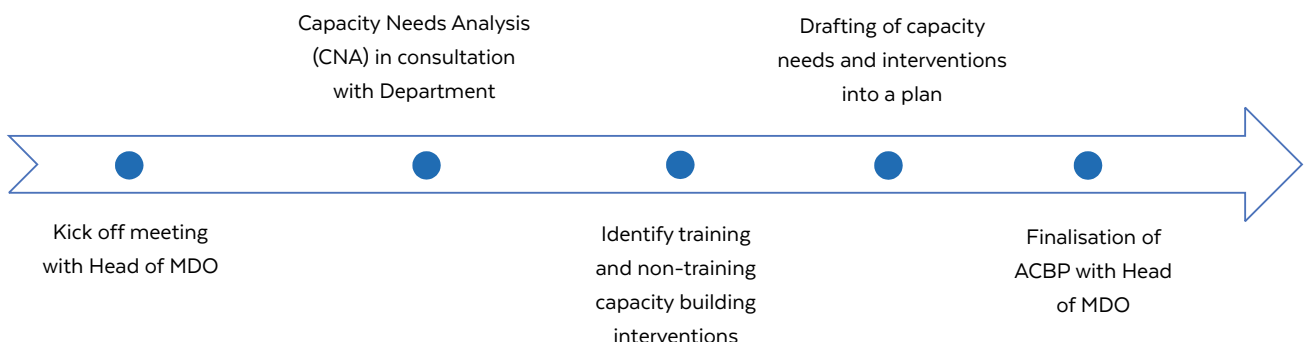
### 5.1 Stage 1: Creation of ACBP

To further support MDOs in the creation of their ACBPs, CBC has detailed set of steps (as seen in figure 7). Further details on each step are given below.

Once the ACBP has been finalised and

approved by the MDO's senior leadership, it is recommended that it be published on the MDO's official website. A blueprint, capturing all the key elements of an ACBP, has been attached to this document as Annexure 2.

### Figure 7: Suggested Steps for creating Annual Capacity Building Plan



## Capacity Needs Analysis

<p><b>Mapping of work undertaken by staff/officials</b> working in unique designations/roles across various levels in the department and <b>mapping key internal organisational practices</b></p>	<p><b>Meeting with officials of Ministry/Department</b> Identification of a nodal officer/CBU head Detailed discussions with regards to the preparation of ACBP, formats to be followed for information collation</p>
<p><b>Mapping future requirements of the department</b> for example, training required for anticipated sectoral challenges</p>	<p><b>Identification of required competencies</b> and the gaps thereof at individual level for each unique role and <b>identification of organizational capacity gaps</b> based on self-declaration by the department</p>
<p><b>Identification of training and non-training capacity building interventions</b> through which individual and organisational gaps can be addressed, <b>enlisting priority interventions</b>, leveraging internal resources available to the department like <b>training institutes</b></p>	<p><b>Labelling identified gaps</b> into 3 categories (Domain, Functional, Behavioural) for individuals and into 5 buckets for the organisation (Technology, Systems &amp; Processes, Resources &amp; Assets, Partnerships, Personnel Management)</p> <p><b>Documentation of capacity building interventions</b> <b>Training interventions</b> (Individual): Finalise list of courses , level of training (basic, advanced), duration and method (online/offline) <b>Non-training interventions</b> (Organisational): Year wise list of initiatives to be undertaken</p>

### Step 1: Introducing Mission Karmayogi and identification of programme objectives

Participants: Senior leadership – including but not limited to the Secretary, Additional Secretaries, Joint Secretaries, CEOs, Director-Generals, et cetera. – of the MDO

As the first step, a joint meeting will be convened between the CBC and the MDO’s senior leadership. The senior leadership of the training institutes associated with the MDO will be invited to the meeting. At the meeting, the following will occur:

- The mandate and objectives of Mission Karmayogi, CBC and ACBP’s conceptual framework (section 4.1) will be shared
- Priorities of the MDO, for the ACBP exercise, will be identified and documented
- Potential nodal officers and members of the MDO’s Capacity Building Unit (CBU) will be identified

#### Expected Output:

Minutes of the meeting that clearly capture the vision of the senior leadership for the ACBP.

### Step 2: Creation of a Capacity Building Unit (CBU)

The next step will be the creation of a Capacity Building Unit (CBU) within each MDO. It is suggested that every MDO create a CBU to effectively manage their capacity building interventions. The CBU will drive all the processes required to build capacity within the MDO including the creation of ACBP in close association with the CBC.

The CBU will consist of officials from the MDO itself and may include Administrative Officer(s) of training institutes associated with the MDO, as well as specialists empanelled by the MDO or CBC. The detailed scope of work and constitution of a CBU has been attached as Annexure 3 to this document for reference.

Expected Output: Order issued by the MDO formally constituting the CBU with details of its members and nodal officers

### Step 3: Documentation of information on existing and potential capacity building interventions

After the CBU has been created, its first task will be gathering the documentation associated with capacity building of the MDO.

Documentation associated with **capacity building at the individual level** will include

- The organogram, roles and responsibilities of individual officers within the MDO using documents such as Work Allocation Orders, Right to Information (RTI) submissions and so on.
- Current programs and institutions associated/ affiliated with the MDO that contribute to the capacity building of personnel
- Documented feedback (if available) concerning existing capacity building programs

Documentation associated with **capacity building at the organisational level** will include

- Organisational structure of the MDO
- Documented vision, mission, and goals of the MDO - key programs, priorities, strategic objectives and goals, emerging trends/ focus areas
- Institutional processes that guide the flow of work across various verticals of the MDO
- Types of resources and assets owned and managed by the ministry
- Steps taken by the MDO to document and manage knowledge
- Technological upgradations and investments made in the last decade as well as plans for such upgradations in the near future

#### **Step 4: Roadmapping exercise in collaboration with Head(s) of Department(s)**

In this step, the senior leadership of the MDO, along with senior leadership of the training institutes associated with the MDO, is invited to share their vision for the MDO, as well as the corresponding capacity building interventions

needed to achieve the same over a 3-5 year horizon. This big picture vision is then translated into smaller actionable goals for each of the ministry's departments and divisions. These goals help determine the capacity building needs of the ministry.

