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Capacity Assessment and Capacity Development Strategy (CA-CDS) Report

*for Strengthening Panchayati Raj Institutions
in Chhattisgarh*



Ministry of Panchayati Raj

Government of India

2012

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ACRONYMS

ANSSIRD	Abdul Nazeer Sab State Institute of Rural Development
ASCI	Administrative Staff College of India
ATIs	Administrative Training Institutes
BRGF	Backward Regions Grant Fund
CA	Capacity Assessment
CAA	Constitutional Amendment Act
CB	Capacity Building
CBP	Capacity Building Plan
CD	Capacity Development
CDDP	Capacity Development for District Planning
CDLG	Capacity Development for Local Governance
CD-MIS	Capacity Development Management Information System
CFCs	Citizen Facilitation Centres
CMS	Coordination and Monitoring System
CSO	Civil Society Organization
CSS	Centrally Sponsored Schemes
DoPT	Department of Personnel and Training
ERs	Elected Representatives
ETCs	Extension Training Centres
EWRs	Elected Women Representatives
FGDs	Focus Group Discussions
GoC	Government of Chhattisgarh
GoI	Government of India
GVS	Gramin Vikas Sansthan
ICDS	Integrated Child Development Services
ICDS-TI	Integrated Child Development Services Training Institute
IGPR	Indira Gandhi Panchayati Raj
IIPA	Indian Institute of Public Administration
IRMA	Institute of Rural Management
KILA	Kerala Institute for Local Administration
LBSNAA	Lal Bahadur Shastri National Academy of Administration
M&E	Monitoring and Evaluation
MIS	Management Information System
MLAs	Members of Legislative Assembly

MoPR	Ministry of Panchayati Raj
MoRD	Ministry of Rural Development
MPs	Members of Parliament
NCBF	National Capability Building Framework
NIRD	National Institute for Rural Development
NREGS	National Rural Employment Guarantee Scheme
OJT	On-The-Job Training
PCASC	Panchayat Champion Awards Steering Committee
PESA	Panchayat Extension to Scheduled Areas
PMEYSA	Panchayat Mahila Evam Yuva Shakti Abhiyan
PR	Panchayati Raj
PRCs	Panchayat Resource Centres
PRD	Panchayati Raj Department
PRI	Panchayati Raj Institution
PRIA	Society for Participatory Research in Asia
PRIF	Panchayat Research and Innovations Fund
PRTIs	Panchayati Raj Training Institutes
PTCs	Panchayat Training Centres
RBM	Results-based Management
RCB	Regional Centre in Bangkok
RDD	Rural Development Department
RGSY	Rashtriya Gram Swaraj Yojana
SC-CDPRIs	Standing Committee for Capacity Development of Panchayati Raj Institutions
SCs	Scheduled Castes
SHRC	State Health Resource Centre
SIRDs	State Institutes for Rural Development
SPTP	State Perspective Training Plan
SSK	Sahbhagi Shikshan Kendra
STIRCs	Sectoral Training Institutes and Resource Centres
STs	Scheduled Tribes
TIs	Training Institutes
TNA	Training Needs Assessment
ToT	Training of Trainers
ULBs	Urban Local Bodies
UNDAF	Development Assistance Framework
UNDP	United Nations Development Programme
UT	Union Territory
YASHADA	Yashwantrao Chavan Academy of Development Administration

CONTENTS

INTRODUCTION	1
PART ONE	
1. Panchayats and Local Governance	3
2. Strengthening the Panchayats: Current Practice	5
3. Capacity Development Approach	11
4. Capacity Assessment Pilot	14
5. Insights and Recommendations on the Capacity Assessment Process: The Chhattisgarh Experience	18
PART TWO	
1. Assessing State-Level Capacities in Chhattisgarh	20
2. Capacity Assessment Results	23
2.1 The Department of Panchayati Raj	26
2.2 The State Institute for Rural Development	28
2.3 Administrative Training Institutes	30
2.4 The State Health Resource Centre	31
2.5 The Integrated Child Development Services Training Institute	33
2.6 The Rural Development Department	35
3. Capacity Development Response: Some Recommendations	37
3.1 Policy and Cross-Cutting Recommendations	37
3.1.1 Establish a State-level Standing Committee for Capacity Development of Panchayati Raj Institutions	38
3.1.2 Leadership Development	38
3.1.3 Launching of 'Panchayat Champion' Awards	39
3.1.4 Improvement and Sharing Training Facilities	40
3.2 Agency-Specific Recommendations	40
3.2.1 Capacity Development Response for DPR	40
3.2.2 Capacity Development Response for the Rural Development Department	42
3.2.3 Capacity Development Response for Training Institutions	44
Annexure 1 Assessment of State-Level Capacities for the Implementation of the National Capacity Building Framework (NCBF) and to Undertake District Planning	56
Annexure 2 List of Master Trainers and Terms of Reference for Participating in the Pilot Capacity Assessment in Chhattisgarh	63

Annexure 3	Capacity Assessment Framework for the Administrative Training Institute (ATI)	66
Annexure 4	Capacity Assessment Framework for the Department of Panchayati Raj (DPR)	68
Annexure 5	Capacity Assessment Framework for the Integrated Child Development Services Training Institute (ICDS-TI)	70
Annexure 6	Capacity Assessment Framework for the Rural Development Department (RDD)	72
Annexure 7	Capacity Assessment Framework for State Health Resource Centre (SHRC)	74
Annexure 8	Capacity Assessment Framework for the State Institute for Rural Development (SIRD)	76
Annexure 9	Phasing of Proposed Capacity Development Response	79

Tables

Table 1	Core Issues/Challenges Faced by Relevant PRI Capacity Development Institutions in Chhattisgarh	16
Table 2	Consolidated Capacity Ratings Across Capacity Assessment Focus Institutions in Chhattisgarh, 2009	26
Table 3	Capacity Development Parameters Receiving the Lowest Scores, DPR, Chhattisgarh	28
Table 4	Capacity Development Parameters Receiving the Lowest Scores, SIRD, Chhattisgarh	29
Table 5	Capacity Development Parameters Receiving the Lowest Scores, ATI, Chhattisgarh	31
Table 6	Capacity Development Parameters Receiving the Lowest Scores, SHRC, Chhattisgarh	32
Table 7	Capacity Development Parameters Receiving the Lowest Scores, ICDS-TI, Chhattisgarh	33
Table 8	Capacity Development Parameters Receiving the Lowest Scores, RDD, Chhattisgarh	35

Figures

Figure 1	The Three Layers of Capacity Development	11
Figure 2	Consolidated Capacity Assessment Results in Chhattisgarh, 2009	26
Figure 3	Capacity Assessment Results for DPR, Chhattisgarh, 2009	27
Figure 4	Capacity Assessment Results for SIRD, Chhattisgarh, 2009	30
Figure 5	Capacity Assessment Results for ATI, Chhattisgarh, 2009	31
Figure 6	Capacity Assessment Results for SHRC, Chhattisgarh, 2009	33
Figure 7	Capacity Assessment Results for ICDS-TI, Chhattisgarh, 2009	34
Figure 8	Capacity Assessment Results for RDD, Chhattisgarh, 2009	36
Figure 9	Proposed Capacity Development Framework for Strengthening Training	37

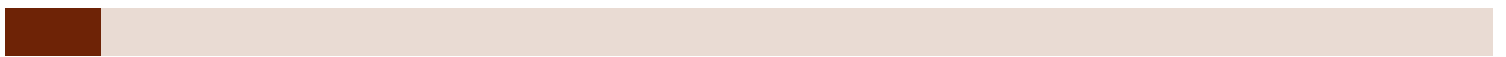
INTRODUCTION

Panchayati Raj Institutions (PRIs) and municipalities/urban local bodies (ULBs) have been identified as the third tier of governance, particularly after the 73rd and 74th amendments to the Constitution. Of the 28 states and seven union territories (UTs), three states are exempted from the provisions of these amendments as they have been allowed to continue with traditional arrangements of local bodies which are akin to PRIs. There are, currently, about 2 lakh (1 lakh = 100,000) PRIs represented by over 28 lakh Elected Representatives (ERs) of whom over one-third are women. There are about 10 lakh functionaries working for/under PRIs.

PRIs are currently the capacity assessment for Chhattisgarh was done in 2009. assigned two of the major programmes for rural development — the National Rural Employment Guarantee Scheme (NREGS) and the Backward Regions Grant Fund (BRGF). In terms of constitutional intent, states have assigned many more schemes to PRIs, though such assignments are not uniform across states. It is expected that in the coming years, PRIs will be implementing development schemes and programmes worth over Rs 1.5 lakh crore (1 crore = 10,000,000 = 100 lakh). To perform such large-scale responsibilities, PRIs need to have adequate capacities in terms of numbers as well as quality of manpower.

Realizing the imperatives of strengthening the capacities of PRI-ERs and officials to effectively undertake their roles, the Ministry of Panchayati Raj (MoPR) launched a National Capacity Building Framework (NCBF), which provides details of various training programmes aimed at PRIs. MoPR is also implementing the Capacity Development for Local Governance (CDLG) Project with support from the United Nations Development Programme (UNDP) in seven focus states of the UN Development Assistance Framework (UNDAF). These states are Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan, and Uttar Pradesh. CLDG is aligned with the goals and objectives of NCBF, and aims to strengthen institutions and processes at various levels to bring about behavioural change through increased motivation, joint decision-making, provision of resources (that is, networks, resource persons/institutions, training courses/material, information, and innovative solutions and methods), and personal empowerment. Key partner institutions for this are training institutions, such as the State Institutes for Rural Development (SIRDs), Panchayati Raj Training Institutes (PRTIs, which exist in a few states) and Administrative Training Institutes (ATIs), which have the mandate to train ERs and officials in local governance. It has been the experience that these institutions together are unable to meet the responsibility of providing the required training to ERs and other PRI officials.

In view of the crucial role that PRIs are expected to play in local governance and district planning and the relevance of capacity development activities related to these, a capacity assessment of state-wide capacities for implementing NCBF and undertaking district planning was conducted on MoPR's request. The UNDP capacity assessment tool was piloted in this assessment and trainers were trained on the use of the tool.



PART ONE

1. PANCHAYATS AND LOCAL GOVERNANCE

The 73rd Constitutional Amendment Act (CAA), 1992, established a three-tier structure of local self-governance in rural India and gave constitutional status to PRIs. The 74th Constitutional Amendment Act created three types of institutions for urban areas, and a combined representative and expert body for integrated district planning. The two Acts mandate the conducting of elections for all the three tiers once in every five years. The Acts provide for reservation of at least one-third seats for women (to be soon raised to 50 per cent), and reservation of seats for Scheduled Castes (SCs) and Scheduled Tribes (STs) in proportion to the population. Another important feature of the Acts is the establishing of State Finance Commissions (SFCs) to make recommendations with regard to the financial powers of Panchayats.

As per the 73rd CAA, PRIs have been endowed with such powers and authority as may be necessary for them to function as institutions of self-government; it also contains provisions for devolution of powers and responsibilities to Panchayats at the appropriate level with reference to:

- (a) Preparing plans for economic development and social justice.
- (b) Implementing such schemes for economic development and social justice as may be entrusted to them.

The Act envisages devolution of 29 functions as listed in the Eleventh Schedule:

1. Agriculture, including agricultural extension.
2. Land improvement, implementation of land reforms, land consolidation, and soil conservation.
3. Minor irrigation, water management, and watershed development.
4. Animal husbandry, dairying, and poultry.
5. Fisheries.
6. Social forestry and farm forestry.
7. Minor forest produce.
8. Small-scale industries, including food processing industries.
9. Khadi, village, and cottage industries.
10. Rural housing.
11. Drinking water.
12. Fuel and fodder.
13. Roads, culverts, bridges, ferries, waterways, and other means of communication.
14. Rural electrification, including distribution of electricity.
15. Non-conventional energy sources.
16. Poverty alleviation programmes.

17. Education, including primary and secondary schools.
18. Technical training and vocational education.
19. Adult and non-formal education.
20. Libraries.
21. Cultural activities.
22. Markets and fairs.
23. Health and sanitation, including hospitals, primary health centres, and dispensaries.
24. Family welfare.
25. Women and child development.
26. Social welfare, including welfare of the handicapped and mentally retarded.
27. Welfare of the weaker sections, in particular of SCs and STs.
28. Public distribution system.
29. Maintaining community assets.

It is thus evident that PRIs are responsible for wide ranging functions and their capacities need to be considerably augmented if they are to function as effective institutions of local self-governance.

A 2007 study¹ commissioned by UNDP and conducted by the Administrative Staff College of India (ASCI) states that Article 243 (g) of the Constitution widely empowers Panchayats through the devolution of powers and responsibilities with regard to: (a) preparing plans for economic development and social justice, and (b) implementing schemes for these relating to matters listed in the Eleventh Schedule. According to the report, vested interests in the political and bureaucratic elite have distorted this constitutional mandate confining the role of Panchayats to that of field agencies of state governments. There is an overemphasis on the role of Panchayats as implementing agencies of Centrally Sponsored Schemes (CSS) and little attention is paid to their constitutional role as governance institutions in charge of planning and resource allocation at the local level.

On the other hand, the influence on distribution of scheme funds as well as the role of elaborating on district plans has given local ERs a role and responsibility that has benefited their standing and exposed them to planning and implementation monitoring functions. This may positively impact their ability to take on larger responsibilities and decision-making powers in future when they are required to handle untied funds.

As per ASCI's assessment, state governments have been reluctant to devolve funds, functions, and functionaries to local bodies and have often cited the lack of capacity on their part as the reason for this non-devolution of constitutionally mandated powers and responsibilities. In fact, the lack of capacity in local bodies is partially due to the fact that the decision-makers at that level have been given little opportunity to learn by doing.

¹ *Administrative Staff College of India (ASCI) 2008. 'Strengthening of State Support Institutions in the Focus States: Capacity Assessment Report', Hyderabad.*

PART ONE

2. STRENGTHENING THE PANCHAYATS: CURRENT PRACTICE

The issue of capacity building (CB) of local-governance institutions in urban and rural India is complex. Some of the challenges in the capacity development (CD) of local self-governance institutions are:

- The challenge in numbers: With about 28 lakh (2.8 million) local ERs, a majority of whom have been elected for the first time, the institutions tasked to train them are overwhelmed. PRI-ERs hold office for five years and are likely to be replaced by a new set of representatives in the following elections. The number of ERs who require post-election training and orientation is, therefore, very large. Beyond basic post-election training and orientation, there is demand for continuous CD, including that of the functionaries in the PRI administration.
- Most of the local representatives have a low level of formal education and their profiles reflect the societal divides that exist in rural India. At present 36.87 per cent (over 1 million) PRI representatives are women. With the proposed constitutional amendment to increase the reservation for women to 50 per cent, the number of Elected Women Representatives (EWRs) is expected to increase to more than 1.4 million.
- Local self-governance is fully embedded in the system of parliamentary democracy. Governance challenges faced by the parliamentary system in India have a bearing on the performance of the institutions of local governance also. At the national and state levels, Members of Parliament (MPs) and Members of Legislative Assemblies (MLAs) play only a limited role in legislation and policy making and are mostly involved in executive affairs. Local ERs have few role models to emulate.
- The bureaucracy often relays a distorted message regarding the role of local self-governance relegating it to the level of a subordinate body of the government as against its being an independent self-governance institution. The frequency of Gram Sabha (village assemblies) meetings differs dramatically from state to state as their positive effect on participatory democracy is understood and utilized by few ERs who may out of sheer necessity be focusing on their executive roles, that is, on implementing non-integrated schemes.
- The institutional capacities of the agencies responsible for the CD of local governance institutions — the State Institutes of Rural Development (SIRDs), Extension Training Centres (ETCs), and Panchayat Training Centres (PTCs) are severely limited. Their geographic reach, available staff, and training resources (that is, modules, field level trainers and facilitators, training material, and communication methods) are for the most part insufficient to produce necessary numbers of desired quality.
- Convergence at the national level between the union ministries of Rural Development and Panchayati Raj — now headed by the same minister — is a challenge which reflects also at the district level where the administrative machinery of the state governments remains largely departmentalized (see 15th Report of the Administrative Reforms Commission, 2005) and cross-sectoral capacity development strategies for ERs and officials of local self-governments are largely absent.

The State of Panchayats Report 2007–08 highlights that the *raison d'être* for training and capacity development stems from the fact that the 73rd and 74th CAAs, while being revolutionary, are being implemented on extremely uneven grounds. The rationale for CD, according to the report is to:

- Bridge the gap in existing social inequalities by developing capacities of women, SCs, and STs to enable their participation in local governance processes with confidence.
- Recontextualizing the skills and experience of first time entrants and providing them relevant information.
- Developing a cadre of local leadership that can be change agents for society.
- Reorienting government officials so that they can enable effective local government functioning.

The key determinants which have a bearing on PRIs' ability to function effectively can be summarized as:

- Effective devolution of functions, funds, and functionaries.
- Convergence/design of various schemes.
- Capacities of PRI-ERs and functionaries.

The first two issues relate to an enabling environment and the third to individual and organizational capacity levels.

The 15th Report of the Administrative Reforms Commission states that it is a 'well accepted principle that in order to make PRIs effective institutions of self governance, devolution of functions will have to be suitably matched by devolution of adequate funds and functionaries.'² 'The Commission is of the view that the local bodies (PRIs/ULBs) will have to play a primary role in planning, development and service delivery functions pertaining to the subjects listed in the Eleventh and Twelfth Schedule of the Constitution. Though in many States, the subjects technically stand devolved to the local bodies, the administrative set-up has not been re-aligned appropriately to equip them for becoming effective self-governing institutions.'³

The key challenges for the effective functioning of PRIs as local self-governments are: (a) the design, and (b) non-convergent rules and procedures of various government schemes, that is, state government schemes and CSS. The Eleventh Five Year Plan of the Government of India (GoI) states that a 'critical assessment of the performance of CSS reveals the following deficiencies:

- Most of them exist as silos planned and implemented as stand-alone schemes with little horizontal convergence or vertical integration, resulting in multiple sub-sectoral district plans, unrelated to each other. At times they are even mutually conflicting, prepared without any integrated vision or perspective of what is needed at the district level.
- The schemes are often too rigid and do not provide the flexibility needed for adaptation according to the different development needs at the local level. There is also too much micro management without any mechanism to understand the local situation and respond to it properly.

² *Administrative Reforms Commission. 2005. 15th Report: 162. Available at: <http://arc.gov.in/15threport.pdf> (accessed on 14 December 2009).*

³ *Administrative Reforms Commission. 2005. 15th Report: 87. Available at: <http://arc.gov.in/15threport.pdf> (accessed on 14 December 2009).*

- There is no consistent approach in the design of delivery mechanisms. At times, independent structures are created for each scheme resulting in multiplicity of such structures at the local level with no interaction or coordination among them.
- The extent of professional support to the design, implementation, and monitoring of these schemes is quite weak at the national, state, and local levels. Often, line departments with generalist approaches control the implementation process without having the necessary competence.
- In spite of stated objectives aiming at the quality of outputs and outcomes, there is not enough outcome based evaluation and the programmes are mostly monitored on an expenditure basis.’

The architecture of continuing and new CSS will need to be radically altered and the instrumentality of their implementation fundamentally changed. In this context, there are a number of arguments in favour of giving local governments a pivotal place in CSS in keeping with their constitutional mandate of economic development and social justice.

With regard to the development of capacities of individuals, be it ERs or functionaries, SIRDs have the primary mandate for conducting training. ATIs train the functionaries, that is, officers of the All-India and State Civil Services and sometimes also ERs and NGO functionaries. In addition to these two institutions which exist with variations (that is, merged or separate) in all states, different line departments have their own training institutions that conduct training for PRI-ERs and functionaries. In many cases the training institutions have facilities at the sub-state level (district and block levels) where training can be conducted.

Further, affiliations and associations of ERs and functionaries do exist in some states. Specific schemes provide funding to women and youth (for example, the Panchayat Mahila Evam Yuva Shakti Abhiyan — PMEYSA) for establishing formal associations and state support centres which can further specific agendas and provide backstopping support, thereby contributing to capacity development by strengthening the enabling environment for women and youth.

The State of Panchayat Report maps the institutions responsible for developing the capacities of ERs as well as civil society initiatives that are associated with it. It notes that though a number of institutions are active in the field of CD, they are working in a highly compartmentalized manner with little networking among them. Other aspects, such as training modules, clientele, duration, and other socio-cultural specificities may also have to be looked into towards making the CB process a more meaningful exercise. It notes the need for strengthening SIRDs so that they are able to provide dynamic leadership. A curriculum designed in an integrated manner rather than focusing on sectoral needs is also urgently required. There is total lack of mechanisms for monitoring and evaluating the impact of training. This is required to provide feedback for ensuring that the process, content, and methodology of CD efforts are suited and relevant to the context.

Given the imperatives of strengthening the capacities of ERs, MoPR launched a National Capacity Building Framework (NCBF) that aims at:

- Enabling PRI-ERs to upgrade their knowledge and skills to perform their responsibilities better.
- Orienting key officials associated with the devolved functions to:
 - (a) Function better as technical advisors and trainers.
 - (b) Be more receptive and learn from the ground-level experience of elected Panchayat representatives.

- Improving the functioning of Gram Sabhas.
- Sensitizing the media, political parties, representatives in legislatures, civil society organizations (CSOs), and citizens.

A number of CSS with components for capacity development exist within MoPR. This is over and above the allocations that other union ministries and the state governments make for scheme/sector specific capacity development (that is, mainly training):

- The Backward Regions Grant Fund (BRGF) which was introduced by MoPR in 2006 for 250 districts in the country has Rs 250 crore (2,500 million) allocated for CB activities. This comes to approximately Rs 1 crore (10 million) per district each year. Based on NCBF, the suggested activities are: (1) building capacity in planning, implementation, monitoring, accounting, and improving accountability, (2) strengthening physical infrastructure for capacity building, (3) providing functional literacy courses, (4) IT enabling and connectivity for all Panchayats, (5) setting up helplines, Panchayati Raj TV channels, and radio programmes, (6) setting up satellite centres for interactive satellite training, and (7) Gram Sabha level campaigns and awareness generation.
- Under the Rashtriya Gram Swaraj Yojana (RGSY) scheme Rs 30 crore (300 million) is available for training and capacity building in the 342 districts which are not covered by BRGF. Financial assistance is meant for actual training of PRIs and the construction of satellite training studios. Proposals from NGOs that come with state government recommendations receive 75 per cent funding from the Union Government and 25 per cent funding from the state government.
- A targeted scheme called Panchayat Mahila Evam Yuva Shakti Abhiyan (PMEYSA) has a networking and empowerment component for EWRs (Panchayat Mahila Shakti Abhiyan) and a sensitization and awareness building component targeting young PRI members and youth club members (Panchayat Yuva Shakti Abhiyan).

A recent review⁴ of BRGF highlights the following challenges:

- Capacity Building Plans (CBPs) are of varying quality and in some states they are formulated by SIRDs without intensive involvement of the Rural Development and Panchayati Raj (RD and PR) departments. NCBF does not require the states to conduct a capacity needs assessment for each district, which is a major flaw. The result is that CBPs are not customized to each PRI and municipality and they are not periodically updated to address emerging CD needs arising from the implementation experience. It is also not possible to keep track of developments in the performance of PRIs/ULBs and the impact of CB support. There are a few cases of convergence, in most cases BRGF's capacity building activities are being implemented in solo. Overall, the focus of capacity building activities on ULBs was dismal, often due to institutional issues and lack of clarity about responsibilities.
- Many of the states (Assam, Bihar, Chhattisgarh, Orissa, Madhya Pradesh, and Rajasthan) do not have effective overall coordination mechanisms for CB delivery.
- Most of the CB support is targeting individuals and not institutional strengthening, such as support for establishing stronger planning cells at the Zilla Panchayat (ZP) and Intermediate Panchayat (IP) levels.

⁴ BRGF Review Mission conducted by the World Bank in cooperation with UNDP in 2009.

- There is inadequate monitoring and evaluation of CB activities at various levels, especially of output, outcome, and impact levels.
- The training programmes are largely supply driven and in a number of cases conducted for shorter periods than planned.
- The planned training of illiterate and semi-literate ERs is yet to be implemented.
- There is lack of incentives for PRIs/ULBs to utilize CB support efficiently and improve their performance.

Based on the identified challenges in the present system and the procedures for capacity building support under BRGF, the findings and recommendations by the review team include:

- Refining the overall strategy for providing CB: BRGF should focus on establishing links between (i) development fund, (ii) performance assessment, and (iii) CB support (promoting incentives to improve performance). This will require the use of a mix of supply driven approaches managed by the state to deliver mandatory courses for all local bodies; and demand driven approaches where districts and ULBs are given discretionary capacity building grants to address peculiar CB needs.
- Planning capacity building: Developing a holistic CD strategy based on specific assessment of the PRIs' capacity needs and establishing a strong link between CB needs and the support rendered. While allowing flexibility and innovation at the state level, developing a format/template and guidelines for capacity needs assessment and CB planning. The CBP should integrate CB activities with those implemented under the programmes of other agencies.
- Capacity building delivery: Combining mandatory courses with a more demand driven approach to CB. Improving the CB content by developing self-learning and easy reference material.
- Capacity building for ULBs: Ensuring that ULBs are properly covered by CB support activities. There is need to have a different window for channelling CB funds for ULBs in order to address their peculiar CB needs. This necessitates a need to clarify the entire role of ULBs in BRGF.
- Capacity building coordination: Strengthening Panchayati Raj Departments (PRDs) to effectively guide, coordinate, and monitor CD support which is spread over a number of institutions. Entrenching the demand driven CB approach requires developing a human resource management/development function at the district level which is entrusted with the responsibility of coordinating all CB activities including but not limited to: capacity needs assessment, planning capacity building, organizing and/or procurement of capacity building providers; supervising the delivery of capacity building activities; and monitoring and evaluating the impact of capacity building activities.

At the national level, the following apex training and resource institutions are involved in capacity development indirectly as they provide backup support, guidance and training.

