CAPACITY BUILDING COMMISSION

Overcoming Challenges in Governance

Contents

Preface

CBC has developed an accreditation framework known as the National Standards for Civil Service Training Institutions (NSCSTI), to benchmark the quality of all training institutes. The framework will introduce minimum standards as a means for continuous improvement of Civil Service Training Institutions (CSTIs).

Governance & Operations is one of the key pillars of the framework[1]. This pillar determines the type of operations and governance practices that promote result-oriented impactful training which fulfils the aspirations set by Mission Karmyogi for transition from rule to Role based civil services. It also determines the degree of autonomy of the training institute in adopting self-developed curriculum, engaging appropriately qualified teaching personnel from the market and financial autonomy in raising resources and budgeting these resources to achieve the goals of the CTI. Autonomy also includes engaging various stakeholders, course content design, procurement of goods and services etc.

The accreditation framework is based on a process maturity scale, rating institutions on the overall governance & operational efficiency in the institute. See Annexure 1 to learn about the maturity levels in Governance and Operations as defined by the Capacity Building Commission (CBC).

The First Roundtable for Central Training Institutions (CTIs) was organized by Capacity Building Commission (CBC) on 12th October 2021[2]. The roundtable was attended by senior management of 25 CTIs. As an outcome of the roundtable, six dedicated sub-committees were formed to drive transformation across six key focus areas viz. (i) identification of training needs; (ii) promoting knowledge sharing and creating a common knowledge repository; (iii) transformation to a phygital world of capacity building; (iv) enhancing capacities of faculty; (v) embedding effective assessment of training; and **(vi) overcoming challenges in governance**.

The Committee on 'Overcoming Challenges in Governance' aims to support all training institutions towards improving overall governance in the institute and achieving a higher level of autonomy. To this effect, the committee members have created this guidance document for all training institutions. The sub-committee report emphasises the importance of governance, accountability, transparency and autonomy in institutes and the challenges institutes face in this regard.

Sub-committee members:
1. Sanjay Puri, Director General (Training), NADT

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[1] *Source: https://www.nscsti.org/assets/pdf_doc/CBC_Approach%20Paper.pdf*
[2] *Source: https://pib.gov.in/PressReleseDetailm.aspx?PRID=1763318*

2. S. Chockalingam, Director General, YASHADA
3. Virendra R. Tiwari, Director, Wildlife Institute
4. Rajesh Kumar Agarwal, Sr. Deputy Director, AJNIFM
5. Ambesh Upmanyu, Additional Director, RAKPNPA
6. Mohit Gupta, DIG, CBI Academy
7. S. K. Bhalla, DDG (Telecom Security & Policy Research), NTIPRIT

Special Invitee of sub-committee:
1. Dr. Dhananjai Mohan, ex-Director, Wildlife Institute

Chapter 1. Introduction

Governance in civil service training institutions refers to the system of management and control that ensures the effective and efficient functioning of these institutions. It involves various aspects such as policy formulation, curriculum design, infrastructure development, faculty selection and training, training evaluation, and raising financial resources from market and financial management. The following are some key elements of governance in civil service training institutions[3]:

Policy formulation: Governance involves the development of policies and guidelines that provide a framework for the functioning of institutions. These policies cover various aspects such as curriculum design, evaluation criteria, faculty selection and development, and financial management.

Curriculum design: Governance involves the design and development of a curriculum that is relevant and responsive to the needs of the civil service. This includes the identification of core competencies, the selection of appropriate teaching methods, and the use of technology to enhance learning.

Infrastructure development: Governance involves the autonomy in development of adequate infrastructure such as classrooms, libraries, computer labs, and other facilities that are necessary for effective learning.

Faculty selection and development: Governance involves the autonomy in the selection of qualified and competent faculty members who can deliver quality education to trainees. It also involves the provision of opportunities for faculty development such as training programs, workshops, and research opportunities.

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[3] *Source: oecd.org/gov/pem/Skills-Highlights.pdf*

Training evaluation: Governance involves the autonomy in development of a robust evaluation system that measures the performance of trainees and provides feedback for improvement.

Financial management: Governance involves the efficient management of financial resources to ensure that civil service training institutions are sustainable and can provide quality education to trainees. Autonomy in financial management required delegated authority to levy taxes and fees for various services and the ability to approve their own budget and take decisions to undertake expenditures as per their budget.

In summary, governance in civil service training institutions is critical for ensuring that these institutions are effective and efficient in providing quality training to future civil servants.

Chapter 2.   Importance of Governance in Civil Service Training Institutions

Effective governance is crucial for the success of civil service training institutions in India. These institutions play a vital role in preparing the next generation of civil servants who will serve as the backbone of the government machinery. Effective governance helps institutions in:

1. **Setting standards:** Governance helps in setting and maintaining standards for civil service training institutions. This includes establishing guidelines for curriculum development, faculty selection, and trainee evaluation criteria.
2. **Ensuring training quality:** Governance helps in ensuring that civil service training institutions offer quality training to officials. This includes monitoring the training-learning process, maintaining the quality of infrastructure and facilities, and ensuring that trainees receive practical exposure to administrative functioning.
3. **Ensuring transparency & accountability:** Governance ensures that civil service training institutions are accountable to various stakeholders, including trainees, faculty, government, and society. This includes establishing a mechanism for monitoring and evaluating the performance of institutions and taking corrective actions wherever necessary.
4. **Fostering ethical values:** Governance plays a significant role in fostering ethical values and professionalism in civil servants. This includes imparting values such as integrity, accountability, transparency, and impartiality among trainees.
5. **Encouraging innovation:** Governance helps in encouraging innovation and creativity in civil service training institutions. This includes promoting research and development activities and providing a platform for trainees to develop and implement innovative solutions to administrative problems.