A questionnaire that will help facilitate the discussion about the leadership's vision has been attached to this document as Annexure 4.

Expected Output: A note capturing answers to the questionnaire provided in Annexure 4

#### **Step 5: Collection of inputs from officials across various levels**

In this step, the CBU team will consult with the MDO's staff to gather information regarding the type of capacity gaps that exist at the individual and organisational level across various divisions and hierarchical levels of the MDO. This may take the form of physical/ digital surveys, interviews, focussed group discussions, or workshops in accordance with the availability of officials.

These inputs will help determine the type of training and organisational interventions that need to be implemented by the MDO.

Expected Output: Capacity Needs Analysis (CNA), which will capture both training needs and collective organisational needs of the MDO.

A sample format of a CNA has been attached as Annexure 5 to this document.

#### **Step 6: Drafting the Annual Capacity Building Plan**

This stage will include the final drafting of the ACBP by the CBU team based on inputs from Steps 1-5. The ACBP exercise will be considered complete after sharing the plan with and receiving confirmation of approval from the senior leadership of the MDO.

Expected Output: A draft template has been attached as Annexure 6 to this document. In addition, Annexure 7 contains a sample Table of Contents of an MDO's ACBP report.

## **5.2. Stage 2: Implementation of the ACBP**

The ACBP creation is the first step in the capacity building process for an MDO. It merely serves as a roadmap to improve the effectiveness of officials and the organisation as a whole.

After the creation of the ACBP, the next step would be to create a Capacity Building Calendar. This calendar will list the training and organisational interventions that need to be implemented on priority to address the capacity gaps identified at the individual and organisational levels of the MDO. Training interventions will also accommodate needs of officials who have recently joined the MDO, or who have joined a new division within the MDO after an inter-departmental transfer.

The calendarization of interventions will be in a phase-wise manner. Since only a certain number of officials will get trained in one year, the other officials will be prioritised in the next year and so on till all officials are trained to address the capacity gaps. Similarly, organisational interventions identified may also be phased across multiple years if required. This phase-wise implementation of training and organisational interventions will be decided by the MDO basis logistical and operational constraints.

Some interventions, particularly training interventions, will recur multiple times in one year based on certain conditions. For example, a new induction training programme can be made mandatory as part of the ACBP exercise and any new joiner will automatically be enrolled for it on the date of joining. Similarly,


some other training programmes may repeat multiple times in a given year whenever an official joins a division after an inter-departmental transfer.

While finalising the training and organisational interventions, following entities may be considered:

- Training institutes associated with the MDO
- Other government training institutes
- iGOT Karmayogi platform
- Universities and other academic institutes from and outside India
- Central and State Public Sector Undertakings/Enterprises
- Partner training institutes outside India
- Private sector organisations from and outside India
- Multilateral Organizations

For this purpose, a workplan will be outline in the ACBP which will articulate the year-on-year capacity-building goals of the MDO. For each goal, the MDO will identify relevant resources which will be deployed to contribute to the creation of the Capacity Building Calendar. A sample workplan has been attached to this document as Annexure 8.

While the ACBP will be an overall plan for the ministry to build capacity, the Capacity Building Calendar will list the specific steps required to operationalise the ACBP. It will clearly outline the objectives of the capacity building interventions as well as logistical details of the same, such as details of the capacity building partners, timelines, duration, budgets, venue, mode and officials involved. It will be the responsibility of the CBU to develop this calendar and ensure that it is followed by all divisions of the MDO. It will also be responsible for the allocation of resources (monetary or otherwise) to officials to be able



to participate in such capacity-building interventions.

A sample Capacity Building Calendar has been attached as Annexure 9.

### **5.3. Stage 3: Monitoring and Evaluation of Capacity Building Interventions**

Mission Karmayogi has been designed to enable continuous performance analysis, data-driven goal setting and real-time monitoring<sup>16</sup> of capacity building interventions undertaken by ministries/departments.

Mission Karmayogi's Monitoring and Evaluation Framework will help in defining clear linkages between national aspirations and priorities, departmental strategies and objectives, and internal and external ecosystem drivers, ensuring synthesis in goal setting and harmonisation in reporting practices.

The ACBP is one of the key elements of this framework. It will enable the identification of Key Performance Indicators (KPIs) at the departmental and national levels, and thus form the basis for all monitoring and evaluation activities.

Monitoring of capacity building will include both training and organisational interventions. KPIs for this purpose will be derived from the capacity building activities planned by ministries/departments as documented in their Capacity Building Calendars. KPIs for training interventions will include those specific to the MDO as well as standard training indicators such as rate of completion of a course, average time to completion, attendance rates and so on. Monitoring of organisational interventions will include creating milestones for such interventions where applicable and tracking them to completion. An example of such an

intervention would be an HR audit. Each step of such an audit such as reviewing current HR policies, collection of data, provision of feedback and creation of action plans will be a milestone that will be monitored by the CBU.

It is recommended that the MDO share the progress of ACBP creation and implementation with the CBC. This will enable the CBC to augment the ACBP exercise by providing MDO-specific and targeted support.

At the end of the year, the CBU will work with the CBC to carry out an evaluation of the effectiveness of all capacity building interventions. This will involve measuring the impact of all interventions on outcomes such as quality of service delivery, productivity, and overall success metrics for the MDO. The nature of these metrics will depend on the nature of the ministry and its overall goals and vision.

The performance of all ministries and departments vis a vis the KPIs will be reported to the PM's HR Council through the PM Karmayogi dashboard. This dashboard has been conceptualised to not only be available to the Prime Minister and ministry leadership but also to our citizens.

In addition to the PM Karmayogi dashboard, the performance related to the KPIs of ministries/departments will be covered in the Annual Report of CBC. This report will capture the state of affairs of the civil services as a whole, capturing its achievements, changing responsibilities, as well as its contribution to national progress.



## Conclusion

Mission Karmayogi aims to catalyse effective public service delivery by bringing comprehensive reform to the current capacity-building apparatus at the individual, organisational, and institutional levels. In this context, well developed Annual Capacity Building Plans (ACBPs) are a key step toward achieving this goal. The ACBPs will assist MDOs in carrying out a capacity needs analysis and in mapping capacity building interventions specific to their needs.

