



A COMPREHENSIVE FRAMEWORK FOR TRAINING NEEDS ASSESSMENT OF ULBs IN INDIA

Potharjau Hanumantha Rao

CEO, Centre for Symbiosis of Technology, Environment & Management, Bangalore
Team Leader, Staff Support Unit for Capacity Building, MoUD, New Delhi

Urban Local Bodies (ULBs) are crucial in implementing development and reform interventions in the urban sector. However, there is a dire need of capacity building of ULBs. Training is an important component of capacity building. Systematic Training Needs Assessment (TNA) helps improving effectiveness of training programmes. Various studies and reports of TNA of ULBs in India are reviewed in this paper and a comprehensive framework for TNA of ULBs in India is discussed. The objectives of TNA, sample size and distribution vary widely and depend on the scope of TNA. Almost all TNAs reviewed are conducted by an external consultant, majority from the private sector. Setting objectives of TNA directs the course of a TNA study. Job/functional analysis and competency gap analysis are important steps in TNA. Workshops are increasingly being resorted to assess training needs. Training Needs, training modules and a training strategy including potential training institutes are common outputs of TNA.

1 INTRODUCTION

As per the mandate of the 74th Constitution Amendment Act (CAA), 1992, all State governments in India brought out necessary legislation to decentralize powers and responsibilities to ULBs and enable them to function effectively. Accordingly, ULBs are expected to discharge additional functions. India is experiencing massive urbanization, globalization and economic liberalization. In support, the Government has initiated a number of urban reforms and supporting various missions/schemes and programmes such as Jawaharlal National Urban Renewal Mission (JnNURM), Urban Infrastructure Development Scheme for Small & Medium Towns (UIDSSMT) and Integrated Housing and Slum Development Programme (IHSDP) and others.



ULBs have key role in implementation of various urban development and reform interventions under flagship programmes of Ministry of Urban Development (MoUD), state government as well as externally funded projects are primarily implemented through municipal institutions. Various expert Committees such as Arun Maira Committee, the Ramachandran Committee as well as the High Powered Expert Committee on Urban Infrastructure and Services (HPEC) highlighted the dire need for capacity building (CB) of urban local bodies for effective governance and to improve service delivery. The Second Administrative Reforms Commission (ARC) observed that CB has been a neglected area resulting in capacity deficit within the Panchayat and Municipal Institutions. Sixth report of ARC recommended that CB measures should not be confined to only the selected towns and should be available for all cities/towns (Gol, 2007). Hence, there is an urgent need to build the capacities of these institutions to help them discharge their statutory functions, implement projects under various programmes/ schemes/ missions efficiently and effectively and delivery quality services to the satisfaction of users.

In order to address the situation MoUD launched the 'Comprehensive Capacity Building Programme' (CCBP) during the 12th Five Year Plan. According to the toolkit for CCBP, April 2013, all states are required to prepare a state level CB strategy and CB plan, which is a prerequisite to access CB funds under JnNURM (MoUD, 2013, p.5). By March 2014 CB proposals of 20 states have been approved and are in the process of preparing a comprehensive CB Plan. This paper starts with the dire need for CB of Urban Local Bodies (ULBs) in India. It is followed by a discussion of role of training in CB and importance of TNA in rendering the training programmes effective. Subsequently a critical review of the status of TNA in the context of urban development and ULBs is offered. TNA methodologies based on ULBs' experience are likely to reveal the actual needs and specific requirements of ULBs better.

2. TRAINING NEEDS ASSESSMENT

The CCBP mandates that the states should prepare a CB plan based on 'capacity need assessment' of ULBs. Selected ULBs should prepare a city CB plan to address the short term and long term capacity building needs. The state level CB plan will be prepared by integrating the city level CB plans and also take into consideration of the requirements of



the State Urban Development department (MoUD, 2013, p. 9 & 15). CB comprises a number of interventions, training being the foremost. Training is "a planned process to modify attitude, knowledge or skill required to achieve effective performance in an activity or range of activities". Training is needed when there is a gap in the expected and actual level of performance of an organization or an individual. Training also may be required when new functions are added to a job or a new programme is introduced by an organization. Training, in order to be meaningful, needs to be driven by the demand of the functionaries at different levels for upgrading of knowledge and skills.

2.1 Types of Training

Employees in an organization undergo different types of training at different stages of their career namely a) Induction training – at the time of joining the organization to get familiar with the organization, department, job responsibilities, HR policies etc.; b) Orientation training - when a new programme/project is introduced or a person is shifted to a new department; c) Promotion training - prepares people for higher level positions; and d) Refresher training - carried out periodically to upgrade the knowledge and skills of employees to carry out a particular job more efficiently. Type of training envisaged has a bearing on training needs analysis.

2.2 Objectives of Training

In general training is conducted to enhance the level of competencies which comprises knowledge/awareness, skills, attitude and behavior. It may address one or more of these factors.

2.3 Performance Gap

A gap in the performance expected and present level of performance may exist in an organization because the employees may not possess the knowledge, skills, attitude and behavior required for discharging the responsibilities entrusted to them. The gaps in knowledge or skills could arise due to shifting to another department, promotion to a higher level or introduction of a new programme or a project leading to a change in job responsibilities. The UNCHS (2012) suggests that discrepancy that can occur in future should also be taken in to consideration while conducting TNA.



2.4 Training Need Assessment

Training need is the gap between what a person actually has and the competencies are required for effectively carrying out the specified job functions. Competency is the combination of a) knowledge, b) skills and c) attitude supported by an observable behaviour which can produce positive job results.