6. **Improving overall performance:** Effective governance can improve the overall performance of civil service training institutions.

In summary, governance is essential for the effective functioning of CSTIs in India. It helps in maintaining standards, ensuring quality education, fostering ethical values, encouraging innovation, improving overall performance and ensuring accountability

Chapter 3. Governance Structure in Civil Service Training Institutions

The governance structure of CSTIs in India varies depending on whether they are attached offices, subordinate offices, or registered societies.

1. **Attached offices** are institutions that are attached to a ministry or department of the central government and are responsible for executing a policy, scheme or other work laid down by the ministry or department to which they are attached. These institutions are governed by the administrative control of the parent ministry or department. The governance structure of attached offices is usually hierarchical, with a Director or Head of the institution appointed by the parent ministry or department. The Director or Head of the institution is responsible for the day-to-day administration of the institution and reports to the parent ministry or department. For example, the Lal Bahadur Shastri National Academy of Administration (LBSNAA); National Institute of Communication Finance (NICF)

2. **Subordinate offices** are institutions that are directly under the control of a department or ministry of the central government and are Field establishments or agencies responsible for the detailed execution of the decisions of the government. The governance structure of subordinate offices is similar to that of attached offices, with a Director or Head of the institution appointed by the parent department or ministry. The Director or Head of the institution is responsible for the day-to-day administration of the institution and reports to the parent department or ministry. For example, Indira Gandhi National Forest Academy (IGNFA), Central Bureau of Investigation Academy (CBI Academy)

3. **Registered societies** are registered under the Societies Registration Act, of 1860 and are non-commercial organization formed for the promotion of literature, science or the fine arts or the diffusion of useful knowledge/political education or for charitable purposes and has MoA with the ministries. The governance structure of registered societies is governed by their own rules and regulations, as well as the Societies Registration Act. For example, National Institute of Financial Management (NIFM), Indian Institute of Mass Communication (IIMC).

In general, the governance structure of civil service training institutions in India is designed to ensure that these institutions operate efficiently and effectively, and that they are accountable to their parent ministries or departments and to their members, depending on their legal status.

Chapter 4.   Challenges CSTIs face in governance & operations

Governance & operations in civil service training institutions are not without challenges. Some of the major challenges that CSTIs face are:

1. **Need to keep pace with the rapidly evolving training landscape**: The Indian government has been implementing various reforms and initiatives aimed at improving governance and public service delivery, such as digitalization, decentralization, and citizen participation. However, civil service training institutions may struggle to keep up with these changes and incorporate them into their curriculum and training programs.
2. **Ensuring training quality:** Another challenge is the need to ensure that civil servants are equipped with the skills and knowledge necessary to implement governance reforms effectively. This requires a focus on both technical and soft skills, such as project management, communication, and leadership.
3. **Attracting and retaining high-quality faculty and trainers** who have the necessary expertise and experience. Many of the institutions do not have the ability to hire external and private sector experts and do not have decision-making power in hiring faculties.
4. **Financial resources and funding:** CSTIs face challenges related to funding and resources, which can limit the ability of civil service training institutions to provide high-quality training and education programs. In particular, CTI ability to become financially autonomous by competing in the market to raise resources for their training products and ability to retain the resources enables competitive quality of training and result-oriented functioning.

To address these challenges, CSTIs need to develop autonomous internal governance structures that are able to maintain their independence and integrity, while also ensuring that they are responsive to the needs of the government and the civil service officials.

For civil service institutions, it is important to have transparent decision-making processes that involve a broad range of stakeholders, including civil servants, policymakers, and civil society organizations. In addition, training institutions need to prioritize the development of a flexible, adaptive curriculum that keeps pace with the changing needs of the civil service, as well as investing in the development of highly qualified and experienced trainers and instructors.

Chapter 5.   Institutional Autonomy

The governance practices of an institution determine the degree of autonomy it has in its functioning. UNESCO defines institutional autonomy as, "a degree of self-governance, necessary for effective decision-making by institutes of higher education regarding their academic work standards, management, and related activities"[4]. During the First Roundtable of CTIs organised by CBC in October 2021, an Opinion Poll was conducted among all participants to understand the top priority areas through which the capability of the training institutions could be enhanced. Overcoming challenges in governance was one of the most voted categories in the results of the poll. Most governance challenges identified during the roundtable related to limited autonomy in the following dimensions:

- Running of day-to-day affairs
- Course and curriculum design
- Faculty and staff recruitment
- Reliance on government funding
- Inability to levy market fees for courses which could be undertaken by non-government or public sector and private sector stakeholders.
- Inability to retain fees levied for use as per autonomous budgeting process.
- Disharmony in the governance structures and policies of different CTIs

Institutional autonomy as a concept implies self-governance in academic, operational/ administrative, and financial dimensions. A key challenge faced by the CSTIs in India is Institutional Autonomy. The success and effectiveness of training institutions depend on a supportive and harmonized governance structure, with an appropriate level of accountability.