This approach paper is meant to serve as a guidance document. As such, it is aimed at providing an overview of how a MDO can create, implement, and monitor an ACBP specific to its needs. This document is expected to evolve over time and feedback from all stakeholders is welcomed.

## Additional reading

### Best Practices on Capacity Building

Public officials today are facing increasing pressure to deliver better services with fewer resources. This requires, among other things, an investment in skills. This presents a dual challenge: the first is to identify skills required by public officials to prepare them for current and future challenges; the second is to ascertain how officials will develop these skills. In the public sector, a competency framework is one method to tackle this dual challenge. Competency frameworks allow organisations to undertake targeted individual training, which can then be linked to performance management.<sup>17</sup> Capacity-building initiatives that employ competency frameworks often have certain central aspects. These include<sup>18 19</sup>

- **Establishing standards** to improve performance, recruitment and address competency gaps: Through the identification of behaviours, attitudes and skills necessary for successful performance and growth in line with the organisation's objectives
- **Emphasising human resources** as essential to the organisation's prosperity and goals: By clearly setting expectations for each role, the competency frameworks allow civil servants the opportunity to improve their skills. This process puts the ability of building competencies directly into the hands of these officers -leading to improved efficiency, productivity and ability to do things better
- Empowering a department to **grow, diversify and adapt to future challenges:** The competency frameworks allow the development of diverse capabilities and

skills enabling both accumulation of specific domain knowledge as well as functional abilities

- **Creating public value through the development of civil servant** who are better equipped to fulfil their duties

Government organisations faced with delivering programmatic results such as better policies or public schemes require more innovative, efficient, technology-enabled civil servants for the future. These skills and attitudes can be developed through capacity-building schemes that aim to transform the competency of the bureaucracy by developing employee potential in line with organisational goals.





## 1. United Kingdom

The United Kingdom civil service developed a competency approach during the early 1980s, driven by the need for more effective civil servants. The Civil Service Competency Framework<sup>20</sup> was incorporated into the Civil Service Reform Plan<sup>21</sup> to transform the functioning of the British civil service and improve overall public service delivery. The Civil Service Reform Plan aimed to develop better skills to equip officials for the digital age and encourage a citizen-centred attitude. As part of the Reform plan, a Capabilities Plan was developed for the civil service to identify skills and capability gaps as well as devise a strategy to fill these gaps. To support the delivery of this Capabilities Plan a new Civil Service Competency Framework was rolled out, focusing on both behaviours and skills. The competency framework sets out how people in the civil service should work and is used for recruitment, performance management and other personnel decisions to ensure the smooth functioning of the civil service.

Another example of the use of competency frameworks is by the Greater London Authority (GLA). The GLA is responsible for the strategic administration of London, encompassing a range of policy areas, such as transport, economic development, and fire and emergency planning. The Greater London Authority's competency framework<sup>22</sup> outlines the behaviours that are essential for effective performance in the organisation. The framework was designed based on a series of workshops, interviews and questionnaires, gathered from 100 staff members, to better understand what behaviours are essential for successful

performance across different levels of the GLA.

Furthermore, the Charter of the GLA describes the objectives and goals of the organisation as well as what is expected of staff such as “suggesting improvements for team and organisational performance” and “challenging inefficient processes and inappropriate behaviours which act as barriers to improvement”<sup>23</sup>. The behaviours highlighted in the competency framework enable the staff to deliver the objectives outlined in the Charter. The GLA competency framework allows for the easy identification of the behaviours that drive successful performance and enable the delivery of technical expertise effectively and is used for recruitment, performance management and role profiling. Further, the competency framework provides a set of behaviours that allow staff and managers to take responsibility for their learning and development through trainings conducted to develop the competencies identified within the framework.



## 2. Singapore

Since 2018, Singapore's civil service College - Public Service Division, has worked with various online learning providers like Udemy and Coursera to provide courses for Singapore civil servants through their digital portal - **LEARN**. The primary goal of this program has been to equip public officials with tools to interact effectively with citizens, implement policy, innovate and learn continuously. In addition to the online courses, Singaporean government agencies can also purchase additional subscriptions to make more specialised courses available to their civil servants.<sup>24</sup> Many of the courses are focused on building future-ready competencies. Through the online platform- LEARN, Singaporean civil servants can also self-assess their skills through surveys and online tests and then enrol themselves in relevant courses. Upon completion of a course, a record is stored in the civil servant's employee profile.

*One of the important lessons from the LEARN is that there is significant value to consolidating content into an accessible, easily navigable online platform, as such platforms are designed to be human-centred, allowing individuals and employers to easily find programs most relevant to them.*<sup>25</sup>

Building on this, in 2020, Leo Yip, Head of Singapore's civil service gave a speech highlighting the need to find new ways of working based on the ideas of skills and competencies, to build a government system that "places greater emphasis on lifelong employability...one that values performance,

skills and competencies, beyond just years in service".<sup>26</sup> In 2021, the Government Technology Agency of Singapore introduced a new platform designed to raise the digital competencies of all public service leaders and officers. Known as the Digital Academy, it will provide instructor-led workshops, tech talks, exchanges with communities of practice, hackathons, and on-the-job training. The curriculum combines knowledge from tech practice leads in GovTech and nine industry content partners, such as Coursera, Google, Microsoft, and Amazon web services.<sup>27</sup>

### 3. Bhutan

Furthermore, the Royal Civil Service Commission of Bhutan in collaboration with the Singapore Polytechnic developed the Competency-based Framework for Civil Service Programme.<sup>28</sup> The Program was launched with the aim to cultivate “a culture of identifying skill needs of employees, assisting continuous development, and professionalising civil servants to deliver responsibilities effectively and enhancing efficiency”.<sup>29</sup> Between 2018 and 2019, about 100 civil service officers were introduced to the Competency-based Framework, of which around 50 of them received further training through a series of workshops. Over this period, the officers were introduced to knowledge and skills in developing role profiles; identifying competency areas, key competencies, and behavioural indicators; determining levels of proficiency, and carrying out training needs analysis.<sup>29</sup> The framework sets the direction for capacity development of civil servants and works towards ensuring that the mobilisation and utilisation of resources and human potential is aligned with the overall mission and mandate of the organisation.