Training needs Assessment identifies 'training needs' and prioritizes needs, while Training Need Analysis would break identified need into its component parts and determine the required solution (Watkins and Kaufman, 1996). TNA is used often to represent either or both. It provides inputs in identifying/preparing/using appropriate training modules/themes and also facilitates the selection of effective training methodologies. Conducting a TNA helps the organization to ensure that the resources devoted for training are put to effective use. TNA is the first step in designing of effective training programmes for a given set of target groups.

2.5 Conducting TNA

The competencies required for various jobs, at different levels, are different, hence their training needs and the type of training required also differ. TNA should address the needs of different stakeholder groups for exactly knowing what training is required for each group. CPHEEO (2005) and Centre for Good Governance (CGG, 2006) recommends a multi-level TNA, as shown below.

- a) Organizational assessment – needs of organization as a whole
- b) Job assessment – needs of departments/teams in an organization (group needs), and
- c) Individual assessment – individual needs.

The advantage of multi-level TNA is the focus on the required or desired performance of the department, organizational unit, work group, or the individual being assessed.

The UMC (2010) manual put forward the following as important components for TNA of ULBs.

- a) Profile of the ULB including existing functions of the ULB in relation to the city.
- b) Organizational setup of the ULB
- c) Past and current capacity building initiatives
- d) Institutional training assessment



- e) Individual training assessment
- f) Training plan and calendar

Identification of the following constitutes important steps in the process of TNA (UN-Habitat and IHS, 2012).

- a) Root problem
- b) Key stakeholders (internal and external)
- c) Desired capacity
- d) Current capacity
- e) From current to desired capacity
- f) Expected contribution of training, and
- g) Training need

A TNA should be able to answer the questions such as Why, Who, How, What, and When. Drummords (2008) urges to use a problem solving approach to TNA in order to determine the real training need instead of addressing the symptoms. If any of the needs identified cannot be met through training, the organization should be appraised accordingly.

In the next parts of the paper, a review of various training needs assessments/analysis carried out in the context of urban development, with special reference to ULBs in India is presented. Based on the review a comprehensive framework for TNA for ULBs is put forward in the last section of the paper.

3. THE INDIAN EXPERIENCE

This section reviews the experience of TNA with regard to ULBs and urban sector. The following aspects are the focus of the review.

1. Objectives
2. Sample size and distribution
3. Methods of data collection
4. Data collected



3.1 Objectives

Setting clear objectives is fundamental to systematic TNA. Identifying the Training Needs of the target group is the primary objective of any TNA. It also addresses additional objectives such as

- i) training curricula (Geeta, 2005);
- ii) in-house capacity (IPE, WBI & CEE, 2006);
- iii) training modules (NIUA & UMC, 2008);
- iv) framework to institutionalize, mainstream and guide institutional as well as human resource capacity enhancement (Ferguson, 2008);
- v) subject areas of training required by the staff and officials of the agencies engaged in plan preparation, financing and implementation (IPE & TNUIFSL, 2009);
- vi) gap in capabilities of municipal functionaries, elected representatives and community level organizations (SAFHI & ASCI, 2009);
- vii) preparedness and effective implementation of disaster management plans at the state, district and block level (GoHP, 2011);
- viii) strategy for training of masons (SEEDS, 2012);
- ix) organizational and training needs of Depot Managers (Shah, 2012);
- x) areas where standard guidelines of the Government schemes are met with and reaching of expected benefits to intended target groups in Manipur (Singh, 2012);
- xi) skills required for wage employment, self-employment and also start up business units and link training to actual employment and development of human resource (Vision EIS, 2013); capacities of senior and middle management staff in Municipal Corporations and Development Authorities to plan operate and manage sustainable urban transport systems (UMC, 2013);
- xii) benefits that ULBs (and state institutions) perceive will accrue to them from peer-shared-learning, current state of learning and basic framework for knowledge management (NIUA and CEPT, 2013);
- xiii) making the learning events relevant to the actual needs of appointed staff and elected representatives of project ULBs and developing a strategic training plan (JPS Associates, 2014).

3.2 Sample size and distribution

In the table given below geographical coverage, stakeholders covered and sample size in different TNA studies is given.



Table 1: Sample size and distribution in TNA Studies of ULBs in India

STUDY	COVERAGE	STAKEHOLDER	SAMPLE SIZE
Geeta, 2005	Municipal Corporation of Hyderabad and six other corporations	14 groups of stakeholders including - Top management, middle management and staff of 10 departments - Elected representatives - Community organizers - Faculty of training institutes - Representatives of Community Based Organizations (CBOs)	
IPE, WB and CEE, 2006	Tamil Nadu, Rajasthan, Gujarat and Madhya Pradesh out of the 10 project states. 100 local bodies of different size.	- Municipal officials - Knowledgeable experts - Institutions and NGOs involved in SWM activities at national level	143
Ferguson, 2008	26 ULBs from 8 municipal corporations and 150 municipalities. 14 District Headquarters ULBs, 5 within Chennai Metropolitan Area and 6 are from financially weaker municipalities. Two Regional Directorate of Municipal Administration offices	- 54 unique positions - 13 departments with four levels in TN ULBs	
NIUA and UMC, 2008	Surat Municipal Corporation	- Key decision makers from four departments - Elected representatives	50 45
IPE and TNUISLI, 2009	NCRPS located in the national capital. NCR Planning and Monitoring Cells. Implementing Agencies located in the constituent states namely Ghaziabad Delhi, Jaipur, and Chandigarh	- Implementing agencies - Officers and the staff presently working in the three sections of the board, viz. Planning, Finance and Administration - Member Secretary	8 out of 32
SAFHI and ASCI, 2009	4 ULBs out of 40 ULBs under Kolkata Urban Services for the Poor (KUSP) programme in the Kolkata Metropolitan Area (KMA) excluding Kolkata Municipal Corporation.	- Elected executives and key Municipality staff - Opinion leader - CBOs and other stakeholders - Citizens	600 48 32 800
GoHR, 2011		- Heads/representatives and the nodal officers for disaster management from the Department of Urban Local Bodies, Urban Development Department and 30 other line departments	51
Singh, 2012	Functionaries of both urban and rural Local Bodies in Manipur. Ukhrul District, and Imphal west District		
SEEDS Technical Services, 2012	Urban as well as rural areas in Himachal Pradesh Delhi	- Masons, carpenters, and wirebinders - Engineers/architects - House owners - Key agencies - National experts - Lead agencies	60 12 5 20 7 12
Shah, 2012	3 bus depots in Gujarat	- Top management team - Depot managers	114
UMC, 2013	Bhavnagar, Jamnagar and Junagadh and Navsari in Gujarat	- Staff of development authorities and bus companies	