Institutional autonomy for CSTIs can be categorized under the following three buckets:

1. **Academic Autonomy** allows the institution to be more responsive to the changing needs of the civil service and to tailor its programs to meet those needs. This includes Designing training programmes and curricula; adoption of choice-based demand-driven courses; setting up internal quality assurance cells; performance appraisal of faculty; autonomy to establish linkages with industry and academia; transparency and objectivity in the selection of faculty on an all-India basis

2. **Administrative Autonomy** allows the institution to streamline its processes, improve efficiency, and reduce costs. This includes autonomy to determine both the rank and the

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[4]*https://www.aiu.ac.in/documents/AIU_Publications/Reimagining%20Indian%20Universities/10.%20Institutional%20Autono my%20In%20Indian%20Higher%20Education%20System%20By%20Sandeep%20Sancheti%20VC%20SRMIST%20&%20Past%2 0President,%20AIU%20and%20Latha%20Pillai,%20Director(QAR)%20SRMIST,%20Chennai.pdf*

number of positions for faculty, as well as staff; outsourcing of non-academic activities for efficiency and effectiveness; norms of accountability to be evolved which are open, participative, and data-based

3. **Financial Autonomy** allows the institution to make strategic investments in its programs and facilities, and to respond more quickly to changing financial circumstances. This includes manage its own budget and finances, including the ability to generate and retain its own revenue (undertaking consultancy assignments and sponsored research projects) and by levying service charges and course fees for certain categories of trainees like private consultants, public sector undertakings and officials of other semi government organisations and freedom to set remuneration of staff

Autonomy is crucial for civil service training institutions because it enables them to operate independently with internal responsibility. Autonomy in training institutions is important for several reasons:

1. **Ensuring the quality of training:** Autonomy enables civil service training institutions to maintain high standards of training and education by giving them the freedom to design and deliver their programs without political or bureaucratic interference. This allows these institutions to focus on developing the skills and competencies that are most relevant to the needs of the civil service, rather than being constrained by external pressures.

2. **Promoting innovation:** Autonomy allows civil service training institutions to experiment with new training methods and technologies, which can lead to innovation and improvements in training quality. With autonomy, these institutions can adapt to changing needs and circumstances in the civil services and develop new approaches to training that are more effective and efficient.

3. **Fostering transparency & accountability:** Autonomy in civil service training institutions also fosters accountability by enabling these institutions to take responsibility for their own performance. With autonomy, these institutions can set their own goals and targets, and be held accountable for achieving them.

In summary, autonomy is important for training institutions because it enables them to maintain high standards of training, promote innovation, build trust, and foster accountability. These benefits are essential for ensuring that the civil service is well-prepared to meet the needs of citizens and respond to the challenges of a rapidly changing world.

Chapter 6.   Model aspirational internal governance structure for CSTIs

An institute which is an apex training institution of the MDO or has a large training output may follow the structure which may have 3 primary governing committees: General Body, Executive

board and Academic council (nomenclature for the statutory bodies may vary), the functions of these statutory committees are:
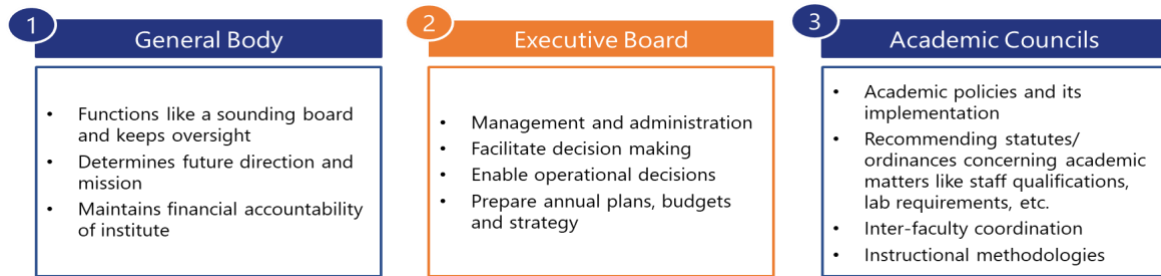

1 General Body	2 Executive Board	3 Academic Councils
• Functions like a sounding board and keeps oversight • Determines future direction and mission • Maintains financial accountability of institute	• Management and administration • Facilitate decision making • Enable operational decisions • Prepare annual plans, budgets and strategy	• Academic policies and its implementation • Recommending statutes/ ordinances concerning academic matters like staff qualifications, lab requirements, etc. • Inter-faculty coordination • Instructional methodologies

Figure 1: Model Internal Governance Structure

1. General Body:

The Governing Body is unambiguously and collectively responsible for overseeing the institution's activities, determining its future direction, and fostering an environment in which the institutional mission is achieved, and the potential of all learners is maximized.

The principal functions of the General Body are:
  a. Determining and reviewing the educational/training character and mission of the Institute and for the oversight of its activities
  b. Approving a Quality Strategy for the College
  c. Ensuring that public money is spent appropriately, and the institute continues to be financially solvent
  d. Approving annual estimates of income and expenditure
  e. Setting a framework for the pay and conditions of service of all other staff.

2. Executive Board:

The Executive Council is the authority that takes all executive decisions and implement them. All administrative and financial powers are exercised by this body. Generally, the Executive Board consists of the Director as its Chairperson, Joint Director, Deputy Directors, two to three representatives of the faculty, two or three representatives (generally heads) affiliated institutions (if any), one to two nominees of the government, and two or three external members (experts & academicians). There could be minor variations in this broad pattern of composition from Institute to Institute. The significant point is that it has most of its members from within the Institute, and an adequate representation of interests from outside. The internal and external representation is generally in the ratio of 3:2 with the total membership ranging between 10 and 15.

