



LOCAL GOVERNMENTS' CAPACITY NEEDS' ASSESSMENT

Department of Local Governance
Ministry of Home and Cultural Affairs
Royal Government of Bhutan

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Executive Summary

1. Scope of Study

The objective of Local Government's (LGs) Capacity Needs Assessment (CNA) is to undertake a comprehensive review of the capacity of elected and appointed functionaries to inform a LGs' Capacity Development Strategy and Action Plan for 2021-2023.

The definition of Capacity Development (CD) adopted for this study was based on the United Nations Development Programme's (UNDP) current approach – a focus on empowering and strengthening LGs internal capabilities seeking to holistically address all three dimensions of - individuals, organisations and enabling environment.

The CNA revolved around eight core functions of the LGs based on Division of Responsibilities Framework (DoRF) as devised by the Gross National Happiness Commission (GNHC). These eight core functions were chosen based on core LG policy and planning functions including: HR; administration; community participation; climate change and gender which are also within the scope of the EU-funded TACS project. They were selected from among 20 broad responsibilities to ensure that the capacity assessment remains manageable and within the ToR of the Capacity Assessment, Strategy and Plan:

- a: Policy and Planning
- b: Human Resource Services
- c: Administrative services
- d: ICT and media services
- e: Environment services
- f: Economic services
- g: Social and welfare services
- h: Public service delivery

The purpose of DoRF is to decentralise expenditures following a distinct division of responsibilities based on “separation of power and non-subordination” that help to strengthen the weak coordination and implementation of policies, plans and programmes amongst different levels of government. According to this principle, central government shall perform functions such as policy making, research and regulatory functions including providing and managing public goods and services of strategic national importance with multidimensional and co-sharing nature that cannot be undertaken effectively and efficiently at the LG level.

In addition to these 8 technical core functions, 12 management skills important to LGs were also identified, drawn generally from the project management lifecycle, as well as the LG Acts, LG Rules & Regulations, and the National Decentralization Policy in particular, and comprise:

- a. Chairing meetings
- b. Drafting memos/reports
- c. Presentation Skills

- d. Financial management/basic accounting
- e. Understanding taxation, fees & charges
- f. Staff management
- g. Project Planning
- h. Procurement
- i. Project Management
- j. Record keeping
- k. Project monitoring, and
- a) Mediating grievances/disputes.

2. Methodology

The CNA was undertaken in three stages:

Stage 1: Desk review and central government consultation,

Stage 2: Field Mission to selected LGs, and

Stage 3: Development of Capacity Development Strategy and Plan.

The CNA was carried out in ten Dzongkhags (5 with visits and 5 through online questionnaire) and 20 Gewogs (10 with visits and 10 through online questionnaire) to represent the four regions of the country and one Thromde A. Assessments were carried out through the eight tools listed below besides online questionnaire for those Dzongkhags and Gewogs that could not be visited physically.

- 1. Desk review
- 2. Field visits
- 3. Focus Group meetings
- 4. Questionnaires;
- 5. Interview Guides for Key Informant Interviews (KIIs)
- 6. LG Training Logs
- 7. Review of capacity development systems and processes, and
- 8. Review of social accountability tools.

The first step towards identifying LG CNA was to review the past CD/training imparted to the LG functionaries and identify where gaps existed in relation to the core functions of the LG functionaries. This proved to be easier said than done as no records for the past three years (2017–2019) were available either at the Dzongkhag or Gewog level except for some scanty records maintained by DLG.

Therefore, the findings of the CNA given below are from the CD/training log provided by DLG and the information provided by the 200 (117 elected and 83 appointed) LG respondents from their institutional memories.

3 Findings

The findings of CNA pertain to the delivery of the eight core functions and 12 management skills.

3.1 CD/Training Priorities for LG Functionaries

From among the eight core technical functions of the LG officials, almost 85 per cent of the respondents named ICT and Media Services as the function for which they were most unprepared followed by Economic Services and Environment Services, clearly indicating the CD initiatives that DLG may need to focus on in the future.

The three most important management functions that the respondents flagged are: Chairing Meetings (24%); Mediating Grievances and Disputes (18%); and Project Monitoring (13%). Further, the three top management functions that the respondents felt they lacked competency were Financial Management / Basic Accounting (19%); Drafting Memos and Reports (14%) and Project Management (13%). These priorities are signs of requirements of the changing context and responsibilities endowed by decentralisation and associated enhanced empowerment of the LGs through increased budgets and projects.

CD/training for LG functionaries both elected and appointed in 2021 – 2024 should therefore be prioritised to provide basic and advanced CD to address the following core technical functions and management skills. The following priorities under (A) and (B) are identified as most relevant to their roles and also based on aspects in which the respondents considered their capacity to be lacking.