Vision BIS, 2013	Five towns and other important business centers in Bihar	- Sixty stakeholder groups' members - Staff from allied departments such as PWD and Town Planning which are somewhat involved in urban transport.	
CSE, 2013	BSPCB head office at Patna and two regional offices. Patna Municipal Corporation and Bihar Rajya Jal Parishad	- Chairperson, member secretary senior and middle level officers and junior officers of the BSPCB	21
ASCI, 2013	Municipal Corporation of Greater Mumbai	- Lower management - Junior management - Middle management - Senior management	416 1998 600 107
NIUA & CEPT 2013	Faridabad, Amritsar, Patna, Visakhapatnam, Coimbatore and Bhubaneswar		
JPS Associates, 2014	11 cities out of the 30 CBUD project ULBs. 11 states	- Officers - Staff From 71 job designations and 20 departments	165 131

The studies in Table 3.1 indicate that coverage depends on the geographical spread of the project. While most of the stakeholders are included in the study, the sample size selected does not reflect a clear sampling strategy.

3.3 Methods of data collection

For TNA of PPP in AP ULBs, apart from the questionnaire surveys, personal interviews and group discussions were conducted with top and middle management and at staff level. Extensive consultations and interactions were carried out with various non-officials and officials (Geeta, 2005). Training Needs Workshops were used to consult municipal and state government officials in groups for the TNA of SWM Learning Programme. A survey was also conducted to seek experts opinion. A consultation workshop was organized to validate the results of the TNA (WBI, IPE and CEE, 2006). To understand details about the project previous study report for TNUDP II on 'Municipal Structures and Functions', Project appraisal document of World Bank, reports of the various municipalities and corporations etc. were reviewed for TNA of TNUDP III. Checklists were prepared for training needs assessment for discussions with select ULB (Ferguson, 2008). In order to capture both, qualitative discussions and the individual capacity of the Surat Municipal Corporation, SWOT analysis and comprehensive individual questionnaires were used. Department officials and elected Members were consulted. Individual meetings were conducted with key decision makers viz.-Mayor, Municipal Commissioner and divisional heads (NIUA and UMC, 2008). To assess the discrepancy in performance of NCPBR the methods used



consists of a) studying records and reports of an organization; b) direct observation of the way the employees carry out their duties, communicate with each other; and c) asking questions (IPE & TNUIFSUI, 2009). Questionnaire survey, key informant interviews, in depth interviews, focus group discussions, citizen survey were used for the TNA study of Kolkata Urban Services for Poor Project. Workshops were organised to share training needs identified to obtain feedback (SAFHI & ASCI, 2009, p.44).

Questionnaires were the main tool used to collect necessary data from different stakeholders for TNA of masons in Himachal Pradesh. In addition focused group discussions were also held. At the national level, consultation meetings were held with nodal agencies. Online interviews were conducted with national level experts through e-mails (SEEDS, 2010). An orientation video conference was used to review UDD Schemes monthly and identify training gaps simultaneously in Himachal Pradesh. 10 formats on prioritized schemes have been circulated to all ULBs and DCs. To capture current level and method of service delivery deployed by ULBs over last one year, 23 formats have been used (GoHP, 2011). Based on the TNA exercise carried out during the two-day workshop, a SWOT analysis was carried out for different departments connected with disaster management in Himachal Pradesh (GoHP, 2012). Round Table discussion with different level of frontline functionaries of rural and ULBs in Manipur were held for TNA. Documents or records from different official websites links are used to collect relevant data on the case from the concerned department. Analytical tools used include a) SWOT analysis; b) Cause and effect (Fish Bone) diagram; c) EBM analysis; d) Performance analysis (Singh, 2012). In-depth interviews and a survey with open ended questions were used for the DMs of GSRTC. Performance data was also collected. After primary analysis a ranking order instrument was administered to DMs (Shah, 2012).