Through these examples we have seen how

various governments utilising competency-based frameworks are to identify, develop and leverage workforce skill, attitudes and behaviours towards a) furthering the mandate of the organisation, and b) given their role in public service delivery enhance citizen experience.

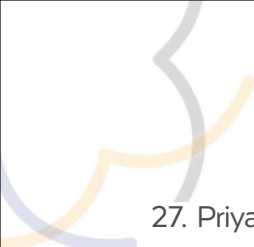
Capacity building initiatives which are based on competency frameworks put the ability and responsibility of building competencies into the hands of those who require it the most, improving the quality of work at every level in the government, and eventually result in the improvement of public service delivery.

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## Annexures

### Annexure 1: Illustrative list of organisational capacity building interventions

Interventions have been grouped into the following organisational capacity building dimensions: Technology and Data, Systems and Processes, Resources and Assets, Partnerships and Relationships, Personnel Management.

#### Technology & Data

1. A dedicated data management unit to handle data collection, analysis, privacy, and cleaning as per industry recognized quality standards
  - a. Data entry only at the primary unit of activity as opposed to at different levels of administrative command
  - b. Develop a protocol to assess the quality of data collected
  - c. Procure or commission software that enables encryption of sensitive data
2. A monitoring and evaluation (M&E) dashboard within the MDO for:
  - a. Outcomes-based (results-based) monitoring and evaluation indicators for all programmes across the MDO
  - b. Output-outcome monitoring framework (OOMF) and results-based management system (RBMS)
3. Technology that allows for simulation-based training programmes/practice, if applicable


#### Systems and Processes

##### *Project Governance*

4. Small-scale experimental and innovative pilots with service delivery improvement and knowledge generation goals, but without a rigid focus on targets

##### *Knowledge generation and management*

5. Knowledge dissemination: A monthly/ quarterly newsletter for disseminating information about the MDO and the sector in which the MDO operates
6. Process and output documentation: Documenting all processes and related outputs of the MDO such that they are easily accessible

- 
7. Knowledge transfer: Quarterly knowledge transfer sessions, where colleagues share their work experience

## **Resources and Assets**

### *Inventorization*

8. Online Inventory Management System: Maintaining the list of all assets and resources online such that their movement across the MDO is tracked in near real-time, along with the need for maintenance, disposal et cetera.

### *Procurement*

9. An annual resources and assets procurement plan that focuses on scheduling, forecasting, and procuring accordingly

### *Fund development*

10. A fund development strategy, based on the long-term goals of the MDO and budget projections, outlining and managing to annual target goals, and managing donor relations accordingly
11. Securing funding from multilateral donors for:
  - a. Experimenting with new technology labs
  - b. Establishing a project/programme management unit for collaborating with private industry and academia
  - c. Establishing a monitoring and evaluation (M&E) lab
  - d. Documenting case studies of successful projects/programmes by the MDO

## **Partnerships and Relationships**

### *Public grievances redressal*

12. Individual targets for public grievances redressal
13. Organisational targets for public grievances redressal

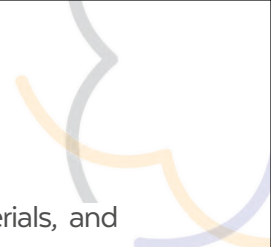
### *Outreach and communication*

14. Documenting and sharing communications of the MDO such that:
  - a. They are available in all widely spoken (vernacular) languages
  - b. They cater to people with disabilities
15. A mobile-based application for the MDO to increase citizen outreach
16. Documenting all citizen feedback online and in the public domain

### *Partner and donor relationship management*

17. Conduct and document a landscape review of all the stakeholders of the MDO
18. Partnerships/MoUs with at least three of the following kinds of entities, towards coordinating





workshops, conferences, exposure visits and immersion visits, developing training materials, and conducting induction/ refresher training:

- a. Government training institutes such as LBSNAA, YASHADA
- b. Reputed government academic institutes such as IITs, IIMs
- c. Reputed private academic institutes such as ISB or SPJ
- d. Global think tanks and academic institutes
- e. Multilateral agencies such as World Bank, UNITAR
- f. Other ministries/ departments
- g. Industry/ private sector organisations, including not-for-profit organisations
- h. Any assessment or third-party certification agencies to assess and certify MDO officials

## **Personnel Management**

### *Aspects other than training function*

19. Apprenticeship model – Creation of untenured apprentice positions across the MDO
20. Fellowship programmes – Creation of untenured fellow positions across the MDO
21. Dedicated collaboration platforms (workshops, virtual meetings, debates, discussions, et cetera.), for government officials to come together, to encourage public problem solving and joint learning through the exchange of ideas, co-production and co-learning

### *Training Support (Learning and Development)*

22. A Capacity Building Unit (CBU) for leading the L&D function within the MDO
23. Hiring/ appointing/ bringing onboard subject matter experts (non-trainers) either on a part-time or full-time basis

## Annexure 2: Annual Capacity Building Plan Blueprint

ACBP Blueprint		
<p align="center"><b>Vision for Capacity Building</b>            &lt;Department's vision is distinct from vision for capacity building&gt;</p>		
<p align="center"><b>Three Lenses of Capacity Building</b></p>		
<p><b>National Priorities</b>            What national priorities does the MDO deliver on?</p>	<p><b>Emerging Technologies</b>            What emerging technology trends require regulation by the MDO?</p>	<p><b>Citizen Centricity</b>            What are the citizen/customer-centric goals of the MDO?</p>
<p align="center"><b>Identifying Capacity Gaps</b></p>		
<p align="center"><b>Vision, Mission, and Goals of the MDO</b></p>		<p>Mandate and Work Allocation, Vision Documents of the MDO, Objectives and Goals of each Wing/Division/Unit, Key Result Areas, Key Performance Indicators</p>
<p align="center"><b>Three Pillars of Capacity Building</b></p>		
<p><b>Individual Capacity Building</b>  <i>The process of assessing and bridging the competency gaps for all personnel working at the MDO in terms of:</i></p> <ul style="list-style-type: none"> <li>- Domain Competencies</li> <li>- Functional Competencies</li> <li>- Behavioural Competencies</li> </ul>	<p><b>Organisational Capacity Building</b>  <i>The process of building capacity of collective and shared aspects of the MDO such as:</i></p> <ul style="list-style-type: none"> <li>- Knowledge Management</li> <li>- Technology and Data</li> <li>- Systems and Processes</li> <li>- Resources and Assets</li> <li>- Partnerships and Relationships</li> <li>- Personnel Management</li> </ul>	<p><b>Institutional Capacity Building</b>  <i>The process of creating institutional structures-the enabling environment like norms, policies, and regulations- that guide the functioning of individuals and organisations, examples:</i></p> <ul style="list-style-type: none"> <li>- Policy Formulation</li> <li>- Outcome &amp; Impact Monitoring</li> <li>- Culture and Values</li> </ul>