National Institute for Rural Development (NIRD)

Indian Institute of Public Administration (IIPA)

Lal Bahadur Shastri National Academy of Administration (LBSNAA)

Institute of Rural Management (IRMA) Anand

Network of institution at the national and state level:

State training institutions of repute. For example:

- Kerala Institute for Local Administration (KILA)
- Yashwantrao Chavan Academy of Development Administration (YASHADA)
- State Institute of Panchayats & Rural Development, West Bengal
- Abdul Nazeer Sab State Institute of Rural Development (ANSSIRD)
- Indira Gandhi Panchayati Raj & Gramin Vikas Sansthan (IGPR & GVS) SIRD, Rajasthan

Academic institutions (higher and distance education)

Research institutions

NGOs working at the national level. For example, the Society for Participatory Research in Asia (PRIA), Sahbhagi Shikshan Kendra (SSK), and Samarthan

State-level institutions directly involved in the CD of ERs and PRI functionaries are:

Rural Development Department (in some cases the Panchayati Raj and Rural Development Department)	State Institutes for Rural Development (SIRDs) Extension Training Centres (ETCs) Panchayat Training Centres (PTCs)
Department of Personnel and Training	Administrative Training Institutes (ATIs)
Other departments	Sectoral Training Institutes and Resource Centres
Others	NGOs and alternative service providers Academic institutions (higher and distance education)

The capacity assessment of state training institutions (ATIs and SIRDs) in the UNDAF states conducted by ASCI in 2008 noted that the ATIs as centres for training of civil servants can only play a limited role by sensitizing and reorienting civil servants to the ground realities of participatory democracy. A study conducted by the Lal Bahadur Shastri National Academy for Administration on the availability of gender expertise in select ATIs noted that there is lack of well-qualified resource persons, lack of training literature and resource material, particularly on gender based violence, and lack of budgetary provisions for conducting training.

With regard to SIRDs, the ASCI study found their inability to play an effective role in the CD of elected local representatives and functionaries stemming from a lack of strategic focus and convergence, which emanates from the concerned central ministries and is reflected at all levels of public administration. An assessment of existing infrastructure of SIRDs pointed to a need for strengthening their regional, district, and sub-district level presence for effective outreach.

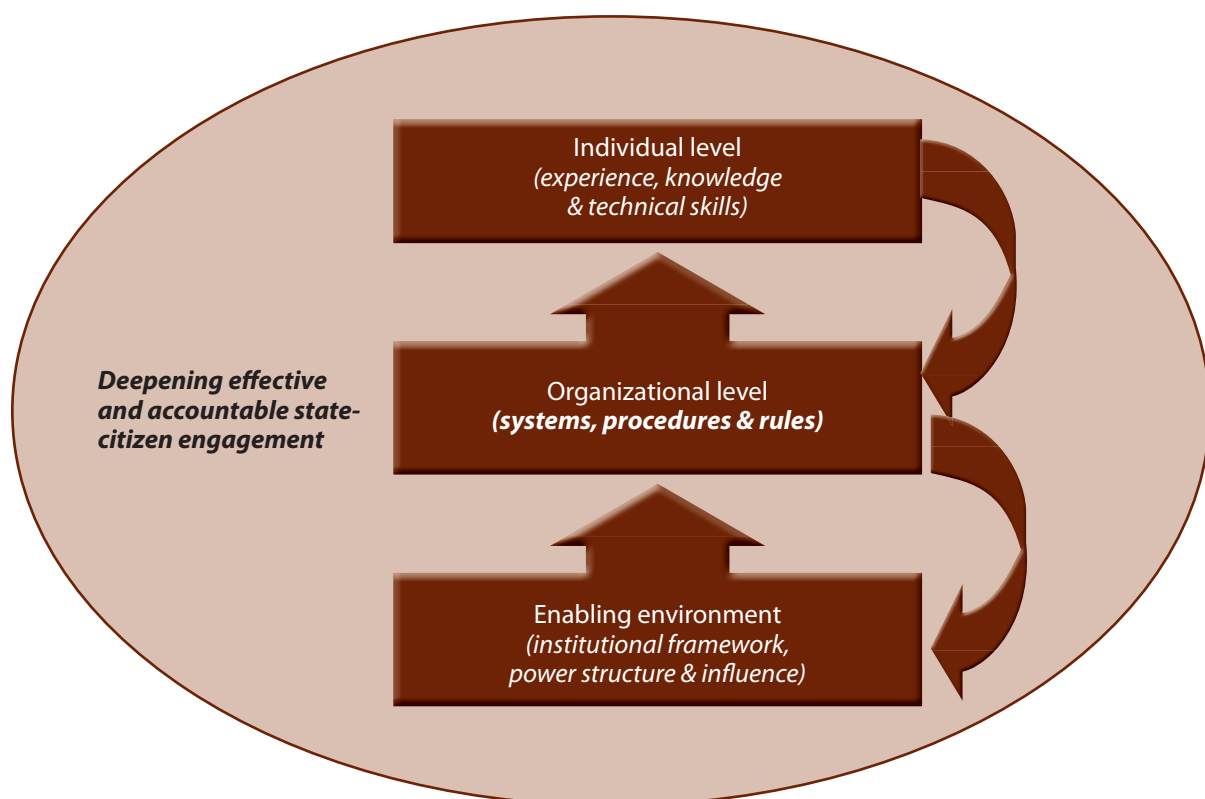
The study emphasized the importance of staffing these institutions with well-qualified and well-paid teams of professionals and identified a need to develop systems which foster creativity and initiative. Putting in place such systems will enable these institutions to design and develop curriculum based on the felt needs of their clientele and deliver it using appropriate methodologies. The study also underlined the fact that CB initiatives will yield adequate results only when they are accompanied by investments in mobilization of civil society and policy-level advocacy in favour of decentralized governance.

PART ONE

3. CAPACITY DEVELOPMENT APPROACH

UNDP's CD approach provides a holistic understanding of, and appreciation for, the multifaceted nature of development and the need to address capacities beyond the usual activities anchored at individual capacities, such as training and other skill development activities. The approach emphasizes the need to give equally strong support to organizational and enabling environment capacities, which are often not addressed in traditional CD approaches. The CD approach promotes a more rigorous capacity assessment methodology to systematically analyse existing capacities and identifying what capacities are needed in the future and at what level and quality to achieve a certain development outcome. This process identifies 'capacity gaps' across three capacity levels — an enabling environment/policy, organization, and individual (Figure 1) — and enables the government and donors to target their support more directly to address these gaps. This process for assessing capacities is essential for ensuring that the CD needs are effectively identified and prioritized and provides a systematic alternative to the often ad-hoc, training-focused capacity development orientation in previous development programmes.

Figure 1: The Three Layers of Capacity Development



The assessment for state-level capacities was conducted on 17–28 August 2000, on a request from MoPR. The UNDP Regional Centre in Bangkok (RCB) provided technical support in adapting the CA framework

according to the objectives and the local context, and identified issues confronting MoPR. The overall objectives of the mission were:

- Assessing the capacity of a given state (Chhattisgarh) to implement NCBF and for capacity development of PRI-ERs and officials for district planning using UNDP's CA methodology adapted to India.
- Developing a pool of experts (CA master trainers and CA resource persons) equipped with skills to undertake similar assessments independently by conducting a 2-day training workshop.

The CA process was conducted under the leadership of MoPR and followed a 4-pronged approach as illustrated in the capacity assessment work plan (Annexure 1). For developing and piloting the CA framework in the context of a state in India, Chhattisgarh was selected by MoPR given that it is a pilot state under BRGF and is one of the states with high incidence of poverty in India. The piloting of the CD approach was intended to generate a grounded understanding of the appropriateness and applicability of the CA tool for selected states in India, particularly in the context of NCBF and to generate information on possible adjustments in future capacity assessment rollouts. The pilot capacity assessment applied the following approach:

- Relevant documents and project reports were provided by MoPR and UNDP India prior to the CA mission to provide background information and a context for the mission. Additional documents were collected and reviewed during the mission as well.
- A training of trainers (ToT) was conducted involving nine master trainers/capacity assessment resource persons identified by MoPR (see Annexure 2). The master trainers are expected to provide technical support in conducting similar capacity assessments in other focus states in the country.
- A series of focus group discussions (FGDs) with organizations/institutions providing CD support to PRIs were conducted. These included the following:
 - (a) A multi-stakeholder consultation workshop held on 19 August 2009 to discuss issues and challenges in the provision of CD services in Chhattisgarh. Participants during this consultation included more than 10 government departments/agencies (for example, the Department of Panchayati Raj, Department of Rural Development, Department of Forest, Department of Health, Department of Women and Children, School Education Department, and State Planning and Urban Development Board), training institutions (for example, State Institute for Rural Development, Administrative Training Institute, and ETC/PTCs), and 10 non-government institutions providing training services to communities. The consultation provided a set of key challenges and concerns which provided critical information in designing the CA framework for Chhattisgarh.
 - (b) Field visits to selected districts to consult demand side actors at the Gram Panchayat (GP), Janpad Panchayat (JP), ZP, and ULB levels.
 - (c) Self-assessment consultation sessions with selected agencies (RDD, DPR, ATI, SHRC, ICDS, and SIRD) which provided an opportunity for officials and staff members from these institutions to rate their institutions' capacities using a 5-point rating scale based on capacity development parameters designed by the capacity assessment team. The capacity self-assessment processes allowed representatives from each institution to provide qualitative information on their strengths and weaknesses, as well as quantitative scores for their capacities, using an evidence-based rating

system of from 1 (very low capacity) to 5 (very high capacity). This allowed each agency to assess its present capacity levels for specific capacity development parameters, as well as indicate its desired capacity levels in three years, that is, by 2012. Consolidated ratings were then calculated and analysed by the CD team and presented to MoPR along with recommendations.

- A self-assessment process where officers/staff members of the selected agencies ‘rated’ their capacity levels individually to provide an understanding of the prevailing capacity development status of the agencies and a prioritization of their CD needs.

PART ONE

4. CAPACITY ASSESSMENT PILOT

UNDP's capacity assessment methodology was adapted for Chhattisgarh to assess state-level capacities for implementing NCBF and for undertaking district planning. The methodology was used to assess the capacities of the Department of Panchayati Raj (DPR), the Rural Development Department (RDD), SIRD, ATI, the State Health Resource Centre (SHRC), and the Integrated Child Development Services Training Institute (ICDS-TI). UNDP-RCB provided technical support in adapting the CA framework according to its objectives and the local context and identified issues confronting PRIs (training institutions in particular), and the development, implementation, and monitoring of NCBF and district planning.

Specifically, the objectives of the CA were:

- Identifying existing capacities and capacity gaps in areas that are of priority for PRIs and selected training institutions (TIs).
- Raising awareness among PRIs and TIs about the need for systematic capacity analysis (by introducing the UNDP approach).
- Reaching consensus in opinion among PRIs and training institutions about the main capacity needs of PRIs and state-level capacities.
- Identifying appropriate capacity development responses that could address capacity constraints and be supported by UNDP.

Following a review of documents and initial consultations and discussions with the organizations/institutions as well as discussions during the ToT for CA master trainers, the following core development challenges or issues were identified (Table 1 gives the challenges which were identified by respective agencies as directly relevant to them):

- **Policies, institutional development, and institutional arrangements.** Conceptualizing and formulating development policies, strategies, and programmes for PRIs require analysing a range of national and state-level policies and institutional arrangements that could contribute to, or constrain, an effective and efficient delivery of services, including knowledge and capacity development services. The consultations revealed dichotomized approaches to service delivery, duplication, sometimes conflicting functions among state agencies, and lack of coherence with regard to overall direction and common strategy for addressing the needs of PRIs. This unearthed serious implications in the context of converging efforts and resources for and among PRIs, which are intended to serve as the first line of service delivery on the ground.
- **Human resource.** Human resource capacities are at the heart of enhancing human development. In the case of training institutions and planning agencies in Chhattisgarh, there is an evident weakness in the quality and quantity of technical support staff even among training institutions which are expected to provide the knowledge and expertise for PRIs to perform their functions. Staff skills and expertise too are constrained by inadequacies in organizational capacities, such as lack of appropriate facilities

and equipment, outdated training modules and training approaches, lack of incentives for posting and deployment in Chhattisgarh, among others.

- **Leadership.** Internally, the leadership creates and sets the dynamics within the organization, influences organizational culture, affects team and staff performance, and plays a critical role in setting a unified vision and direction for the organization. The 73rd and 74th CAAs created new tiers of leadership in India, without whose active role and performance the desired goals of active decentralization and local empowerment will not materialize. On the other hand, long-established leaders in other line ministries and departments at the state level need to recognize, accept, and interact with these new set of leaders towards more harmonized approaches to service delivery on the ground.
- **Knowledge.** This pertains to training institutions' capacities to tap available information and expertise to analyse the existing needs of, and demands from PRIs, and develop and/or introduce existing and/or new knowledge and expertise to respond to such demands. It also refers to training institutions' capacities to anticipate the CD needs of PRIs based on existing and/or new legislations and global developments and adjust modules and training approaches and map out existing technical resources in anticipation of such needs. In the case of the assessed institutions, there seems to be a prevalence of supply-driven training and knowledge building activities, with little attention to grounding them in the actual capacity needs of PRIs. It also revealed the need for stronger capacities for planning, coordination, and monitoring and evaluation (M&E) of training and capacity development programmes among the assessed institutions.
- **Accountability.** This core issue refers to practices and mechanisms that hold training institutions and government agencies accountable for performing their functions in responding to the needs of their clientele, and in providing suitable rewards for good organizational and individual performance. It also looks at mechanisms that will allow PRIs and other stakeholders to provide feedback on the effectiveness and efficiency of training institutions and government agencies at the state level, as well as on the long-term impact and utility of the various training programmes and development activities introduced by state institutions.
- **Physical resources and infrastructure.** Physical resources as defined in this report consist primarily of material resources and infrastructure, including facilities and equipment, and include not only their procurement but also their management and maintenance to contribute to a more efficient delivery of training services.

The relevance of these core issues or challenges to each focus institution in Chhattisgarh was analysed according to the information generated during the consultations and meetings. Table 1 shows that there is a common concern with regard to policies and institutional arrangements at the local level, given non-alignment in government programming and support activities, and weak coordination and communication among agencies that are mandated to support PRIs. Knowledge management also emerged as a strong concern. These core issues or challenges were then related to particular functional capacities that were contributing to the prevalence and persistence of these challenges in Chhattisgarh. This, therefore, has the potential of addressing these challenges through responding to the capacity gaps that contribute to these issues. These functional capacities are:

- **Capacity for stakeholder engagement.** This capacity relates to an organization's capacity to engage and build consensus among all stakeholders, including forging agreements on priority CD needs of PRIs, mobilizing support, and creating partnerships and networks among relevant capacity development

providers to respond to such needs; providing an enabling environment that engages civil society and the private sector in the provision of such responses; managing large group processes and open dialogues; and mediating divergent interests.

- **Analysis of the capacity needs of PRIs.** This pertains to an organization's abilities to effectively access, gather, analyse, synthesize, and manage available data, information, and trends towards ensuring a holistic understanding of the capacity needs of PRIs. It also looks at capacities to provide appropriate analytical tools, hardware and software, as well as relevant skills for faculty and/or technical staff members to provide capacity development initiatives and programmes for PRIs.
- **Formulating a long-term strategy.** This looks at an organization's capacities to set a common vision for the organization and formulate long-term strategies and work plans to ensure that it carries out its mandated functions fully based on a careful analysis of its own capacity needs as well as the capacity needs of PRIs.
- **Budgeting and implementing strategies.** This pertains to an organization's abilities to effectively budget and implement strategies to respond to the capacity needs of PRIs. It also looks at capacities to budget for and provide appropriate tools, hardware and software, engage external experts, as well as relevant skills for faculty and/or staff members to provide capacity development training and other initiatives for PRIs.
- **Monitoring, evaluation, and reporting.** This pertains to an organization's capacities for monitoring progress, measuring results and codifying lessons, and receiving and learning from stakeholders' feedback, among others. It also covers results-based management and monitoring and evaluation systems, particularly for training and other capacity development programmes that have been or are being introduced for PRIs.

Table 1: Core Issues/Challenges Faced by Relevant PRI Capacity Development Institutions in Chhattisgarh

Capacity Assessment Pilot Institutions in Chhattisgarh	Core Issues								
	Institutional Arrangements/ Development; Convergence	Human Resources	Leadership	Knowledge	Accountability	Physical Resources/ Infrastructure	Planning	Participation	Monitoring and Evaluation
Administrative Training Institution	✓	✓	✓	✓	✓				
State Institution for Rural Development	✓	✓	✓	✓	✓	✓			
State Health Resource Centre	✓		✓	✓	✓				
Integrated Child Development Services (ICDS) Training Institute	✓						✓	✓	✓
Rural Development Department	✓	✓	✓	✓	✓				
Department of Panchayati Raj	✓	✓				✓			

Based on these identified core issues and functional capacities, CA frameworks (see Annexures 3, 4, 5, 6, 7, and 8) containing CD parameters were formulated in close consultation with UNDP India, CA master trainers, and all organizations/institutions, which served as the basis for the self-assessment process. These frameworks were then translated into ‘capacity assessment worksheets’, which served as a tool for capacity self-assessment processes. These frameworks can serve as starting points for the rollout of capacity assessments in other states.

In addition to qualitative information on their strengths and weaknesses, the CA worksheets provided an evidence-based rating system of 1 (very low capacity) to 5 (very high capacity), allowing all organizations/institutions and unit officials/staff members to assess their present capacity levels for specific capacity development parameters, as well as indicate their desired capacity levels in the future. Specifically, the ratings of 1–5 were defined as:

1. Very Low No evidence or only anecdotal evidence of capacity/strategy/plan.
2. Low Capacity/strategy/plan exists or has been developed but not implemented.
3. Medium Capacity/strategy/plan is planned and implemented.
4. High Capacity/strategy/plan is planned, implemented, and reviewed on the basis of benchmarking data and adjusted accordingly.
5. Very High Capacity/strategy/plan is planned, implemented, and reviewed on the basis of benchmarking data, adjusted and fully integrated into the organization.

Consolidated ratings were then calculated and analysed by the CD team and presented to MoPR along with recommendations.

PART ONE

5. INSIGHTS AND RECOMMENDATIONS ON THE CAPACITY ASSESSMENT PROCESS: THE CHHATTISGARH EXPERIENCE

The capacity assessment pilot in Chhattisgarh brought to the surface some good practices and provided insights in further improving the approach towards more comprehensive capacity assessment rollouts in other states:

- Top level engagement is critical prior to and during CA. The commitment of senior state and department officials to the process, and their articulation and demonstration of this to their staff members generates a strong sense of ownership of the CA process and encourages other officials and staff members to commit their time and energy to the process. Senior officials must be fully informed about the process and their roles in CA and in forming CD strategies.
- Given the size and extent of state institutions in India, sufficient time needs to be allocated to adequately engage key stakeholders in scoping core issues and designing the CA framework. The Chhattisgarh consultation allowed key agencies to come together in one consultation, but for succeeding rollouts it will be helpful to schedule individual half-day consultations with each agency to enable more officials and staff members from these agencies to participate more substantively in identifying issues and in designing the CA framework.
- The capacity self-assessment process entails the use of clear, simple language to allow respondents to adequately complete the assessment worksheets and provide appropriate ratings and qualitative information. This may entail translating the worksheets from English to other local languages or dialects, particularly in districts and/or offices where English is not commonly used. The Chhattisgarh experience revealed that even in offices where English was expected to be a familiar language some respondents had problems in understanding some words and terminologies.
- The participation of agency representatives as part of the CA team is crucial and non-negotiable to further strengthen ownership of the CA process and CD strategies, and to facilitate logistical and technical support from the agencies. These representatives need to be officially nominated by the agencies' senior officials to ensure that their participation in the team is fully supported by the agencies and to avoid potential conflict in work assignments. The master trainers who had been trained as a part of the Chhattisgarh pilot can serve as team leaders, who can nurture and guide agency representatives throughout the process.
- For future capacity assessments it may be useful to segregate the ratings of respondents according to staff position and/or seniority, to analyse (potential) discrepancies in the perceptions of the CD needs and priorities of the agencies. Significant differences between ratings across staff positions can indicate weaknesses in coordination, communication, and internal capacity development within the organization, which need to be addressed as well.
- The strength of the UNDP CD and CA methodology is its participatory processes and an engagement with a broad intersection of officials and staff members in and across agencies. This naturally needs a greater focus on timing so that the process is not rushed as this can potentially create information

gaps. In dealing with huge organizations or departments, adequate time should be provided for the CA process.

- For future capacity assessments in other states, the possibility of inviting external stakeholders (for example, partner organizations) to rate the agency using the same parameters as those for self-assessment may be explored. This can provide an external validation of the overall CD priorities of an organization. However, CA's sensitive nature has to be kept in mind so such external agency validation should be clearly discussed and agreed upon at the design phase of the CA.

PART TWO

1. ASSESSING STATE-LEVEL CAPACITIES IN CHHATTISGARH

Chhattisgarh came into being on 1 November 2000 when Madhya Pradesh was divided into two states. According to the 2001 Census, the total population of Chhattisgarh is almost 2.1 crore, with approximately 20,378 villages, 96 tehsils, 146 blocks, and 16 districts. Importantly, in accordance with sections 78 and 79 of the Madhya Pradesh Reorganization Act, any law already in force in Madhya Pradesh when Chhattisgarh was created remains applicable in the new state of Chhattisgarh. Accordingly, the Panchayati Raj legislation in force in Madhya Pradesh at the time when the state was divided became applicable to Chhattisgarh. It is that law — now called the Chhattisgarh Panchayat Raj Adhiniyam, 1993 — which forms the basis of the current Panchayat system in place in the state.

Chhattisgarh operates a three-tier Panchayat system, which is intended to bring the government closer to the people. Chhattisgarh has approximately 9,820 Gram Panchayats at the village level, 146 Janpad Panchayats at the intermediate (block) level, and 16 Zilla Panchayats at the district level. Additionally, there is the Gram Sabha, which is the basic unit in the PR mechanism. The first Panchayat elections were held in Chhattisgarh in January 2005.

Chhattisgarh has a large tribal population — 33 per cent of its population is tribal. As such, a large proportion of the state has been declared a ‘Schedule V Area’ under the Constitution, which has special rights. Seven districts of Chhattisgarh are fully covered under Schedule V — Surguja, Koriya, Jashpur, Kanker, Bastar, Dantewada, and Korba. Another six districts are partially covered under Schedule V — Raigarh, Bilaspur, Durg, Rajnandgaon, Raipur, and Dhamtari.

The Gram Panchayat

Gram Panchayats are the smallest unit of elected local-self governance, situated at the village level. Each Gram Panchayat area is divided into not less than 10 and not more than 20 wards and each ward elects one Panch. The Gram Panchayat consists of elected Panchs plus a Sarpanch, who is the head of the Gram Panchayat. An Up-Sarpanch is also elected, who acts as the Sarpanch’s deputy. Each Gram Panchayat also has a Secretary, who may service one or more Gram Panchayats. The Gram Sabha is a general body of electors, whereas the Gram Panchayat is an executive, elected body. The executive has to perform its duties as per directions given by the general body.

The Gram Sabha

There is a Gram Sabha for every village. The Gram Sabha consists of all the people who are registered in the list of voters of a village. The basic philosophy that underlies the concept of the Gram Sabha is that of participatory democracy. Gram Sabhas provide a local platform for people to meet and discuss local development problems and analyse the development and administrative actions of their ERs thus ensuring transparency and accountability. Most importantly, a Gram Sabha provides an opportunity to all sections of the village — women, dalits, tribals, and other marginalized groups — to participate in the planning and implementation of local development programmes.

The Chhattisgarh PR Act, 1993 gives special powers to Gram Sabhas. They can monitor and question the functioning of Gram Panchayats. The Act also provides that Gram Sabhas can make annual plans for villages to be passed on to higher levels of PRIs for integration. A Gram Sabha can also implement its own decisions (without depending on the Gram Panchayat) for projects valued up to Rs 3 lakh. In Schedule V Areas, Gram Sabhas are constituted for each 'community' which manages its affairs in accordance with traditions and customs. Gram Sabhas can, therefore, be constituted for villages, hamlets, or even a habitation. At least one meeting of the Gram Sabha must be held every three months in tribal-dominated Panchayats. These meetings must be presided over by any ST member of the Gram Sabha — not the Sarpanch or Up-Sarpanch — who is elected for this purpose by a majority of the members present in that meeting.

The Janpad Panchayat

Each district is divided into blocks which are a collection of villages. A Janpad Panchayat is constituted for each block. Every Janpad Panchayat consists of:

- Members who are elected by the voters in the block. Each block is divided into voting constituencies, usually between 10-25, and each constituency elects a member.
- All members of the State Legislative Assembly returned from the constituencies which wholly or partly fall within the block.
- One-fifth of the Gram Panchayat Sarpanchs in the territorial area of the block on a rotational basis for a period of one year. The Sarpanchs are selected by drawing lots.

Each Janpad Panchayat is headed by a President and Vice-President who are elected by and from the elected members. Each Janpad Panchayat also has a Chief Executive Officer.

The Zilla Panchayat

A Zilla Panchayat is constituted for each district. It comprises of:

- Members who are elected by the voters in the district. Each district is divided into voting constituencies, usually between 10-35, and each constituency elects a member.
- Members of Lok Sabha, Rajya Sabha, and the State Legislative Assembly returned from the district.
- All presidents of Janpad Panchayats in the district.

Each Zilla Panchayat is headed by a President and Vice-President who are elected by and from among the elected members. Each Zilla Panchayat also has a Chief Executive Officer.

Pilot Capacity Assessment in Chhattisgarh

A pilot capacity assessment was conducted in Chhattisgarh on 17-28 August 2009, focusing on key institutions that provide capacity development (mostly training) support to PRIs in the state. The specific objectives of the pilot capacity assessment were: 1) identifying existing capacities and capacity gaps in areas that are of priority for PRIs and the selected training institutions; 2) raising awareness among PRIs and training institutions about the need for systematic capacity analysis (by introducing the UNDP approach); 3) reaching a consensus of opinion among PRIs and training institutions about the main capacity needs of PRIs and state-level capacities; and 4) identifying appropriate capacity development responses that can

address capacity constraints and be supported by UNDP. The capacity assessment identified a number of core issues and challenges faced by the training institutions as well as the planning board, which served as the framework for identifying and assessing capacity gaps in each focus institution in Chhattisgarh. These institutions, henceforth referred to as capacity assessment focus institutions, included the following:

- The Department of Panchayati Raj (DPR)
- The Rural Development Department (RDD)
- The Administrative Training Institute (ATI)
- The State Institute for Rural Development (SIRD)
- The State Health Resource Centre and Health Department (SHRC)
- The Integrated Child Development Services Training Institute (ICDS-TI)

In addition to these institutions, other institutions were involved in initial consultation workshops to determine development issues and challenges in Chhattisgarh. These institutions included:

- The Planning Department and Planning Board
- Education Department
- Non-Government Organizations
- Panchayat Training Centres
- Extension Training Centres

The overall objectives of the mission were to:

- Assess the capacity of a given state (Chhattisgarh) to implement NCBF and for capacity development of PRI-ERs and officials for district planning using UNDP's CA methodology adapted to India.
- Develop a pool of experts (CA master trainers and CA resource persons) equipped with skills to undertake similar assessments independently by conducting a 2-day training workshop.