The principal functions of the Executive Council are:

a. Making statutes and ordinances which govern and regulate the operations of all sub-systems of the Institute
b. Control of the finances and properties
c. Management of personnel (recruitment, promotion, conditions of service, welfare)
d. Supervision over the management of institutions/colleges affiliated to the Institute
e. Redressal of grievances of teachers, staff, and trainees.

It should be noted however that the power of legislation (rulemaking) in all academic matters can be exercised only after consulting the Academic Council and its views are obtained.

3. Academic Council

The Academic Council is the principal academic authority of the Institute. All decisions on programmes, courses, teaching methods, trainee assessment systems, academic standards, creation of new departments, etc. are within the purview of the Academic Council. However, as we have said in the previous section, the scheme of Institute management envisages a sharing of powers and authority between the Executive Board and the Academic Council.

The Academic Council is a body comprising the academics of the Institute. It is chaired by the Director and consists of the Joint Directors, all Associate Directors, all heads of Departments, two or three members are external members (senior Academicians), representatives of the affiliated institutions and representatives of all categories of teachers from the departments and affiliated institutions, and in several cases, also of representatives of trainees. Depending upon the size and nature of the Institute, the Academic Council can be a body of 10-12 members. Where the number of teachers is large, representation is provided normally through the method of election, and where the number of teachers is small, a system of nomination or rotation is followed.

The principal functions of the Academic Council are:

a. Laying down the academic policies of the Institute
b. Supervision over the implementation of the academic policy and giving directions on methods of instruction, evaluation of research and improvements in academic standards
c. Inter-faculty coordination for joint projects, programmes, etc.
d. Recommending statutes/ordinances concerning academic matters like the establishment of departments, laboratories, research centres, committees for admission and examinations, qualification of teachers, award of degrees, diplomas, and other qualifications, the conduct of examinations, the institution of scholarships, trainee fees, etc.

Generally, the Institutes will also have a set of academic regulations that provide for procedures to be followed in various matters like admission, examination, declaration of results, etc. These regulations are also framed by the Academic Council. To the extent that statutes, ordinances, and regulations are internal legislations, require the approval of the Executive Board.

Chapter 7.   Sub-committee Recommendation

The governance subcommittee is of the view that with the advent of Mission Karmayogi and the Capacity Building Commission, this is the prime time to have a fundamental relook at training institutions and the overall governance in CSTIs. The committee is of the view that there is a need to Institutionalize governance excellence in CSTIs. Accordingly some of the recommendations of the sub-committee are:

1.   Harmonisation of standards

India has a vast and diverse civil service system, with multiple levels and types of civil servants working for both the central and state governments. To ensure that these civil servants have the necessary skills and knowledge to perform their roles effectively, it is essential to have high-quality training institutions that can provide standardized training programs.

At present, India has 1000+ training institutions that offer civil service training. However, there is a lack of harmonization of standards across these institutions, which can lead to inconsistencies in the quality and content of the training programs. Specific to governance structure we cannot have one structure-fit model and need to harmonize the governance structure and standards which will be suitable to all institutes such as CTIs, ATIs and CSTIs which include general and specialised training institutes.

2.   Training evaluation and impact assessment

Training evaluation and impact assessment are very essential for the institution to identify the training effectiveness and gaps in training. Inputs from this can be utilized for overall training governance including teaching methods, delivery mechanism, course content & structure, etc.

All institutes should conduct the training evaluation and impact assessment from an external party (third-party evaluators or evaluators from other institutes) to identify the training effectiveness and gaps.

3.   Income generation

Generating income from other than -government sources is important for institutes to ensure sustainability and move towards financial independence. The income generation activities also engage the faculties and lead to their professional development.

But the CSTIS need to ensure that these income-generation activities are aligned with the core goals of the institute and do not divert the focus from training of civil servants. The institute can utilize the Government funding to sustain, and income generated to grow and innovate.

Income generation by marketing training courses and raising fees also leads to qualitative improvement in course content and pedagogy.

The institute can generate revenue by leveraging existing expertise and experts through collaboration with other institutes and other organizations. Activities can include providing consulting services to the government & private sector, support in policy formulation and thought leadership for MDO and other organizations, and formulation and monetization of Intellectual Properties

Some of the institutes at a certain level of maturity can generate revenue but due to institutional structure cannot utilize or retain it due to existing institutional structure. Such institutions can establish profit centres under section 8 or societies act with the approval of relevant MDO and effectively govern the profit centres to provide incentives to faculties, improve training & research infrastructure, etc.

4. Accountability & transparency

Accountability and transparency are essential aspects of any civil service training institution in India. These institutions play a vital role in shaping the future of the country by training civil servants who serve the public in various capacities. Therefore, it is crucial that these institutions and their faculties are accountable for their actions and transparent in their operations.

One way to ensure accountability is to establish a clear set of performance metrics. Such metrics can be resource utilization, faculty utilization, Key Performance Indicators (KPI) for faculties, feedback from trainees, etc. These metrics should be regularly monitored and accessible to all stakeholders (internal- faculties, staff, trainees and external- MDOs).

The institutions should also make their financial statements available to the MDO and to the public on an annual basis to ensure that they are managing their resources effectively. Institute should also complete an evaluation of courses and trainees and audit of outcomes through independent evaluators and auditors

5. Robust data governance

CSTIs should have a robust data governance process to ensure that their data is accurate, secure, and accessible to authorized personnel. This can improve organizational efficiency and decision-making.