3.1.1 Important CD/Training Needs for LG Elected Functionaries

a. Technical Functions

- Policy and planning
- Public service delivery,
- Administrative services
- ICT and Media
- Economic (Development) Services, and
- Environment Services

b. Management Functions

- Chairing meetings
- Drafting memos and reports
- Mediating grievances and dispute resolution
- Project monitoring
- Financial management/basic accounting, and
- Project management

Over the past three years, among the eight core technical functions, available records show that CD/training was provided to elected functionaries through both in-country and overseas in all core functions except for: Economic (Development) Services; Social and Welfare Services; and Environment Services.

With regard to management skills, the LG elected functionaries attended training on: Chairing Meetings; Financial Management/Basic Accounting; Leadership/Staff Management; and Mediating Grievances/Disputes. However no CD was provided in Project Planning; Procurement and Project Management, even though these are important core skills for elected functionaries to carry out their functions both operationally and as members of the Dzongkhag Tshogdu (DT)/ Gewog Tshogdu(GT)/ Thromde Tshogdu (TT).

3.1.2 Important CD/Training Needs for LG Appointed Functionaries

a. Technical Functions

- Public Service Delivery
- Administrative services
- Policy, Planning Statistical and Research Services
- ICT and Media Services
- Economic (Development) Services – LED, and
- Human Resource Services.

b. Management Functions

- Record Keeping
- Project monitoring
- Drafting memos/reports
- Project planning
- Chairing meetings
- Presentation Skills
- Financial management /basic accounting, and
- Understanding taxation, fees & charges.

Of the eight core technical functions, CD was imparted to the appointed functionaries in all functions except for two viz. Economic (Development) Services and Social and Welfare Services. It must be noted that *Economic Diversity and Productivity Enhanced* is the second of the 17 National Key Results' Areas (NKRAs) within the 12th FYP and it makes it more urgent to expedite a CD in this function.

Against the management skills for the appointed officials, they received fairly comprehensive training in administrative skills including: Drafting Memos/Reports; Record Keeping and Financial Management/Basic Accounting

However, it appears that appointed officials were not imparted CD/training on: Understanding taxation, fees & charges; Project Planning; Procurement; and Project Management. These are important management skills that the appointed LG functionaries will require to fulfil their functions. Understanding taxation, fees and charges has become

more critical as LGs become more autonomous with a corresponding need to increase their collection of local revenue and to strengthen local public finance management.

4 Way Forward for CD/Training implementation

The CNA reveals that LGs are in agreement that the current centralised approach to organising training is neither based on a tailored LG capacity assessment nor a targeted approach and therefore does not address the purpose it is supposed to serve. While the Competency-Based Framework (CBF) being rolled out selectively by the Royal Civil Service Commission (RCSC) is anticipated to address quality control and effectiveness of specifically targeted training against a CNA of LG functionaries, the new CBF approach neither explicitly give the LGs the authority to allocate funds and execute CD activities nor does it cover elected functionaries.

In order to plan and implement the CD coming out of the CNA based on the above priorities, the following needs to be instituted:

- In compliance with National Gender Equality Policy (2019), women should be prioritized for CD/training as a matter of policy.
- Ad-hoc training should be discontinued and CD plans should be developed using a CNA approach that is tailored-made to address the needs of specific groups as per their functions and roles;
- CD for LGs should be practical and field based involving cross visits among Gewogs and exposure trips rather than classroom based;
- Depending on the modality of CBF, CD needs at the Dzongkhag and Gewog level need to be categorised based on skill requirements. A skill need based Human Resource (HR) and CD mapping to address the Five Year Plan (FYP) should be taken up by Human Resource Officers (HROs) to establish budget requirements;
- An adequate CD budget be allocated to LGs by central government on an annual basis with accountability over and above the block grant;
- The RCSC should standardise CD records at LG level to be maintained systematically by HROs and Gewog Administrative Officers (GAOs); and
- CD should be made accountable by putting in place a mandatory monitoring and evaluation system for post-training at both central and LG levels.
- The RCSC and DLG should identify ways of promoting the I/NGO/CSO sector to increase their training delivery capacity to LGs
- LGs should regularly monitor and record their use of noticeboards, the LG website, LG portal, social media, with DLG reviewing usage on an annual basis.

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1, Introduction

1.1. Bhutan context

Bhutan is a small, land-locked and Least Developed Country (LDC) situated between two large neighbours, i.e. India to the south and China to the north. The total population is about 734,374¹ persons. Bhutan has a total land area of 38,394 km² of which 72.5 per cent is covered by forest. According to 2017 national data², 8.2 per cent of the population live on less than USD 1.25 per day. Bhutan's economy is traditionally based on agriculture and forestry which provide the main livelihood for more than 60 per cent of its population.