2. CAPACITY ASSESSMENT RESULTS

This section discusses emerging CD needs among the focus agencies in Chhattisgarh. Overall, six major development issues or challenges were identified during the initial consultations, which served as the basis for designing the pilot capacity assessment framework. These core issues are identified in Chapter 4 of this report and are repeated below for easy reference, followed by discussions on the specific capacity assessment results for each focus agency.

- **PRI Policy Support and Institutional Arrangements.** Conceptualizing and formulating development policies, strategies, and programmes for PRIs require analyzing a range of national and state-level policies and institutional arrangements that can contribute to, or constrain, effective and efficient delivery of services, including knowledge and capacity development services. The consultations revealed dichotomized approaches to service delivery, duplication and sometimes conflicting functions among state agencies, and lack of coherence with regard to an overall direction and common strategy for addressing the needs of PRIs. This has likewise unearthed serious implications in the context of converging efforts and resources for and among PRIs which are intended to serve as the first line of service delivery on the ground. On the other hand, the diversity of functions devolved to PRIs has not been fully matched by fiscal autonomy and authority as PRIs still largely dependent on line ministries for development funding.

DPR is considered as the primary institution at the state level responsible for supporting and strengthening the capacities and development needs of PRIs. DPR, however, is not alone in this mandate as the provision of technical and development support to PRIs and communities are also part of the functional mandates of other departments. There is, however, no commonly agreed framework or strategy for a streamlined approach to developing the capacities of PRIs, such that most agencies tend to have separate planning and implementation of their respective initiatives, with little coordination with completed and/or ongoing relevant activities by other departments or agencies. PRIs have expressed fatigue over numerous, uncoordinated, and many times very similar training programmes offered by numerous agencies.

- **Human Resources.** Human resource capacities are at the heart of enhancing human development. In the case of training institutions and planning agencies in Chhattisgarh, there is an evident weakness in the quality and quantity of technical support staff even among training institutions which are supposed to provide the knowledge and expertise to PRIs in performing their functions. Staff skills and expertise are likewise constrained by inadequacies in organizational capacities, such as lack of appropriate facilities and equipment, outdated training modules and training approaches, lack of incentives for posting and deployment in Chhattisgarh, among others. While the training institutions engaged in this capacity assessment have very good quality technical faculty and staff members, there remains a need to develop and engage external trainers and resource persons who can provide the expertise that PRIs need beyond the resources currently available in these training institutions.

- **Leadership.** The 73rd and 74th amendments created new tiers of leadership in India, without whose active role and performance the desired goals of active decentralization and local empowerment will not materialize. On the other hand, long-established leaders in other line ministries and departments at the state level need to recognize, accept, and interact with these new sets of leaders towards more harmonized approaches to service delivery on the ground. Internally, the leadership creates and sets the dynamics within the organization, influences organizational culture, affects team and staff performance, and plays a critical role in setting a unified vision and direction for the organization. The role of principal secretaries in charge of PRIs, for instance, in leading and bringing together other agencies and forging a common direction and alignment of support that would build on successful initiatives and practices, minimize unnecessary duplication, and optimize complementarities, will be critical in this regard. The frequent rotation of senior leaders in various departments has created vacuums and discontinuity in the implementation of programmes, and strengthening second in command or junior leaders will be very helpful in reducing dependency on individual leaders.
- **Knowledge.** Despite the immense experience in the state (and in the entire country for that matter) in the provision of knowledge, skills, and capacities for development planning, programming, and delivery of services, there is an increasing recognition of the need for more demand-responsive skills and knowledge development programmes given the strong expectations from PRIs. This, therefore, also refers to training institutions' challenges in tapping available information and expertise to analyse the existing needs of, and demands from PRIs, and develop and/or introduce existing and/or new knowledge and expertise to respond to such demands. There has been no substantive mapping of the priority capacity development needs for PRIs, which can range from administrative, legislative, and financial management, to planning, implementation, and monitoring of local services delivery. Further, there are currently no common standards or quality control for training modules and training provisions, such that the material, process, and substance of many training programmes usually depends on individual resource persons, with little consistency. Further, there remains no common depository of available modules, material, and information on various thematic needs and applications, whether electronic or printed copies, that PRIs and the general public can access readily.
- **Accountability.** This core issue refers to practices and mechanisms that hold training institutions and government agencies accountable for performing their functions in responding to the needs of their clientele, and in providing suitable rewards for good organizational and individual performances. It also looks at mechanisms that will allow PRIs to provide feedback on the effectiveness and efficiency of training institutions and government agencies at the state level, as well as on the long-term impact and utility of the various training programmes and development activities introduced by state institutions. Currently there is no systematic feedback mechanism, nor accountability frameworks, that will officially inform state and national governments on the effectiveness of training institutions in providing their mandated services, nor of the utility of the various training programmes that they are rolling out.
- **Physical Resources and Infrastructure.** Physical resources as defined in this report consist primarily of material resources and infrastructure, including facilities and equipment, and include not only their procurement but also their management and maintenance, to contribute to more efficient delivery of services. For instance, there is an urgent need for upgrading accommodation facilities for in-house

training to ensure full participation of invited PRI representatives, as well as improving toilet and training facilities to recognize gender concerns.

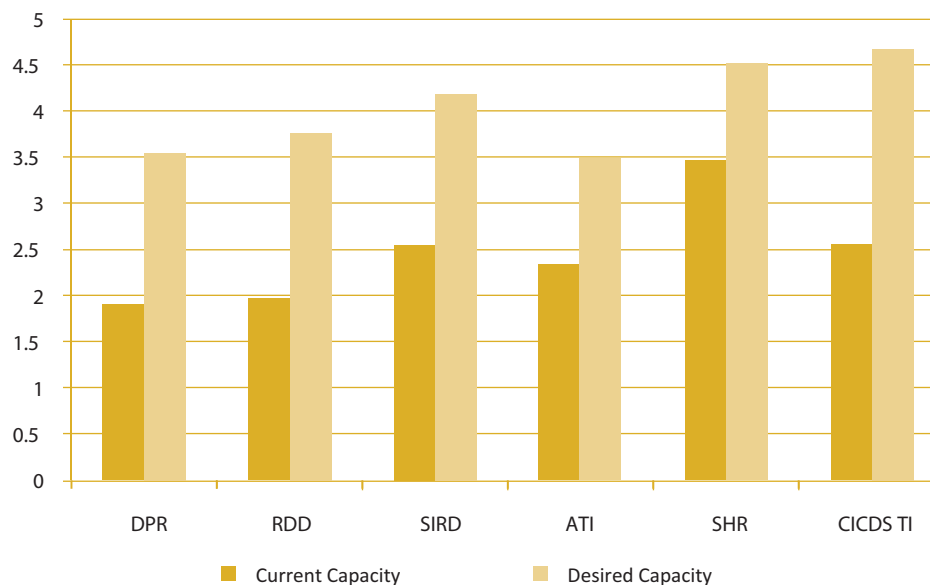
Table 2 and Figure 2, which present a consolidated summary of current and desired capacity ratings across core issues and target agencies, show the extent and divergence of development issues faced by capacity development institutions in Chhattisgarh. The overall capacity ratings across all institutions was 2.50, which indicates that there is good overall capacity for formulating work plans, policies, and targets, but generally weak capacities for implementation and much less monitoring and evaluation. This is consistent with the fact that despite financial resources of Rs 300 crore allocated by the national government to MoPR and other institutions through NCBF which targets training of 10 lakh Panchayats, overall accomplishments have been relatively low at around 30 per cent trained Panchayats, with a spending of only up to 60 per cent of the total funds that were allocated. Further, the quality of training provided and the quality of absorption of the modules are difficult to ascertain. Hence, these point to a possible gap in the absorptive capacity of state institutions and training centres to respond not only to government targets but to PRIs' own needs as well. Understanding these capacity gaps is crucial for introducing CD strategies that will strengthen both the service providers (duty bearers) and potential beneficiaries (claim holders), towards getting to the overall desired capacity rating of 4.24. This indicates an overwhelming desire across departments and training institutions to be able to monitor and evaluate the impact of their training and CD programmes effectively. This also entails looking beyond traditional capacity developers and introducing innovations in the provision of services, including identifying potential sectors or institutions that could provide qualified human resources and knowledge to support PRIs while building on and complementing the work of state agencies and training institutions.

Among the six target institutions, SHRC of the Health Department received the highest rating (3.47 current rating, and desired rating of 4.52), which indicates that SHRC has been able to implement most of its programmes effectively. On the other hand, DPR received the lowest rating (1.91, with a desired rating of 3.55), which indicates that DPR staff members acknowledge that it has weak capacities for planning and formulating state policies and strategies, including formulating and identifying and implementing training programmes. A desired rating of 3.55 indicates that DPR realizes the challenges that it faces and that it wants to focus on its planning and implementation capacities over the next three years. Interestingly, RDD, which has had a longer history and experience in the province, received a capacity rating of below 2, which indicates that its current capacity is not too far behind that of DPR.

Among the other recognized training institutions in the state, SIRD and ICDS received an almost similar rating — 2.55 and 2.56 respectively, while ATI received a lower rating of 2.34. These ratings indicate that among these three institutions, SIRD and ICDS perceived themselves to have better capacities for implementing their programmes. More detailed capacity assessment results are presented in the following pages.

Table 2: Consolidated Capacity Ratings Across Capacity Assessment Focus Institutions in Chhattisgarh, 2009

Core Issue	Summary of Current/Desired Capacity Ratings						
	DPR	RDD	SIRD	ATI	SHRC	ICDS	Overall Average
Institutional Arrangement/ Development	1.55/3.41	2.19/3.92			3.24/4.33		2.33/3.89
Human Resources	1.68/3.53	1.94/3.79	2.60/4.50	2.35/3.37			2.14/3.80
Physical Resources	2.50/3.70		2.98/4.52				2.74/4.11
Leadership		1.89/3.71		2.60/3.56	3.89/4.59		2.79/3.95
Knowledge		2.00/3.67	2.66/3.95	1.90/3.05	3.52/4.55	2.68/4.69	2.55/3.98
Mutual Accountability		1.85/3.75	1.96/3.79	2.50/3.92	3.23/4.60		2.38/4.02
Convergence						2.45/4.68	2.45/4.68
Participation						2.74/4.66	2.74/4.66
Planning						2.63/4.68	2.63/4.68
Monitoring and Evaluation						2.28/4.68	2.28/4.68
Overall Average	1.91/3.55	1.97/3.77	2.55/4.19	2.34/3.48	3.47/4.52	2.56/4.68	2.50/4.24

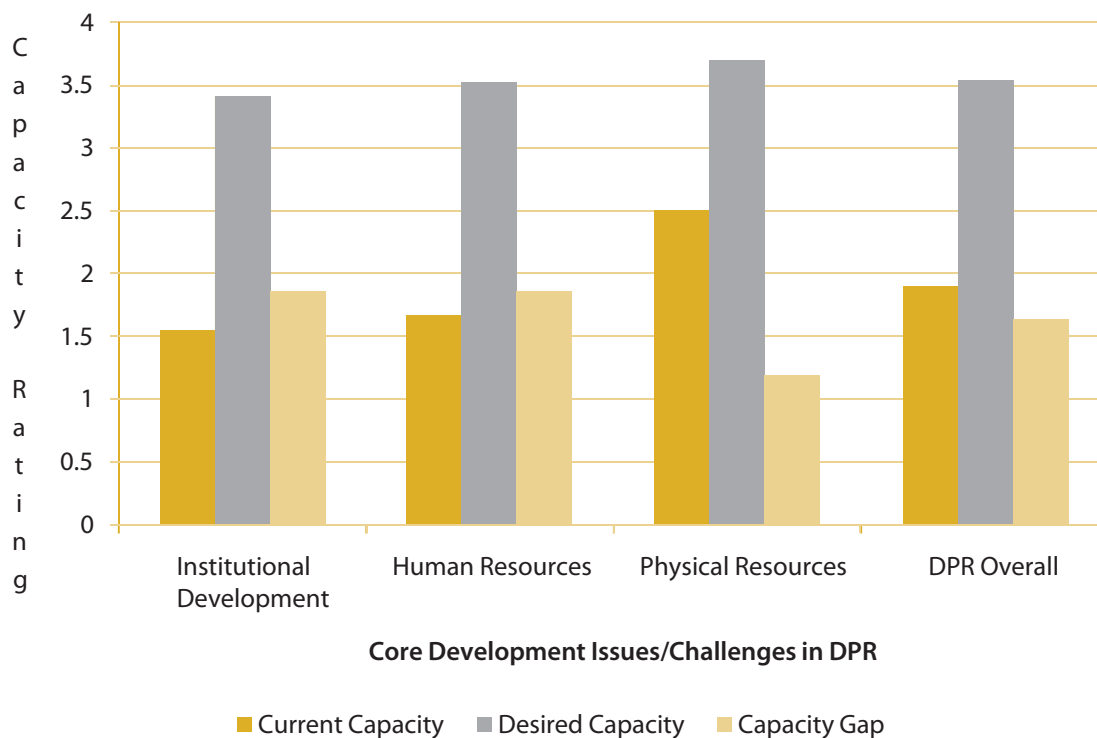
Figure 2: Consolidated Capacity Assessment Results in Chhattisgarh, 2009


2.1 The Department of Panchayati Raj

Among the focus institutions in Chhattisgarh for the pilot capacity assessment, DPR was the most recently established. Its teething challenges are quite evident in its overall rating of 1.91, and in the issues that its officials and staff members identified. Of the three major issues or challenges confronting the organization, institutional arrangements/development issues received the lowest ratings (1.55), while human resource issues were a close second with a rating of 1.68 (see Figure 3). The capacity parameters that received the lowest ratings (see Table 3) consisted primarily of institutional development and human resource capacity needs — given existing organizational structures, staffing, and staff competencies, these

provide strong indications that DPR officials and staff members are finding it challenging to perform their functions.

Figure 3: Capacity Assessment Results for DPR, Chhattisgarh, 2009



There is an evident need for introducing and institutionalizing systems within DPR, particularly with regard to strengthening coordination for capacity development and training activities for PRIs. Foremost among its self-identified challenges is the tracking, monitoring, and follow-up of training programmes introduced by various agencies for PRIs to ensure complementarity among various initiatives and to avoid unnecessary duplication. Presently, there is no coherent system for a coordinated training programme for all PRIs, and there has been no systematic assessment of the skill and knowledge needs of PRIs. A State Perspective Training Plan (SPTP) as an overall framework will significantly contribute to the provision of enhanced training in the state and its development is highly recommended.

Most training programmes are offered largely on a supply-driven basis, that is, agencies and training institutes generally offer a package of training programmes for PRIs, which based on this capacity assessment many PRIs find unattractive as these programmes do not support their real needs. Most training programmes are largely information drives or seminars on national and/or state policies, guidelines, and programmes, but with little provision for skill development. Chhattisgarh lacks a common repository of information (database and public website) on the various training programmes offered and delivered by agencies and training institutions, making it difficult to capture the extent of support currently offered/provided to PRIs and how to measure and monitor its impact.

DPR is the primary agency responsible for supporting the development of PRIs. However, given inadequate financial and human resources capacities it has not been able to leverage on its strong national mandate to

provide more comprehensive development support to PRIs. For instance, there seems to be an inadequate understanding about DPR's functions and programmes and the kind of support that it can offer PRIs. NCBF, which provides an excellent opportunity for convergence in strengthening PRIs, is perceived as an initiative of MoPR/DPR, with little ownership by other agencies/organizations. There is, therefore, a need to strengthen MoPR and DPR's advocacy on its functions and initiatives, among other agencies and particularly among PRIs.

Critical at this point is the need to strengthen DPR's coordination functions, which should be one of its strengths. It must have the authority and capacity to genuinely lead and facilitate development support for PRIs by serving as the focal agency for assessing, monitoring, documenting, and controlling the quality of training and development programmes for PRIs.

Table 3: Capacity Development Parameters Receiving the Lowest Scores, DPR, Chhattisgarh

Core Issue	Capacity Development Parameter	Capacity Rating
Institutional Development	DPR's capacity to introduce and implement a system for monitoring and evaluating progress of training action plans	1.0
Institutional Development	DPR's capacity to follow-up outcomes/impacts of PRI training activities	1.0
Institutional Development	DPR's capacity to introduce and implement an MIS to track number and quality of trained PRIs	1.0
Human Resources	DPR staff members' capacity to analyse lessons learnt from various PRI training programmes and improving training policies for the state	1.22
Institutional Development	DPR's capacity to mobilize additional resources for implementing training action plans	1.25
Institutional Development	DPR's capacity to design and introduce a mentoring programme for PRIs	1.29
Human Resources	DPR leadership's capacity to allocate sufficient budgets for training DPR staff members	1.40
Institutional Development	DPR's capacity to advocate for NCBF as the convergence policy for capacity development across training institutions and line departments	1.40
Human Resources	DPR staff members' capacity to establish a mechanism for monitoring progress of training programmes for PRIs	1.44
Institutional Development	DPR's capacity to engage women, SC, and ST PRIs in preparing training perspective plans	1.50
Institutional Development	DPR's capacity to adequately finance annual and perspective training action plans	1.50

2.2 The State Institute for Rural Development

The Chhattisgarh SIRD provides training, research, and consultancy to support the development needs of the rural sector; its long-term plan is ensuring the development capacities of Gram Panchayats. Supported and managed by the Ministry of Rural Development (MoRD) and DRR, Chhattisgarh, SIRD is an autonomous knowledge provider to PRIs. In this capacity, it is challenged by a number of capacity gaps,

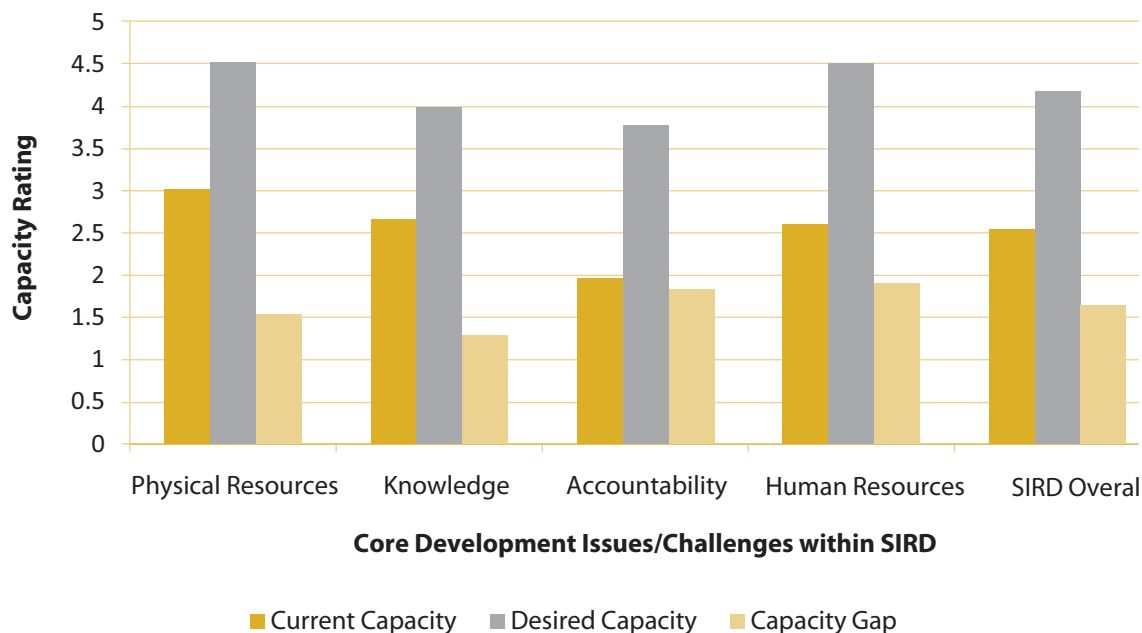
including inadequate financial and human resources. The self-assessments yielded an average current capacity rating of 2.55 for SIRD and a desired rating of 4.19, which indicates the need for strengthening the agency's implementation, monitoring, and evaluation capacities.

Among all the identified core issues faced by SIRD, its physical resources and facilities received higher (and, therefore, more favourable) ratings, while its knowledge base and human resource issues fared equally well (see Table 4 and Figure 4). On the other hand, mutual accountability issues, such as the organization's capacity to reward and hold staff members and consultants accountable based on their performance, measuring the impact of training programmes, and making available its budgetary and spending figures, among others, received an average rating of 1.96, indicating that there are at present insufficient guidelines and strategies for increasing accountability within the organization. SIRD's capacity development parameters that received the lowest ratings involved budget and financial capacities (Table 4), particularly with regard to allocating seed funds to support research activities by faculty members and in improving its training facilities.

Performance-based rewards and accountability systems within SIRD follow the standard performance appraisal system of the government, which is neither adequate nor fully appropriate for SIRD, particularly for its academic faculty. This is leading to failures in performance-based appraisals. Among its training beneficiaries too, SIRD has inadequate systems for tracking its 'success rates', that is, how have the lessons from its training actually benefited its trainees and how many trainees have fully integrated the lessons from the training into their respective functions and authorities. This issue is compounded by a lack of sufficient baselines, given that SIRD does not often conduct training needs assessments (TNAs) particularly for training that focuses on dissemination of information on new laws, policies, and guidelines. It is also apparent that SIRD has so far treated its clients as a homogeneous group rather than designing training courses according to different typologies and levels of clients. This has resulted in some challenges as well, such as few women participating in training courses, lack of adequate understanding and absorption of the modules, and continued emphasis on quantity (the number of training courses and number of training graduates) rather than the quality of training delivery, training participants, and application of lessons/information from the training.

Table 4: Capacity Development Parameters Receiving the Lowest Scores, SIRD, Chhattisgarh

Core Issue	Capacity Development Parameter	Capacity Rating
Knowledge	SIRD's capacity to allocate an annual budget/seed fund for its faculty's research activities	1.58
Accountability	SIRD's capacity to make public and available online its institutional budget and spending	1.69
Physical Resources	SIRD's capacity to introduce and apply an MIS	1.73
Knowledge	SIRD's capacity to allocate sufficient budgets for training facilities (for example, a library and internet connectivity)	2.12
Human Resources	SIRD's capacity to develop long-term financial plans	2.04

Figure 4: Capacity Assessment Results for SIRD, Chhattisgarh, 2009

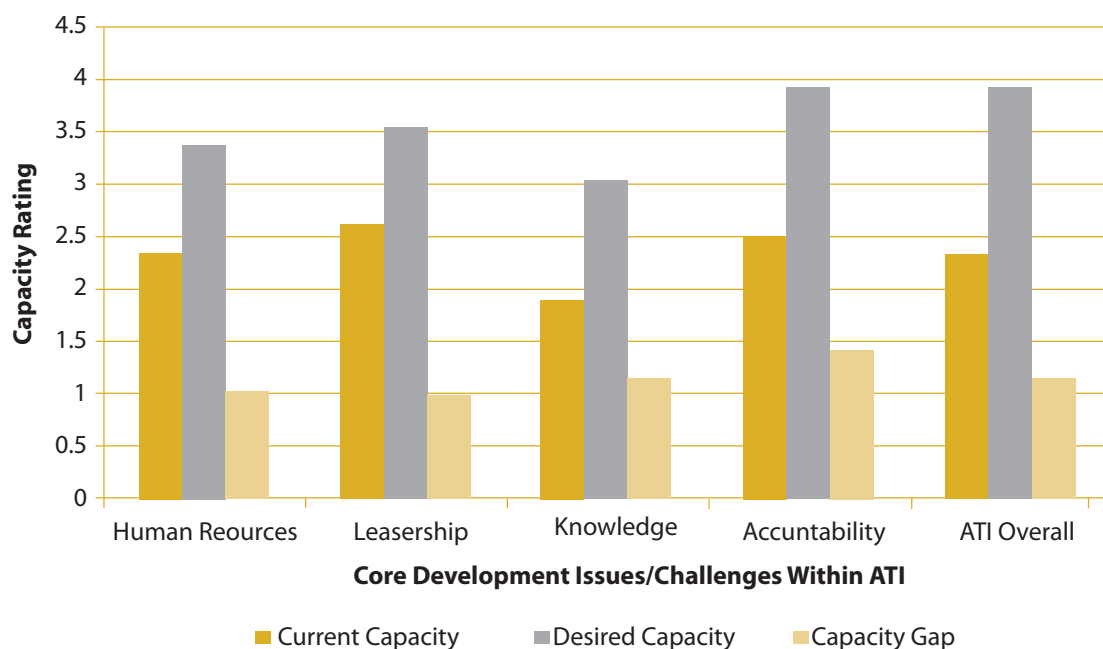
2.3 Administrative Training Institutes

Administrative Training Institutes (ATIs) are the apex training bodies for civil servants, including PRIs at the state level, with courses offered on public administration and management, financial management, seminars on national and state policies and programmes, and women and children's development. In Chhattisgarh, the ATI self-assessment results provided a current capacity rating of 2.34 and a desired rating of 3.48, which indicates relatively good capacities for formulating action plans and strategies, but relatively weak implementation capacities. The capacity assessment revealed a number of specific challenges that constrain ATI's effective performance, particularly with regard to facilities and resources required to modernize its modules, extent of delivery of training courses, as well as in ensuring effective follow-ups of its training programmes. There also seems to be a prevailing perception among stakeholders that ATI is an information provider, that is, it disseminates information and guidelines on national and state policies and legislations. While it provides training, some PRIs indicated that it needs to improve the delivery of its training courses by making them attractive and interactive, making them responsive to the skills and training needs of PRIs, and making them gender sensitive.

Table 5 and Figure 5 show the recognition within ATI of the need to strengthen its current knowledge complement and human resource competencies to allow it to perform its functions more effectively. These include the need for faculty and staff members to be exposed to state-of-the-art adult learning methodologies, access to various relevant training modules and case studies, and institutionalizing a learning culture within the organization to allow lessons learnt from previous training as well as M&E reports to strengthen knowledge and competencies within the organization.