The important data includes data regarding trainee evaluation, institute and staff KPIs, financial & staff utilization, etc. The institute may onboard the solution that may be available based on their needs and in consultation with other well-performing CSTIs.

6. Institutionalizing process for faculty recruitment and retention

Faculty identification and selection are very important for all CSTIs. The institute should have a proper plan for faculty requirements along with the competencies of the faculties.

Institutes should have an important stake in faculty selection. The institute may form a panel which includes members from MDO, Members from the institute and external experts to select faculty which include external faculties and deputed resources. Retention of good faculties is important for CSTIs which include internal and external faculties

7. Role change from Faculty to training managers

For civil service institutions to function properly and effectively deliver the training to civil service officials effectively the existing faculty need to evolve. There is a need for a role shift from faculty to training manager which includes planning and delivering training. The training planning and delivery will be done through all the tools and resources available. The tools include online content, emersions, site visits, etc. and resources include identification of expert internal & external training and training infrastructure.

Through this role shift the training manager will identify the best tools and best resources for imparting training to the civil service officials and improve the overall utilization.

8. Ensuring utilization of staff

The institute needs to monitor and evaluate staff utilization on a regular basis and ensure that the utilization stays above the threshold level for the effective use of the staff resources. For this, the institute also needs to map the staff as per activities and tasks they are undertaking to measure utilization accurately.

9. Rationalization and sharing of faculty

The institute needs to identify the expertise of existing trainers and also map the gaps which are there to impart the training to civil service officials. The institute can share its own resources with other institutes and can leverage experts from them to give the best quality training while saving the cost of onboarding additional experts.

10. Creation of non-infrastructure institutes

The vast amount of infrastructure available across the CSTIs largely remain under-utilized. A non-infrastructure-based institute will have the geographical flexibility to travel to any location and

leverage the best infrastructure available near the geographical location for providing training to civil service officials. This will also save the cost of creating new infrastructure and improve the utilisation of existing infrastructure, these savings can be further utilized to create Centres of Excellence across the geography.

11. Mentoring to institutions

An institute which is well-performing and has shown excellence in governance (such as YASHADA[5]) can mentor other institutes. The mentor institute can help the mentee institute to identify the gaps in governance, provide solutions to address these gaps and support the institute in developing an implementation plan to address these gaps.

12. Merging of CSTIs of the similar cadre

With merging cadres (like for railway services) there is also needed to merge the institutes which are providing training to same cadre officer at different locations. The merging of institute will increase its resources and effectively provide training. This will also allow the institute to develop expertise in the cadre and impart training to a large number of civil service officials. A quick win would be merging the Railway Audit and Accounts and Defence Audit and Accounts and Indiana Audit and Accounts Academy.

13. Institutionalizing process for deputation of directors and staff

There is a need to improve the decision-making capacity of the institute in the selection and deputations of directors and faculties from MDO.

There should be a policy for the selection of institute directors to identify the right candidate with a vision for the development and progress of institutions. The policy for the selection of directors should include stakeholders from institutes in the decision-making process. The policy should clearly define the eligibility, application process, shortlisting criteria, selection process, tenure, and onboarding process.

Similarly, for faculty deputation the instate should shave a stake in the selection/deputation of faculties based on the needs of the institute and trainees' and the duration for deputation should be fixed with the possibility of extension based on the institute's discretion.

14. Handholding support:

There is a need for guidance and handholding support to CSTIs for enhancing the standards of governance within the institute.

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[5] *YASHADA- Yashwantrao Chavan Academy of Development Administration*

The Capacity Building Commission can provide such handholding support to Civil Service Training Institutions Capacity Building Commission to improve the standards of governance as per National Standards for Civil Service Training Institutions

Annexure 1: NSCSTI Parameters for Governance & Operations

The CBC has developed an accreditation framework to baseline Central Training Institutions' existing capacities. The framework is functional in nature and focuses on learner experience. It is based on eight pillars for a holistic approach to capacity building.

Operations and Governance is one of the key pillars of the framework. This pillar aims to capture the extent to which CSTIs ensure transparency and accountability in internal processes. The framework is based on a process maturity scale, rating institutions on the extent of their caacities to take proactive measures on administrative practices to balance the interests of multiple stakeholders – Administrative staff, trainees, community, Ministries / Departments / Organization (MDOs) etc.

The framework is aspirational in nature. It is designed as an evaluation and planning tool to enhance the capacities of CSTIs in delivering training programs.

#	Metric	Stage I	Stage II	Stage III	Stage IV	Stage V
43	The Institute has the autonomy to make decisions regarding the internal allocation of funds	The Institute needs permissions for all fund allocation processes	The Institute can identify areas where funding is needed, but requires to obtain permissions for the actual disbursal of funds	The Institute can identify areas where funding is needed and can disburse funds to a few (fewer than 50%) chosen areas of work, but must seek further permissions to disburse funds to the remaining areas	The Institute can identify areas where funding is needed and can disburse funds to several (>50%) but not all areas, and must seek further permissions to disburse funds to remaining areas	The Institute has full autonomy to allocate and disburse funds internally as it deems fit
44	The Institute has the autonomy to take up activities generating financial revenue from sources other than parent ministry/department/o	The institute does not have the autonomy to do this as it receives its budget from the government.	The institute has autonomy to take up activities generating revenue from sources other than parent ministry/department/o rganization with	The institute has autonomy to take up activities generating revenue from sources other than parent ministry/department/o rganization with	The institute has autonomy to take up activities generating revenue from sources other than parent ministry/department/o rganization and can	The institute has autonomy to take up activities generating revenue from sources other than parent ministry/department/o rganization and can