Capacity Building Interventions [Illustrative]	
<p><b>Training Interventions</b></p> <p>These are aimed at building capacity at the <i>individual level</i></p> <p>Examples:</p> <ul style="list-style-type: none"> <li>- Induction and refresher training</li> <li>- On-the-job training               <ul style="list-style-type: none"> <li>- GFR, GeM</li> <li>- Evidence-based Policy Formulation</li> </ul> </li> </ul>	<p><b>Organisational Interventions</b></p> <p>These are aimed at building capacity at the <i>organisational and institutional level</i></p> <p>Organisational level examples: Gamification, development of knowledge management systems, outcome monitoring mechanisms for capacity building, and data-driven decision support systems, partnerships with CTIs for trainings</p> <p>Institutional level examples: Creation of a capacity building unit; with support from the CBC, MDO is encouraged to initiate pilots that have the potential to be scaled pan-government</p>
<p><b>SMART goals for each intervention</b></p> <p>[Specific, Measurable, Attainable, Relevant, Time-based]</p>	<p>[Concisely state your goal]</p>
<p><b>List the specific tasks and timelines to achieve each goal in Year 1, Year 2, Year 3</b></p> <p>State when each intervention will begin and end, include intermediary outcomes and important milestones</p>	<p>[Include the personnel, finances, tools, and other resources the intervention requires]</p>

## Example of a filled-out ACBP Blueprint

ACBP Blueprint		
Ministry of Food Processing Industries		
Vision for Capacity Building		
Creating an enabling environment to develop human resources within the Ministry for efficient, accountable, responsive and transparent service delivery for sectoral development and contribute to national priorities.		
Three Lenses of Capacity Building		
<p><b>National Priorities</b></p> <p>Atmanirbhar Bharat through reduced post-harvest losses, Double farmers' income</p>	<p><b>Emerging Technologies</b></p> <p>Enable and promote technology transfer; and indigenize existing technologies through end to end project management system</p>	<p><b>Citizen Centricity</b></p> <p>Transparent and accountable stakeholder management system; and strengthen staff welfare systems</p>

Identifying Capacity Gaps	
<p><b>Vision, Mission, and Goals of the MDO</b></p> <p><i>Vision: Comprehensive development of the food processing sector for India to emerge as a global leader in food processing</i></p>	<p>Mandate and Work Allocation, Vision Documents of the MDO, Objectives and Goals of each Wing/Division/Unit, Key Result Areas, Key Performance Indicators</p>
Three Pillars of Capacity Building	
<p><b>Individual Capacity Building</b></p> <p><i>Detailed competency gap assessment for all personnel working at the Ministry in terms of:</i></p> <ul style="list-style-type: none"> <li>- Domain Competencies</li> <li>- Functional Competencies</li> <li>- Behavioural Competencies</li> </ul>	<p><b>Organisational Capacity Building</b></p> <p><i>An organizational capacity assessment for:</i></p> <ul style="list-style-type: none"> <li>- Food processing &amp; preservation technologies</li> <li>- R&amp;D, certification, regulation, international trade</li> <li>- Operations Improvement by end-to-end PMS</li> <li>- Project management, procurement</li> <li>- General administration</li> </ul>
<p><b>Institutional Capacity Building</b></p> <p><i>Institutional frameworks for:</i></p> <ul style="list-style-type: none"> <li>- Policy Formulation</li> <li>- Outcome &amp; Impact Monitoring for capacity building interventions</li> </ul> <p>Pilot with potential to scale pan-government: <b>Online knowledge management system</b></p>	
Capacity Building Interventions	
<p><b>Training Interventions</b></p> <ul style="list-style-type: none"> <li>- Induction &amp; Refresher courses for all positions</li> <li>- Regular/Progressive training on GFR for the IFD personnel</li> </ul>	<p><b>Organisational Interventions</b></p> <p>Organisational level:</p> <ul style="list-style-type: none"> <li>- Establish a Capacity Building Unit for ACBP implementation</li> <li>- Establish partnerships with CTIs for providing trainings and certifications</li> <li>- e-KMS (Knowledge Management System)</li> <li>- e-HRMS</li> <li>- Decision Support Systems (DSS) using emerging technologies</li> <li>- Outcome monitoring mechanism for capacity building</li> </ul>
<p><b>SMART GOALS FOR EACH INTERVENTION</b></p> <p>State Specific, Measurable, Attainable, Relevant, Time-based (SMART) goals</p>	<p><b>YEAR 1</b></p>

Provide trainings as per Training Calendar	<p>A. Establish <b>CBU</b> and deploy staff</p> <p>B. Identify <b>training partner institutions</b> to (i) develop course curriculum and training modules, (ii) provide online and offline trainings, and (iii) certification</p> <p>(a) Domain competency - NIFTEM, IIFPT</p> <p>(b) Functional competency - ISTM</p> <p>C. Develop <b>Training Calendar</b> for Ministry staff</p> <p>D. Create <b>separate Budget Head</b> for CBP implementation</p>	<p>A. Engage consultants to develop <b>TOR</b> for</p> <ul style="list-style-type: none"> <li>- DSS</li> <li>- e-KMS</li> <li>- Outcome monitoring mechanism</li> </ul> <p>B. Develop and finalize TOR based on extensive stakeholder consultations</p>
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### Annexure 3: Proposed Scope of Work of Capacity Building Unit