The TNA for BSPCB was carried out through primary surveys and personal interviews. Separate questionnaires were designed for the chairperson, member secretary, senior and middle level officers and junior officers of the SPCB. The questionnaires were handed over to the concerned officials by CSE staff and asked to send back the filled in questionnaires (CSE, 2013). Data collection for SPUR TNA in Bihar was done with the help of a) Document and literature review, b) Structured questionnaires, c) Beneficiary and industry survey, d) stakeholders consultations and meetings, e) FGDs and f) Market review. A consultation



workshop was also organized to validate the TNA findings (Vision EIS, 2013). A TNA workshop of the officers of Public Works, Ports & Inland Water Transport Department was conducted. Participatory methods, interaction with subject experts, community approach, group work approach and case study method were used (ATI, 2013). The TNA for SPCB of Bihar was carried out through primary surveys and personal interviews. Stakeholder mapping and consultations were used by NIUA and CEPT (2013) for knowledge needs assessment study. An online questionnaire was resorted to by ASCI (2013) for TNA of Municipal Corporation of Greater Mumbai through its portal. The CBUD TNA used secondary sources to understand urban development sector and important functions of ULBs under 74th Amendment to Constitution. A questionnaire was physically administered to the staff, who were assembled by the nodal officer of the ULB at one place, so that a good number of officers and staff participate in the TNA. Meeting with important stakeholders were also held. In case of elected representatives administering questionnaire was avoided in order not to bruise their ego. They were spoken to in one on one meeting or in small groups. A national level consultation workshop of different states was held to ratify the training needs found by the study (JPS Associates, 2014).

3.4 Data collected

Data was collected on a) background of respondent; b) job profile, main duties and/or tasks; c) abilities for fulfillment of job responsibilities; d) awareness of seven steps with regard to MSWM rules and solid waste management; e) areas of training needs to meet operational goals, fulfilling responsibilities and improving service delivery and management and f) preferred duration and mode of training etc. in the TNA for SWM Learning programme (WBI, IPE and CEE, 2006). TNA conducted under UNDP III collected information on a) background information about ULB, b) profile of respondent, c) key training programmes participated, d) key training requirements in terms of the respondents' role and responsibilities, e) suggestions on venue duration, training methods, follow up and f) issues (Ferguson, 2008). In Surat Municipal Corporation training history indicate that maximum trainings have been provided in the area of legal understanding (mostly RTI related) followed by computer trainings and disaster management. Sixteen officials were provided training in the area of efficient functioning and management of the organization. SMC has separate training budget provisions for each department, the overall training budget is only 0.01% of the total revenue expenditure (NIUA & UMC, 2008).



Since, e-Governance is the key to efficient and modern urban management, TNA for assessing current level of computer knowledge was done for directorate staff and their training needs (GoHP, 2012). Powers and duties of officers and employees, organization structure, sanctioned post profile of the Public Works, Ports & Inland Water Transport Department, Environmental, Motivational and Behavioural Factors (EMB) (ATI, 2013). The gap analysis was primarily conducted based on a review of existing documents, field visits, interviews with administrative and technical staff and UMC's understanding of sustainable transport. The following six broad principles of sustainable urban transport that are relevant for medium sized cities in India were used for the assessment (UMC, 2013).

For the TNA of Bihar State Pollution Control Board (BSPCB) data was generated on educational background, training history (training attended in last five years, reasons for not attending trainings), expectations regarding training (topics of interest, interest in training, ideal duration for training programme) and suggestions to make the capacity building programme more effective. Fifty eight per cent of the respondents said that they had not attended any training programme in the last five years. Thirty two per cent said they have never received an opportunity to attend any training since joining BSPCB. The staff of BSPCB are not aware of good practices and innovative approaches adopted by other PCBs in the country. The staff members generally do not attend trainings conducted by private organizations as fund approval process is difficult and very time consuming. Sometimes, funds required for attending trainings are not available (CSE, 2013).

The TNA report under SPUR in Bihar provided information on the current scenario of the state, the cluster towns, demand side requirements, upcoming sectors and the demand for skilled workforce across the country (Vision EIS, 2013). The Capacity Development Strategy of Municipal Corporation of Greater Mumbai looked at a) change in skill set of staff; b) learning opportunities; c) information technology enablement; d) awareness about corporation initiatives; e) performance improvement factors; f) citizen engagement and others (ASCI, 2013).

For identifying the required skills and competencies amongst the officers, staff and the local elected representatives of CBUD ULBs, the following factors have been taken into



consideration: (i) Importance of job position; (ii) Designation of the official; (iii) Job category; (iv) Main responsibilities and performance areas; (v) Geographical area of work; (vi) Academic and / or professional qualifications needed; (vii) Experience needed; (viii) Current job descriptions; (ix) Skills and competencies required as per the prescribed norms; (x) Changes in the job content over the years; (xi) Achievements with existing skills; (xii) Existing Skills gaps, if any, after changes in job content; (xiii) Strengths and weaknesses of each category of staff; and (xiv) Future demands for the job position because of changes that may occur over the years (JPS Associates, 2014).

4 ANALYSIS

Job/functional analysis, performance analysis, competency gap analysis, SWOT analysis and cause-effect analysis are useful tools in scientific TNA exercises.

4.1 Job/ Functional Analysis

The functional analysis under TNUDP III TNA includes a) key services, functions and sub functions of ULBs, b) role in implementation of various Government reforms and programs such as JnNURM, UIDSSMT, Tsunami Relief Projects etc., (Ferguson, 2008). Functional analysis of the TNA of Karnataka Public Works department discussed issues like role/responsibilities of a particular job (ATI, 2013). Among the CBUD ULBs visited for TNA written job descriptions are not available, except in case of Jabalpur. Broad responsibilities for 71 jobs/designations in 20 departments and competencies required for executing job responsibilities have been worked out (JPS Associates, 2014).

4.2 Performance Analysis

Performance analysis of the TNA of Karnataka Public Works department used tools such as cause and effect analysis to assess the skill and knowledge gap of sub activities for different designations (ATI, 2013).