Table 5: Capacity Development Parameters Receiving the Lowest Scores, ATI, Chhattisgarh

Core Issue	Capacity Development Parameter	Capacity Rating
Knowledge	Capacity to provide online access of its training modules to training participants	1.00
Human Resources	Faculty's capacity to integrate M&E modules in its training programmes	1.18
Human Resources	Capacity to introduce in-service training, exposure trips, or consultancy as part of its long-term strategy for the development of its staff members	1.64
Human Resources	Capacity to design effective tools for TNA	1.73
Knowledge	Faculty's capacity to widely disseminate training M&E reports	1.73
Accountability	Capacity to implement recommendations from audit or M&E reports	1.79
Knowledge	Faculty's capacity to document lessons learnt from its training programmes	1.93
Human Resources	Capacity to recruit a competent faculty	2.00

Figure 5: Capacity Assessment Results for ATI, Chhattisgarh, 2009

2.4 The State Health Resource Centre

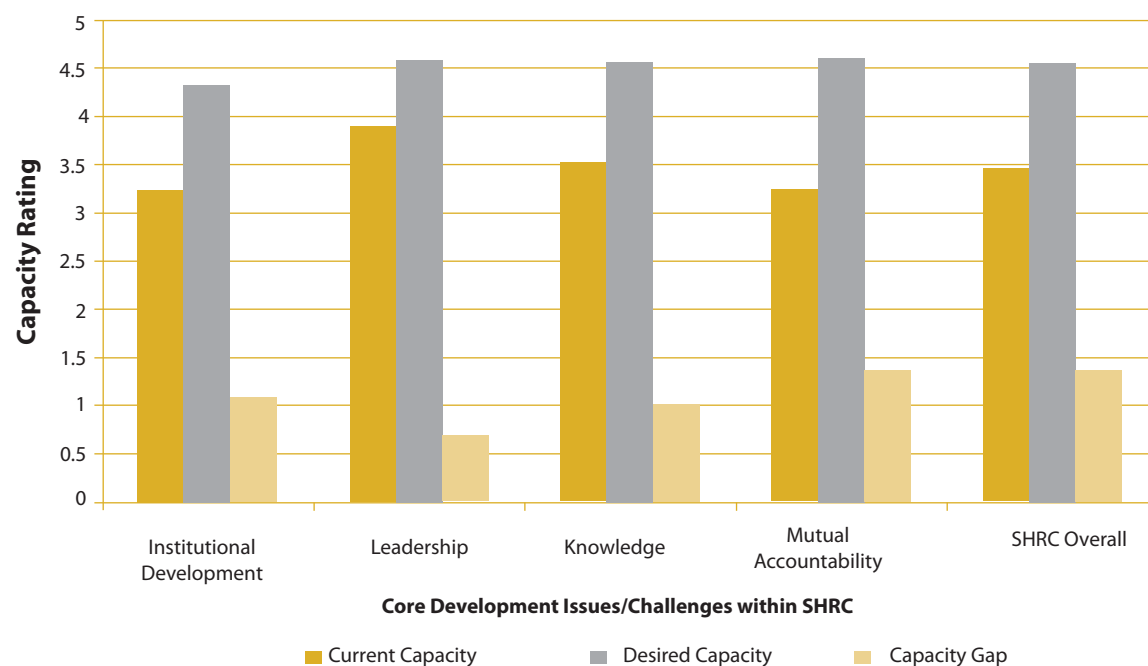
Compared to the other assessed institutions, the Chhattisgarh State Health Resource Centre (SHRC) fared comparatively well, receiving the highest current capacity rating (3.47) and a desired rating of 4.52 (or a gap of 1.05), reflecting the organization's desire to move from good implementation to effective monitoring and evaluation of its functions and results. In fact, SHRC is currently looking more closely at the monitoring and evaluation aspects of its programmes by strengthening their social audit components and also moving towards strengthening community capacities. This strong rating for SHRC's implementation capacity was consistent with its focused approach of improving community health, particularly for women and children.

Table 6 indicates SHRC's capacities that received the lowest ratings, most of which involved broader institutional development challenges, such as partnering and engaging with other stakeholders, including PRIs. The first three lowest capacity development parameters indicated in Table 6, for instance, reflect SHRC's expressed capacity constraints in broadening its target audience, particularly in providing regular technical support to PRIs. Currently, SHRC's mandate and activities do not specifically focus on strengthening PRIs per se, so such an alignment will need more dedicated resources than what SHRC currently possesses. There remains a gap in leveraging on SHRC's strengths, including its successful training modules and programmes, the trust of and engagement with communities, and facilitation and training skills of its community development workers, to benefit the PRIs more broadly in the state. The continuity and sustainability of SHRC's initiatives could be threatened by its institutional weaknesses, including a salary structure that is not conducive to attracting more qualified personnel into the organization. Existing civil service systems constrain timely recruitment of personnel for the organization, which has a large number of vacant positions with many staff members holding contractual posts.

With a number of personnel and volunteers on the ground, SHRC is witness to a number of challenges that the PRIs face; these are often compounded by duplicating and uncoordinated working arrangements among many government departments and agencies. In addition, weak leadership capacities among many community leaders have constrained strategic planning and the prioritization of effective development, with health issues usually given very low priority by local leaders who were reportedly more concerned with infrastructure projects like roads.

Table 6: Capacity Development Parameters Receiving the Lowest Scores, SHRC, Chhattisgarh

Core Issue	Capacity Development Parameter	Capacity Rating
Institutional Development	SHRC's capacity to identify and work with relevant stakeholders like PRIs	2.90
Institutional Development	SHRC's capacity to provide technical expertise to other training institutions on a continuous and regular basis	2.90
Institutional Development	SHRC's capacity to tap into available and existing physical resources to use as training facilities (state-wide)	2.90
Accountability	SHRC's capacity to put in place an effective system for staff appraisals	2.90
Institutional Development	SHRC's capacity to assess training needs of women PRIs on health issues	3.10
Institutional Development	SHRC's capacity to monitor CD programmes taken up for PRIs	3.10

Figure 6: Capacity Assessment Results for SHRC, Chhattisgarh, 2009

2.5 The Integrated Child Development Services Training Institute

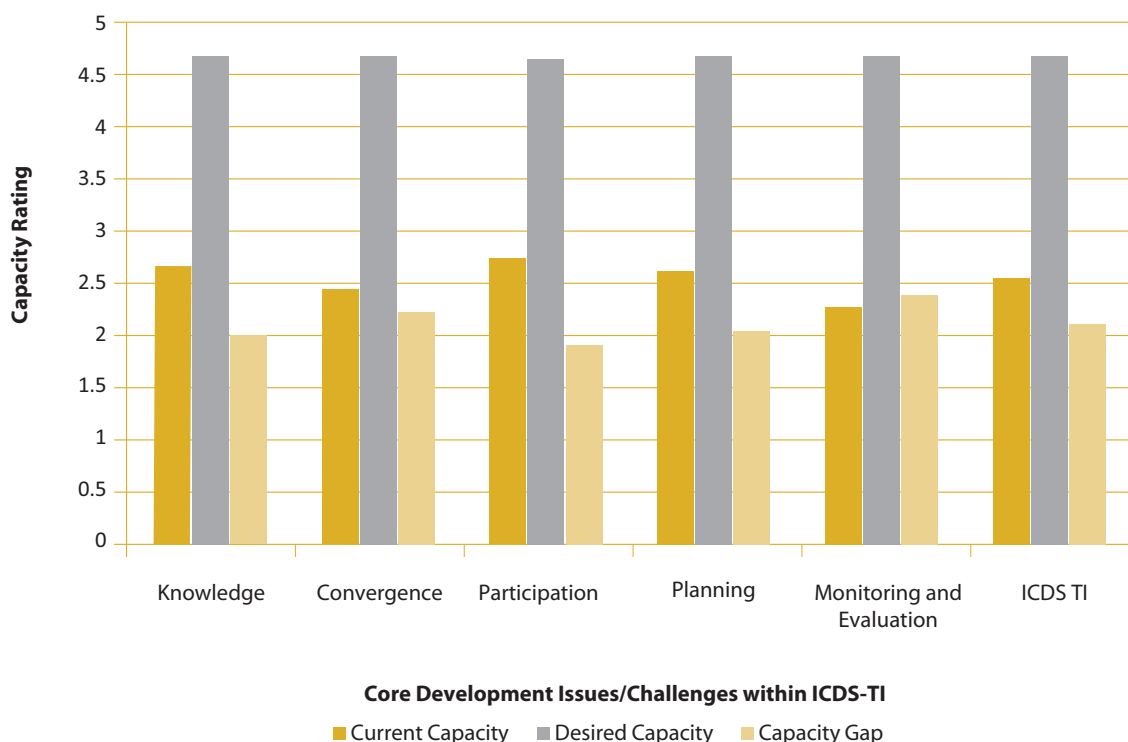
Like SHRC, the mandate and initiatives of the Integrated Child Development Services Training Institute (ICDS-TI) currently do not focus on supporting the needs of PRIs per se, but rather those of children, women, and youth in their target communities. ICDS-TI's overall capacity rating was 2.56, which indicates that it has adequate capacities for target setting, work planning, and forming policies and strategies, but still has weaknesses in fully implementing its targets and programmes, particularly given the scope and magnitude of the development needs of women and children in the state. Figure 7 shows that the issues of convergence and M&E were among the key challenges faced by the organization; this was further substantiated by these parameters receiving the lowest ratings as shown in Table 7. ICDS-TI staff members indicated in the assessment that coordination of training programmes, working with PRIs to monitor the impact of programmes, mainstreaming gender and children's concerns in sectoral ministries'/departments' programmes, and instituting an effective monitoring and evaluation framework for such development initiatives, are among the key capacity needs of the organization.

Table 7: Capacity Development Parameters Receiving the Lowest Scores, ICDS-TI, Chhattisgarh

Core Issue	Capacity Development Parameter	Capacity Rating
Monitoring and Evaluation	ICDS-TI's capacity to develop a policy for creating an updated pool of resource persons	1.71
Planning	ICDS-TI's capacity to put in place a monitoring and evaluation framework for its human resource development policy	1.78
Convergence	ICDS-TI's capacity to coordinate training programmes with relevant institutions, such as SIRD and SHRC	1.80

Core Issue	Capacity Development Parameter	Capacity Rating
Convergence	ICDS-TI's capacity to actively involve and work with PRIs in monitoring the impact of its training programmes	1.80
Knowledge	ICDS-TI's capacity to include engagement and coordination plans with PRIs, including women, SC, and ST PRIs in its perspective plan	1.80
Convergence	ICDS-TI's capacity to influence ministries/agencies to include and mainstream gender and children in PRI training programmes	1.89
Knowledge	ICDS-TI's capacity to evaluate the quality of its CD material	1.90
Participation	ICDS-TI's capacity to modify and adapt its CD programmes based on the feedback from PRIs and other programme participants	1.90
Knowledge	ICDS-TI's capacity to make readily available updated documents on best practices and case studies	2.00
Knowledge	ICDS-TI's capacity to put in place a common reporting system	2.00
Monitoring and Evaluation	ICDS-TI's capacity to assess the competency of trainers to handle the needs of women, SC, and ST PRIs	2.00

Figure 7: Capacity Assessment Results for ICDS-TI, Chhattisgarh, 2009



2.6 The Rural Development Department

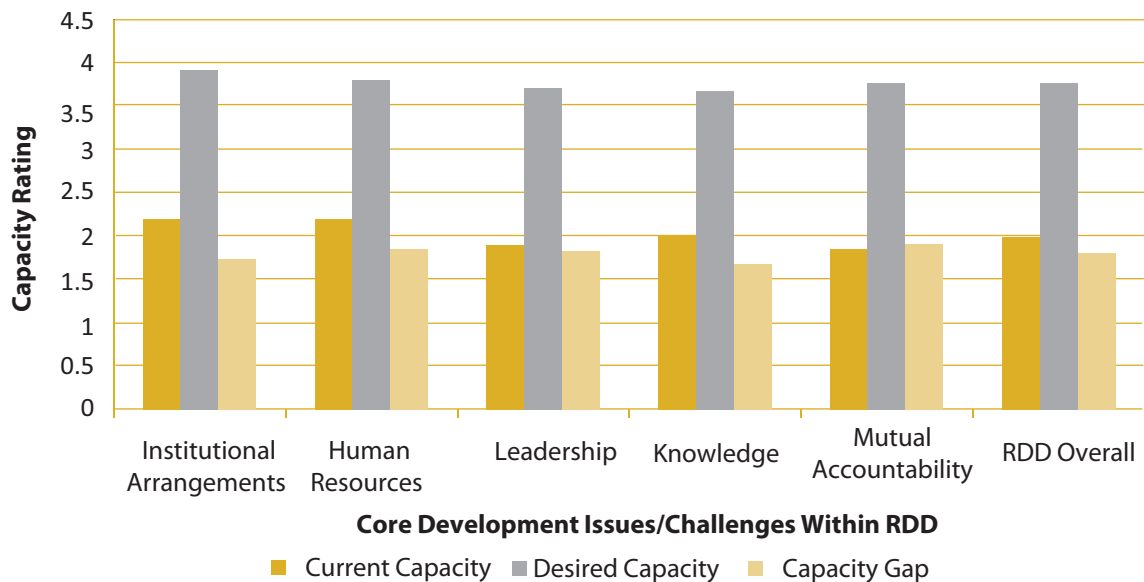
The self-assessment of the Rural Development Department (RDD) yielded an overall rating of 1.97, which indicates that it has relatively good capacities for setting and formulating policies and strategies, but remains challenged with regard to fully implementing its strategies and work plans. Among all the major development issues that it faces, accountability, leadership, and human resources emerged as priority issues (Table 8 and Figure 8) within the department, with ratings of 1.85, 1.89, and 1.94 respectively, while institutional arrangements received a higher rating of 2.19. These ratings indicate that while RDD has traditionally been the main avenue for development support on the ground, the department itself has been facing serious development and capacity constraints in performing the tasks and functions that have been assigned to it.

Table 8 further shows that budgetary constraints, as well as strategic planning, active engagement with stakeholders for more effective rural development planning and programming, strengthening skills and competencies of RDD officials and staff members, and strengthening transparency and public accountability over RDD programmes, need stronger attention within the department.

Table 8: Capacity Development Parameters Receiving the Lowest Scores, RDD, Chhattisgarh

Core Issue	Capacity Development Parameter	Capacity Rating
Accountability	RDD's capacity to provide adequate information to stakeholders to allow their effective engagement in its planning	1.40
Human Resources	RDD staff members' capacity and competency to develop partnerships with other departments to support the relevant needs of PRIs	1.60
Leadership	RDD's capacity and autonomy to assign staff members to specific thematic areas based on the competencies and needs of the organization	1.60
Leadership	RDD leadership's capacity to allocate sufficient budgets for training its staff members	1.60
Leadership	RDD leadership's capacity to allocate sufficient budgets to recruit competent officials and staff members	1.60
Knowledge	RDD's capacity to introduce participatory planning processes to guide its long-term strategy	1.75
Institutional Development	RDD's capacity to introduce and implement an MIS to track the number and quality of its trained PRIs	1.80
Leadership	RDD leadership's autonomy and capacity to recruit competent officials and staff members	1.80
Human Resources	RDD's capacity to introduce rewards and accountability systems based on performance appraisal results	1.80
Accountability	RDD's capacity to introduce accountability mechanisms (who is responsible and accountable for which targets) in its long-term strategies	1.80
Accountability	RDD's capacity to make relevant information publicly (transparently) available	1.80

Figure 8: Capacity Assessment Results for RDD, Chhattisgarh, 2009

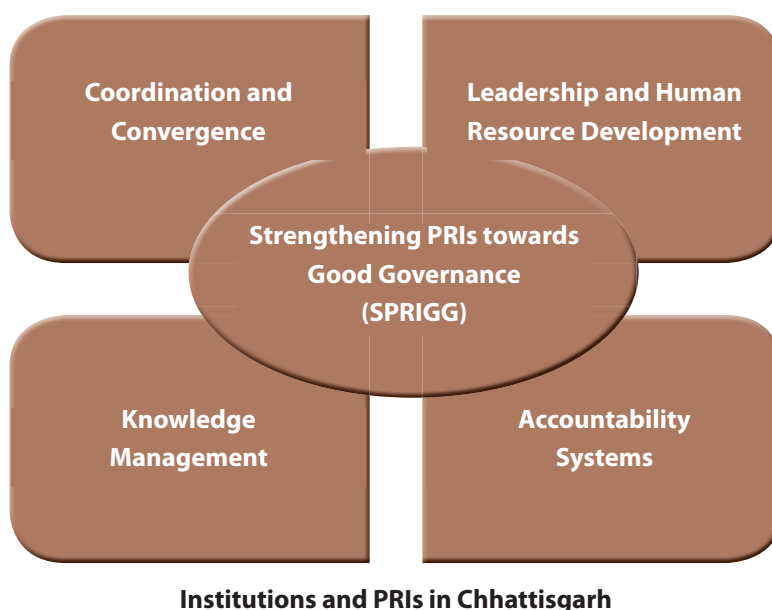


3. CAPACITY DEVELOPMENT RESPONSE: SOME RECOMMENDATIONS

Based on the capacity assessment results, a capacity development response will be geared towards improving current capacities in Chhattisgarh from a rating of 2.50 (that is, adequate capacities for policy and strategy planning and formulation) to a rating of 4.24 (that is, adequate capacities for full implementation, monitoring, and evaluation) by 2012, thus bridging a capacity gap of 2.26 within a span of three years. While this might be a tall order, the work plan presented in this section consists of capacity development strategies that are categorized as quick impact (should be implemented within one year), medium-term (implemented within two to three years), and long-term (which could take three to five years or longer).

The proposed capacity development response for Chhattisgarh is anchored on four major components (Figure 9), which respond to the identified challenges and priority capacity development needs of focus institutions as they emerged from the pilot capacity assessment. The four components together are expected to contribute towards strengthening capacities of these institutions which are then expected to contribute to the development of PRIs in the state for good governance towards more effective delivery of basic services. The following sections discuss the key provisions of the capacity development response, and are divided into strategies that are cross-cutting or applicable to all the focus institutions, followed by strategies that are specific to these institutions (Annexure 9 gives a summary of the phased plan for implementing these strategies).

Figure 9: Proposed Capacity Development Framework for Strengthening Training



3.1 Policy and Cross-Cutting Recommendations

PRIs have distinct development and capacity needs which no single institution can either support or satisfy. Developing the capacities of the large number of PRIs in Chhattisgarh is a daunting task that entails

convergence around:

- A common set of capacity development targets among all capacity providers covering various PRIs, that is, a state capacity development perspective plan.
- Institutions that can take a lead in providing specific knowledge and/or skills on specific themes or development needs of PRIs.

The CA revealed that existing training institutions in Chhattisgarh are ill-equipped to fully support the provisions of NCBF, much less respond to the capacity development demands of PRIs. While some overall recommendations relate to management practices, like a shift from activity-based planning to results-based management (RBM) approaches, the focus of the recommendations which are now given is on specific strategies for strengthening synergy and cooperation among 'capacity providers', as well as recommendations for strengthening the capacities of PRIs as beneficiaries based on information drawn from the capacity assessment.

3.1.1 Establish a State-level Standing Committee for Capacity Development of Panchayati Raj Institutions

BRGF notes the need to establish five-year state capacity building perspective plans as part of NCBF, with nodal agencies to be established to lead their preparation. The formation of such a state-level perspective plan provides an opportunity for various departments to come together and share their knowledge and experience in formulating the state plan while identifying their potential roles and contributions in its implementation, monitoring, and evaluation. Establishing a State Standing Committee⁵ for Capacity Development of Panchayati Raj Institutions (SC-CDPRIs), with membership from key sectoral departments and training institutions, both public and private, and non-government organizations, as a venue for discussing and recommending policy changes which could improve the enabling environment for PRIs, options for strengthening key institutions in the state, formulating the capacity building perspective plan, and discussing capacity development options is, therefore, expected to serve as a venue for dialogue and for promoting local ownership of such a plan. DPR will play a catalytic and strategic role in coordinating the preparation of the perspective plan, and is proposed as Chair of the SC-CDPRIs given that the plan should ideally cover not only training but organizational and institutional systems and mechanisms as well. The capacities of DPR itself will need to be strengthened to effectively lead the SC-CDPRIs and it is suggested that administrative support be provided so that the committee can work efficiently.

3.1.2 Leadership Development

Leadership development will be crucial for the effective functioning of PRIs in Chhattisgarh, particularly for new ERs/assigned officials who have not held public positions earlier. Other than basic information on national and state policies, legislations, guidelines, and procedures, the capacity assessment revealed the need for enhancing more fundamental aspects of leadership, not only among the assessed institutions, but among PRIs as well. It is recommended that senior and junior (or second in-command) officials from the

⁵ At the national level a Standing Committee for Strengthening Institutions engaged with the Capacity Development of the PRIs was constituted on 27-05-09 at NIRD, Hyderabad. Members of the Standing Committee are from MoPR, Ministry of Rural Development, Ministry of Urban Development, Department of Personnel and Training, as well as the Planning Commission. MoPR has requested the states to set up similar committees at the state level; a view may be taken to encourage membership of additional or different institutions/ departments as the CA had identified other bodies as potential capacity developers (like SHRC).

assessed institutions, as well as key senior/junior officials from sectoral ministries providing direct, major development support to PRIs, as well as PRI officials take part in training courses and exposure missions at the block, district, state, national, and/or international levels, take part in distance and self-learning courses, and in on-the-job training and immersion programmes on the following subjects:

- Visioning, systems thinking, and strategic planning, particularly engaging stakeholders in forming policy.
- Leadership styles and institutional development.
- Results-based management.
- Change management, particularly with regard to building coalitions, alliances, and champions.
- Conflict resolution and transition/transformation.
- Negotiation and consensus building.
- Team building and communication.
- Best practices in local governance and local service delivery (through exposure to actual practices in relevant countries in the region).
- Mentoring and coaching.

The level of exposure will need to be determined for each individual as appropriate. As a practice, it is important for the senior leadership to nurture the potential and skills of more junior officials and/or staff members in their respective organizations to institutionalize knowledge, learning, and team building, particularly in the light of frequent turnover of officials. Therefore, given their cost efficiency, internal learning mechanisms should be instituted. In addition, officials should provide appropriate guidance and encouragement to staff members to avail of learning opportunities, whether through circulating useful documents, case studies, or research papers; or through allowing staff members to participate in various learning opportunities in and outside the country.

3.1.3 Launching of 'Panchayat Champion' Awards

The lack of appropriate and effective incentive systems has challenged the sustainability of good practices and initiatives and has also failed to encourage high performing individuals and organizations in the state. The Panchayat Champion Awards will recognize individuals and organizations who have initiated innovations in local governance and service delivery that have created a positive impact among communities whether at the district, block, or village Panchayat levels. The Panchayat Champion Awards will be given annually with full media coverage, with the awards being handed out by senior national and state government officials like a minister and/or senior state official so that the awards get sufficient prominence and generate social, political, and media interest. A team of eminent personalities from Chhattisgarh with strong credibility and who are widely respected by all the sectors will comprise the Panchayat Champion Awards Steering Committee (PCASC) which will set the criteria for the awards, define guidelines and procedures for nomination, and review the nominations' short-list. Short-listing will be done by a nodal capacity development institution (possibly CGSIRD).

Each Panchayat Champion will be awarded a plaque (or a sculpture/symbol representing Panchayats) which

will state the innovations and contributions of the recipient to the development of the Panchayat with a token financial reward of a maximum of Rs 50,000 if funds are available. The main attraction for the award should not be its monetary aspect, but personal and/or institutional recognition as handed out by senior government officials in the state/country.

3.1.4 Improvement and Sharing Training Facilities

Part of the human resource development challenge in Chhattisgarh is the inadequacy of training facilities, in particular accommodation for in-house training programmes. Both SIRD and ATI have limited accommodation facilities, such that a number of training programmes have had to start at 9 am and finish by 3 pm to allow travel time for participants from and to their respective home locations. This short window for training (maximum of five hours, allowing for one hour lunch and tea breaks) does not augur well for effective absorption of the modules, particularly if one also considers participant fatigue due to traveling to the training venue. Women raised the issue of toilet facilities, which in many government training venues are not adequate for their needs. Poor training facilities could certainly undermine training programmes.

To address this challenge, a 2-pronged approach is being proposed. One, improving available accommodation at ATI and SIRD by upgrading existing infrastructure or building dormitory-type structures that will accommodate a sizeable number of training participants. Such facilities should be made available to and open for all training courses designed and intended for PRIs on a first come first served basis with priority to ATI and SIRD training programmes. Two, expanding and strengthening block/district level training centres (ETCs and PTCs), which will serve as local venues for training programmes. This will allow training to be conducted at the community level, and hence avoid the problem of community members having to travel to training venues. This will ensure more community participation in meetings, allow resource persons to visit and experience the community, and provide a local venue for other dialogues and consultations. Such training facilities should be managed and maintained by DPR, with minimal maintenance fees to be given by SC-CDPRI, and paid by organizations/agencies sponsoring training at the venue.

3.2 Agency-Specific Recommendations

These capacity development recommendations are made on the basis of priority capacity development needs as they emerged from the assessment scores and the consultation process. These are not meant to discount other existing capacity development needs of these agencies, but are aimed at providing strategic responses that could contribute to the long-term development of these agencies.

3.2.1 Capacity Development Response for DPR

DPR is a new entity and thus still faces a number of teething issues that all new structures face. The capacity assessment revealed two areas of emphasis for DPR's capacity development — institutional development and human resource development. Thus for DPR, the capacity development strategy will focus on how to develop its competency and competitive advantage, and the results that it has to produce in the short- and long-term towards enhancing its credibility and reputation as an organization.

3.2.1.1 Human Resource Development

As a premier support organization responsible for PRIs, DPR officials and staff members are expected to have basic information and knowledge of key national policies and guidelines relating to Panchayats, in particular constitutional provisions, the 73rd Amendment Act, and relevant policy issues and guidance

from MoPR on operationalizing constitutional provisions like formulating, managing, and monitoring implementation of the state level Panchayati Raj Act and providing technical and administrative guidance to PRIs on their specific roles and responsibilities and assisting in coordinating PR-level initiatives. In this regard, DPR officials and staff members should be provided adequate technical knowledge and skills on the following topics:

- Local governance and decentralization approaches and tools.
- Strategic planning and results-based management.
- Programme management and coordination.
- Fiscal decentralization and financial systems management, monitoring, and reporting.
- Leadership development.
- Monitoring and evaluation systems and tools.
- Stakeholder engagement tools and methodologies.

For all training that is recommended here and/or is to be introduced as part of the capacity development programme, it is strongly suggested that the following be incorporated in the training packages to ensure absorption and institutionalization:

- Clear criteria for the selection of participants for each training course.
- A pre-training evaluation to be completed at least two weeks prior to the training to inform the curriculum and the facilitators/resource persons of the background of and expectations from the participants.
- A post-training evaluation to be completed by the participants immediately after the training to gauge what they learnt from the training and its potential applications to the functions of MoPR and its respective divisions.
- A re-entry plan to be completed by each officer/staff member participating in the training. A re-entry plan describes how they plan to apply, with specific activities, timelines, and resources the skills and knowledge that they learnt from the training within their own offices or work areas.
- Mandatory 're-echo' or presentation of the lessons/skills learnt from the training to all officers/staff members within two weeks of return to office.