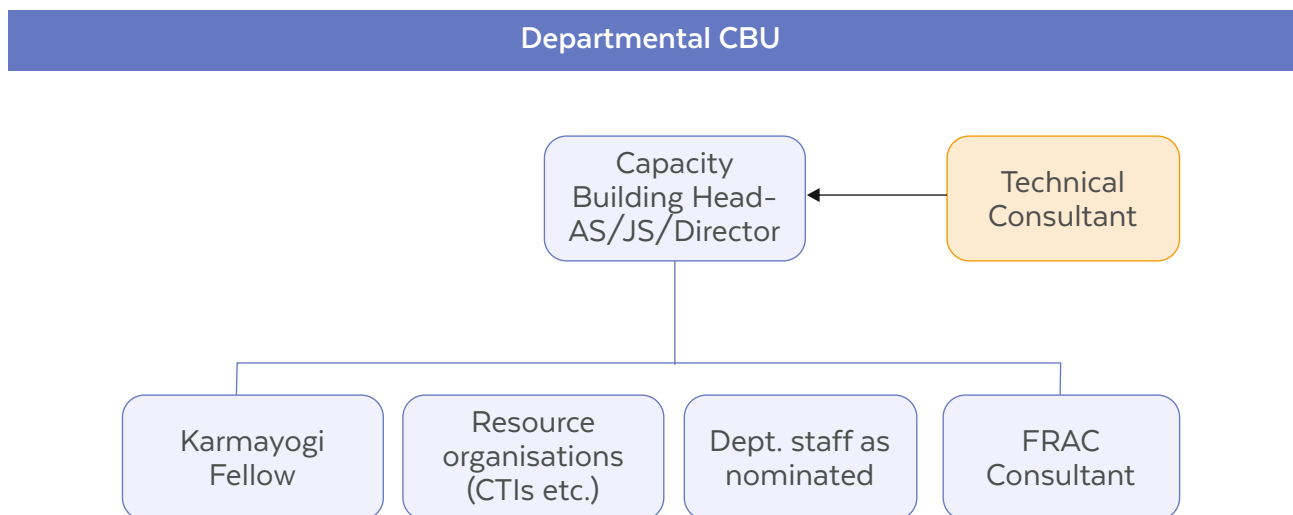
#### Capacity Building Units (CBU)

➤ CBC intends to institutionalise Capacity building by setting up a Capacity Building Unit (CBU) in respective departments which will lead efforts in operationalizing the competency framework, developing

content, curating assessments et cetera. and will work closely with Capacity Building Commission.

➤ This CBU will consist of manpower resources from the department, supported by specialist manpower from Capacity Building Commission

#### Structure for the Capacity Building Unit (CBU)



➤ A separate team of individuals, having the required knowledge and skills would be deployed in this CBU so that they can carry out the capacity building (training/organisational) related activities in a continuous manner and standardize and institutionalize the training management processes in the Ministry / Department.

➤ As can be seen above, the Capacity Building Unit (CBU) may be constituted with the following roles:

- **CBU Head:** An officer of the seniority of Additional Secretary, Joint Secretary, or Director will head the CBU.
- **Department Staff as nominated:** The CBU head will nominate personnel they deem suitable, basis the size and requirements of the MDO, to become CBU members. The CBU can include the Director (Training) or equivalent of the MDO's nodal training institutes and must include at least one Under Secretary and one Section Officer of the department, with preference given to those in the Training, HR, or Admin sections.

➤ **Further support will be provided to the CBU by the following roles:**

- **Karmayogi Fellow:** Appointed by the CBC/MDO for a span of 2 years who act as a Capacity Building Coordinator to support the CBU head in the establishment, implementation & monitoring of all the functions of the CBU
- **Resource Organizations:** A representative of the departments own/empanelled Training institutes who will facilitate the

design, course facilitation, logistics et cetera for the training.

- **Technical Consultant:** The Technical consultant will be appointed by the CBC for the development of CBP with the MDO

➤ **The Capacity Building Unit set up in every Department will:**

- Develop the departmental capacity building plan
- Operationalize and roll out FRAC
- Monitor the competency development of officials
- Develop, validate, and onboard CBPs
- Develop and onboard assessments
- Manage onboarding on iGOT Karmayogi

### Scope of Work: Capacity Building Unit (CBU)

➤ **Capacity Diagnostics**

- Mapping each departmental position to its required behavioural, functional and domain competencies expressed in terms of desired proficiency levels
- Running structured and comprehensive institutional capacity and systems diagnostics
- Assessing Knowledge Management practices initiated/adopted by the Ministry, Department or Organization (MDO):
- Carrying out a detailed diagnosis of the current Knowledge Management (KM) practices of the MDO
- Identification of key knowledge resources used and created by the MDO such as annual reports, compliance documentations and rules of business

- Development of a KM strategy for leveraging knowledge created by the MDO toward the achievement of organizational goals
  - Identification of knowledge areas within the functioning/expertise/domain of the MDO that would be converted into Competency Building Products (CBPs) if applicable.
  - Drafting a technology roadmap and assessing associated capacity needs of the MDO. This will be based on industry feedback and professional evaluation of the R&D operations of the MDO.
- **Preparation of the Annual Capacity Building Plan (ACBP)**
- Making recommendations for efficient allocation of departmental resources to officials based on iGOT algorithm and total budget available for capacity building efforts
  - Making recommendations of CBPs on iGOT Karmayogi (KY) based on the findings of the capacity diagnostics exercise
  - Preparing detailed plans for induction training of staff at all levels as well as for other scheduled periodic refresher trainings
- **Implementation of the Annual Capacity Building Plan of the department**
- Identifying partner institutions, preparing relevant MoUs to ascertain pricing and provision of other resources
  - Identifying appropriate training delivery models, including web-based e-learning, in-person or blended learning
  - Preparing approximate cost estimates and resource requirements (time, institutional, financial, et cetera) associated with capacity building
  - Developing a training calendar and supporting the rollout of training programs and all allied activities identified in the ACBP
  - Supporting onboarding of personnel onto iGOT KY, training them in how to use platform and other associated tools such as FRAC and the Work Allocation Tool
  - Supporting development of MDO-owned competencies, training MDOs in using the CBP portal on iGOT KY and monitoring and evaluation dashboards available through the platform
  - Supporting facilitation of events by the MDO on the events hub
  - The CBU will also be a representative of the department at various conferences and meetings organized by the CBC.
- **Monitoring and evaluation of capacity building interventions**
- Training MDO leadership in using the monitoring and evaluation tools available through iGOT KY - MDO dashboard, PM's dashboard et cetera.
  - Establishing internal customized indicators of success that may not be covered by platform dashboards
  - Establishing mechanisms for measurement and reporting of such indicators as mentioned in the point above
  - Presentation of a comprehensive evaluation of capacity building

interventions by the MDO for approval and necessary guidance to the Cabinet Secretariat Coordination Unit