4.3 Competency Gap Analysis

Knowledge-Skill Gap by designation was assessed in TNA of Karnataka PWD department (ATI, 2013). Consolidated competency gaps have been analyzed department-wise and designation-wise for CBUD ULBs as knowledge gaps, skills gap and attitude gap. This was



presented separately for employees of ULBs and elected representatives (JPS Associates, 2014).

4.4 SWOT Analysis

An analysis of strengths, weaknesses, opportunities and threats (SWOT) was performed as a part of TNA in case of disaster management in Himachal Pradesh developing institutional mechanisms at the state level, for each department and for each stakeholder group (GoHP, 2012); Public Works Department in Karnataka (ATI, 2013); CBUD project in order to have a holistic view of both better performing and poor performing ULBs (JPS Associates, 2014).

4.5 Cause-Effect Analysis

Root causes of unsuccessful implementation of schemes in Manipur is attributed to

- a) non-cooperation from villagers and frontline functionaries,
- b) low knowledge level of the villagers about the Government schemes and
- c) non-performance of duties by frontlines functionaries and lack of clarity of their roles and responsibilities (Singh, 2012). Cause effect analysis for lack of a skill was carried out during the TNA of Public Works department in Karnataka (ATI, 2013).

5 OUTPUT OF TNA

The main output of a TNA is 'training needs' that can fill the gaps identified in performance, knowledge, skills and attitude of the ULB staff. In addition, a TNA can also generate a wide range of outputs depending on the scope defined and objectives of the study such as

- a) present practices of training,
- b) training load,
- c) training themes/modules,
- d) training strategy/plan,
- e) training institutes etc.



Important outputs of the studies on TNA reviewed are presented in the table below.

Table 2: Outputs of TNA studies of ULBs in India

STUDY	TRAINING NEEDS	MODULES/ THEMES	TRAINING STRATEGY	TRAINING INSTITUTES	OTHERS
Geeta, 2005	Broad focus areas of training - 9; Key training areas for Senior Officers - 7; Municipal Commissioners - 14; Middle level officers - 7; Junior Officers - 4; Sanitary supervisors/ Sanitary Inspectors - 2; Community Development staff - 3; Community based organizations - 3.	Understanding of PPP policy; Strategic Understanding of Public-Private Partnerships; 9.2 The most significant strategic management of the contract; Financial analysis and planning; Ability to maximise the Potential Benefits for the Poor; Understanding of legal and Contractual aspects of partnerships;	Training load; dedicated members for implementing training; training Institutes with necessary infrastructure; local trainers at the District; Training Centers; counselling the need for training; detailed training schedule; training for trainers; monitoring and evaluation plan; collaboration between various trainer institutions; training policy		
IFE, WB and CEE, 2006	Ability gaps for each category of municipal official and elected representatives	Preferred areas of training	Duration of training Current training delivery practices Information on 75 past and ongoing training programmes		Responsibility charts, systems of solid waste management,
Ferguson, 2008	ULB Management (Mayors etc.) - leadership and managerial aspects; Category B officers - functional knowledge and managerial aspects for personal growth; officers namely category C - technical knowledge, skills and managing tasks; Category D - awareness about responsibilities, functions and operations of work groups	Mayors and Deputy Mayors - 7; Chairpersons and Vice Chairpersons - 10; Councilors - 4; Category A staff - 44; Supervisory staff (B Category) - 11; Operational staff (C & D Category) - 8; Health Department staff	Existing training framework; Training calendar; Training-days per year for each category of staff Training budget; Linking training to promotion; Optimal group size; Knowledge sharing from training; Storage and access to training materials; types of training,	- Set up a training center with infrastructure by TNUS, OMWSG, TWAD - Anna Institute of Management and Tamil Nadu Institute of Urban Studies (TNUS) in the state - Other Institutes outside the state	Minimum training days per year for different categories of staff; system of feedback of participants after training, framework for evaluation
NIIUA and UMC, 2008		Specified for specific class officials of key departments.	Formation of a dedicated training department mandatory induction training; pre-retirement training; yearly calendar for training; prioritized Sectors for training; training a pre-requisite to promotion; announcement for training programs; feedback to parent department;	Partnership with training organisations;	-
IFE and TNUSFSL, 2009	Project planning, project development, Financial management, Monitoring and evaluation;	Regional planners - 7; Planning Assistants and Draughts men - 4; Finance functionaries - 11; Administration staff - 11; staff of implementing agencies - 18	Allocate budget for training and HRD; training and HRD manager of NCRPS; Institutionalizing training in NCRPS; training and HRD Advisory Committee; evaluation of training	- IIM A; NIBM conducting well-structured courses which are similar to those identified by the TNA of NCRPS - 21 potential training Institutes	-
SARILL & ASCI, 2009	Assessed separately for - community Development studies	-	Training plan giving details of - Theme/subject	- 19 probable training Institutes - National	-