During the last five and half decades, the Royal Government of Bhutan (RGoB) has made unstinted efforts in promoting good governance which is one of the important pillars of the development philosophy 'Gross National Happiness', embodied through the draft Decentralization Policy³. The policy intends to devolve powers from the centre to the local governments (LGs) to facilitate the engagement of the people at the grassroots in the decision making process for their own livelihoods and well-being. Their participation is to ensure the country's sustainable and regionally balanced socio-economic development. Towards realising this objective, the first National Assembly was instituted in 1953. The Dzongkhag Yargay Tshogchung (DYT)⁴ was later instituted in 1981, followed by the Gewog Yargay Tshogchung⁵ (GYT) in 1991, and the Thromde Tshogde (TT)⁶ in 2010, further devolving decision making powers for planning and implementation of development activities to the Dzongkhag, Gewog and Thromde authorities respectively, which are three levels⁷ of Local Government (LG), bringing them closer to the people. The Constitution and the Local Government Act (LGA, 2009), amended in 2014, and the draft Local Government (LG) Bill 2020⁸, also allow for the direct participation of the people in the development and management of their own social, economic and environmental well-being through a continuous process of decentralisation and devolution of power and authority. The draft LG Bill includes a new chapter on LG coordination which is expected to address the inter-governmental linkages and coordination mechanism issues that are missing at the moment. It shall also help clarify grey areas pertaining to functions and accountability.

The LGs are empowered by a set of administrative, regulatory, service delivery, and financial powers and functions for governance at the local level. Furthermore, a "Division of Responsibilities Framework" (DoRF⁹) was developed by the Gross National Happiness Commission (GNHC) to determine the core functions of each level of government, as part

¹ National Statistical Bureau 2019

² Asian Development Bank 2020

³ Draft National Decentralization Policy, Ministry of Home and Cultural Affairs, RGoB, July 2019

⁴ DYT is the District Development committee established in 1981, now evolved to Dzongkhag Tshogdu (District Assembly) which is the highest forum for local policy and decision making at the district level

⁵ GYT is the Block Development Committee instituted in 1991, now evolved to Gewog Tshogde (County Council) which is the highest decision making body at the Gewog

⁶ Thromde Tshogde is the Municipal Council with empowered authority to make decisions for city governance

⁷ LGs comprise: 20 Dzongkhag Tshogdu (District Assembly), 205 Gewog Tshogde (County Council) and 4 Thromde Tshogde (Municipal Council)

⁸ Draft Local Government Bill of Bhutan, 2020

⁹ GNHC 12th FYP Guidelines, RGoB

of the 11th Five Year Plan (FYP). Since then, it has been revised in keeping with (inter alia) Article 22 of the RGoB Constitution, 2008 and LG Act, 2009. The Framework has been used to determine capital grant allocations for the 12th Five Year Plan (FYP) (2018-2023) which has devolved 50 per cent of total capital grants for LGs - doubled since the 11th FYP (from Nu. 25 billion to Nu. 50 billion).

In pursuit of supporting the LGs to meet their statutory requirements, the draft National Decentralisation Policy states that a Capacity Development Needs Assessment and Strategy shall be developed for LG elected representatives, civil servants and other local level functionaries. Previous studies have found that capacity development (CD) is required continuously through training newly elected LG functionaries, partly due to their high turnover. In an online survey as part of the Local Government Assessment Study¹⁰, less than half (48%) of respondents believed that the capacities of LG staff and elected officials match the responsibilities of LGs. This highlighted the need for such an assessment, strategy and plan to meet this large capacity gap. The Royal Civil Service Commission (RCSC) and Line Ministries/Agencies (LMs) are responsible for the Capacity Development (CD)/training of LG appointed functionaries, along with the LGs themselves; whilst the Department of Local Governance (DLG), Ministry of Home and Cultural Affairs (MoHCA) is responsible for the CD/training of LG elected functionaries.

In this connection, DAI Brussels contracted by the European Union (EU) to implement a project in Bhutan titled: *Technical Assistance for Renewable Natural Resources and Climate Change Response and Local Governments and Decentralisation* (EuropeAid/139521/DH/SER/BT) awarded Lekey Dorji & Associates (a local consultancy firm), to produce a Local Government Capacity Assessment, Strategy and Action Plan, led by the DLG, and supported by Roz Saad, project Team Leader/Senior Expert, Local Development and Decentralisation.

1.2. Purpose of Local Governments' Capacity Needs Assessment

The objective of the LGs' Capacity Needs Assessment (CNA) is to undertake a comprehensive review of the capacity of elected and appointed functionaries to inform a LGs' Capacity Development Strategy and Action Plan for 2021-2024.

The definition of CD adopted for this CNA is based on the United Nations Development Programme's (UNDP)¹¹ current approach – a focus on empowering and strengthening LGs internal capabilities. Two dimensions/levels of “capacity”- (1) individuals, (2) organisations are addressed. Simply put, if capacity is the means to plan and achieve, then capacity development describes the ways to those means. It seeks to make the most of local resources – people, skills, technologies, institutions – and builds on these. It takes into account policy and institutional reforms that may be required, and values ‘best fit’ for the context over ‘best practice’; as one size *does not* fit all. It is important to note that CD is not only about training but also includes: in-country/overseas training, workshops, and study tours; e-learning; on-the-job coaching and mentoring; and institutional mechanisms, such as LG forums and knowledge management platforms, for example.