➤ **Facilitating the L&D Survey:**

- Support preparation and execution of the L&D Survey in keeping with Mission Karmayogi's mandate of efficiency, transparency and accountability
- Support the MDO in crafting the post-survey essay outlining how they will increase the engagement and well-being of their officials
- Facilitate the collection and collation of data related to capacity building interventions, and other such information as required for the Annual Report of Capacity Building Commission
- **Supporting CBC's capacity building interventions at the department**
  - Preparation of the Annual CBC Report
  - Making recommendations on standardization of training and capacity building, pedagogy and methodology including coordination with Government Training Institutes to carry out research on pedagogy, competency framework, competency gap assessment et cetera.
  - Making recommendations on policy interventions in areas of personnel/HR and Capacity Building to CBC
  - Analysis of data emitted from iGOT KY pertaining to different aspects of capacity building such as content creation, competency mapping, feedback et cetera.

## **Activities of the Capacity Building Unit (CBU)**

The Capacity Building Units will be responsible for all aspects of the larger Capacity Building Programme as well as the Departmental rollout of Capacity Building plans. CBC will support the Capacity Building Unit in the ACBP rollout, along with technical consultants who will be empanelled by the CBC.

- Finalization of Departmental Annual Capacity Building plan for the next 2 years, Facilitating implementation of ACBP, development of training calendar for meeting the institutional vision and needs, addressing all levels and its effective roll out obtaining approval of the competent authority in the Department for annual Training calendar
- Facilitating monitoring, evaluation of the Annual Capacity Building Plan with close co-ordination between CBC and MDO
- Support in collecting various data related to Annual State of Civil Services Report. Act as data manager
- Coordinate with all stakeholders covering Training Institutes and various other Knowledge Partners to implement ACBP of the Department
- Facilitate and map existing resource (digital and physical) and make it shareable
- Global benchmarking: Identify various opportunities of collaboration for departmental functioning and alignment with global practices
- Reporting & Updating the progress of



- Annual Capacity Building Plans to respective Departments and CBC
- Individual's competency mapping aligned to FRAC components and gap analysis and tracking the progress on acquisition of training specific to the MDO/Role
  - Update the training needs analysis and integrate/assimilate/streamline with any new or redundant activities
  - Managing the course/module design with support of the Central Training Institutes
  - Ministry specific curate induction program development and roll out training for new joinees across levels including field visits
  - Knowledge management activities, domain and operational specific repository of the MDOs for best practices
- identification, research, its analysis and linkage with iGoT
  - Cost analysis of training requirements for meeting the implementation of the annual CBP in a sustainable manner
  - Identify cross-learning and common use resources
  - Benchmarking internal needs for capacity building and performance requirements
  - Additional requirements as per Ministry/CBC agreed with the CBU
  - Annual impact assessment of trainings and L&D survey with beneficiaries of trainings
  - Preparation of training budget in coordination/support to respective competent authority

## Annexure 4: General Questionnaire

The intent is to comprehend sectoral visions, mission, and departmental focus and orient a baseline formulation for capacity-building needs. It may cover the following aspects:

- **Understand how the national priorities and common national goals translate into the Ministry's goals and objectives within the next 3-5 years. In particular:**
  - Domain/sector-specific goal/s,
  - Technology goal/s and
  - Citizen centric goal/s
- **Discuss:**
  - Key focus areas activities and functions of each division/cell/department under a Joint Secretary
  - Initiatives being undertaken to meet the short- and medium-term goals, and targets/ milestones, if any
- **Other information:**
  - Ministry's Vision/Mission statements, objectives and targets
  - Updated organogram with names of officials
  - Ministry's Data Governance Quality Index (DGQI) score
  - Staff proposed to be covered under the ACBP exercise
  - Recent ACBP or staff training plans prepared by the Ministry
- Key skills gap & competency challenges faced by the division/cell/department in executing the above objectives.

## Annexure 5: Capacity Needs Analysis (CNA)

Instructions to carry out Capacity Needs Analysis at the individual level:

1. At the outset, list the positions/designations in your department
2. For each position/designation, identify 'roles' that the position/designation is expected to perform to be effective
3. Next, identify competencies required to perform each role. Competencies have been defined under section 4.1.2 of this document
4. Lastly, identify the type and level of training intervention that the position must undergo.

### Types of training interventions:

Training interventions are categorised into four types. These are as follows:

1. **Induction training:** This type of training is undertaken when an official is newly appointed to the MDO. The training is aimed at orienting the official toward the working of the MDO and the roles they are expected to undertake as part of the MDO. The officials are generally trained on competencies specific to the MDO and position.
2. **Refresher training:** This type of training is undertaken by officials previously trained

on the required competencies. The training is aimed at either updating the competencies of the officials due to changes in the definition or the operating environment,- or giving officials the space to relearn the competencies once acquired.

3. **Regular training:** This type of training focuses on equipping officials with the competencies required for them to effectively perform their current roles and day-to-day activities.
4. **Progressive training:** This type of training anticipates the long-term needs of the MDO, basis the changing work environment and mandate, and equips officials with the competencies that will prepare them for future MDO operations.

### Levels of training interventions:

Training interventions are categorised into two levels. These are as follows:

1. **Basic:** This training equips officials with the minimum competencies and proficiency levels within each competency, required to effectively perform their roles and fulfil their mandate in the MDO.
2. **Advanced:** This training equips officials with the competencies that enable them to continually adapt and optimise their performance for all roles.