3.2.1.2 Introducing a Coordination and Monitoring System (CMS) within DPR

Presently, there are no consistent mechanisms to consolidate, coordinate, and monitor all the capacity development and sectoral support programmes that are being provided for PRIs in Chhattisgarh. Within DPR too the capacity assessment revealed a need for strengthening internal monitoring and evaluation systems linked to external support programmes organized for PRIs. Therefore, it is critical for DPR to establish a dedicated coordination and monitoring unit, which will be responsible for:

- Spearheading the formulation of a results-based, integrated monitoring and evaluation plan for DPR in collaboration with other DPR divisions, including designing M&E indicators, data collection

methodologies, and database management options.

- Establishing coordination mechanisms with relevant line ministries/departments in Chhattisgarh to establish a database of development programmes and training activities that are completed, ongoing, and planned for the state.
- Leading the conduct of a high-level semi-annual progress review meeting to present and discuss the status of progress of development programmes in Chhattisgarh.
- Leading the planning and conduct of M&E training activities for relevant DPR officials and staff members, as well as other line ministries/departments and PRIs (on demand).
- Preparing an annual report presenting a summary of the various development and capacity building activities in Chhattisgarh for PRIs, their respective progress and accomplishments, an analysis of lessons learnt, and recommendations for improving programming and capacity development in the state.

3.2.1.3 Introducing a Roster of PR Mentors and Coaches within DPR

Within DPR, it is crucial to establish a team of mentors and coaches, who can provide quality and consistent advice to PRIs, particularly with regard to relevant policies and development programmes. These mentors and coaches will also serve as in-house experts and advocates, and as much as possible should represent key divisions/units within DPR. They will be given full training support on PRI policies and guidelines as also mentoring and coaching skills and, therefore, should be selected on the basis of:

- Should be tenured with DPR for at least the next three years.
- Have at least five years experience of working with PR institutions in the field.
- Have good communication and facilitation skills.

Designated PR mentors/coaches will serve as in-house experts and trainers and will serve as DPR's first line of technical support to PRIs based on demand.

3.2.2 Capacity Development Response for the Rural Development Department

For RDD, the challenge is to strengthen its capacities towards stronger implementation of development programmes, policies, and projects as evidenced from the capacity assessment. Therefore, the recommendations specifically build on RDD's current strengths and expertise for generating a stronger approach to the capacity development of the organization as well as one of its primary clients — PRIs.

3.2.2.1 Strengthening Accountability Systems through Results Based Management

Even though RDD staff members have tremendous experience on the ground, several critical aspects of human resource development were identified in the assessment.

These include:

- The agency needs to institute a more rigorous accountability system within the organization, particularly with regard to linking performance appraisals to incentive systems, that is, rewarding good performers and holding non-performers accountable for weak performance. The capacity assessment indicated that the distribution of workload within the agency could be improved further by reviewing key functions and target results of each division within the department.

It will, therefore, be useful for RDD to move from activity-based planning approaches to results-based planning and monitoring of development impacts. This will allow the agency to focus on the key results that it would like to focus on and achieve annually and also allow a more systematic approach to adjusting activities (if necessary) according to budget limitations of the government by concentrating on critical or desired results in the short- and medium-term. To introduce such a RBM approach, it may be useful to engage a short-term consultant who will assist the agency in, among other things, mapping out the programmes and results that it has achieved so far in recent years, reviewing and improving the planning and monitoring processes of the organization, training key officials and staff members of the department on RBM, and initiating a work planning process based on RBM principles.

3.2.2.2 Communication and Information Dissemination

RDD's capacity for showcasing and demonstrating its results can be further improved through enhancing (or developing) its external communications strategy. Results of RDD programmes need to be reviewed and packaged in easily 'digestible' forms, which can be distributed to policymakers at the state and national levels to inform legal frameworks, policy guidelines, and decisions. These can also be distributed to PRIs and project beneficiaries to allow them to learn from the lessons of these programmes, including potential replication of good practices and avoiding failures and weaknesses, if any, from others. This will also allow RDD to enhance its internal reporting and transparency mechanisms and allow it to identify opportunities for partnership with other government and development agencies in Chhattisgarh.

3.2.2.3 Human Resource Development

As with the other agencies, a number of skill and knowledge development opportunities were identified for RDD as part of the capacity assessment. These include:

- RBM and strategic planning.
- Leadership development.
- Monitoring and evaluation systems and tools.
- Coordination and partnership building.
- Team building and networking.
- Stakeholder engagement tools and processes.
- Communication and advocacy.
- Developing proposals, technical writing, and research methodologies.

The assessment indicated budget limitations within the agency with regard to allocating funds for officials' and staff members' training needs. This is further constrained by the lack of a rigorous TNA and career development plan for the organization. The assessment revealed that if the first three items given in the list above are provided adequate resources by RDD or by its donor partners, could potentially provide significant and strategic long-term benefits to the organization and its beneficiaries/clientele and should, therefore, be given priority in funding. Like the recommendations for DPR, the following should also be incorporated in training packages for RDD to ensure absorption and institutionalization of the lessons learnt from any skills or knowledge development programmes that will be introduced in RDD:

- Clear criteria for the selection of participants for each training course.
- A pre-training evaluation to be completed at least two weeks prior to the training to inform the

curriculum and the facilitators/resource persons of the background of and expectations from the participants.

- A post-training evaluation to be completed by the participants immediately after the training to gauge what they learnt from the training and their potential application to the functions of MoPR and their respective divisions.
- A re-entry plan to be completed by each officer/staff member participating in the training. A re-entry plan describes how they plan to apply with specific activities, timelines, and resources the skills and knowledge that they learnt from the training within their own offices or work areas.
- Mandatory 're-echo' or presentation of the lessons/skills learnt from the training to all officers/staff members within two weeks of return to office.

3.2.3 Capacity Development Response for Training Institutions

Even capacity developers need capacity development. This section describes the identified capacity development needs for SIRD, ATI, SHRC, and ICDS-TI, beginning with some key, general recommendations that are applicable to all institutions; these are followed by agency-specific recommendations to allow them to respond more effectively to the provisions of NCBF and the respective capacity gaps of PRIs. It is imperative for MoPR and the state PRD to provide an enabling environment, adequate budgetary resources, as well as learning opportunities for these organizations' officials and staff members to be exposed to new and emerging tools, knowledge, mechanisms, and practices in local governance and local service delivery. These can be provided through participation in training, workshops, seminars, conferences, coaching and mentoring, and learning missions.

The extent of the training required, in addition to the training courses identified under NCBF, provides an imperative for creativity and broader engagement of training institutes, including local academic institutions, the private sector, and non-government organizations towards enhancing the efficiency and effectiveness of training delivery. This will provide a more contextualized, broad-based, integrated, and cost-effective approach to learning. In case the relevant knowledge and expertise for designing these curricula are not available in Chhattisgarh, MoPR may broker partnerships or twinning arrangements with training/academic institutions in other states and/or countries. It is expected that such cooperation will enhance the sustainability of learning programmes for local governance and local service delivery in Chhattisgarh in particular and in India in general.

The institutions assessed as part of this pilot assessment are potential partners who could be engaged further in rolling out the Chhattisgarh capacity development perspective plan. However, there are other partners and institutions which should be considered and included. An engagement with academic institutions and the private sector could significantly improve the capacity of the state to respond to training needs.

A dedicated partnership with academic institutions will be mutually beneficial for the state training institutions, PRIs, and academic institutions as it will foster knowledge sharing, knowledge generation and documentation, and practice-oriented education through exposure to real-life scenarios. It is advisable to formalize the partnership, to design a work plan that incorporates the various interests of the participating institutions, and allocate risks. Once a promising work plan is developed, funding could be provided to enable its development and administration. Depending on the type of institutional activities this could include technical workshops involving skilled professionals from academia and practitioners (for example,

on innovative drinking water supply systems), research partnerships with PRIs and training institutions (for example, development economics, sociology, nursing, and environmental engineering), the assignment of National Service Scheme⁶ volunteers to work at the PRI level or programmes that will engage students in development issues in a given locality over a larger period of time ('adopt a village', 'serving my home village', or 'model villages' where a group of students will assist the PRI in working on integrated projects).

Training Approaches

The capacity assessment revealed a hesitation (even aversion) on the part of PRIs to attending training and seminars organized by many training institutions in the state for two major reasons: 1) PRIs felt that the training had not really responded to their needs; and 2) the classroom approach to training (lecture type training) applied by most training institutions was neither attractive nor conducive for adult learning. As a matter of principle, training programmes should impart specific skills to participants and build confidence among PRIs on the importance and value addition of their respective functions.

To strengthen synergy, training and capacity development activities intended for PRIs should support a common framework (like NCBF), which is agreed and endorsed by SC-CDPRI. This is to ensure that all training programmes complement each other, unnecessary duplications are avoided, and that they all contribute to a common set of capacity development goals and targets.

As noted earlier, for all training that is recommended here and/or is to be introduced as part of the capacity development programme, it is strongly suggested that the following be incorporated in training packages to ensure absorption and institutionalization:

- Clear criteria for the selection of participants for each training course.
- A pre-training evaluation to be completed at least two weeks prior to the training to inform the curriculum and the facilitators/resource persons of the background of and expectations from the participants.
- A post-training evaluation to be completed by the participants immediately after the training to gauge what they learnt from the training and its potential applications to the functions of the MoPR and their respective divisions.
- A re-entry plan to be completed by each officer/staff member participating in the training. A re-entry plan describes how they plan to apply, with specific activities, timelines and resources, the skills and knowledge that they learnt from the training within their own offices or work.
- Mandatory 're-echo' or presentation of the lessons/skills learnt from the training to all officers/staff members within two weeks of return to office.

Implementing these suggestions requires a sound system design and workable arrangements down to the village level which are easy to apply. The ongoing GoI-UNDP Capacity Development for Local Governance (CDLG) project intends to support efforts made at the state level to improve monitoring and evaluation of capacity development interventions; CDLG support could be leveraged to set up the system (including a pilot test).

⁶ See the National Service Scheme (NSS) website for details. Available at: www.nss.nic.in.

Delivery of Training Programmes

ATI, SIRD, ICDSTI, and SHRC faculty members need continuous learning on adult learning methodologies and approaches. While it is recognized that these institutions have competent faculty and senior officials, it was also apparent from the consultation meetings and self-assessments that faculty members' respective facility and knowledge of teaching and adult learning methodologies varied and was usually dependent on the teaching style of the faculty member. There were also reports of poor quality external resource persons being invited by training institutions to deliver the modules to the detriment of the training programme which undermined the credibility of the training institution itself. There is, therefore, a need to agree on and institutionalize a standard approach (or set of approaches) for delivering training programmes for each institution (if not for all), which will guide faculty members and resource persons on the best options and flexible methodologies to deliver specific training modules.

Learning and training programmes could be delivered through numerous mechanisms, depending on the subject of the training, the background of the participants, and available resources. Adult learning methodologies require interactive and didactic tools that generate participants' interest, allow them to share their knowledge and experience, ask questions and challenge ideas and positions within a safe environment, and generate a sense of collegiality and feeling of belonging during and after a training programme. The role of the training facilitators is, therefore, very crucial in shaping the training design, approach, and outputs, and its follow-up activities.

While classroom style training is the usual delivery mechanism, it needs to be made more attractive and interactive through appropriate learning tools and modules. Other equally (or more) effective mechanisms for learning include:

- On-the-job training (OJT) or immersion programmes, which will allow officials and staff members to learn new skills and procedures hands on, by doing it themselves in a genuine work setting. For PRIs, OJT could be conducted by mapping PRIs and matching 'developing' or 'weaker' PRIs with relatively developed or stronger PRIs, and supporting OJT for officials/staff members from the former to the latter.
- Exposure or learning missions, which will allow officials and staff members to be oriented on or exposed to 'best' practices and/or innovations in other parts of the state, in other states, or even in other countries for possible adaptation in their respective areas. The main objective is to expose the participants to new thinking that has worked and has achieved some successes and learn from the implementers' own experiences.
- Mentoring and coaching, which brings an 'expert' into the organization for a specific period of time to mentor or coach its officials and staff members on specific skills, tools, processes, or procedures.

Awareness Raising/Campaign Mode Training Approaches

As mobile phones continue their success story in India and their networks expand into remote rural areas the state may consider tying up with mobile phone operators for delivering information and news about PRIs through text or voice messages. PRI functionaries and ERs will be able to receive updates in time, easily, and cost-effectively through their mobile phones. It is important to note that this system will only be complementary to other distribution channels, such as television and radio which are mentioned in NCBF.

NCBF also mentions Gram Sabha level campaigns which have shown success in other states and have been found useful when mission mode capacity building campaigns are undertaken to inform/orient the public about new schemes, regulations, or elections. They have taken the form of Panchayat Yatras that tour from village to village, satellite-based training with multiple screening centres, large gatherings at the block level, and more. Increased public awareness about the roles and responsibilities of Panchayats and their accountability to the public is essential for the success of the PRI system as effectiveness and efficiency will only improve when the public holds the office bearers accountable for their actions. Raising the awareness of citizens who are not part of the PRI system is best done through mass awareness campaigns and campaign mode training in which the media and civil society have an important role to play.

The Role of Master Trainers/Mentors

Given the immense challenge in reaching out to and developing the capacities of PRIs in time, there is an urgent need to further expand the number of master trainers (around 30 master trainers per state), to foster home grown, endogenous expertise and providing facilitated access to such a resource thereby minimizing overdependence on national institutions or expertise from other states. A minimum of 30 master trainers is expected to provide the catalytic support to line ministries and training institutions to enhance their respective support to PRIs.

Chhattisgarh needs to foster its pool of PRI master trainers who will then further train those who are engaged directly in the development of PRI capacities without necessarily adding permanent staff members to the rosters of training institutions given budget limitations. This requires a strategic engagement of seasoned practitioners and experts who are ready to commit their time and energy to training the trainers and to making themselves available for special training events as resource persons. This could potentially include retirees who are often eager to share their experience with younger practitioners and are looking for opportunities to do so. However, the level of success will depend on the institutional capacity to manage and efficiently maintain a high-quality roster of master trainers.

PRI master trainers are expected to have demonstrated quality knowledge and expertise in teaching/training, research, and in working with PRIs and communities. They must be familiar with adult learning methodologies, coaching and mentoring, gender-sensitive approaches, and stakeholder engagement processes. Their substantive knowledge of the challenges and issues faced by PRIs in Chhattisgarh, especially with regard to local development, service delivery, and the Panchayat Extension to Scheduled Areas (PESA) Act is essential.

Potential PRI master trainers will be trained on capacity development concepts, methods, and tools, including facilitating processes, stakeholder consultations, and institutional development, following which they will be accredited by the nodal training institution of the state and receive official certificates that certify them as PRI master trainers. This accreditation will be the basis for PRI master trainers' engagement within the state and serve as an incentive for participation. This effort should also be undertaken at the national level where MoPR and DoPT⁷ could take the lead in certifying national master resource persons who could then be engaged at the state level.

As part of the pilot capacity assessment, 11 potential master resource persons were oriented and trained in the process and mechanics of UNDP's capacity development and capacity assessment approach. These

⁷ The Department of Personnel and Training (DoPT) already has a Master Trainer Programme in place which has been providing direct training and training design courses to trainers at various ATIs across the country. A collaboration between MoPR and DoPT has also been discussed as part of the GoI-UNDP CDLG Project.

trained master resource persons are expected to lead further training on capacity assessment in other states and serve as resource persons in the capacity development of PRIs in those states. MoPR is engaging these master resource persons in assisting other states in the development of their capacity development perspective plans.

3.2.3.1 The State Institute for Rural Development

The capacity development response for SIRD focuses on strengthening its implementation, monitoring, and evaluation capacities, particularly with regard to enhancing its accountability mechanisms and human resources. These are based on the results of the capacity assessment. It is also worth noting that in terms of SIRD's own governance structure, it seems appropriate for it to be managed directly under DPR given its mandate and potential roles in developing the knowledge, skills, and capacities of PRIs. However, this is a policy decision that needs to be thoroughly considered.

- *PRI Capacity Development Management Information System*

At the state level, it will be useful to establish a capacity development management information system (CD-MIS) with four major records:

- An inventory of training and capacity development institutions/agencies in Chhattisgarh, including public, private, and NGOs.
- An inventory of master trainers and resource persons on thematic issues relevant to PRIs.

A database of state-specific training modules and material available in different institutions which is linked with the national training repository (see www.pri-resources.in).

A database of training programmes attended by all PRI officials and staff members.

The CD-MIS should be managed by SIRD but owned by the state government with its contents to be populated by SC-CDPRI members, that is, all CDC members should be able to access and enter data into the system on any of the four identified major records systems. It should, therefore, feature the logos of all CDC members, should be user friendly, and should be available online through the DPR website to facilitate data entry, access, and reporting.

At the block and district levels, given the limited access that Panchayats have to computers and the internet, it may be useful to make hard copies of training modules and the material available. This could be done through Panchayat Resource Centres (PRCs), Citizen Facilitation Centres (CFCs), or other local agents/agencies/institutions.

- *Standardize Training, Learning, Assessment, and Evaluation Modules for PRIs*

The capacity assessment revealed an evident lack of standard training modules for various thematic subjects for public sector institutions in Chhattisgarh. Resource persons who were engaged in delivering training courses often had to develop their own modules and take them back with them at the end of the course; in many cases actual modules were not developed but rather power point presentations were made which are inadequate for training institutions or subsequent resource persons to use.

SIRD, given its experience, a pool of experts, and an academic network is in a position to compile, consolidate, and standardize training modules that will be delivered for PRIs. To do so it will need a team of experts led by the SIRD Director, or designated faculty member, (or a national consultant) and the participation of ATIs, SHRC, and ICDS-TI. This team of experts will be responsible for gathering, reviewing, and consolidating available training modules that are aimed at PRI knowledge building. These modules should include some of the proposed training modules under NCBF, as well as other modules that are critical to the governance functions of PRIs. These should include:

- Foundation course: Overview of Panchayati Raj.
- Basic functional course (internal housekeeping, understanding of accounts, social audit, Right to Information, Panchayat revenues, etc.).
- Local service delivery and public-private partnerships.
- Basic computer skills and software training.
- Decentralization and principles and concepts of local governance.
- Leadership development.
- Human rights-based approach to development.
- Accountability, ethics, and transparency.
- Budgeting and financial management.
- Strategic planning and developing monitoring and evaluation.
- Policy formulation and legislative procedures.

Relevant to this is the need for standardizing TNAs and training evaluation tools and mechanisms. Such practices need to be institutionalized to ensure that the training that is being rolled out for PRIs is responsive to their needs and is continuously improved based on lessons from ongoing and completed training programmes. This will also help DPR and RDD as well as SIRD and other training institutions to engage donors and development partners more systematically on a longer term and more demand-driven capacity development support for PRIs and for their respective institutions. Faculty members and officials from SIRD, as well as ATIs, SHRC, and ICDS-TI should, therefore, be provided training on various tools and methodologies for TNA and training evaluation.

- *Introduce a Dedicated PRI Research and Innovations Fund*

As an academic institution, SIRD needs to build its capacity not only in training and education but in research as well. Chhattisgarh, being one of the poorest states in the country, offers research and development opportunities particularly in the nexus of poverty development, (local) governance, and given the state's dependence on mining and exploitation of mineral resources on climate change. It will, therefore, be useful to establish a dedicated Panchayat Research and Innovations Fund (PRIF), to be managed by SIRD, which will provide small research grants (for example, Rs 1 lakh) not only to SIRD's faculty members but also to other academic and non-government institutions in Chhattisgarh that will explore policy implications of, and innovative approaches to, local governance/development, poverty alleviation, and climate change adaptation/mitigation mechanisms in the state. PRIF, which could have an initial fund of Rs 25 lakh, will be managed by SIRD and will have a steering committee/

board from DPR, RDD, and the state government that will guide the use of the research grant and approve grant recipients based on a criteria that will include, among others: direct relevance to the needs of PRIs in Chhattisgarh, direct relevance to priority sectoral needs in the state (for example, environment, health, and education), research methodology, and policy implications. Grant releases, expenditure, and reports will be made publicly available on the SIRD, DPR, and RDD websites to ensure transparency in decision-making and reporting.

A number of similar innovations funds exist in Indonesia and the Philippines. It will be useful for MoPR, DPR, RDD, and SIRD officials to be exposed to such practices and their impact on the ground.

- *Human Resource Development*

Strengthening SIRD's technical capacity by recruiting additional, permanent faculty members is an ideal scenario that needs to be explored. SIRD's current faculty complement is not sufficient to respond to the needs of its clients, particularly given the hesitation of consultants based in Delhi and other more developed states/cities to come to Chhattisgarh. These consultants are not keen to come to Chhattisgarh because of the relatively low professional rates and allowances allowed by the government. While master trainers (or consultants) could provide back-up support to SIRD and other training institutions, their participation and engagement may be constrained by their availability, available budgets to cover their transportation and subsistence costs, and their knowledge of the local context particularly if they are coming from outside Chhattisgarh. A functional review of SIRD could, therefore, be undertaken to identify additional faculty members that need to be recruited for SIRD.

- *Develop a PRI Local Governance Capacity Index*

Given the huge number of PRIs in Chhattisgarh (and in the entire country), the lead CD institution tasked by the Chhattisgarh government to strengthen the capacities of PRIs may consider developing an online self-assessment tool for PRIs that will provide information on the indicative capacity strengths and assets of each PRI and will inform a demand-driven offer of CD support. This tool will allow each PRI to generate a rating for various capacity development parameters through a simple online questionnaire (starting with those developed in this capacity assessment) which provides a rough analysis of the PRI's priority capacity needs and will be responded to by the responsible CD institution with feedback and suggestions for CD follow-up. The tool could focus initially on the following core issues:

- Policies and institutional arrangements.
- Human resources.
- Knowledge.
- Accountability.
- Physical resources and infrastructure.

If institutionalized (for example by integrating the tool into the standard training needs assessment, making it standard practice for trainers to have a pre-training discussion with PRIs using the tool) it will allow the generation of a comparative analysis of PRIs and will enable a targeted and demand-driven approach to CD as interventions can be prioritized and tailored. Once successful, other states may also want to adopt the same system that could then serve as a basis for partnerships and peer-to-peer mentoring.

3.2.3.2 Administrative Training Institute (ATI)

The capacity assessment revealed the perception among stakeholders that ATI programmes largely provide venues for conducting seminars and sharing information on national and state policies, guidelines, and regulations. Its role in following-up on the impact of these orientation seminars,⁸ including providing more substantive, demand-driven support to PRIs, needs to be further improved.

- *PRI Competency Enhancement Kit (PRICE-Kit)*

The capacity assessment revealed that there are very few institutionalized training modules for PRIs. Many training programmes are based on modules prepared by individual resource persons, which are often a set of power point slides, copies of which are not usually distributed to the participants or to the institution hosting the training. Thus, the same training if handled by three different resource persons will have three different modules, and the level of exposure and understanding of the respective participants will be quite varied as well.

It is, therefore, important to map existing and available training modules on the various training courses noted under NCBF as well as in this report. Such a mapping exercise will include a review of training material from other states. The objective is to have a standard set of modules for each topic, agree on the minimum standard information that should be contained in each training module, and the recommended approach for delivering such a training module. The main output of mapping, consolidation, and formulation of the training modules, is a set of standard material for PRIs (a PRI Competency Enhancement Kit, or PRICE-Kit) that any capacity development provider could refer to in planning and implementing training programmes on the ground. The PRICE-Kit will also be useful in guiding future resource persons, and more importantly allowing PRIs across states and districts to receive the same set of information and guidance on specific themes and topics that are directly relevant to their functions. The PRICE-Kit should be designed and written using a popular, user-friendly format (graphics, illustrations, CD-Rom with audio visual material), should use the local languages, feature indigenous designs, and should not be bulky to facilitate its dissemination and distribution. The PRICE-Kit will come in volumes targeting specific recipient groups (Panchayat secretaries, Sarpanchs, members, Standing Committee chairpersons, etc.).

ATI, in partnership with SIRD and DPR, should take the lead in this mapping, particularly in reaching out to and collecting available modules from academic and training institutions, resource persons, and consultants. SIRD and ATI should provide critical technical support in the consolidation and standardization of the training modules. A regular review and updation would be required to sustain this effort.

- *Human Resource Development*

ATI faculty members and trainers will benefit from training on new approaches and methodologies for adult learning. It will be able to energize its training methodologies and generate more interest in its training programmes among PRIs. A number of different approaches to adult learning have already been developed by non-government organizations and development agencies, some even specific

⁸ For the purpose of this report and the overall capacity development strategy, dissemination of information on government policies, procedures, laws and legislations are referred to as 'orientation or orientation seminars' while activities that specifically impart skills, tools, 'best practices, methodologies, among others, are referred to as 'training'.

to sectoral applications, which could be potentially applicable to ATI's own programmes. It will, therefore, benefit ATI faculty and staff members to undergo ToT on adult learning methodologies so that they can strengthen their engagement with PRIs and other clientele. This will include training on TNA and developing and packaging training modules and curricula to ensure that the training design and material are user-friendly and adapted to the needs of the training participants.

- *Improve ATI's Training Facilities*

A conducive training environment is critical to participation and absorption of knowledge and information among training participants. ATI's training facilities, particularly its in-house accommodation facilities which currently present limitations especially with regard to accommodating women participants, therefore, need to be improved. Such limited facilities also mean that ATI has to time seminars and training accordingly (start seminars late in the morning and end early in the afternoon in consideration of participants' travel time to and from the venue), which limits engagement time with, and absorption of, information by the participants.

- *Enhance Monitoring and Evaluation of ATI Training Programmes*

ATI could further improve its training and information dissemination programmes through integrating more rigorous pre- and post-training evaluation tools to understand the effectiveness and impact of its learning programmes. In collaboration with SIRD and in relation to the SIRD recommendations mentioned earlier, ATI faculty members and officials should be exposed to training on available tools and methodologies that could be potentially applied by the agency in undertaking TNA and evaluation of training programmes. This will also contribute to standardization of tools across training institutions in Chhattisgarh.

It will also be useful for ATI to establish and regularly convene an in-house review team, which will be tasked to look at its seminar and training modules, review feedback from participants post-training, and recommend enhancements to existing modules. This will allow ATI to constantly upgrade its modules and identify other potential areas of learning that the participants could benefit from based on their feedback in a more systematic and demand-driven manner.