STUDY	TRAINING NEEDS	MODULES / THEMES	TRAINING STRATEGY	TRAINING INSTITUTES	OTHERS
	- Ward Committee - Bus stop works - Management committee - Neighbourhood committee - Neighbourhood groups		- Target group - Duration - Cost per person - Evaluation mode	- Institutes within West Bengal - Quarterly Training calendar for 2 years	
GoIP, 2011	- Based on present level of skills staff were catering to as - Novice - Basic - Moderate - Adequate	- 27 modules		- 5 Institutes empanelled by GoI - 4 Institutes empanelled by UD, GoIP	-
GoIP, 2012	- Awareness of disaster resilient features	- Provisions of the Disaster Management Act, 2005 - Various aspects of disaster management - DMPs - Response Plans - Mitigation measures and plans - Community awareness - Damage and needs assessment - Mock drills etc.	- Mandatory - Sector specific	- IERA, PTC - Darch, Medical Colleges, DIETs, B. Ed. Institutions, Revenue Training Institute, Patwar Schools and all the departmental training institutes	-
Singh, 2012	- Environmental, behavioural and motivational factors as to why the Government schemes do not reach right beneficiaries	Staff and VUL: Roles and responsibilities, financial management; action plan Villagers: Human rights; RTI	- Training plan including aim, strategy target and responsibility	-	-
SEEDS Technical Services, 2012	- Disaster resilient features - Cement masonry - Quality control and efficiency		- Entry level - Refresher level - Advanced level	- State: Government and private polytechnics, Industrial training institutes, engineering Colleges - National Institutions	- Certification system to promote continuous learning - Identification of a nodal agency for conducting training
Shah, 2012	Current and future training requirements of bus depot managers		10 priority areas using priority index		Suggestions for enhancing training effectiveness
UMC, 2013		- a) Group 'I' & 'B' Officers - 4 - b) Group 'C' Employees - 53			
ATI, 2013	- Environmental, motivational and behavioural	- Group A & B - Themes - 48 - Modules - 4 - Group C - Modules - 5 - Themes - 22	- Training plan - Target group - Name of training - Number of days - Number of programme; and - Number to be trained		- Non-training interventions
Vision BIS, 2013	- Emphasis on service sector instead of manufacturing	- 16 training areas	- Target for training and employment	- 23 Training Institutes - Identification of enterprise development	-



STUDY	TRAINING NEEDS	MODULES/ THEMES	TRAINING STRATEGY	TRAINING INSTITUTES	OTHERS
				Centre • 12 Training Institutes for coordination	
CSE, 2013	-	Training programmes on - Waste management; - Sewage treatment technologies; - Role of decentralized wastewater treatment System; - Compliance of industries and pollution; - Monitoring techniques and instrumentation.			
NIUA & CEPT, 2013	Organization and pragmatic needs; language proficiency skills; Information flow and gap	Identified as technical, managerial, behavioural and institutional	Setup/ professionalize municipal cadre; ULBs have vacancies between 20 to 30%		Critical Series for Assessing Knowledge/ Information by ULBs
ASCI, 2013		Induction training – 5; Refresher training – 4 tracks	e-learning; ToT; Shorter modules; Hlt personnel at wards; <u>Minimum training per year</u> Middle level – 4 days; Junior level – 21 hrs; Labour – 1 day	Centralized training services by CTIRC are not convenient and also difficult for it to cater to all staff	63% staff never had an opportunity to attend training in their entire career
JPS Associates, 2014	Training requirements for senior officers of ULBs for enhancing functional knowledge and soft skills	17 Training modules & sub-modules for Enhancing Functional Knowledge under five broad subjects namely - Framework for governance - Finance and accounts - Urban infrastructure - Framework for urban planning; and - Service delivery; and - Others. In addition 2 modules for skill enhancement and one module for behavior change were suggested			

6 COMPREHENSIVE FRAMEWORK FOR TNA

Based on the review of TNA studies in India related to ULBS, a comprehensive framework for is proposed in the last section of the paper. The framework needs to have the following essential components:-

6.1 Introduction

A brief description of the project, programme or organization provides the context of TNA planned. Objectives of the project, objective of the training envisaged and objectives of the TNA needs to be described.



6.2 Coverage

Before launching the TNA, both internal and external stakeholder groups have to be mapped. Officers and staff at different levels from all departments of ULBs/institutions should be included in the sample for TNA. A representative sample using multi-stage stratified random sampling at a) ULB level, b) organization level and c) respondent level, depending on the scope and objectives of TNA, is required to do a systematic TNA.

a) Geographical: A project or a programme may be spread across a number of states, number of districts, number of ULBs, number of blocks etc. The geographical coverage of a TNA can be decided based on a multistage representative sample of states, districts and ULBs as applicable. Number of these geographical units to be included in TNA depends on the budget and time frame. Different types of ULBs (based on criteria such as revenue; performance; population etc.) should be selected proportionately.

b) Organizations: Implementation of a project or a programme may require involvement of a number of institutions, organizations and departments. It also may involve other stakeholders such as NGOs and CBOs. For TNA purpose all stakeholders for whom training are being planned needs to be represented under the proposed TNA.

c) Respondents: TNA of ULBs should address the needs of all departments and staff at all four levels, including class IV staff. The sample selected should be representative and proportionate to the number in each department and each level. Women needs to be given due representation to maintain gender equity and sensitivity.

While considering the elected representatives, it is important to distinguish between first, second and multi timers, as their knowledge and skills vary considerably. At times other stakeholders such as community based organizations concerned with the project/programme implementation; subject experts at state/national level are included in TNA.

6.3 Data Collection

This section of the paper deals with what, how, who, where of data collection for TNA.



What to collect?

Organization level: It may include organization structure, departments, existing training system, training budget etc.

Job level: This includes different jobs in each department and job levels in each department, descriptions and responsibilities and services to be provided.

Individual level: It may cover individual background, job specifications and duration of service, performance gaps, past training (underwent and usefulness), expectations of and from future training among others.

How to collect?