¹⁰ Local Government Assessment Study, Helvetas 2016

¹¹ Capacity development, UNDP Primer, UNDP, 2015

1.3. Scope

Core LG Functions

The CNA has assessed the capacity development needs of Thromdes, Dzongkhags, and Gewogs (LGs) against the delivery of (selected) core functions within the DoRF that include:

- A. Policy Planning, Statistical and Research Services
- B. Human Resource Services
- C. Administrative Services
- D. Information, Communication Technology and Media Services
- E. Environment Services
- F. Economic Services
- G. Social and Welfare Services
- H. Public Service Delivery.

A full description of these core functions is included in Annex 1.

In addition to these technical functions, 12 management skills were also identified, drawn generally from the project management lifecycle, as well as the LG Acts, LG Rules & Regulations, and the National Decentralisation Policy in particular, and comprise:

- A. Chairing meetings
- B. Drafting memos/reports
- C. Presentation Skills
- D. Financial management/basic accounting
- E. Understanding taxation, fees & charges
- F. Staff management
- G. Project Planning
- H. Procurement
- I. Project Management
- J. Record keeping
- K. Project monitoring, and
- L. Mediating grievances/disputes.

1.4. Methodology

A brief overview of the methodology used by the CNA is presented here along with its limitations, and in detail in Annex 3: Detailed methodology.

The assignment was undertaken in three stages: Stage 1: Desk review and central government consultation, Stage 2: Field Mission to selected LGs, and Stage 3: Development of Capacity Development Strategy and Plan.

The sample of Dzongkhags and Gewogs visited were located in the four regions of the country (Table 1).

Table 1 : LGs visited for Capacity Needs Assessment

Dzongkhag	Gewog
A: Eastern Region¹²	
Trashigang	Yangtse
	Toetsho
Monggar	Monggar
	Dremetse
B: Central Region¹³	
Trongsa	Nubi
	Langthel
C: Western Region¹⁴	
Punakha	Guma
	Shengana
D: Southern Region¹⁵	
Tsirang	Kikhorthang
	Mendrelgang
E: Class A Thromde¹⁶	
Thimphu	

Three groups of stakeholders were consulted (Table 2: Stakeholders consulted).

Table 2: Stakeholders consulted

Level of government/ sector	Organisation	Designation
Central government ministries and agencies	DLG-MoHCA, Gross national Happiness Commission (GNHC), Royal Civil Service Commission (RCSC), Ministry of Finance (MoF), Ministry of Home and Cultural Affairs (MoHCA), Ministry of Works and Human Settlement (MoWHS), National Environment Commission (NEC), and Ministry of Agriculture and Forests (MoAF)	Director level
Quasi-independent/ Private institution/ Civil Society Training Providers	RIM, IMS, BNEW, BCMD	
Local Governments	10 Dzongkhags, 20 Gewogs, 1 Thromde	Elected functionaries:

¹² Eastern region comprises of Monggar, Lhuentse, Trashigang, Trashigang, Trashigang, Pema Gatshel and Samdrup Jongkhar

¹³ Central region consists of Zhemgang, Trongsa and Bumthang

¹⁴ Western region comprises of Paro, Haa, Punakha, Gasa, Wangdue Phodrang and Thimphu

¹⁵ Southern region comprises of Samtse, Chhukha, Sarpang, Tsirang and Dagana

¹⁶ Class A Thromdes comprise of municipalities of Thimphu, Gelephu, Phuentsholing and Samdrup Jongkhar

Level of government/ sector	Organisation	Designation
		Dzongkhag: Thrizin and Deputy Thrizin of Dzongkhag Tshogdu (DT), Thromde Thuemi Thromde: Thrompon, Thromde Tshogpa, Gewog: Gup, Mangmi, Tshogpa Appointed functionaries: Dzongkhag: Dzongdag, Dzongrab, Drungpa, Human Resource Officer, Tshogdung, Dzongkhag Planning Officer Thromde: Executive Secretary Gewog: Gedrung, Gewog Administrative Officer, Gewog Livestock Extension Staff, Gewog Agriculture Extension Staff

Central government stakeholders and training providers were interviewed during Phase 1. Phase 2 involved visits to selected LGs where elected and appointed functionaries were consulted from five Dzongkhags, ten Gewogs, and one Thromde. A further five Dzongkhags and ten Gewogs were then selected for consultation by questionnaire only, in order to increase the sample size of LGs consulted – a total of ten Dzongkhags, 20 Gewogs and 1 Thromde. (A full list of the 169 stakeholders consulted is included at Annex 4: Stakeholders consulted). LG questionnaires were completed by a total of 117 (98 men and 19 women (16%)) elected officials, and 83 (67 men and 16 women 19%) appointed officials for the CNA. This reflects the unequal representation of women in LG. Further information on the profile of the LG respondents is included in Annex 2: Summary Profiles of sampled LGs.

Eight tools were developed to undertake the CNA which were deployed throughout stages 1 and 2 and these tools and their application is described in some detail in Annex 3: Detailed methodology:

1. Desk review;
2. Field visits
3. Focus Group meetings;
4. Questionnaires;
5. Interview Guides for Key Informant Interviews (KIIs)
6. LG Training Logs;
7. Review of capacity development systems and processes; and
8. Review of social accountability tools.