- *Enhancing ATI's Public Website and Information Portal*

ATI should develop its public website to further enhance access to information on its training programmes as well as policy and administrative guidelines and regulations, to allow its training participants continuous access to such data and information even after the training is over. The period immediately after the training is over, is a critical time when participants begin trying to apply what they have learnt from the training. Such post-training support is critical and information from ATI's website, which should include contact persons and contact numbers for further technical assistance, will be immensely useful for PRIs. Critical to this is the establishment of a database of training programmes that ATI has already conducted, which will facilitate its seminar/training inventory and reporting processes. The current paper-based information management system in the agency can be further improved by introducing a simple electronic database system which can be managed and operated by existing units/staff members in the agency who need to be trained on such database management systems.

3.2.3.3 State Health Resource Centre

As per the CA exercise, SHRC had the highest capacity in terms of its current functions, with a strong focus on women and children. To further expand its target audience it may be necessary to consider adding mandated support to PRIs as one of SHRC's main clientele so that they can benefit from its expertise. On the other hand, current human resource and budget limitations could constrain SHRC from accepting or supporting a mandate to cover PRIs as well. This can be a long-term strategy that can be explored for Chhattisgarh.

- *Introduce Mentoring and Coaching Skills and Mechanisms*

It will benefit SHRC if it introduces mentoring and coaching skills among its key trainers and officials to allow them to guide other training institutions like ATI and SIRD with regard to facilitating and delivering training programmes and forging trust and a strong engagement with communities. SHRC's network of volunteers can also be trained and tapped by DPR and RDD, as well as by SIRD and ATI to function as an outreach resource by equipping them with adequate knowledge and information on relevant PRI policies, guidelines, and programmes. This will allow closer integration of SHRC programmes with PRI support as well. SHRC volunteers will, however, need clear terms of reference and incentives (monetary or non-monetary) to be able to perform this additional function for other 'sponsoring' agencies. This ToR should reflect the responsibilities and accountability of the 'sponsor' agencies as well as those of SHRC and volunteers.

- *Introduce a Joint PRI Health-Sector Learning Programme with SIRD, ATI, and ICDS-TI*

SHRC currently does not have adequate facilities to serve its training programmes. SIRD and ATI, on the other hand, have some available training facilities but require resource persons who could assist in the development of training modules and delivery of some of its seminars and training programmes. This provides an opportunity for engagement between these institutions, with SHRC helping in the design of health sector training programmes for PRIs together with SIRD and ATI, which will then make their facilities available for such training programmes and for relevant activities that SHRC may be supporting. As part of this initiative, it will be useful to convene an initial brainstorming and planning meeting to bring together key officials from these institutions, as well as from MoPR and the state government to discuss and agree on a joint framework for action, including key responsibilities and accountability of each agency in rolling out the joint programme.

- *Enhance Monitoring and Evaluation of SHRC Programmes*

Like SIRD and ATI, SHRC also needs stronger capacities for monitoring and evaluating the impact of its training programmes. While it has been effective in understanding the skills and training needs of its clients and delivering and implementing training programmes, the next level of support — to gauge the impact of its capacity building efforts — needs to be improved further. SHRC will, therefore, benefit from learning programmes on potential tools and mechanisms for evaluating the quality and effectiveness of training programmes.

3.2.3.4 Integrated Child Development Services Training Institute

Like SHRC, ICDS-TI has a very focused clientele of children, women, and youth. However, based on the capacity assessment, it currently does not possess the same breadth and depth of experience and expertise that SHRC has. The capacity development strategy for ICDS-TI will, therefore, include:

- *Establishing a Roster of Experts/Resource Persons*

Like other institutions, ICDS-TI has difficulties inviting resource persons and experts from other cities/states to assist in its training programmes as it has budget limitations and not very conducive existing remuneration guidelines for resource persons. It will, therefore, be useful for ICDS-TI to establish a roster of child/women/youth development experts who are based in Chhattisgarh as well as those based in other areas, to allow the agency flexibility in tapping needed expertise for its training and related initiatives. This roster can also be tapped by other agencies, such as SIRD, RDD, and DPR, for their research, development, and training programmes in the state. Such an expert roster can be made available online to allow experts to register themselves and to maintain a dynamic list; experts who want to be part of the roster will have to be vetted by agencies that they have rendered services for to ensure quality control. Such a system exists within UNDP and its adaptation could be further explored for ICDS-TI initially, and then expanded to other sectors and/or agencies according to the progress of its implementation and use within ICDS-TI.

- *Human Resource Development*

The CA identified a number of capacity building areas for ICDS-TI's officials and staff members. These include:

Gender Mainstreaming. ICDS-TI already has strong gender expertise; however, it needs capacities for mainstreaming such gender knowledge and skills in other sector-based development programmes for PRIs like health, environment, and education. Such mainstreaming of gender concerns is critical in the context of Chhattisgarh, and DPR and RDD could benefit from ICDS-TI's skills and knowledge on this topic. ICDS-TI officials/staff members who will undergo training on gender mainstreaming could then serve as resource persons for RDD and DPR for their development programmes and capacity building activities.

Monitoring and Evaluation of Training Programmes. Like SHRC, ICDS-TI needs to be equipped with monitoring and evaluation tools and skills to be able to gauge the impact, quality, and effectiveness of its training programmes among its target beneficiaries. This also involves developing a standard reporting template/system for its training programmes to ensure that key results from the activities are properly identified and analysed and this facilitates the consolidation and analysis of various ICDS-TI programmes.

Data Analysis and Policy/Strategy Formulation. While ICDS is primarily a training provider, it also has to conduct research and analytical studies to ensure that its training programmes are responsive to the needs of its clientele, and that it supports the overall development targets of the state and the national government. Such analytical and policy-oriented knowledge and skills need to be further enhanced within ICDS-TI to ensure that its accomplishments and the lessons learnt from its programmes are upscaled and replicated.

Advocacy and Communication. ICDS-TI needs to develop an advocacy and communications strategy towards enhancing gender mainstreaming in Chhattisgarh's development programmes. ICDS-TI will, therefore, benefit from training/workshops on advocacy and communication to dissect the lessons learnt from its various programmes and in producing key messages to promote gender mainstreaming through various formats and media available in the state.

- *Introducing a Joint PRI Gender and Development Learning Programme with SIRD, ATI, and SHRC*

Like SHRC, ICDS-TI could jointly develop a learning programme with SIRD, ATI, and SHRC for mutual sharing of expertise and resources on gender and development. It will also allow ICDS-TI to be oriented to the other agencies' gender-related programmes, and vice versa, and allow a mutually beneficial collaboration for supporting PRIs' needs on gender. It is, therefore, recommended that an initial brainstorming and planning meeting be convened between ICDS-TI, SHRC, SIRD, and ATI, with participation from MoPR and the state government to discuss and agree on a joint framework for action, including key responsibilities and accountability of each agency in rolling out a collaborative programme.

- *Coordination of Training Programmes*

To enhance quality control and coordination of its training programmes, ICDS-TI may need to establish a Training Coordination Team (TCT) which will be responsible for, among others things:

- Ensuring coherence and consistency in the approach of its training programmes.
- Reviewing the quality of the modules that are developed and/or delivered by the agency, including review of participants' feedback after the training.
- Reviewing the qualifications and competency of trainers who will be involved in particular training activities.
- Identifying and recommending opportunities for new training programmes and for upscaling/replicating existing ones. The TCT may be composed of officials and technical staff from ICDS-TI, as well as ex-officio members from relevant agencies, such as RDD, DPR, and SIRD, who can provide technical information and advice to ICDS-TI for its programmes and operations.

ANNEXURE 1

ASSESSMENT OF STATE-LEVEL CAPACITIES FOR THE IMPLEMENTATION OF THE NATIONAL CAPACITY BUILDING FRAMEWORK (NCBF) AND TO UNDERTAKE DISTRICT PLANNING

Terms of Reference

(12 August 2009)

I. Assignment Overview

The Ministry of Panchayati Raj (MoPR), Government of India (GoI), is keen to develop a comprehensive tool to assess the state-level capacities for implementing the National Capacity Building Framework (NCBF) and undertake district planning through the development of capacities of Panchayati Raj Institutions (PRIs) and municipalities/urban local bodies (ULBs) with the larger goal of promoting effective decentralized governance and participatory planning. To achieve this, MoPR would like to engage the services of a professional agency that could develop a suitable capacity assessment (CA) methodology, test-use the CA methodology in one of the states in India, conduct a 2-day training workshop to impart the knowledge and skills required to undertake such state-level capacity assessment with the intention of developing a pool of CA trained experts who could later be engaged to undertake similar exercise in other states.

II. Background

PRIs and municipalities/urban local bodies (ULBs) have been identified as the third tier of governance, particularly after the 73rd & the 74th Amendments. Of the 28 states and seven union territories (UTs), three states are exempted from the provisions of these Amendments, and they have been allowed to continue with traditional arrangements of local bodies which are akin to PRIs. There are, currently, about 2 lakh PRIs represented by over 28 lakh elected representatives (ERs) of whom over one-third are women. There are about 10 lakh functionaries working for/under the PRIs. PRIs are currently assigned two of the major programmes for rural development — the National Rural Employment Guarantee Scheme (NREGS) and the Backward Regions Grant Fund (BRGF). In terms of constitutional intent, states have assigned many more schemes to PRIs, though such assignments are not uniform across the states. It is expected that in the coming years, PRIs will be implementing development schemes and programmes worth over Rs 1.5 lakh crore. To perform such large-scale responsibilities, PRIs need to have adequate capacities, in terms of numbers as well as the quality of manpower.

Realizing the imperatives of strengthening capacities of PRI-ERs and officials to effectively undertake their roles, MoPR launched a National Capacity Building Framework (NCBF), which provides details of various training programmes aimed at PRIs. MoPR is also implementing the Capacity Development for Local Governance (CDLG) project with support from the United Nations Development Programme (UNDP) in seven focus states of Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan, and Uttar Pradesh of the UN Development Assistance Framework (UNDAF). CLDG is aligned with the goals and objectives of NCBF, and aims to strengthen institutions and processes at various levels which bring about a behavioural change through increased motivation, joint decision-making, the provision of resources (that is, networks, resource persons/institutions, training courses/material, information, and innovative solutions and methods) and personal empowerment. Key partner institutions are training institutions such as the

State Institutes for Rural Development (SIRDs), the Panchayati Raj Training Institutes (PRTIs, that exist in a few states), and the Administrative Training Institutes (ATIs), which have the mandate to train ERs and officials in local governance. It has been the experience that these institutions put together are unable to meet the responsibility of providing the required training to ERs and other PRI officials.

In view of the crucial role that the PRIs are expected to play in district planning and the relevance of capacity development activities related to planning (state training institutions are mandated to train PRI ERs and officials as well as personnel of line departments in planning), CDLG needs to be closely associated with the activities of a second GoI-UNDP project implemented by the Planning Commission. The Capacity Development for District Planning (CDDP) project supports the Planning Commission's mandate on improved capacities in integrated inclusive district planning at the national, state, and district levels.

In an earlier UNDP project, which concluded in December 2008, the Administrative Staff College of India (ASCI), Hyderabad was assigned the task of undertaking the Capacity Assessment (CA) of SIRDs in the seven UNDAF focus states. MoPR now feels that it is necessary to widen the scope of CA to cover the state as a whole and not merely SIRDs and also to extend its coverage to all the 28 states and seven UTs in the country.

In this context, MoPR desires that a team of CA experts be invited from the UNDP's Regional Centre in Bangkok (RCB) that has the expertise to undertake institutional CA using UNDP's corporate capacity assessment methodology, with the broader understanding that the RCB's CA methodology would add value to the currently existing CA tools in India and further enrich CA knowledge and capabilities to undertake state-level assessment of capacities to implement NCBF and undertake district planning through developing capacities of the PRIs. Therefore, the Terms of Reference (ToR) for the RCB team is proposed to be:

III. Objectives and Outputs

Key objectives:

- Assessing the capacity of a given state to implement NCBF and for capacity development of PRI-ERs and officials for district planning using UNDP's CA methodology adapted to India.
- Developing a pool of experts (CA master trainers and CA resource persons) equipped with skills to undertake similar assessment independently by conducting a 2-day training workshop.

Expected outputs from the RCB team are:

- UNDP's CA methodology adapted to India with reference to a given state based on a pilot assessment.
- Select faculty (4–7) from select institutions in India trained in adapting UNDP's CA methodology to a given state (Note: These faculty members are being associated with the RCB team during the CA mission with the intention to prepare them as CA master trainers. The CA master trainers will learn the entire process through a pilot assessment, including preparing the necessary documents and state-level assessment reports and later the technique of imparting this knowledge to the next level of CA experts to be called CA resource persons by conducting CA training workshops).
- A 2-day training workshop conducted to impart knowledge and skills concerning the use of UNDP's CA methodology adapted to a given state, and its use in undertaking state-level capacity assessment to implement NCBF and undertake district planning.

- A comprehensive report carrying UNDP's CA methodology adapted to the Indian context with particular reference to a given state.
- A report on the application of UNDP's India adapted CA methodology in a given state, including an analysis of the priority capacity development needs of the state to develop capacities for PRIs along the lines of NCBF and for district planning, along with specific recommendations consisting of short-term and long-term capacity development strategies to address the identified priority capacity needs of the state. If necessary, the RCB team may consider combining the report on adaptation of the CA methodology and the report on the test application of the adapted CA methodology in a given state in one report.

Note: MoPR would like to consider the state of Chhattisgarh to test-use the UNDP's India specific CA methodology to be adapted by the RCB team. The Chhattisgarh State Institute of Rural Development (CSIRD) has been designated by the Principal Secretary, Panchayati Raj Department (PRD) Chhattisgarh, as the nodal institute in the state to host the RCB mission.

IV. Methodological Approach

The UNDP-CA methodology will provide the overall framework for the pilot capacity assessment. Employing a range of complementary data collection methodologies, the CA approach offers a self-assessment platform that will allow direct engagement of MoPR, relevant state government departments (such as Planning, Panchayati Raj, and Rural Development) and SIRD and ATI officials and staff members, and capacity development partners (such as NGOs and other training institutions) in coming up with quantitative as well as qualitative capacity indicators, which will serve as the basis for the prioritization of the capacity development (CD) needs of the state of Chhattisgarh in the context of PRI-CD.

The assessment will be conducted through meetings and self-assessment sessions/consultations with the leadership and staff of the institutions involved in PRI capacity development — SIRD, ATI, NGOs, and others, as well as key staff members of other ministries/agencies and development partners (for example, relevant state-level government departments and civil society organizations) that are closely involved with PRI institutions. The CA framework and work plan, including capacity indicators, will be developed by the RCB team following initial research and consultations/meetings, and will be validated through a presentation to the Government of Chhattisgarh prior to its application. The pilot capacity assessment will involve selected institutions, and may be scaled up for use in other states based on the lessons learnt from the pilot CA.

Consultations will be conducted with the Departments of Planning, Panchayati Raj, Rural Development, and Health, as well as district level training centres (ETCs, PTCs), and other institutions active in CD of PRIs, primarily to determine challenges and derive an initial understanding of their capacity gaps, and how the state-level institutional framework can specifically respond to these capacity development challenges. This process will inform the development of an integrated State CD strategy.

Specifically, the CA will use a range of methodologies to triangulate information and come up with a comprehensive understanding of prevailing capacity development issues and needs. These methodologies will include:

- **Desk Research/Review**

This will serve as the preliminary activity for CA, which will compile relevant research documents and findings, evaluation reports, policies, and project documents, etc., to come up with an initial understanding of on-going or completed initiatives, as well as policy statements, that will inform the planning and conduct of the capacity assessment to ensure that the process builds on and adds value to existing or completed activities. This will include a review of the outputs and outcomes of previous assessments by other institutions (NIRD, ASCI, IGNOU, and the BRGF Review outcomes) to guide the context of the CA.

- **Dialogues and Consultation Workshops**

Dialogues and consultation workshops will be convened throughout the capacity assessment process to bring together different stakeholders, discuss common challenges, issues, and perspectives, and agree on potential areas for further discussion, analysis, or collaboration.

- **Key Informant/Semi-Structured Interviews**

This will involve semi-structured interviews with officials and key staff members of training institutions, as well as relevant departments/partner agencies, to obtain their feedback and perspectives on PRI capacity development needs, as well as the capacity needs of the training institutions themselves.

- **Self-Assessment**

This will serve as the crux of the CA, which will employ qualitative and quantitative indicators to determine priority capacity needs. CA worksheets, which contain specific capacity indicators that will be assessed, will be developed by the RCB team during the adaptation workshop based on the UNDP-CA methodology in consultations with other mission participants to be filled up by the interviewees. Results of the self-assessment will be consolidated and used to compare, validate, and complement the results obtained from the other methodologies.

State-level partners of the most relevant GoI-UNDP projects (CDLG and CDDP) who are going to be interviewed as part of the pilot CA include officials and key staff of select institutions, such as the Chhattisgarh State-specific:

- Planning Department and Planning Board.
- Panchayati Raj & Rural Development Departments.
- Health Department (as a sample line department with relevance to district planning) and the State Health Resource Centre.
- Finance and Planning Department.
- Urban Development Department.
- Women and Child Department.
- Administrative Training Institute (ATI).
- State Institute of Rural Development (SIRD).
- NGO leaders who conduct trainings for PRI-ERs and officials, including on district planning.

V. Role Clarity During the Capacity Assessment Process

- The entire state-level CA is to be led by the select experts from the UNDP's RCB, referred as the RCB team. The primary reason for engaging the RCB team is its expertise in undertaking institutional capacity assessment.
- The RCB team will be accompanied by select numbers (4-7) of faculty members invited from select institutions in India engaged in CA and PRI related capacity building training programmes. They are expected to proactively participate in the CA mission and support the work of the RCB team.
- PRD Chhattisgarh and CSIRD will ensure necessary appointments for the RCB team with other state-specific departments mentioned above and help organize the required meetings.
- A MoPR-CDLG team will help facilitate the CA mission by coordinating with PRD/CSIRD Chhattisgarh, inviting faculty nominations from select institutions, and later organizing a national-level training workshop to be conducted by the RCB team.
- UNDP India will help facilitate the CA mission by coordinating with the RCB team about the detailed proceedings of the RCB mission and the training workshop to be organized later as per the programme given below.

Therefore, the RCB team, representative faculty, members of MoPR and UNDP India, and CSIRD will broadly constitute the CA team.

VI. Proposed Strategy/Work Plan for Pilot Capacity Assessment

Activity	Expected Results	Responsible Party	Dates
Pre-Mission Activities			
Finalization of Terms of Reference (ToRs) for 1st UNDP-RCB mission/Pilot CA	Agreement on ToRs	MoPR, UNDP India, UNDP RCB	12 August
Formation of the RCB team	Details of RCB team members	UNDP India	by 12 August
Preparation of logistical requirements for the RCB mission	Communication to be sent to select institutions inviting nominations of select faculty members to accompany the RCB team during the mission	MoPR-CDLG team, UNDP India, CSIRD	by 14 August
Compilation and review of available documents and material	Assessment of availability and validity of relevant documents and material Analysis of impacts of previous assessments and reports	RCB team, UNDP India, MoPR	by 14 August
First CA Mission of the RCB Team			
Arrival of UNDP-RCB mission in Delhi	Meeting with MoPR/NPD and UNDP India	CDLG team and UNDP India	17 August
Travel to Raipur		UNDP India, MoPR-CDLG	18 August (early morning)
Meeting with Principal Secretary PRD	Introducing the CA team	CSIRD, MoPR, RCB team, UNDP India	18 August (morning)

Activity	Expected Results	Responsible Party	Dates
Initial meeting of RCB team members with other participants representing MoPR, PRD Chhattisgarh, CSIRD, and other invitees from select institutions (4-7)	Clarify expectations and finalize the work plan Orient CA team on the CA process and methodology	CSIRD, MoPR, RCB team, UNDP India	18 August (afternoon)
Consultation workshop with the Chhattisgarh Government Departments	Identify key development challenges and issues	RCB team supported by CSIRD and MoPR	19 August (morning)
Consultation workshop with CSIRD, ATI, other state departments, and non-government training institutions	Identify key development challenges and issues	RCB team supported by CSIRD and MoPR	19 August (afternoon)
CD adaptation and training workshop: Training on the CD/CA methodology Adaptation and formulation of the CA framework based on initial consultation results	Select faculty members accompanying the RCB team trained in the CA process Adapted capacity assessment framework	RCB team supported by CSIRD and MoPR	20 August
Continuation of workshop	s.a.	RCB team supported by CSIRD and MoPR	21 August
Submission of draft CA framework to PR D for endorsement Translation of draft CA framework in Hindi Preparation of CA worksheets Interviews with other stakeholders (including PTCs/ ETCs, NGOs, other relevant training institutes)	Capacity assessment worksheets in English and Hindi Information collected for triangulation	RCB team supported by the CA team	22 August
Interviews with other stakeholders (including PTCs/ETCs, NGOs, other relevant training institutes)	Additional information collected for triangulation	RCB Team supported by the CA team	23 August
Capacity self-assessment using CA worksheets (meetings with state government departments and training institutions) Start of data consolidation and analysis	Capacity self-assessment process completed Worksheets filled by officials and staff members	RCB team	24 August (morning) 24 August (afternoon)
Continue data consolidation and analysis; formulation of CD response/ strategies Continue interviews with other stakeholders (follow-up if required) De-Briefing with the Government of Chhattisgarh (GoC) PRD Departure of mission to Delhi (?)	Data analysed and CD response/strategies drafted Additional information collected for triangulation	RCB team	25 August
Continue formulation of CD response/ strategies and preparing presentation material	CD response/strategies drafted	RCB team	26 August

Activity	Expected Results	Responsible Party	Dates
Presentation of draft CA results and CD recommendations to the Standing Committee on Capacity Development in New Delhi Debriefing	Inputs and feedback on draft results and recommendations presented to the committee Way forward discussed and agreed upon	RCB team	27 August
Departure of UNDP-RCB mission	-	-	28 August
Drafting and finalization of the full CA report and CD response/strategies	Full report submitted to GoC, MoPR, and Planning Commission	CA team	End September
Second CA Mission of the RCB Team			
Consultation with the CA team to review CA process and methodology to enhance the CA framework and to prepare for the national workshop	Validated CA framework ready for application/ upscaling in six other states	RCB team along with MoPR-CDLG, UNDP India, UNDP RCB (over conference call)	End-September
Conducting a 2-day national level CA training workshop to develop a pool of CA experts (CA master trainers and CA resource persons)	CA methodology adapted/ used in pilot presented and CA skills imparted to select number of participants	RCB team (with logistical and organizational support to be provided by MoPR)	Beginning October

VII. Timeline

August to October 2009.

VIII. Reporting Requirements and Administrative Support

RCB Team and UNDP India will provide the necessary technical support which includes providing high quality technical inputs into work planning, data collection and analysis, adaptation of the CA framework, and preparation of necessary technical documents for use and distribution during the CA mission and training workshop.

MoPR and CSIRD will provide logistical support for the entire duration of the CA which includes scheduling and confirming meetings with stakeholders, including briefing relevant officials/stakeholders prior to actual meetings, coordinating venues for consultations/meetings and ToT, printing /copying relevant distribution materials and documents for consultations during the mission and later during the training workshop, coordinating travel arrangements including local transportation requirements, among others.

All administrative and logistical costs that will be incurred in conducting the CA will be covered by the CDLG project. This includes the participation of three UNDP-RCB CD advisor/s following the UNDP travel cost equalization scheme (TCES).

ANNEXURE 2

LIST OF MASTER TRAINERS AND TERMS OF REFERENCE FOR PARTICIPATING IN THE PILOT CAPACITY ASSESSMENT IN CHHATTISGARH

Terms of Reference (ToR) for the Select Faculty Invited to Participate in the Capacity Assessment (CA) Mission

The Ministry of Panchayati Raj (MoPR), Government of India, is developing a comprehensive tool to assess the state-level capacities for implementation of the National Capacity Building Framework (NCBF) developed by it to support capacity building training for Panchayati Raj Institutions (PRIs) and undertake district planning through the development of capacities of PRIs and municipalities/urban local bodies (ULBs) with the larger goal of promoting effective decentralized governance and participatory planning.

To achieve this goal, MoPR is inviting the UNDP's Regional Centre in Bangkok (RCB) team, which has the expertise to undertake institutional capacity assessment (CA) to undertake an assessment of state-level capacities for the implementation of NCBF and undertake district planning. The RCB team will be undertaking two CA missions: in the first mission the RCB team will undertake state-level CA and in the second mission it will conduct a 2-day training programme to develop a pool of CA experts.

- In the first CA mission (17–27 August 2009), the RCB team will adapt UNDP's CA methodology to the Indian context, test-use the CA methodology in the state of Chhattisgarh, and submit a comprehensive CA report with specific recommendations.
- In the second CA mission (October 2009), the RCB team will conduct a 2-day training workshop to impart the knowledge and skills required to undertake such state-level capacity assessments, with the intention of developing a pool of CA trained experts (CA master trainers and CA resource persons) in India who will later be engaged to undertake similar exercise in other states.

In this context, MoPR invites select institutions in India to nominate senior-level faculty who will be associated with the RCB team during the proposed missions with the intention of preparing the faculty as CA master trainers. During the first RCB mission, the invited faculty will learn the entire process through a pilot assessment being undertaken by the RCB team, which includes preparing the necessary CA documents, developing suitable indicators, conducting interviews, and preparing a state-level assessment report. In the second RCB mission, the same faculty will be invited again to attend the 2-day CA training workshop conducted by the RCB team, with the intention of ensuring that the faculty learns the technique of imparting this knowledge to others through the training workshop.

At the end of this 2-fold exercise, the invited faculty will be ready to conduct similar state-level CA in other states, along with a team of CA resource persons who will be trained by the RCB team during the 2-day training workshop.

Expectations from the Invited Faculty During the Proposed RCB Missions

In the first RCB mission, the invited faculty is expected to commit to the following:

- Participate in the whole duration of the CA mission in Chhattisgarh on 18-24 August 2009.

- Actively participate in all sessions, workshops, and simulation exercises during the CA mission to be led by the RCB team.

In the second RCB mission, the invited faculty is expected to commit to the following:

- Participate in the 2-day training workshop (dates to be announced) led by the RCB team as a resource person to assist in the proceedings of the workshop.
- Exchange views with the RCB team on the development and use of various training materials being used in the workshop.

Key Qualifications

- Willingness to be engaged in the CA and development of the state-level capacity development plan.
- Possess the necessary communication and facilitation skills, besides some understanding of CA tools.
- Has the permission and endorsement of his/her senior(s) to participate in the entire CA process including the training workshop.
- Must be available to lead as a CA master trainer similar state-level capacity assessments later in the year in select states along with a team of CA resource persons.