Secondary sources: Past and present documents/studies related to the project, manuals related to job responsibilities/descriptions, municipal Acts and Rules project performance reports that will provide necessary background information required for TNA.

Primary sources:

- Structured questionnaires are the most popular. They will be useful to obtain all relevant data such as background information, job responsibilities, training history, expectations related to training, etc. from individuals.
- Interviews/discussions will supplement questionnaire data with qualitative information. They are also useful in getting information from senior officials about themselves as well as about those supervised by them. They are also good for elected representatives.
- FGDs will be useful to generate/test new ideas, methods etc.
- Conducting performance tests (written, demonstration etc.) will be useful to detect gaps in performance.
- Online questionnaires have the advantage of a) eliminating interviewer bias, b) respondent can re-read questions and quality of data is better, c) can be filled at the time convenient to the respondent rather than of the consultant and d) privacy and confidentiality (ASCI, 2013 p. 108).

Who will collect?

Designing and conducting TNA requires knowledge and skills related to setting objectives, sampling methods, data collection methods, functional/job analysis etc. In addition for



preparing training strategy ability to do SWOT analysis would be an added advantage. All the TNA studies have been reviewed in this paper. All these have been conducted by external agencies. This could be due to the fact that the organization which requires TNA may not possess the necessary knowledge and skills. Out of the 14 reviewed in this paper, 3 were done by Government agencies and the remaining by private consultants.

Where to collect?

The work place is the best place to collect information. However, of late due to various reasons like time, cost constraints etc. TNA workshops are held centralised place, where respondents assemble and questionnaires can be administered or discussions can be held in group or individuals are being resorted to.

6.4 Analysis

Job/functional analysis reveals job responsibilities and competencies (knowledge, skills and attitude) required to perform them adequately. Performance analysis indicates the gap between desired level and the current levels of performance. Cause effect analysis identifies the causes of unsatisfactory performance. Competency gap analysis shows the present level and what the desired level is and what requires to be upgraded. TNA analysis shows the gaps that training can fill and what cannot be filled. SWOT analysis is useful for preparing suitable training strategy.

6.5 Output

Important outputs of TNA include training needs (by job, by level, of elected representatives); topics/themes/modules (for enhancing knowledge, skill and attitude); training plan and strategy.

Training needs

TNA should provide information on gaps, which can be filled by training. Training needs should be identified for each level, department and job. They should be done separately for ULB staff and elected representatives, giving adequate representation to women members. It also should provide information on knowledge, skills, attitude and behaviour that should be improved upon.

A workshop to ratify/validate observations on TNA with stakeholders and experts may be



conducted before embarking on preparation of training modules and designing training programmes.

Themes/modules

Training Needs identified should invariably lead to training topics/themes/modules. Topics on which training needs to be conducted should be identified for each category and level of employees of ULBs. Special attention needs to be given to requirements of women, especially Elected Representatives.

The training modules preparation also depends on the objective of the training such as enhancement of knowledge, upgrading of skills and/or changing attitude and behaviours.

Training Strategy/Plan

A training plan specifies number and type of trainings to be conducted in a year (training calendar) based on the training load (number of people to be trained). It also specifies the objectives of different training programmes for a specific group of employees. There are two types of training plans: a) department or team training plan and b) individual training plan.

The training strategy provides the vision, direction and actions for training and development in an organization. A training strategy is a mechanism that establishes what competencies an organization requires in the future and also specifies the means to achieve it. It strategies the completion of training in terms of who will conduct the training (in-house or outside sources, residential or non-residential); list of potential training institutes; sources of training modules/reading materials (use already available or prepared tailor-made); sources of funding for training; training feedback and evaluation system and mid-course corrections. Training load is an important factor in formulating appropriate training strategy.



A comprehensive framework for TNA for ULBs in the urban development context is depicted in Figure –1.

Figure–1: Comprehensive framework for TNA of ULBs in India

INTRODUCTION	COVERAGE	DATA COLLECTION	ANALYSIS	OUTPUT	TRAINING STRATEGY
•Background of project/programme/organization •Need for TNA •Objectives of TNA •Scope of TNA	•Geographical (states; districts/ULBs) •Organizations •Departments •Levels of staff (Functionaries; supervisors and officers) •Stakeholder groups (including elected representatives) •Adequate sample size and Appropriate distribution •Representation of women	•Recruitment and orientation of research staff •Methods (structured questionnaires; interviews; interactions; FGDs; observation; TNA workshops; performance tests); validation workshops •Nature • Organization level (structure; services; functions) • Individual level (basic data; training history; required and existing level of knowledge, skill and attitude; desired training) • Present training system	•Organization level (SWOT analysis) • Department/ group level (job analysis) • Individual level (functional analysis)	• Performance gap • Competency gap	•Training load • Collaboration with potential training institutes •Types of training •Duration of training •Training calendar •Adequate budget •Training evaluation to assess effectiveness