In addition, a review of lessons from 2012 LG CD Strategy was undertaken to inform this CD Assessment's findings and recommendations and is included as Annex 7 and summarised within section 2.4.5 below.

1.5. Capacity Needs Assessment Limitations

The gathering of LG CD/training logs for LG CD from 2017 – 2019 was a big challenge for the CNA both at the central and LG level. Apart from the DLG who had kept some records of induction courses, trainings, workshops and study tours both in-country and ex-country, no other agencies including Dzongkhags and Gewogs seem to have maintained records of CD activities for the past three years. The CNA sought to gather information about the planning of the CD/training activities, but it was clear during KII and FG discussions at both central and LG levels, that there were no CD plans for LGs at either level. However, all stakeholders were aware of the need for CD/training to enable LGs to manage the implications of decentralisation/devolution of power and authority. Further, the lack of CD plan for LGs has been compounded by the absence of a CD/training monitoring system both at central and LG levels. Hence it was difficult to obtain aggregated information on training conducted. Therefore the CD/training log provided by DLG was used solely to inform the CNA of such activities attended by LGs during 2018 – 2020, but did not provide a complete record of CD/training received by LGs during the period.

The field visits and the response to the questionnaires emailed to LGs were hampered by the Covid-19 lockdown during which time officials were not allowed to attend the office and most were away fulfilling their role as frontline pandemic workers. Therefore, the response rate for the return of emailed questionnaires from the further five Dzongkhags and ten Gewogs selected was 45 per cent and follow-up resulted in a delay in data analysis. However, Covid-19 did not substantially affect the information gathering from LGs visited, although the CNA teams faced the challenge of working separately which affected the speed and consistency of the information gathered to an extent. It did however affect the availability of central government officials for KII but the CNA team persisted and was able to conduct the KII required.

2. Local Governments' Capacity Needs Assessment: Major findings

2.1. Introduction

The CNA findings are organised in three sections:

- (1) Capacity Needs Assessment for Elected Functionaries
- (2) Capacity Needs Assessment for Appointed Functionaries
- (3) Review of Capacity Development/ training management practices and use of systems.

Sections 1 and 2 commence with an overview of LG training attended by elected and appointed functionaries, followed by the major findings of the CNA covering (a) the eight Core Technical Functions, and (b) the 12 Management Skills. Section 3 presents the findings of a review of CD/training practices and use of systems, including Social Accountability Tools and the use of the LG Portal.

On visiting the selected LGs, the CNA found that (a) most CD/training attended by functionaries was ad-hoc, and (b) training records were not systematically kept, and therefore it was difficult to capture all training that elected and appointed functionaries had attended, hence the reliance on the DLG's records. The DLG Training Log provided to the CNA listed the training attended by LGs over the past three years (2018-2019, 2019-2020, and 2020-2021¹⁷) (Annex 5: Capacity Development/Training for *Core Technical Functions* attended by LG functionaries, coordinated by DLG 2018 – 2021). As mentioned in Section 1.5: Capacity Needs Assessment Limitations, the Log did not present a complete picture of all CD/training that the LGs would have attended during the period and this issue is addressed in Section 2.4. It does however give an indication of the type of training that elected and appointed functionaries attended over the past three years and is supplemented by information about CD/training provided by the selected LGs visited during Phase 2, as well as the DLG's Annual Reports. The evidence for the Capacity Development Needs of LG functionaries is drawn primarily from the LG questionnaires completed by both elected and appointed officials, as well as from LG FG discussions.

2.2. Capacity Needs Assessment for LG Elected functionaries

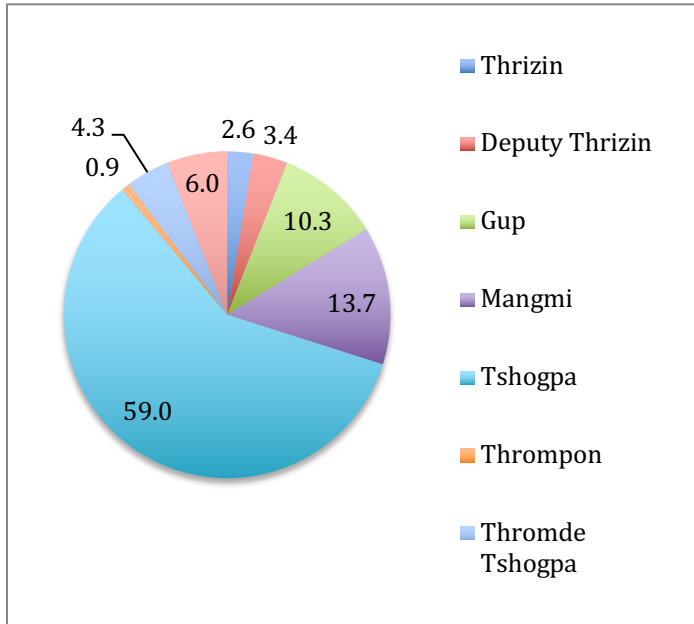
2.2.1. Profile of LG Elected functionaries