List of Invited Master Trainers

Name	Designation	Organization	Contact Information
Professor Surendra Reddy	Professor,	Centre for Economics and Finance, ASCI, Hyderabad Andhra Pradesh	msr@asci.org.in Off: 040-66533000 Mobile: 9866718655
Ms Kajri Mishra	Consultant-Advisor	Research Projects IRMA, Anand, Gujarat	Kajri@irma.ac.in Off:02692-221685 Mobile:9725075078
Dr N.S. Ingale	Consultant, BRGF	State Institute of Rural Development Project Work. YASHADA, Pune	sird_brgf08@rediffmail.com Off:020-25608127 Mobile:9823911140
Dr H C Behera	Assistant Professor	LBSNAA Centre for Rural studies Mussoorie-Uttaranchal	haricharan@lbsnaa.ernet.in hcbehera@gmail.com Off:0135-2630255 Mobile:9410747288
Ms Nimisha Jha	Faculty	IIPA (New Delhi) Centre for Urban Studies	jhanimisha@gmail.com Off:011-23468380 Mobile:9868858028
Dr S Rajakutty	Professor, Director	NIRD Hyderabad-Andhra Pradesh Centre for Planning, Monitoring, & Evaluation	srajakutty@yahoo.com, raja@nird.gov.in Off:040-24008418 Mobile:9848992624
Dr R M Prasad	Senior Fellow	NIRD, Rural Technology Park	drmpasad@gmail.com rrp@nird.gov.in Off:040-24008554 Mobile:9848905111

Name	Designation	Organization	Contact Information
Dr K. Suman Chandra	Professor & Head (RTD)	NIRD	sum@nird.gov.in 09848997643
Dr Raj		KILA	rajkila@gmail.com 91-9447821046
Trained Participants from UNDP CDLG and DP Projects			
Mr Nirmalendu Jyotishi	State Project Coordinator	MoPR-UNDP CDLG Project	9437025877 / jyotishinirmal@gmail.com
Mr Shailesh Nayak	State Project Officer, MP	PC-UNDP DP Project Team	9424312922 / nnb26@cornell.edu
Ms Ritu Ghosh	State Project Officer, CH	PC-UNDP DP Project	9424226374 / ritughosh08@gmail.com
Mr Amit Anand	State Programme Officer, MP and CH	UNDP India	amit.anand@undp.org

ANNEXURE 3

CAPACITY ASSESSMENT FRAMEWORK FOR THE ADMINISTRATIVE TRAINING INSTITUTE (ATI)

Core Issues/ Problems/ Challenges	Technical/Functional Capacities				
	Capacity to engage Stakeholders	Capacity to analyse CD needs of PRIs	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategies	Capacity to monitor and evaluate
<p>Policy and Institutional Development</p> <p>Role in policy formulation (convergence)</p> <p>Coordination and linkages with other relevant institutions</p> <p>Institutional structural challenges — autonomy and delegation, procurement)</p> <p>Formulation of a vision and perspective plan</p> <p>Retaining institutional memory</p> <p>ATI's role as an apex institution</p>	<p>ATI's capacity to engage stakeholders, including women, SCs, and STs, in formulating its training policy</p> <p>ATI's capacity to establish linkages with other relevant institutions and stakeholders</p> <p>ATI's capacity to analyse and understand its organizational challenges and take timely decisions</p>	<p>ATI's capacity to work with other departments and training institutions in jointly analysing the training needs of PRIs to support convergence</p> <p>ATI's capacity to analyse vision documents/ perspective plans of PRIs</p> <p>ATI's capacity to define its own mandate and functions to respond to the emerging needs of its clients</p>	<p>ATI's capacity to formulate an organizational vision and long-term perspective plan</p> <p>ATI's capacity to ensure that the internal policies are in line with the national policy (NCBF)</p> <p>ATI's capacity to coordinate with relevant institutions in formulating long-term training strategies that support convergence</p> <p>ATI faculty's capacity to form consensus on the institution's long-term training strategy</p>	<p>ATI's capacity to sufficiently allocate budgets for its training programmes</p> <p>ATI's capacity to mobilize financial resources from other sources to support its training programmes</p> <p>ATI's capacity to fully provide appropriate facilities (for example, training rooms, accommodation) to support its training activities</p> <p>ATI's capacity to acquire modern equipment to support its training activities</p>	<p>ATI's autonomy to develop its own M&E framework</p> <p>ATI's capacity to design an effective M&E framework for its training programmes</p> <p>ATI's capacity to engage independent or external evaluators for its training programmes</p> <p>ATI's capacity to monitor and evaluate the effectiveness of its training programmes</p>
<p>Human Resources</p> <p>Limited and inappropriate human resources</p> <p>Competency of faculty and staff members</p> <p>Lack of a recruitment policy</p> <p>Ineffective Training</p> <p>Training approach (content methodology, need-based training)</p> <p>Quality of trainers:</p> <p>Commitment</p> <p>Lack of training of faculty and master trainers (refresher and updation, communication)</p> <p>Lack of faculty development programmes</p> <p>Infrastructure Constraints (for residential and decentralized training, equipment)</p>	<p>ATI faculty's capacity to engage stakeholders in designing appropriate training approaches</p> <p>ATI's capacity to engage potential partners to increase faculty strength and upgrade the faculty profile</p>	<p>ATI's capacity to assess evolving training needs of government personnel</p> <p>ATI's capacity to design effective tools for TNAs</p> <p>ATI faculty's capacity to integrate M&E modules in its training programmes</p>	<p>ATI faculty's capacity to consult other stakeholders in formulating its long-term strategy</p> <p>ATI's capacity to introduce in-service training, exposure trips, or consultancy as part of its long-term strategy for the development of its staff members</p>	<p>ATI's capacity to perform its mandate as an apex training institution in the state</p> <p>ATI's capacity to recruit competent faculty</p> <p>ATI's capacity to introduce and implement a competency development programme for its faculty and staff members</p> <p>ATI's capacity to allocate budgets to support its staff competency development programmes</p>	<p>ATI's capacity to introduce a performance appraisal system that rewards good performance and holds non-performers accountable</p> <p>ATI's capacity to use M&E tools to improve faculty and staff members' competencies</p> <p>ATI's capacity to provide quality control to its training programmes through M&E</p> <p>ATI's capacity to effectively monitor the use and condition of its training facilities and equipment</p>

Core Issues/ Problems/ Challenges	Technical/Functional Capacities				
	Capacity to engage Stakeholders	Capacity to analyse CD needs of PRIs	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategies	Capacity to monitor and evaluate
<p>Leadership Development</p> <p>Absence of full time leadership</p> <p>Lack of inspirational leadership</p> <p>Does the leadership have the motivation to lead? (Leadership's ability to motivate):</p> <p>Too much workload among the leadership</p>	<p>ATI leadership's capacity to effectively engage stakeholders in formulating its training policy</p> <p>ATI leadership's capacity to motivate and inspire commitment among ATI faculty and staff members</p> <p>ATI leadership's capacity to delegate work and decisions effectively to ensure organizational efficiency</p>				<p>ATI leadership's capacity to ensure effective M&E of its training programmes</p> <p>ATI leadership's capacity to ensure effective performance appraisals of faculty and staff members</p>
<p>Knowledge Management</p> <p>Documentation of training not in place</p> <p>Reading material and training modules (appropriateness, updated?)</p>				<p>ATI faculty's capacity to maintain a common library of documents and material for its training programmes</p> <p>ATI's capacity to provide online access to its training modules to training participants</p>	<p>ATI faculty's capacity to document lessons learnt from its training programmes</p> <p>ATI faculty's capacity to widely disseminate training M&E reports</p>
<p>Accountability</p> <p>Absence of feedback on training</p> <p>Training monitoring and follow-up</p> <p>Performance appraisal mechanisms (institutional, faculty/individual)</p> <p>Post-training evaluation (mechanisms present or not?)</p>					<p>ATI's capacity to implement recommendations from audit or M&E reports</p> <p>ATI's capacity to ensure financial discipline in its operations</p> <p>ATI's capacity to conduct staff performance appraisals on a regular basis</p>

ANNEXURE 4

CAPACITY ASSESSMENT FRAMEWORK FOR THE DEPARTMENT OF PANCHAYATI RAJ (DPR)

Core Issues/Problems/ Challenges	Technical/Functional Capacities				
	Capacity to engage stakeholders	Capacity to analyse CD needs of PRIs	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategies	Capacity to monitor and evaluate
<p>Institutional Development</p> <p>Untapped support from training institutions</p> <p>DPR vision and perspective plan</p> <p>Ability to respond to demand</p> <p>Coordination mechanisms among multi-level training programmes</p> <p>No proper training plan ☒ can guide formulation of appropriate, modern training approaches</p> <p>Monitoring of training programmes/participation</p> <p>Lack of state-level training policy ☒ huge target; no proper training designs; no standard training material</p>	<p>DPR leadership's capacity to initiate partnership agreements with training institutions</p> <p>DPR's capacity to engage PRIs in preparing a training perspective plan</p> <p>DPR's capacity to engage women, SC, and ST PRI members in preparing a training perspective plan</p>	<p>DPR's capacity to integrate and consolidate departments' training action plans</p> <p>DPR's capacity to integrate and consolidate training action plans across schemes</p>	<p>DPR's capacity to advocate for NCBF as the convergence policy for capacity development across training institutions and line departments</p> <p>DPR's capacity to develop a policy for master trainers who will perform cascading training</p> <p>DPR's capacity to design and introduce a mentoring programme for PRIs</p> <p>DPR's capacity to ensure that training institutions are responding to the training needs of PRIs</p> <p>DPR's capacity to design a capacity development plan to respond to the needs of women, SC, and ST PRI members (TNA, master trainers, resource material, infrastructure, feedback mechanisms)</p> <p>DPR's capacity to establish and institute a training institute for PRIs</p>	<p>DPR's capacity to adequately finance annual and perspective training action plans</p> <p>DPR's capacity to mobilize additional resources for implementing training action plans</p> <p>DPR's capacity to provide funding and other resources for establishing a PR training institute</p>	<p>DPR's capacity to introduce and implement a system for monitoring and evaluating the progress of training action plans</p> <p>DPR's capacity to follow-up the outcomes/impact of PRI training activities</p> <p>DPR's capacity to introduce and implement an MIS to track the number and quality of trained PRIs</p>
<p>Human Resources</p> <p>No nodal person coordinating training within the department</p> <p>Staff members performing their designated functions/ ToRs</p> <p>Are DPR staff members sufficiently trained in their mandated responsibilities (basic functions and roles)?</p>			<p>DPR leadership's autonomy and capacity to recruit competent officials and staff members</p> <p>DPR leadership's autonomy and capacity to introduce competitive remuneration packages for its officials and staff members</p> <p>DPR's capacity to introduce a long-term competency development programme for DPR officials and staff members</p>	<p>DPR leadership's capacity to allocate sufficient budgets for training of DPR staff members</p>	<p>DPR's capacity to establish a mechanism for monitoring progress of training programmes for PRIs</p> <p>DPR's capacity to analyse the lessons learnt from various PRI training programmes and improving training policies for the state</p>

Core Issues/Problems/ Challenges	Technical/Functional Capacities				
	Capacity to engage stakeholders	Capacity to analyse CD needs of PRIs	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategies	Capacity to monitor and evaluate
<p>Infrastructure Facilities</p> <p>Inadequate PRC training halls and other training facilities</p>	<p>DPR's capacity to tap and mobilize available infrastructure in the state for PRI training activities</p> <p>DPR's capacity to tap and mobilize expert trainers to deliver training for PRIs</p> <p>DPR's capacity to engage with donors and funding institutions to support/mobilize resources to improve its office and SIRD's facilities</p>				

ANNEXURE 5

CAPACITY ASSESSMENT FRAMEWORK FOR THE INTEGRATED CHILD DEVELOPMENT SERVICES TRAINING INSTITUTE (ICDS-TI)

Core issues/ Problems/ Challenges	Technical/Functional Capacities				
	Capacity to engage stakeholders	Capacity to analyse CD needs of PRIs	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategies	Capacity to monitor and evaluate
Convergence (Lack of communication and coordination)	<p>ICDS-TI has the capacity to advocate for the expansion of its mandate to train PRIs</p> <p>ICDS-TI has the capacity to train anganwadi workers (AWWs) to work with PRIs effectively</p> <p>ICDS-TI has the capacity to train AWWs to work with SC/ST PRIs effectively</p> <p>ICDS-TI has the capacity to put in place information systems to strengthen coordination with subordinates and superiors</p> <p>ICDS-TI has the capacity to coordinate training programmes with relevant institutions, such as SIRD and SHRC</p>	<p>ICDS-TI has the capacity to conduct TNAs with relevant institutions and subsequently develop training strategies in a coordinated fashion</p>	<p>ICDS-TI has the capacity to prepare perspective/annual action/training plans in consultation with relevant institutions</p> <p>ICDS-TI has the capacity to formulate an internal training policy based on its training needs</p>	<p>ICDS-TI has the capacity to allocate sufficient budgets for training centres</p> <p>ICDS-TI has the capacity to influence ministries/agencies to include and mainstream gender and children in PRI training programmes</p> <p>ICDS-TI has the capacity to mobilize resources to support training programmes for women and children</p>	<p>ICDS-TI has the capacity to actively involve and work with PRIs in monitoring the impact of its training programmes</p>
Knowledge (Information sharing, appropriateness of learning material)	<p>ICDS-TI has the capacity to put in place coordination mechanisms with relevant institutions in developing learning and training material</p> <p>ICDS-TI has the capacity to incorporate best practices and findings from other relevant institutions (with the same mandate and functions)</p> <p>ICDS-TI has the capacity to engage and work with experts in developing training material (field-level/academics)</p>	<p>ICDS-TI's faculty has the capacity to analyse the capacity needs of PRIs</p> <p>ICDS-TI has the capacity to introduce an information sharing mechanism with relevant institutions to continuously exchange learning and training material</p>	<p>ICDS-TI has the capacity to include engagement and coordination plans with PRIs, including women, SC, and ST PRI members in its perspective plan</p> <p>ICDS-TI has the capacity and system to review and plan for training</p> <p>ICDS-TI has the capacity to develop different types of training material and methodologies (long-term perspective)</p> <p>ICDS-TI has the capacity to make readily available updated documents on best practices and case studies</p>	<p>ICDS-TI has the capacity to allocate sufficient budgets to implement its plans</p> <p>ICDS-TI has the capacity to allocate sufficient budgets to develop CD/learning material</p>	<p>ICDS-TI has the capacity to introduce an internal monitoring and evaluation framework</p> <p>ICDS-TI has the capacity to regularly publicize minutes and reports from field visits</p> <p>ICDS-TI has the capacity to put in place a common reporting system</p> <p>ICDS-TI has the capacity to evaluate the quality of its CD material</p>

Core issues/ Problems/ Challenges	Technical/Functional Capacities				
	Capacity to engage stakeholders	Capacity to analyse CD needs of PRIs	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategies	Capacity to monitor and evaluate
Participation (Lack of PRI participation in training)	<p>ICDS-TI has the capacity to actively engage and work with PRIs (including women, SC, and ST PRI members) in the planning of their CD programmes</p> <p>ICDS-TI has the capacity to facilitate the exchange of experiences from Panchayat members who have participated and benefited from ICDS programmes</p>	<p>ICDS-TI has the capacity to actively involve PRIs in developing its CD programmes</p> <p>ICDS-TI has the capacity to modify and adapt its CD programmes based on feedback from PRIs and other programme participants</p> <p>ICDS-TI has the capacity to actively involve women, SC, and ST PRI members in developing and updating its CD programmes</p>		<p>ICDS-TI has the capacity to develop and implement a standard criteria for selecting participants (including SCs and STs) for its CD programmes</p> <p>ICDS-TI has the capacity to regularly communicate with PRIs and participants of its CD programmes</p> <p>ICDS-TI has the capacity to allocate budgets for appropriate and efficient physical resources</p>	<p>ICDS-TI has the capacity to put in place a monitoring and evaluation framework for its CD programmes</p> <p>ICDS-TI has the capacity to ensure proper gender equality amongst participants in its CD programmes</p> <p>ICDS-TI has the capacity to put in place a mechanism to receive and implement suggestions and complaints on the performance of its staff members working in the field</p>
Planning (Participation of AWWs in planning, human resources)	<p>ICDS-TI has the capacity to implement orientation programmes for AWWs on village development planning</p> <p>ICDS-TI has the capacity to develop in-house facilities, which are readily available</p> <p>ICDS-TI has the capacity to identify and utilize external faculty from different departments and relevant institutions</p>	<p>ICDS-TI has the capacity to engage with and involve AWWs in the capacity needs assessment of PRIs</p> <p>ICDS-TI has the capacity to train its faculty in planning and conducting TNAs</p>	<p>ICDS-TI has the capacity to put in place an effective and efficient human resource development policy which ensures that staff members receive proper and timely training</p>	<p>ICDS-TI has the capacity to mobilize additional resources, when necessary, to implement its programmes and plans</p> <p>ICDS-TI has the capacity to allocate sufficient budgets to develop a pool of master trainers for AWWs on village-level planning</p> <p>ICDS-TI has the capacity to allocate sufficient budgets for human resource development for its faculty and staff members</p>	<p>ICDS-TI has the capacity to put in place a M&E framework for its human resource development policy</p> <p>ICDS-TI has the capacity to put in place a performance appraisal system for its faculty and staff members</p>
Monitoring & Evaluation (Existence of effective supervision of trainers, existence of a monitoring system on training attendance, relevance of training, effectiveness of trainers and the training methodology, existence of analysis of training conducted)	<p>ICDS-TI has the capacity to assess the competency of trainers</p> <p>ICDS-TI has the capacity to assess the competency of trainers to handle needs of women, SC, and ST PRI members</p> <p>ICDS-TI has the capacity to develop a feedback mechanism to improve training methodologies and effectiveness of trainers</p>		<p>ICDS-TI has the capacity to develop a policy for creating an updated pool of resource persons</p> <p>ICDS-TI has the capacity to develop an incentive system for trainees in order to ensure attendance in its training programmes</p> <p>ICDS-TI has the capacity to prepare and develop comprehensive reports on training programmes</p>	<p>ICDS-TI has the capacity to allocate sufficient budgets to engage with external faculty and train in-house faculty</p>	<p>ICDS-TI has the capacity to designate a full time training coordinator to monitor the competencies and effectiveness of its trainers/training and trainees</p> <p>ICDS-TI has the capacity to conduct pre-training surveys and post-training impact evaluations</p> <p>ICDS-TI has the capacity to disseminate best practices and lessons learnt from its training programmes</p> <p>ICDS-TI has the capacity to circulate training reports to relevant institutions</p> <p>ICDS-TI has the capacity to develop comprehensive and analytical reports on its training programmes</p>

ANNEXURE 6

CAPACITY ASSESSMENT FRAMEWORK FOR THE RURAL DEVELOPMENT DEPARTMENT (RDD)

Core Issues/ Problems/ Challenges	Technical/Functional Capacities			
	Capacity to engage stakeholders	Capacity to formulate a long-term strategy for RDD	Capacity to budget and implement strategies	Capacity to monitor and evaluate
Institutional Development Inter-departmental coordination Financial resources → commensurate to demand? Autonomy? → free from political influences? Annual/strategic plan present?	RDD's capacity to coordinate its capacity development programmes with different line departments RDD's capacity to take timely decisions at the institutional level to respond to emerging needs of PRIs RDD's capacity to take timely decisions at the institutional level to respond to emerging needs of women, SC, and ST PRI members	RDD's capacity to develop annual strategic plans across the department RDD leadership's capacity to guide the formulation of technical annual strategic plans	RDD's capacity to effectively implement development programmes and schemes that support PRIs RDD's capacity to provide sufficient funds to respond to relevant rural development and capacity development demands of PRIs RDD's capacity and autonomy to disburse funds to respond to relevant emerging needs of PRIs	RDD's capacity to introduce and implement a system for monitoring and evaluating progress of its rural development plans and schemes RDD's capacity to follow-up the outcomes/impacts of its rural development and capacity development plans and activities on PRIs RDD's capacity to introduce and implement MIS to track the number and quality of its trained PRIs
Human Resources Number of human resources Quality of human resources/expertise in subject matter Number of cadres	RDD staff members' capacity and competency to develop partnerships with other departments to support the relevant needs of PRIs RDD's capacity and autonomy to assign staff members to specific thematic areas based on the competencies and needs of the organization	RDD staff members' capacity and expertise to formulate long-term strategic plans for the organization RDD leadership's autonomy and capacity to recruit competent officials and staff members RDD leadership's autonomy and capacity to introduce competitive remuneration packages for its officials and staff members RDD's capacity to introduce a long-term competency development programme for its officials and staff members	RDD leadership's capacity to allocate sufficient budgets for training of its staff members RDD leadership's capacity to allocate sufficient budgets to recruit competent officials and staff members	RDD staff members' capacity to monitor and evaluate progress in its relevant programmes and schemes RDD's capacity to introduce an effective performance appraisal system for the organization RDD's capacity to introduce rewards and accountability systems based on performance appraisal results RDD's capacity to analyse the lessons learnt from its various training programmes and improve training policies for the state
Leadership Leadership frequently changes — continuity and stability of leadership Receptiveness to new ideas	RDD leadership's capacity to engage PRIs effectively in identifying their priority needs that RDD could support RDD leadership's capacity to engage women, SC, and ST PRI members effectively in identifying their priority needs that RDD could support RDD leadership's capacity to understand, adopt, and share new ideas within the organization	RDD's capacity to ensure leadership continuity to ensure effective formulation of long-term strategies RDD's capacity to guide formulation of long-term strategies that support PRIs, including women, SC, and ST PRI members RDD's capacity to understand and analyse the capacity development needs of its officials and staff members	RDD leadership's capacity to mobilize additional funding sources to support its programmes and schemes RDD leadership's capacity and autonomy to allocate funding for emerging needs of PRIs	RDD leadership's capacity to analyse substantive M&E reports (for example, financial reports) to introduce improvements in its organizational operations RDD leadership's capacity to introduce effective M&E of its programmes and schemes

Core Issues/ Problems/ Challenges	Technical/Functional Capacities			
	Capacity to engage stakeholders	Capacity to formulate a long-term strategy for RDD	Capacity to budget and implement strategies	Capacity to monitor and evaluate
<p>Knowledge</p> <p>Training policy and focus areas</p> <p>Information dissemination → reaching targets?</p> <p>Implementation and monitoring systems and competencies</p>	<p>RDD's capacity to introduce effective knowledge sharing activities (for example, forums, dialogues, and training) for its target stakeholders, including PRIs</p> <p>RDD's capacity to design and formulate effective IEC plans that target PRIs, women, SCs, and STs</p> <p>RDD's capacity to introduce participatory planning processes to guide its long-term strategy</p>			
<p>Accountability</p> <p>Accountability to stakeholders</p> <p>Internal accountability (peers and superiors)</p> <p>Reward and punishment</p> <p>Transparency</p>		<p>RDD's capacity to introduce accountability mechanisms (who is responsible and accountable for which targets) in its long-term strategies</p> <p>RDD's capacity to provide adequate information to stakeholders to allow their effective engagement in planning</p>		<p>RDD's capacity to introduce a transparent M&E system to ensure internal accountability</p> <p>RDD's capacity to make relevant information publicly (transparently) available</p>

ANNEXURE 7

CAPACITY ASSESSMENT FRAMEWORK FOR STATE HEALTH RESOURCE CENTRE (SHRC)

Core Issues/ Problems/ Challenges	Technical/Functional Capacities				
	Capacity to engage stakeholders	Capacity to analyse CD needs of PRI	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategy	Capacity to monitor and evaluate
Institutional Development (Willingness and mandate to deliver training to PRI functionaries on health related issues, physical resource capacity to deliver training at the sub-district level, sensitization of faculty members to PRIs, human resource capacity to conduct PRI training on the required scale, capacity to develop training design, module, and content of training)	<p>SHRC has the capacity to identify and work with relevant stakeholders like PRIs</p> <p>SHRC has the capacity to provide technical expertise to other training institutions on a continuous and regular basis</p>	<p>SHRC has the capacity to assess training needs of PRIs on health issues</p> <p>SHRC has the capacity to assess training needs of women PRIs on health issues</p> <p>SHRC's staff members have the capacity to willingly participate in PRI training</p>	<p>SHRC has the capacity to actively engage in new and relevant training specifically with PRIs</p> <p>SHRC has the capacity to develop a CD strategy on health for PRIs</p>	<p>SHRC has the capacity to tap into available and existing physical resources to use as training facilities (state-wide)</p> <p>SHRC has the capacity to hire relevant faculty to train PRIs</p> <p>SHRC has the capacity to hire relevant faculty to train women, SC, and ST PRI members</p> <p>SHRC's faculty has the capacity to develop training material</p>	<p>SHRC has the capacity to develop and put in place a system for monitoring and evaluating training programmes on health for PRIs</p> <p>SHRC has the capacity to monitor CD programmes taken up for PRIs</p>
Leadership Development (Leadership preparedness to implement PRI training programmes on health issues, existence of second-line leadership support, reliance on volunteers, existence of HR arrangements)	<p>SHRC's leadership has the capacity to identify and actively engage with relevant stakeholders, especially women, SCs, and STs</p> <p>SHRC's leadership has the capacity to convince its governing body to expand its mandate</p>	<p>SHRC's leadership has the capacity to undertake and analyse the capacity needs of PRIs in association with other stakeholders with the same mandate</p>	<p>SHRC's leadership has the capacity to guide the development and formulation of long-term operational plans</p> <p>SHRC's leadership has the capacity to develop and put in place mechanisms to deliver training on health for PRIs</p>	<p>SHRC's leadership has the capacity to develop and manage a team of trainers for PRI training</p> <p>SHRC's leadership has the capacity to develop and manage a team of trainers for women, SC, and ST PRI members' training</p>	<p>SHRC's leadership has the capacity to ensure the effective implementation of its training programmes</p> <p>SHRC's leadership has the capacity to effectively supervise the performance of its staff members</p>
Knowledge (Training plan for PRIs integrated in the health sector, documentation of best practices for learning and implementation)	<p>SHRC has the capacity to share and discuss local health issues with PRIs</p> <p>SHRC has the capacity to document best practices on health interventions and sharing them with relevant stakeholders, including PRIs</p>	<p>SHRC has the capacity to introduce and put in place a knowledge management strategy and system in line with the capacity needs of PRIs</p>	<p>SHRC has the capacity to integrate the training needs of PRIs in its training plans</p> <p>SHRC has the capacity to integrate the training needs of women, SC, and ST PRI members in its training plans</p> <p>SHRC has the capacity to integrate its experiences and best practices into a long-term health training policy for the state</p>	<p>SHRC has the capacity to mobilize additional financial resources to address the capacity needs of PRIs</p>	