## CNA (Individual Part 1)

CAPACITY NEEDS AT THE INDIVIDUAL LEVEL				Competency	
No.	Designation, as applicable to your organisation/ Wing/Division/ Section	Role(s)	Attitudes, Skills, Knowledge Required	Gaps Identified	
				Area	Type (B/D/F)
1	Joint Secretary (JS)/ or as applicable to the Head				
2	Director (Dir)/ Deputy Secretary(DS) As applicable				
3	Under Secretary (US)/ as applicable				
4	Section Officer(SO)				
5	Asstt. Section Officer (ASO)				

## Example of a filled CNA (Individual Part 1)

No.	Designation, as applicable to your organisation/ Wing/Division/ Section	Role(s)	Knowledge, Skills, Attitudes required	Competency Gaps	
				Area	Type
1	Joint Secretary	Policy Advisory to Ministry	Policy making	Strategic thinking	F
			Research	-	
			Monitoring and evaluation of existing schemes	Data interpretation	F
			Thorough knowledge of textile sector: overview, value chain, challenges, vision of the ministry etc.	Textile Sector -. end-to-end value chain	D
		Administration	Stakeholder Management	-	-
			Project Management	Usage of project management tool	F
2	Director	Developing Textile Infrastructure by scheme implementation	Knowledge of Schemes such as PM MITRA, SITP, TCDS, IDPS, power loom sector schemes	PM MITRA, SITP	D
				Scheme / policy implementation	F
		Monitoring and evaluation of textile infrastructure schemes	Data analysis	F	
		Administration	Coordination skills to implement priority initiatives of ministry	Team Management	B
			Communication	Presentation skills	F

## CNA (Individual Part 2)

TRAINING REQUIREMENTS AT THE INDIVIDUAL LEVEL											
No.	Organisation/ Wing/Division/ Section	Training Type	Competency Gaps		Training Level basis positions						
			Type	Area	ASO	SO	US	DS	Dir	JS	AS

## Example of a filled CNA (Individual Part 2)

TRAINING REQUIREMENTS AT THE INDIVIDUAL LEVEL								
No	Organisation/ Wing/ Division/ Section	Training Type	Competency		Training Level basis positions			
			Type (B/D/F)	Area	ASO/ SO	US/ DS/Dir	JS/AS	
1	Administration	Regular	F	Project management	-	A	A	
2		Regular	F	Library management	A	-	-	
3		Regular	B	Communication	B	A	A	

## CNA (Organisational)

Instructions to carry out Capacity Needs Analysis at the organisational level:

To gauge capacity needs at the organisational level, each wing/division/section of the MDO will need to be assessed based on aspects, including but not limited to:

- Technology and Data
- Systems and Processes
- Resources and Assets

- Partnerships and Relationships
- Personnel Management

The above have been defined under Section 4.1.2 of this document.

Where required, members of the CBU may also have to carry out a root cause analysis to identify barriers to effective functioning and deduce capacity gaps accordingly.

No.	Wing/ Division/ Section	Capacity Required	Dimension	Interventions	Logistics to bridge gaps identified			
					Prerequisites (if any)	HR Requirements	Estimated Cost	Estimated Timeline

## Example of a filled CNA (Organisational)

Wing/ Division/ Section	Capacity required	Dimension	Intervention	Logistics to bridge gaps identified			
				Prerequisites (if any)	HR Requirements	Estimated Cost	Estimated Timeline
Vigilance	Ability to simultaneously collaborate on documents	Technology and data	Online collaboration tools	Internet, email IDs for all officials, security checks, GR allowing use of online collaboration tools	10 master trainers	TBD	3 months (including training officials to use the tools)

## Annexure 6 : Capacity Building Interventions Template

### ➤ Individual ACBP

No.	Position	Prioritised competency gaps	Training intervention recommended:	Recommended training provider(s)	Target (or objective of the exercise expressed as specifically as possible)

### ➤ Organisational ACBP

No.	Prioritised capacity gaps	Intervention	Target (or objective of the exercise expressed as specifically as possible)



## Annexure 7 : Illustrative Table of Contents for an Annual Capacity Building Plan

### Table of Contents

#### 1. Introduction

#### 2. Overview of the Ministry/Department

- 2.1. Vision and Mission of the Ministry
- 2.2. Organisational Structure of Ministry
- 2.3. Areas of Responsibilities of the Ministry

#### 3. Objective and Goals of Ministry/Department

- 3.1. Division 1 of the Ministry/Department
- 3.2. Division 2 of the Ministry/Department
- 3.3. Division 3 of the Ministry/Department

#### 4. Capacity Requirements of the MDO

- 4.1. Key Areas of Responsibility
- 4.2. Capacity required at the individual level: Competency Requirements of positions
- 4.3. Capacity required at the organisational level

#### 5. Self-assessment by the Ministry

- 5.1. Capacity gaps at the individual level - Competency gaps
- 5.2. Capacity gaps at the organisational level

#### 6. Annual Capacity Building Plan

- 6.1. Individual Capacity Building Interventions
- 6.2. Organisational Capacity Building Intervention



## Annexure 8 : Workplan (for the creation of the Capacity Building Calendar)

Vision for Capacity Building of the MDO:		
Secretary’s priorities for capacity building exercise of the MDO		
<b>CAPACITY BUILDING GOALS</b>		
<b>GOAL 1:</b>	<p>[Concisely state your goal.]</p> <p>[Use the framework for SMART goals. (Specific, Measurable, Attainable, Relevant, Time-based)]</p>	
<b>OBJECTIVES:</b>	<b>TIMELINE:</b>	<b>RESOURCES:</b>
[List the specific tasks to achieve this goal.]	[State when the project will begin and end. Include any other deadlines or important milestones.]	[Include the people, money, tools and other resources the project requires.]
<b>GOAL 2:</b>		
<b>OBJECTIVES:</b>	<b>TIMELINE:</b>	<b>RESOURCES:</b>
<b>GOAL 2:</b>		
<b>OBJECTIVES:</b>	<b>TIMELINE:</b>	<b>RESOURCES:</b>

## Annexure 9: Illustrative Capacity Building Calendar

### Individual Capacity Building Calendar

No.	Intervention	Position of Participants	Training Provider	Content	From-To	Duration

### Organisational Capacity Building Calendar

No.	Intervention	Division/Wing/Section involved	Content/Format	From-To	Duration





CAPACITY  
BUILDING  
COMMISSION

**Capacity Building Commission**  
**20th, 21st & 22nd Floor,**  
**Jawahar Vyapar Bhavan,**  
**Tolstoy Road, New Delhi - 110001**