#	Metric	Stage I	Stage II	Stage III	Stage IV	Stage V
	rganization and retain/use the surplus at its discretion		approval from the parent ministry/department/organization but cannot retain/use the surplus at its own discretion	approval from the parent ministry/department/organization but can retain/use some portion of the surplus at its own discretion	retain/use the entire surplus with approval from the parent ministry/department/organization	retain/use the surplus at its own discretion
45	The Institute has the authority to undertake procurement (of goods and services of significant value) by itself	The institute needs permission to undertake any and all procurements	The institute can procure goods up to a limit, but needs permission for any procurement above that limit. The institute cannot procure services.	The institute can procure goods as it sees fit but can procure services up to a limit, and needs permission for any procurement above that limit.	The institute can procure goods and services as it sees fit, but needs permission for any procurement above that limit	The institute has full autonomy to procure goods and services of any value as it sees fit
46	The Institute has the autonomy to engage private sector experts as faculty members if needed	The Institute cannot engage private sector experts in any formal capacity	The Institute can bring on private sector experts on occasional or one-off engagements to advice on certain topics, but not as teaching faculty in any capacity	The Institute can engage private sector experts as consultants or guest speakers only, and not as teaching faculty in any capacity	The Institute can engage private sector experts as "visiting" faculty members or guest lecturers, but not full-time faculty members	The Institute can engage private sector experts as full-time members of the faculty if needed
47	The Institute has the autonomy to set and control recruitment mechanisms and policies for its staff (e.g., remuneration or ranking for staff)	The Institute follows set rules for staffing that it cannot alter	The Institute can amend some of the pre-established staffing rules to match its needs with permission, but cannot create its own	The Institute can amend set rules on staffing with permission and also create its own policies with permission	The Institute does not need permission to amend pre-established staffing rules, and but does need permission to create its own policies	The Institute has full autonomy to amend any pre-established rules on staffing, and can also create its own policies for this
48	The Institute has the autonomy to set and	The Institute follows set rules for internal	The Institute can amend some of the	The Institute can amend set rules on	The Institute does not need permission to	The Institute has full autonomy to amend

#	Metric	Stage I	Stage II	Stage III	Stage IV	Stage V
	amend its own internal procedures for operations as well as training (e.g., learning channels like "Phygital" or traditional, channels for faculty interaction with trainees, etc.)	operations that it cannot alter	pre-established internal operations rules to match its needs with permission, but cannot create its own	internal operations with permission and also create its own policies with permission	amend pre-established internal operations rules, and but does need permission to create its own policies	any pre-established rules on internal operations , and can also create its own policies for this
49	The Institute has the autonomy to determine its resource allocation and undertake facility upgradation as needed (e.g., for enhancing digital content creation abilities)	The Institute needs permissions for all resource allocation processes	The Institute can identify areas that require resources to meet its operational needs but must procure permission to allocate or deploy resources	The Institute can identify areas that require resources to meet its operational needs and can deploy resources to a few (fewer than 50%) areas of work. It must seek further permissions to disburse funds to the remaining areas	The Institute can identify areas that require resources to meet its operational needs and can deploy resources to a several (>50%) but not all areas of work. It must seek further permissions to disburse funds to the remaining areas	The Institute has full autonomy to allocate and disburse resources as it deems fit
50	The Institute has the autonomy to design and amend its course content, curriculum, duration and structure (higher relative rating)	The Institute cannot amend or alter course content or structure on its own	The Institute can amend pre-existing courses on approvals from the attached ministry/department/organization. The Institute cannot add new courses to the training calendar.	The Institute can amend pre-existing courses without approvals, identify potential areas of change for new courses but needs to obtain approvals before they can be implemented. The Institute cannot alter the duration and	The Institute can amend pre-existing courses without approvals, identify potential areas of change for new courses but needs to obtain approvals before they can be implemented. The Institute can alter the duration and structure	The Institute can amend pre-existing courses, add and design new courses including duration and structure of the course to its training calendar at the institute's discretion.

#	Metric	Stage I	Stage II	Stage III	Stage IV	Stage V
				structure of pre-existing and new course.	of pre-existing and new course but requires approvals from the ministry/department/organization.	
51	The Institute has the autonomy to engage internal and external stakeholders (including ministries, departments, organisations, private sector parties and citizens) to identify training needs and desired outcomes	The Institute cannot amend or alter planned training outcomes on its own without permission	The Institute can only engage internal stakeholders for discussions on amending training outcomes; it also needs to obtain permissions to alter these.	The Institute can only engage internal stakeholders for discussions on amending training outcomes; it does not need permissions to amend these as it deems fit	The Institute can engage internal stakeholders as well as external stakeholders for discussions on amending training outcomes, but needs to obtain permissions to engage the latter. It does not need permissions to amend training outcomes.	The Institute can engage internal and external stakeholders for discussions and can amend training outcomes as it sees fit
52	The Institute has the autonomy to evaluate and deliver on course quality and measure course standards based on its own benchmarks	The Institute cannot set its own benchmarks for course delivery	The Institute can set its own benchmarks for course delivery and quality evaluation only for non-core courses, and needs to get its proposal approved to deploy these benchmarks	The Institute can set its own benchmarks for course delivery and quality evaluation for core as well as other courses, but needs to get them approved to deploy these benchmarks	The Institute can set its own benchmarks for course delivery and quality evaluation for core as well as other courses. It does not need approval for non-core courses, but does need it for core courses	The Institute has full autonomy to set its own benchmarks for all forms of course delivery and quality evaluation
53	The Institute has the autonomy to undertake corrective or remedial action	The Institute needs permissions for all corrective or remedial actions	The Institute can identify areas that require remediation but must first procure permission	The Institute can identify areas that require remediation and can undertake actions in some areas	The Institute can identify areas that require remediation and can undertake	The Institute has full autonomy to undertake corrective or remedial actions as it deems fit