Core Issues/ Problems/ Challenges	Technical/Functional Capacities				
	Capacity to engage stakeholders	Capacity to analyse CD needs of PRI	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategy	Capacity to monitor and evaluate
Accountability (Regular M&E of programme implementation, regular governing body and executive committee meetings, review mechanism in place for staff meetings, inter-departmental meetings, institutional and social auditing arrangements, transparent procurement systems, feedback mechanism for governing body)					<p>SHRC has the capacity to monitor and evaluate its training programmes</p> <p>SHRC has the capacity to put in place an effective system for staff appraisal</p> <p>SHRC has the capacity to put in place a feedback mechanism</p> <p>SHRC has the capacity to publicly make available feedback mechanisms on its advocacy material (for example, brochures)</p>

ANNEXURE 8

CAPACITY ASSESSMENT FRAMEWORK FOR THE STATE INSTITUTE FOR RURAL DEVELOPMENT (SIRD)

Core Issues/ Problems/ Challenges	Technical/Functional Capacities					
	Capacity to engage stakeholders	Capacity to analyse CD needs of PRIs	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategies	Capacity to monitor and evaluate	Capacity to deliver training
Institutional Development Quality of mission/strategy/perspective plan Financial resources are sufficient (tied funds but few untied funds → insufficient flexibility) Training policy Partnership and networking — SIRD invites/welcomes collaborative support/efforts ISO/quality certification — SIRD as an institution Autonomy	SIRD's authority and capacity to independently engage with stakeholders SIRD's capacity to allocate financial resources to support engagement with stakeholders SIRD's capacity to formulate a policy allowing for engagement mechanisms with stakeholders SIRD's capacity to formulate a policy allowing for engagement mechanisms with women, SCs, and STs	SIRD faculty's capacity and expertise to analyse PRIs' CD needs SIRD faculty's capacity and expertise to analyse CD needs of women, SC, and ST PRI members SIRD's capacity to allocate financial resources to fully undertake the capacity assessment of its staff members and PRIs SIRD's capacity to integrate capacity needs assessment in its training policies	SIRD's capacity to ensure adequate, long-term tenure/engagement of its leadership SIRD's capacity to provide financial resources to develop its long-term strategy document SIRD faculty's expertise and availability to develop a long-term strategy for the organization SIRD's capacity to provide a strong policy focus on strategy development SIRD's capacity to integrate partnership development in its long-term strategy	SIRD leadership's capacity to identify priority funding needs of the organization SIRD's capacity and expertise to develop financial plans for the organization SIRD's managerial expertise to ensure effective implementation of its long-term strategy SIRD's capacity to provide funds to recruit required officials/staff members with managerial and financial planning expertise	SIRD's capacity to integrate effective monitoring and evaluation in its long-term strategy SIRD's capacity to introduce and apply MIS SIRD's capacity to provide financial resources to develop and use M&E systems SIRD's capacity to ensure its training programmes include M&E modules SIRD's capacity to engage stakeholders in implementing a participatory M&E system	SIRD's capacity to formulate a comprehensive, annual action plan for training SIRD's capacity to allocate sufficient financial resources to deliver the training action plan SIRD's capacity to ensure integration of networking and partnership in its training plans
Sufficiency of physical infrastructure Classrooms Computers Accommodation	SIRD's capacity to provide stakeholder feedback on the adequacy and appropriateness of its training facilities (for example, accommodation, classrooms, computers) SIRD's capacity to provide stakeholders, particularly women, SCs, and STs, appropriate facilities during training				SIRD's capacity to provide sufficient equipment (hardware and software) for faculty and staff members to support an effective analysis of training needs, particularly of women, SCs, and STs SIRD's capacity to allocate funds for M&E software and equipment	

Core Issues/ Problems/ Challenges	Technical/Functional Capacities					
	Capacity to engage stakeholders	Capacity to analyse CD needs of PRIs	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategies	Capacity to monitor and evaluate	Capacity to deliver training
<p>Human Resources</p> <p>Number of staff members (management, faculty, and support staff members)</p> <p>Staff stability and turnover→ HR policies for staff development in place?</p> <p>Quality of faculty</p>	<p>SIRD's capacity to ensure sufficient duration of tenure of its faculty and staff members to build relationships with stakeholders</p>	<p>SIRD faculty's capacity to develop TNA modules/ methodologies for the institute</p> <p>SIRD faculty's expertise and capacity to apply TNA assessment methodologies in the institute</p> <p>SIRD faculty's expertise and capacity to develop and apply TNA assessment methodologies to capture training needs of women, SC, and ST PRI members</p>	<p>SIRD leadership's capacity to regularly convene faculty meetings to determine long-term plans/ strategies</p>	<p>SIRD's capacity to develop long-term financial plans</p> <p>SIRD's managerial expertise to implement long-term strategies</p>	<p>SIRD faculty's capacity to introduce an effective monitoring and evaluation system for its training programmes</p> <p>SIRD faculty's capacity and expertise to monitor and evaluate its training programmes</p>	<p>SIRD faculty's capacity to deliver training modules and facilitate training programmes integrating women, SC, and, ST PRI members</p> <p>SIRD faculty's capacity to undertake research to improve competencies and training delivery</p> <p>SIRD faculty's capacity to introduce effective feedback systems as part of its training programmes</p> <p>SIRD faculty's capacity to undertake consulting projects</p>
<p>Leadership??</p> <p>Taking initiatives?</p> <p>Receptiveness to new ideas</p>	<p>SIRD leadership's capacity to interact regularly with stakeholders and partners</p> <p>SIRD's capacity to provide mechanisms for stakeholders' integrating women, SC, and ST PRI members, feedback on institutional strategies and plans</p>	<p>SIRD leadership's capacity to ensure that capacity assessment exercises for staff members are conducted regularly</p> <p>SIRD leadership's capacity to ensure revision of plans/ strategies in the light of capacity assessment results</p> <p>SIRD leadership's capacity to introduce innovative approaches in its training programmes</p> <p>SIRD leadership's capacity to introduce innovative approaches in its training programmes to empower women, SC, and ST PRI members</p>	<p>SIRD leadership's capacity to ensure development of faculty expertise in developing strategies and plans</p> <p>SIRD leadership's capacity to ensure that faculty suggestions are incorporated in the institutional plan and strategy</p> <p>SIRD leadership's autonomy and capacity to recruit and introduce competitive remuneration packages for its faculty and staff members</p>	<p>SIRD leadership's capacity to develop managerial expertise for strategy formulation, planning, and budgeting</p> <p>SIRD leadership's capacity to ensure that staff suggestions are incorporated in the institutional financial and budgeting procedures</p> <p>SIRD leadership's autonomy and capacity to exercise flexibility in budgetary decisions</p>	<p>SIRD leadership's capacity to ensure regular M&E of its activities</p> <p>SIRD leadership's capacity to guide adoption of new M&E methodologies for the organization</p>	<p>SIRD leadership's capacity to guide effective delivery of training programmes</p> <p>SIRD leadership's capacity to regularly inform the organization of progress in organizational training targets</p> <p>SIRD leadership's capacity to guide the revision of training modules based on received training feedback</p>

Core Issues/ Problems/ Challenges	Technical/Functional Capacities					
	Capacity to engage stakeholders	Capacity to analyse CD needs of PRIs	Capacity to formulate a long-term strategy for the organization	Capacity to budget and implement strategies	Capacity to monitor and evaluate	Capacity to deliver training
Knowledge Training material Training delivery Library and other resources Opportunities for research and consultancies Supportive environment for knowledge exchange and learning Training follow-up Training evaluation Training information dissemination — awareness about target beneficiaries on training programmes	SIRD faculty's capacity to design modes of training delivery based on trainees' characteristics SIRD faculty's capacity to engage target participants in the design of training modules SIRD's capacity to engage partner organizations in formulating its annual training plans SIRD faculty's capacity to develop training material for women, SC, and ST PRI members SIRD faculty's capacity to design modules and develop material to ensure that PRIs are able to respond to the needs of women, SCs, and STs			SIRD's capacity to develop and implement an effective communication strategy to inform target PRIs about its training programmes SIRD's capacity to maintain a mailing list of target participants to facilitate sharing of training information SIRD's capacity to allocate sufficient budgets for training facilities (for example, library, internet connectivity) SIRD's capacity to allocate an annual budget/ seed fund for its faculty's research activities		
Accountability Accountability to the client — feedback mechanisms regarding quality and relevance of training provided Internal accountability (peers and superiors) — individual Accountability to the government (institutional) Performance appraisal Reward and punishment, incentives and disincentives						SIRD's capacity to make public and available online its institutional budget and spending SIRD's capacity to introduce an effective institutional and individual performance appraisal system for the organization

ANNEXURE 9

PHASING OF PROPOSED CAPACITY DEVELOPMENT RESPONSE

Quick Impact Capacity Development Strategies (within 6 months to 1 year)	Medium-Term Capacity Development Strategies (2 to 3 years)	Long-Term Capacity Development Strategies (4 to 8 years)
CROSS-CUTTING RECOMMENDATIONS		
<p>Establish a Standing Committee for Capacity Development of PRIs (SC-CDPRIs)</p> <p>Formulate a State Capacity Building Perspective Plan (SCBPP)</p>	<p>Mobilize resources for the State Capacity Building Perspective Plan implementation</p> <p>Implement the State Capacity Building Perspective Plan</p>	<p>Continue implementation of the State Capacity Building Perspective Plan</p> <p>Monitor and evaluate the impact of plan implementation</p>
<p>Leadership development programmes for senior officials of the state government, MoPR, DPR, RDD, SIRD, ATI, SHRC, ICDS-TI, and PRIs on the following:</p> <ul style="list-style-type: none"> • Visioning, systems thinking, and strategic planning, particularly engaging stakeholders in policy formulation • Leadership styles and institutional development • Results based management • Change management, particularly with regard to building coalitions, alliances, and champions • Conflict resolution and transition/transformation • Negotiation and consensus building • Team building and communication • Best practices in local governance and local services delivery (through exposure to actual practices in relevant countries in the region) • Mentoring and coaching 	<p>Implement recommendations from various leadership development programmes based on implementation modules developed by leaders attending the leadership courses</p> <p>Continue leadership development programme for second-tier leaders in the identified agencies</p>	<p>Continue implementing the recommendations from various leadership development programmes based on implementation modules developed by leaders attending leadership courses</p> <p>Continue leadership development programme for third-tier leaders in the identified agencies</p>
<p>Conceptualize 'Panchayat Champions' Awards</p> <ul style="list-style-type: none"> • Define mechanisms and guidelines for the awards • Establish Panchayat Champion Awards Steering Committees • Exposure trip for MoPR and DPR officials to countries with similar awards systems 	<p>Launch and awarding of 'Panchayat Champions' Awards (2011 onwards)</p>	<p>Awarding of 'Panchayat Champions' Awards</p>
	<p>Improvement/renovation of SIRD and ATI training facilities</p>	

Quick Impact Capacity Development Strategies (within 6 months to 1 year)	Medium-Term Capacity Development Strategies (2 to 3 years)	Long-Term Capacity Development Strategies (4 to 8 years)
<p>Expand capacity development master trainers</p> <ul style="list-style-type: none"> • Conduct ToT for new master trainers • Adapt and refine the capacity assessment tool • Conduct capacity assessment of PRIs and formulate capacity development strategies 	<p>Training of SIRD, ATI, ICDS-TI, and SHRC faculties on capacity development and capacity assessment tools by master trainers to institutionalize knowledge and experience on the subject</p> <p>Continue conducting capacity assessment of remaining PRIs and formulating capacity development strategies</p> <p>Implementation of capacity development strategies</p>	<p>Upscale/replicate capacity development and capacity assessment tools/processes in other states as applicable</p> <p>Implement capacity development strategies</p>
AGENCY-SPECIFIC RECOMMENDATIONS		
Department of Panchayati Raj (DPR)		
<p>Provide Batch 1 training programmes for DPR key officials on:</p> <ul style="list-style-type: none"> • Local governance and decentralization approaches and tools • Fiscal decentralization and financial management systems • Strategic planning and results based management • Monitoring and evaluation systems and tools 	<p>Provide training programmes on:</p> <ul style="list-style-type: none"> • Programme management and coordination • Stakeholder engagement tools and methodologies <p>Provide Batch 2 training programmes on:</p> <ul style="list-style-type: none"> • Local governance and decentralization approaches and tools • Fiscal decentralization and financial management systems • Strategic planning and results based management • Monitoring and evaluation systems and tools • Leadership development 	<p>Trained DPR officials to provide training/mentoring to PRI officials on the topics they were trained in</p>
<p>Establish a DPR coordination and monitoring system (CMS):</p> <ul style="list-style-type: none"> • Establish a coordination and monitoring unit in DPR • Invite CMS focal points from relevant departments/agencies • Formulate an integrated monitoring and evaluation plan 	<p>Conduct high-level progress review meetings on development programmes in Chhattisgarh</p> <p>Prepare and submit annual report(s) on development and capacity building activities in Chhattisgarh</p>	<p>Institutionalize and regularly convene progress review meetings</p> <p>Institutionalize publication and sharing of annual report(s) on development and capacity building activities in Chhattisgarh</p>
<p>Establish a roster of PR mentors and coaches within DPR:</p> <ul style="list-style-type: none"> • Identify/designate mentors and coaches among DPR officials/staff • Train identified DPR officials/staff on coaching and mentoring strategies 	<p>Conduct training and provide advisory support to DPR and PRI officials and staff by trained mentors and coaches</p> <p>Expand roster of mentors and coaches in other departments/PRIs</p>	<p>Conduct training and provide advisory support to DPR and PRI officials and staff by trained mentors and coaches</p>

Quick Impact Capacity Development Strategies (within 6 months to 1 year)	Medium-Term Capacity Development Strategies (2 to 3 years)	Long-Term Capacity Development Strategies (4 to 8 years)
Rural Development Department (RDD)		
<p>Provide training for RDD key officials on:</p> <ul style="list-style-type: none"> • Rural development approaches and tools • Results based management and strategic planning • Leadership development • Monitoring and evaluation systems and tools <p>Designate RDD focal point/s for CMS</p>	<p>Provide training for RDD key officials on:</p> <ul style="list-style-type: none"> • Coordination and partnership building • Team building and networking • Stakeholder engagement tools and processes • Communication and advocacy • Proposal development, technical writing, and research methodologies <p>Review and introduce performance management and accountability systems</p> <p>Introduce results based planning and monitoring systems for RDD programmes</p> <p>Mapping and review of lessons learnt from, and impacts of, RDD programmes</p> <p>Publication and public sharing of information on RDD programmes online and in print</p>	<p>Implement performance management and accountability systems within RDD</p> <p>Continue implementation and improving results based planning and monitoring systems for RDD programmes</p>
State Institute for Rural Development (SIRD)		
<p>Formulate and establish a capacity development management information system (CD-MIS)</p> <ul style="list-style-type: none"> • Identify partner institutions for CD-MIS, identify roles and responsibilities, and focal points • Inventory and mapping of training institutions in Chhattisgarh • Inventory of potential master trainers and resource persons 	<p>Populate CD-MIS with relevant data and information by designated institutions:</p> <ul style="list-style-type: none"> • Establish database of existing training modules and learning material for PRIs • Establish database of training programmes attended by PRI officials/functionaries <p>Improve/enhance SIRD website/portal to provide online access to CD-MIS</p> <p>Online modules</p>	<p>Continue rollout and implementation of training courses</p> <p>Conduct a study to determine the impact of SIRD's courses on PRIs' learning and development</p>

Quick Impact Capacity Development Strategies (within 6 months to 1 year)	Medium-Term Capacity Development Strategies (2 to 3 years)	Long-Term Capacity Development Strategies (4 to 8 years)
<p>Provide training on:</p> <ul style="list-style-type: none"> • Adult learning approaches and methodologies • TNA • Impact evaluation of training programmes • Curriculum development and monitoring 	<p>Consolidate and standardize training modules for PRIs (in partnership with ATI):</p> <ul style="list-style-type: none"> • Designate team of experts to consolidate and standardize training modules • Formulate standardized training modules for the following: <p>Foundation course: Overview of Panchayati Raj</p> <p>Basic functional course (internal housekeeping, understanding accounts, social audit, Right to Information, Panchayat revenues, etc.)</p> <p>Local service delivery and public-private partnerships</p> <p>Basic computer skills and software training</p> <p>Decentralization and local governance concepts and principles</p> <p>Leadership development</p> <p>Human rights based approach to development</p> <p>Accountability, ethics, and transparency</p> <p>Budgeting and financial management</p> <p>Strategic planning and development monitoring and evaluation</p> <p>Policy formulation and parliamentary procedures</p>	
	Standardize TNA and evaluation tools for training programmes	
	Pilot rollout of CD-MIS and PRICE-Kits modules in partnership with ATI	
<p>Learning and exposure mission for MoPR, DPR, RDD, and SIRD officials on the use, management, and monitoring of innovations funds/ grants in other countries</p> <p>Formulate a ToR and guidelines for the PRI Research and Innovations Fund</p> <p>Establish a PRIF Steering Committee</p>	<p>Introduce and implement the PRI Research and Innovations Fund</p> <p>Announce call for proposals and approve PRIF grants</p>	<p>Monitor impact of and lessons learnt from the PRI Innovations Funds</p> <p>Continue implementation and improving mechanisms for the PRI Innovations Fund</p>

Quick Impact Capacity Development Strategies (within 6 months to 1 year)	Medium-Term Capacity Development Strategies (2 to 3 years)	Long-Term Capacity Development Strategies (4 to 8 years)
	<p>Pilot a PRI Local Governance Capacity Index:</p> <ul style="list-style-type: none"> • Convene a 'think-shop' to discuss objectives, uses, mechanisms, components, and data needs for piloting a PRI Local Governance Capacity Index • Engage consultant/s to develop a prototype model for the PRI Index • Pilot implementation of the PRI Index in several PRIs in Chhattisgarh • Rollout implementation of the PRI Index based on a pilot basis, and inform policy decisions for PRI development based on emerging results 	<p>Institutionalize implementation and monitoring of the PRI Index</p>
Administrative Training Institute (ATI)		
<p>Designate focal point(s) to work with SIRD in establishing and designing the CD-MIS</p>	<p>Publish and disseminate customized PRICE-Kits based on the CD-MIS design and outputs (potential different formats, language and content based on target participants)</p> <p>Train resource persons on the use and delivery of PRICE-Kits modules in partnership with SIRD</p> <p>Pilot rollout of CD-MIS and PRICE-Kits modules in partnership with SIRD</p>	
<p>Provide training on:</p> <ul style="list-style-type: none"> • Adult learning approaches and methodologies • TNA • Impact evaluation of training programmes • Training information and database management <p>Curriculum development and monitoring</p>	<p>Recruit additional faculty for PRI training and capacity development</p> <p>Renovate/improve ATI's training and accommodation facilities</p>	
	<p>Introduce systematic pre- and post-training evaluation tools/systems for ATI courses</p> <p>Convene an internal ATI Training Quality Committee to review existing modules, incorporate feedback from participants, and enhance module designs</p>	<p>Broadly implement pre- and post-training evaluation tools/systems in ATI's programmes</p> <p>Conduct a study to determine the impact of ATI's courses on PRIs' learning and development</p>

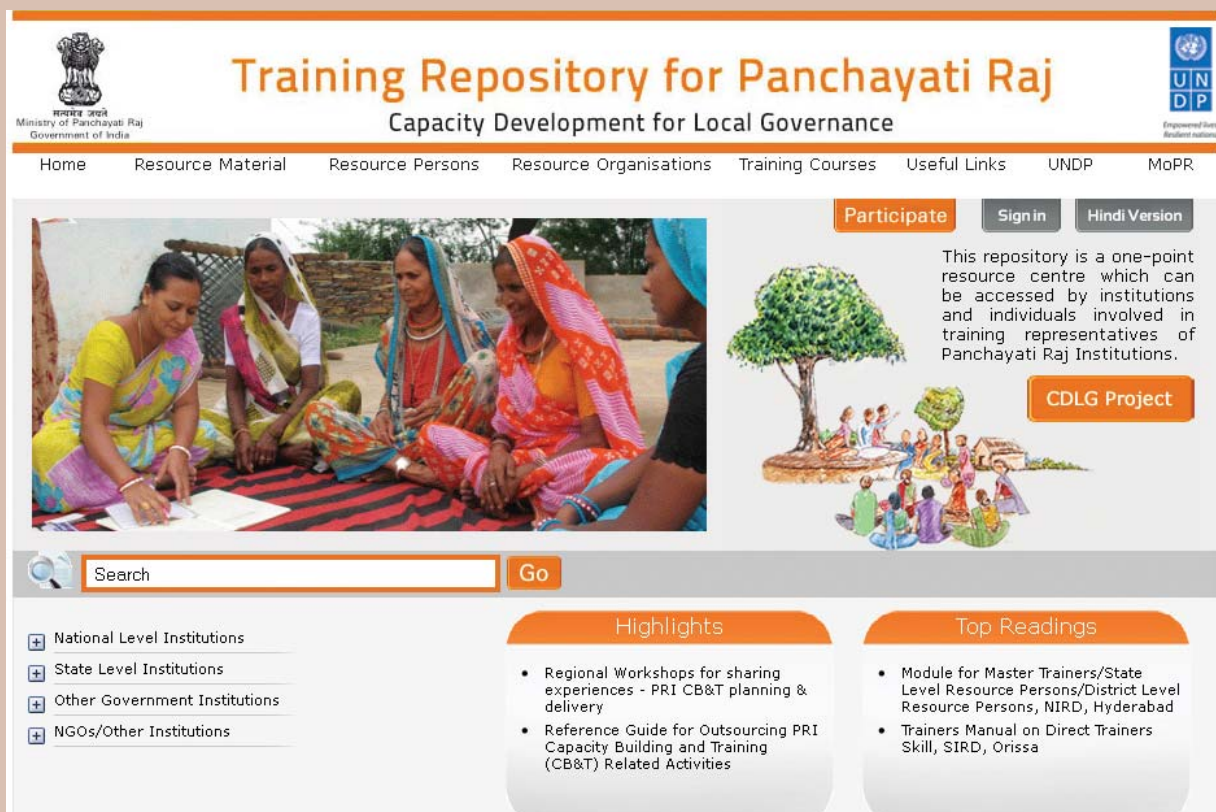
Quick Impact Capacity Development Strategies (within 6 months to 1 year)	Medium-Term Capacity Development Strategies (2 to 3 years)	Long-Term Capacity Development Strategies (4 to 8 years)
	Improve the ATI public website: <ul style="list-style-type: none"> • Establish database of ATI training programmes • Create a dynamic website with information on training programmes and modules • Populate website with links to policies, guidelines, and regulations that are needed by PRIs • Introduce online feedback mechanisms to receive comments/ feedback on ATI's training and programmes 	Continuously improve the ATI website and databases
State Health Resource Centre (SHRC)		
	Review SHRC's mandate to include focused support for PRIs	
Provide training on: <ul style="list-style-type: none"> • Coaching and mentoring • Networking and partnership building • Background courses on the Panchayati Raj Act and relevant laws, policies, and regulations • Monitoring and evaluation systems and tools 	Introduce and implement a joint health sector learning programme between SHRC, SIRD, ATI, and ICDS-TI: <ul style="list-style-type: none"> • Conduct a workshop to agree on areas of collaboration and coordination of focal points • Sign MoU between institutions identifying key responsibilities, objectives, and results for the partnership Introduce systematic pre- and post-training evaluation tools/systems for SHRC courses	Implement the joint health sector learning programme Broadly implement pre- and post-training evaluation tools/systems in SHRC's programmes Conduct a study to determine the impact of SHRC's courses on PRIs' learning and development
Integrated Child Development Services Training Institute (ICDS-TI)		
Provide training on: <ul style="list-style-type: none"> • Gender mainstreaming • Monitoring and evaluation systems and tools • Data analysis and policy/strategy formulation • Advocacy and communication 	Introduce and implement the joint gender mainstreaming learning programme between ICDS-TI, SIRD, ATI, and SHRC: <ul style="list-style-type: none"> • Conduct a workshop to agree on areas of collaboration and coordination on focal points • Sign MoU between institutions identifying key responsibilities, objectives, and results for the partnership Introduce systematic pre- and post-training evaluation tools/systems for ICDS-TI courses	Implement the joint gender mainstreaming learning programme Broadly implement pre- and post-training evaluation tools/systems in ICDS-TI's programmes Conduct a study to determine the impact of ICDS-TI's courses on PRIs' learning and development

Quick Impact Capacity Development Strategies (within 6 months to 1 year)	Medium-Term Capacity Development Strategies (2 to 3 years)	Long-Term Capacity Development Strategies (4 to 8 years)
Establish roster of ICDS-TI resource persons/experts	Establish a ICDS-TI training coordination team: <ul style="list-style-type: none"> • Conduct quality review of existing ICDS-TI modules to incorporate feedback from training participants • Review qualifications and competency of ICDS-TI trainers • Recommend opportunities for new training programmes and for upscaling/replicating existing ones 	

TRAINING REPOSITORY FOR PANCHAYATI RAJ

Capacity Development for Local Governance

<http://www.pri-resources.in>



The screenshot shows the website's header with the Government of India logo, the title 'Training Repository for Panchayati Raj', and the UNDP logo. A navigation menu includes Home, Resource Material, Resource Persons, Resource Organisations, Training Courses, Useful Links, UNDP, and MoPR. Below the menu is a banner featuring a photograph of women in saris sitting on a mat and reading documents. To the right of the photo is a 'Participate' button, a 'Sign in' button, and a 'Hindi Version' button. A text box explains that the repository is a one-point resource centre accessible to institutions and individuals involved in training representatives of Panchayati Raj Institutions. Below this is an illustration of a tree with people sitting around it, and a 'CDLG Project' button. A search bar with a 'Go' button is located below the banner. On the left side, there is a list of filters: National Level Institutions, State Level Institutions, Other Government Institutions, and NGOs/Other Institutions. On the right side, there are two columns: 'Highlights' and 'Top Readings'. The 'Highlights' column lists two items: 'Regional Workshops for sharing experiences - PRI CB&T planning & delivery' and 'Reference Guide for Outsourcing PRI Capacity Building and Training (CB&T) Related Activities'. The 'Top Readings' column lists two items: 'Module for Master Trainers/State Level Resource Persons/District Level Resource Persons, NIRD, Hyderabad' and 'Trainers Manual on Direct Trainers Skill, SIRD, Orissa'.

The repository is an online resource centre to facilitate sharing and use of information and resources developed by various government and non-government agencies to help build capacities of the elected representatives and functionaries associated with the Panchayati Raj Institutions (PRIs) in the country. It has databases related to training materials, resource persons, academic programmes, and other useful links

Ministry of Panchayati Raj
Government of India

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