LG questionnaires were completed by a total of 117 (98 men and 19 women) elected officials, representing the full range of positions held at Dzongkhag, Thromde and Gewog levels (Chart 1: Percentage breakdown of elected functionaries by role consulted). Of the 19 female respondents, the positions they held were as follows: Mangmi (3), Tshogpa (14), Thromde Thuemi (2). Therefore there were no female Gups, Thrizen, or Deputy Thrizen respondents. This indicates the imbalance in women holding elected positions at

¹⁷ Bhutan's Financial Year (FY) commences from 1st July – 30th June

all levels within LG, particularly at more senior levels. This is borne out by other studies: at the local government level, only 4 per cent of the leadership roles are occupied by women and Bhutan ranks 121 out of 144 countries¹⁸ in the Global Gender Gap Report 2016. Bhutan's ranking fell from 93rd out of 136 countries in 2013 (whose Index uses indicators of political participation, health, education and economic empowerment to assess the extent of gender parity. In terms of political empowerment, the Global Gender Gap Index ranks Bhutan at a mere 132 out of 144 countries.

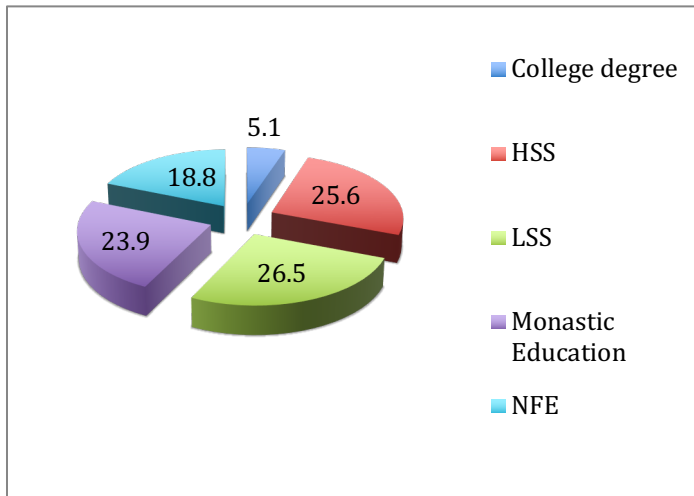
Chart 1: Percentage breakdown of elected functionaries by role consulted



Over two-thirds (67%) of the respondents confirmed that they were in their first term of election, a quarter (26%) were in their second term and less than 8 per cent were experienced with more than three terms served. In regard to their professional background, of the 117 respondents, the majority were from either farming (45), LG (26) or the private sector (16).

¹⁸ <http://reports.weforum.org/global-gender-gap-report-2016/economies/#economy=BTN>

Chart 2: Educational qualifications of elected functionaries who responded to LG questionnaire



As shown in Chart 2: (Educational qualifications of elected functionaries who responded to LG questionnaire) the majority of the elected functionaries have lower than high school education or non-formal education, and only about 5 per cent have a college degree. Interestingly, almost a quarter of them have had a monastic education.