#	Metric	Stage I	Stage II	Stage III	Stage IV	Stage V
	such as training of trainers if needed				actions in most but not all areas	
54	Does the Institute have state of the art Learning Infrastructure (Physical & Virtual resources) to support teaching & learning?	The Institute does not have basic elements of Information Communication Technology (ICT): hardware (computers, scanners, photocopiers, mobile phones, printers, projectors and broadcasting technologies) and software used for teaching & learning.	The Institute has all basic elements of Information Communication Technology (ICT) - hardware (computers, scanners, photocopiers, mobile phones, printers, projectors and broadcasting technologies) and software but is not accessible to all stakeholders within the institution.	In addition to the basic level ICT infrastructure, the Institute also has state of the art physical resources like air-conditioned learning spaces, technology labs, libraries and other physical spaces to promote extra curricular learning.	The Institute has basic ICT infrastructure as well as state of the art physical spaces to support academic, co curricular & extra curricular activities. Additionally, the Institute maintains strategic plans for maintaining and updating the infrastructure.	The Institute has basic ICT infrastructure and state of the art physical and virtual learning infrastructure to support learning in all modalities. The Institute also facilitates out-of-hours (beyond classroom / training hours) access to all infrastructure and other technical support.
55	To what extent does the institute maintain and utilize data on the training programmes conducted?	The institute does not maintain any data related to trainees / courses conducted / training programmes.	The institute maintains data pertaining to trainees, courses & training programmes conducted but does not utilize it in any manner.	The institute collates data pertaining to trainees, courses & training programmes conducted and maintains it for reporting purposes only.	The institute collates all data relevant to teaching & learning and conducts data analysis to take corrective measures for enhancement of teaching / learning activities.	The institute collates all data relevant to teaching & learning and conducts quantitative and qualitative data analysis which is also easily accessible to all primary stakeholders (Trainees, Staff & faculty) in the institute. The institute utilizes the data to submit recommendations with respect to civil service

#	Metric	Stage I	Stage II	Stage III	Stage IV	Stage V
						officers to the Ministries, Departments and Agencies.
56	Does the Institute performance monitoring and evaluation framework set Key Performance Indicators (KPIs) for employees and staff in line with its future plans through internal assessments?	The Institute administration does not set KPIs for employees and staff.	The Institute administration establishes and follows up on KPIs ahead of time for some (<50%) but not all units and teams. Information on KPIs may be communicated by team leads to employees, but not routinely.	The Institute administration establishes KPIs ahead of time for most (>=50%) units and teams, and uses it to appraise staff performance. This information is not utilized for any further action. Information on KPIs may be communicated by team leads to employees, but not routinely.	The Institute administration establishes KPIs ahead of time for most (50%-75%) units and team, and communicates them appropriately, and uses it to appraise staff performance. This information is utilized for some corrective action to improve performance, but not routinely.	The Institute administration is committed to driving internal excellence; it establishes KPIs ahead of time for most (>=75%) units and team, communicates them appropriately, and uses it to appraise staff performance. This information is regularly (e.g., annually) utilized for undertaking corrective action, performance enhancements, and resource planning.
57	Does the Institute have well-defined mechanisms for digital collection and internal sharing of information (such as training or performance metrics)?	The Institute maintains internal records and information offline/physically.	The Institute maintains some records on digital databases (e.g., finance), but uses ad hoc systems (such as MS Excel) and these databases are not synced across departments or teams, and information is split and siloed.	The Institute maintains some records on digital databases using a unified data analytics and sharing platform, but this platform is not used across all departments or teams.	The Institute maintains all internal records on digital databases using a unified data analytics and sharing platform, but data updating and maintenance is lagged and not in real time. There is visibility across the Institute to	The Institute maintains all internal records on digital databases using a unified data analytics and sharing platform, and updating is regular and swift, such that all information across the Institute is visible in real time to

#	Metric	Stage I	Stage II	Stage III	Stage IV	Stage V
					appropriate/approved administrators.	appropriate/approved administrators.
58	Does the Institute have robust mechanisms for timely and regular sharing of information (e.g., on training, resources, requirements, etc.) between stakeholders such as ministries, organisations or other Institute s?	Information is not shared with stakeholders.	Some information is shared internally with stakeholders, but only on an ad hoc basis. There is no structural mechanism to facilitate this process.	There exist set procedures for the regular exchange of information between stakeholders, but these are not routinely followed; information is shared on an ad hoc basis.	There exist set procedures for the regular exchange of information between stakeholders, and these are routinely followed according to set procedures. This information is only retained for record-keeping purposes and does not feed into driving any further actions within the Institute.	There exist set procedures for the regular exchange of information between stakeholders, and these are routinely followed according to set procedures. This information is actively used to make changes or improvements to the Institute as needed.
59	Does the institute undertake green initiatives inside and outside the campus?	No green Initiatives undertaken by the Institute	The Institute implements green initiatives that have a localized impact.	The Institute undertakes green initiatives for reducing energy consumption of the institute through multiple modes. No future targets are defined.	The Institute undertakes green initiatives for reducing energy consumption of the institute through multiple modes with specific pre-defined targets.	In addition to green initiatives undertaken by the Institute, the institute also undertakes initiatives to contribute to sustainability through interventions for the external community. The Institute is GRIHA certified.