References

- ASCI (2013). Capacity Development Strategy for Municipal Corporation of Greater Mumbai. Additional Commissioner (Projects), Municipal Corporation of Greater Mumbai. Submitted to Ministry of Urban development, Government of India. Administrative Staff College of India, Hyderabad.
- ATI (2013). Training Needs Analysis of Public Works, Ports & Inland Water Transport Department. Administrative Training Institute, Mysore. (http://www.atimysore.gov.in/tna_reports/Final_PWD_TNA_final.pdf. Accessed on 2 July 2014).
- CGG (2006). Training Needs Assessment Methodology - A Toolkit. Centre for good Governance, Hyderabad. (<http://www.cgg.gov.in/publicationdownload/2a/TNA%20Methodology%20temt.pdf>. Accessed on 27 March 2014).
- CPHEEO (2005). Operation and Maintenance of Water Supply Systems. Chapter 17, Human Resource Development, pp. 389-398. Central Public Health and Environmental Engineering Organization, Ministry of Urban Development, New Delhi and the World Health Organization. (Accessed on 14 July 2014).
- CSE (2013). Capacity Building Programme for Bihar State Pollution Control Board, Report on training need assessment survey. Centre for Science and Environment, New Delhi. The World Bank. (<http://www.cseindia.org/userfiles/World%20Bank.pdf>. Accessed on 14 July 2014).
- Drummond K. (2008). How to conduct training needs analysis. Gul Publishing PTY Ltd. (<http://www.e-trainingmanuals.com.au/pdf-sample/Training%20Needs%20sample-v1.pdf>. Accessed on 14 July 2014).
- Ferguson & Co. A. F. (2008). Training Needs Assessment for Commissionerate of Municipal Administration (CMA). Supported under Tamil Nadu Urban Development Project III (TNUDP III). July 2008. (<http://tnudp3.tn.gov.in/consolidated.pdf>. Accessed on 6 January 2014).
- JPS Associates (P) Ltd. (2014). Conducting Training Needs Assessment (TNA) and Preparation of Strategic Training Plan (Volume-I). Supported under Capacity Building for Urban Development project (CBUD) A Joint Partnership Program between Ministry of Urban Development, Government of India and The World Bank. February 2014. New Delhi. (http://jnurm.nic.in/wp-content/uploads/2014/06/TNA-Strategic-Training-Plan_Vol-I-6-June14Eng.pdf. Accessed on 12 July 2014).



Geeta P, Navin B. (2005). Assessing Capacity Enhancement Needs for Public-Private Partnership in Local Government: A Case of Urban Local Bodies in Andhra Pradesh, India. Paper submitted for Presentation at the International Association of Schools and Institutes of Administration – IASIA Conference 2005, Como, Italy. Centre for Good Governance, Hyderabad, India. (http://www.cgg.gov.in/workingpapers/Paper_for_IASIA_COMO.pdf. Accessed on 20 July 2014.)

GoHP (2011). Training Needs Assessment of Stakeholders in Disaster Management in the State of Himachal Pradesh. The State Council for Science Technology & Environment, with technical support from National Institute of Disaster Management (Ministry of Home Affairs, GoI) New Delhi. (<http://hpscste.nic.in/TNA-HP.pdf>. Accessed on 14 July 2013.)

GoHP (2012). Training Manual Department of Urban Development, Government of Himachal Pradesh. (<http://hpurbandevelopment.nic.in/TRAINING%20MANUALPLAN%202012-13.pdf>. Accessed on 27 July 2014).

Gol (2007). Local Governance. An inspiring journey into the future. Sixth Report. Second Administrative Reforms Commission, p.68 & p.275. (<http://arc.gov.in/6-1.pdf>, <http://arc.gov.in/6-2.pdf> & <http://arc.gov.in/6-3.pdf>. Accessed on 26 July 2014.)

IPE & TNUIFSL (2009). Training Needs Assessment and Strategic Training Plan. TA 7055-IND: Capacity Development of National Capital Region Planning Board (NCRPB) – Package 1 (Components A and C). Infrastructure Professionals Enterprise Private Limited, India in association with Tamil Nadu Urban Infrastructure Financial Services Limited, India. Asian Development Bank. (http://ncrpb.nic.in/Technical_assistance_report_comp_A&C/G3_Training_Plan_26%20Feb%202009.pdf. Accessed on 20 April 2014).

MoUD. (2013). Toolkit for Comprehensive Capacity Building Programme. Jawaharlal Nehru National Urban Renewal Mission (JnNURM), Ministry of Urban Development, Government of India, April, 2013, p. 5, 9 and 15. (<http://urban.bih.nic.in/Docs/Capacity-Building-Guidelines.pdf>. Accessed on 15 May 2014).

NIUA & CEPT (2013). Knowledge Needs Assessment Study. Synthesis Report Faridabad, Amritsar, Patna, Visakhapatnam, Coimbatore and Bhubaneswar. NIUA Research Study Series Number 124. Prepared by National Institute of Urban Affairs, New Delhi. School of Planning, in association with Centre for Environmental Planning and Technology, Ahmedabad. With support of Cities Alliance, The World Bank Institute.



VISION EIS (2013). Market Based Skill & Entrepreneur Development and Trainings in Urban Bihar - Bhagalpur Cluster. Training Need Assessment Report. Support Program for Urban Reforms, Government of Bihar. (<http://www.spurbihar.in/userfiles/file/pdf/TNA%20Bhagalpur%20Munger%20Jamalpur.pdf>. Accessed on 8 July 2014.)

Watkins, R. and Kaufman, R. (1996), "An Update on Relating Needs Assessment and Need Analysis", Performance Improvement, 35 (10), 10-13. (<http://home.gwu.edu/~rwatkins/articles/update.PDF>. Accessed on 14 July 2014).

WBI, IPE and CEE (2006). Training Need Assessment Report. Solid Waste Management (SWM) Learning Programme in India. Supported by World Bank Training Institute. Implementing agency Infrastructure Professionals Enterprise (P) Ltd, New Delhi. In association with Centre for Environment Education, New Delhi. (http://siteresources.worldbank.org/ENR/Programs/4609561163449042857/TNA_Report_20_05_06.pdf. Accessed on 14 July 2014).