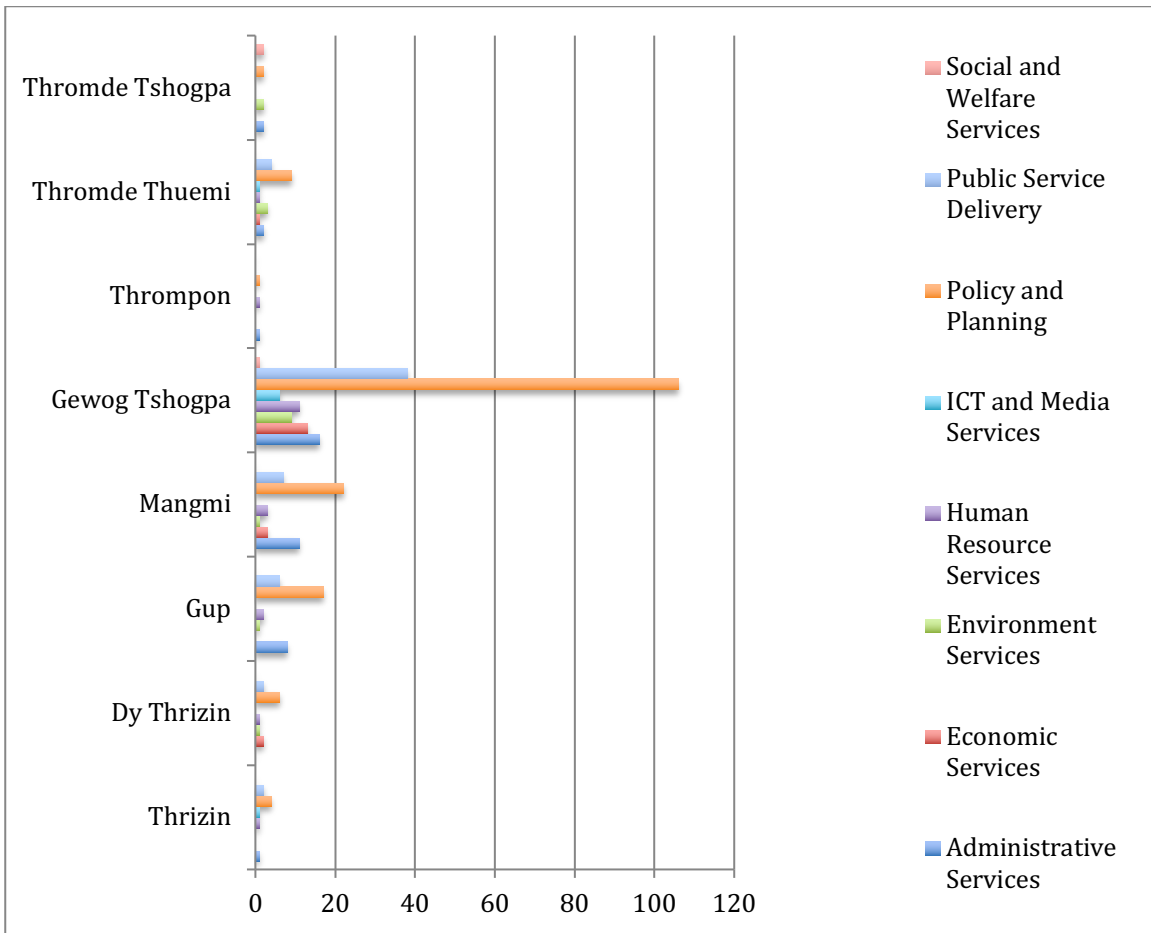
2.2.2. LG Capacity Development/Training for Core Technical Functions attended by Elected functionaries during 2018 – 2020 coordinated by DLG

Over the past three years, of the eight core technical functions, CD/training was delivered in all but two functions: F. Economic (Development) Services, and G. Social and Welfare Services. The policy and planning aspects of A. Policy, Planning, Statistical and Research Services were well-covered in all years, including planning, as well as gender planning, and budgeting, results-based management, gender planning and local governance, with training and workshops held both in-country and overseas, funded by the EU and HSI. Mass training for representatives of the 205 Gewogs (all Gups, Dzongrabs, Dungpas and few selected GAOs) in relation B. Human Resource Services - *Local Governance and Development* was held in Thailand in 2018-2019, and for C. Administrative Services, an in-country conference on *Role of Local Government in Good Governance* was held in 2019-2020, both funded by the EU. For H. Public Service Delivery, 20 Tsogpas attended training in 2018-2019, but otherwise training on social accountability, and community engagement was attended by civil servants rather than elected functionaries.

2.2.3. Capacity Needs Assessment of Elected functionaries' Core Technical Functions

In order to assess the capacity development needs of elected functionaries, a useful starting point is to match CD/training against their priority functions. When asked about the most important aspects of their job, the elected functionaries' priorities reflect the functions and management skills which take up most of their time, they noted firstly, public service delivery, and secondly dispute settlements in their communities. Furthermore, when asked about the core functions most important to their work, they ranked the following functions the highest: (1) A. Policy, Planning, Statistical and Research Services, (2) H. Public service delivery, and (3) C. Administrative services (Chart 3: Ranked core technical functions most important to elected functionaries).

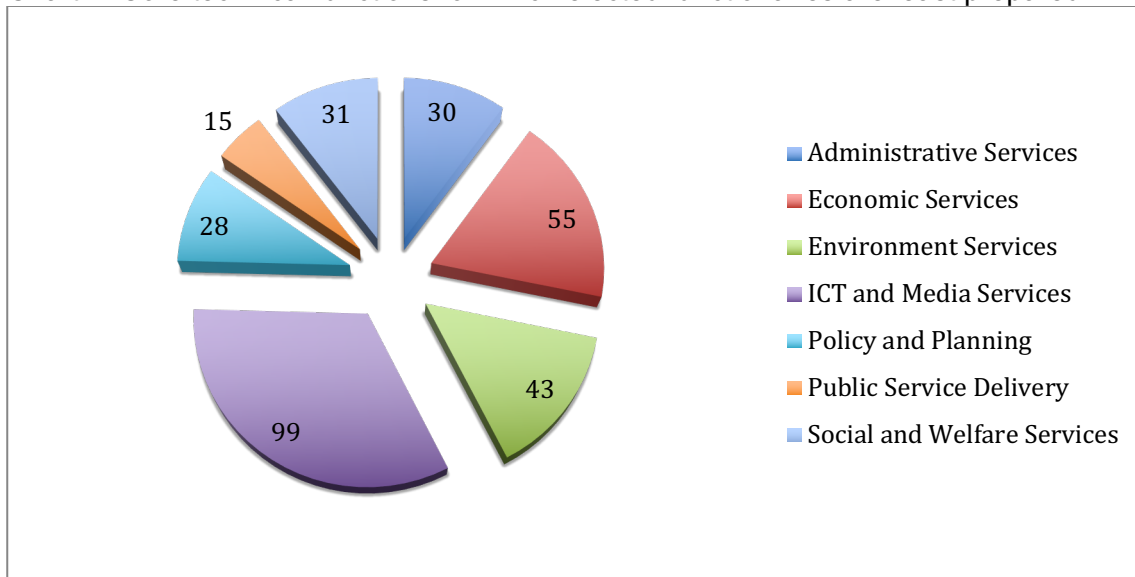
Chart 3 Ranked core technical functions most important to elected functionaries