Annexure 2: A Checklist based on current governance structures at CTIs

Parameter	Decision making power/ authority		
	Autonomous Society	**Attached Office**	**Subordinate Office**
1. Generate funds for Operational expenditure	✓		
2. Generate funds for Capital expenditure			
3. Recruit faculty from external sources	✓	Approvals Required	✓
4. Conduct Training Needs Assessment	✓	✓	✓
5. Create Academic Advisory Council	✓	✓	✓
6. Conduct needs-based training programs	✓	✓	✓
7. Sign MoUs with organizations in India and abroad	✓		✓
8. Decide honorarium for different categories of guest faculty (academicians, domain, industry)	✓		
9. Create in-house committee for recruitment of faculty	✓	✓	
10. Act as consultants to the government	✓		
11. Charge fees for structured courses	✓		✓

Annexure 3: OECD's Strategic Education Governance Framework has 6 Key Pillars

1	**Capacity**	- Ensuring adequate financial and human resources - Identifying required technical & material resources
2	**Accountability**	- Defining key responsibilities of stakeholders involved in governance - Enhancing local discretion - Promoting a culture of learning and improvement
3	**Knowledge Governance**	- Need to collect and store knowledge - Mobilize knowledge for different users - Utilize knowledge for decision making
4	**Stakeholder Involvement**	- Decentralized decision making - Increasing relevance and suitability of policies - Involve multiple stakeholders including increasing relevance and suitability of policies (related to training, administration etc.)
5	**Strategic Thinking**	- Balancing short-term priorities along with long-term objectives - Creating, sharing and consolidating a system vision - Adapting to changing contexts and new knowledge - Executing core activities along with requirements influenced by external factors
6	**Whole-of-System Perspective**	- Enabling collaboration and alignment among stakeholders - Developing synergies between various parts of the system to enhance effectiveness and efficiency

Annexure 4: Legal Frameworks and salient features of CSTI

Particulars	Capacity	Accountability	Stakeholder Involvement	Knowledge Governance	Strategic Thinking
Registered Society A non-commercial organization formed for the **promotion of literature, science or the fine arts or the diffusion of useful knowledge/ political education** or for charitable purposes	▪ Funds and properties are provided by the members ▪ Profits to be put back in the society	▪ General Body composed of all Members ▪ Smaller Governing Body	▪ Adequate degree of independence and flexibility ▪ Flexibility to frame rules and regulations	▪ Focus on knowledge storage and use of evidence for decision making	▪ Formed under Societies Registration Act of 1960 wherein the aims and objectives of the society are enshrined
Statutory Corp. Provides a **combination of efficient business managementand public service**	▪ Can borrow money from Govt & Public, within & outside the country	▪ Wholly owned by Government ▪ Managed by BoD appointed by Government ▪ Accounts audited by CAG	▪ The directors and top executives can be Professionals or experts drawn from different occupations	▪ Focus on knowledge governance depends on key objectives and day to day operations	▪ Can easily adjust to changes in technology and market conditions ▪ Can avail economies of large-scale operations
Attached Office Responsible for providing **executive direction** required inthe implementation of policieslaid down by the ministry to which they are attached	▪ Strict budgetary controls ▪ Resources require approval from Ministry / Department	▪ Set up as function under the direction of the department	▪ Function under the direction of the department they are attached to	▪ High degree of focus towards maintaining knowledge to be used as evidence for decision making	▪ Provides expertise and executive direction to department
Subordinate Office Functions as field establishment or the agencies responsible for the **detailed execution** of the decisions of Government under an Attached Office / government	▪ Functions under strict budgetary controls ▪ Resources require approval from Ministry / Department	▪ Close coordination between the main department and the entity	▪ Function under the direction of an attached office or directly under a department if the volume of technical direction involved is limited	▪ Maintains high degree of focus towards maintaining and storing knowledge to be used as evidence for decision making	▪ Strong focus towards executing the policies of the Department

Annexure 5: Current governance systems at CSTIs

Governance practices of civil service training institutions are shaped by the legal frameworks they function under. In India, these legal frameworks may be broadly categorised under three categories – Attached Offices, Subordinate Offices and Registered Societies.

A. Attached Offices	B. Subordinate Offices	C. Registered Society
Description		
▪ Responsible for executing a policy, scheme or other work laid down by department to which they are attached ▪ May also advice the ministry/department on certain matters ▪ Functioning under Ministry/ Department	▪ Field establishment or agencies responsible for the detailed execution of the decisions of gov. ▪ May come under an Attached Office or directly under a ministry/department	▪ A non-commercial organization formed for the promotion of literature, science or the fine arts or the diffusion of useful knowledge/political education or for charitable purposes ▪ Higher functional & financial autonomy as per MoA with the Ministry
Advantages		
▪ Strategic Control by Government ▪ Flexibility in operations ▪ Close control between government & the institute	▪ Close control between government & the institute ▪ Strategic Control by Government	▪ Autonomy ▪ Self-sustaining ▪ Easy formation and amendment procedures ▪ Fast & independent decision making ▪ Flexibility in operations
Disadvantages		
▪ Multiple levels of approval required ▪ Functions under strict budgetary controls	▪ Functions under strict budgetary controls ▪ Multiple levels of approval required	▪ No significant challenges highlighted