The gap in CD/training here is in relation to H. Public Service Delivery where all elected officials need to appreciate the core purpose of LG.

When asked about those core technical functions for which elected functionaries are least prepared, almost 85 per cent named (1) D. Information, Communication Technology and Media followed by (2) F. Economic (Development) Services, and (3) E. Environment (Chart 4: Core technical functions for which elected functionaries are least prepared). These are all forward-looking priority areas also identified by the 12th FYP and elected functionaries have not received training in any of these functions over the past three years.

Chart 4: Core technical functions for which elected functionaries are least prepared



2.2.4. LG Capacity Development/Training for Management Skills attended during 2018 – 2020 coordinated by DLG

The picture of CD/training for Management Skills attended by LG elected functionaries is mixed for the three-year period. During 2019 – 2020, elected functionaries attended training in A. Chairing meetings, D. Financial management/basic accounting – *Performance-Based Grants*, F. Leadership/Staff management - *Leadership and Governance*, and L Mediating grievances/disputes - *Alternative Dispute Resolution*, funded by the EU and HSI. However CD/training for elected functionaries is not listed for 2018 – 2019. It is of concern that no LG functionaries attended CD/training in G. Project Planning, H Procurement, or I. Project Management, although these are important core skills required by elected functionaries in fulfilling their functions both operationally and as members of the DT/ Gewog Tshogdu (GT)/ Thromde Tshogdu (TT). It is observed that the form of CD activities for these “soft” skills was exclusively through a training modality.

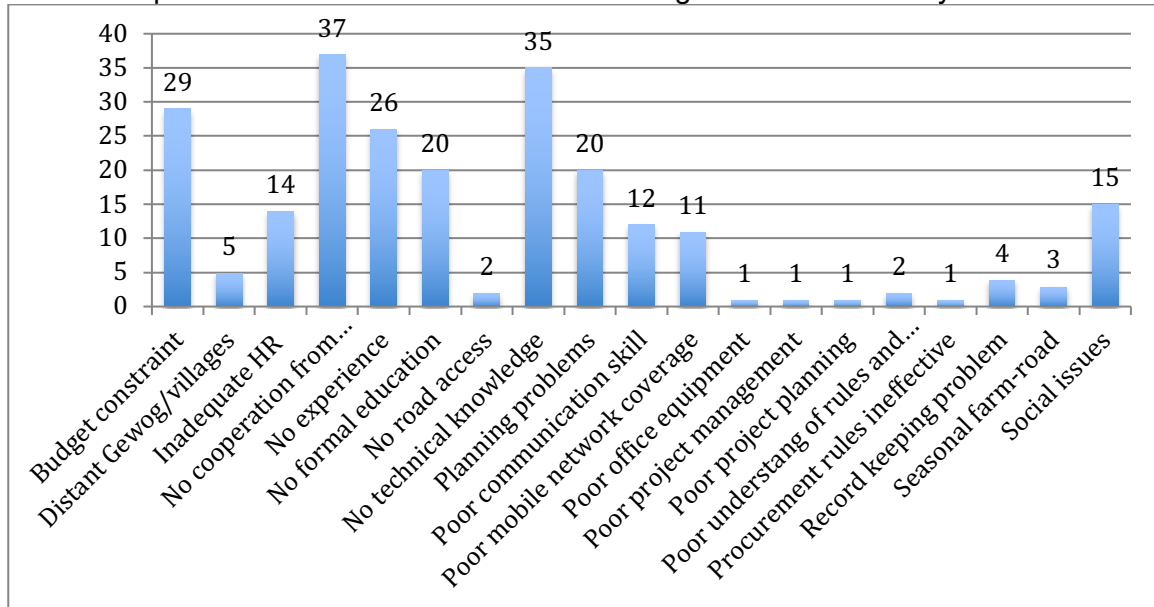
2.2.5. Capacity Needs Assessment of Elected functionaries’ Management Skills

The three most important management skills that elected functionaries flagged were A. Chairing meetings (24%), L. Mediating grievances and disputes (18%), and K. Project monitoring (13%). In 2019-2020, Gups, Mangmi & Thromde Thuemi attended training in *Democracy and Governance* which included addressing the management of committees/consultation meetings – funded by HSI. During the same year, 65 Mangmis and Tshogpas attended *Alternative Dispute Resolution* – funded by the EU. However training in project monitoring was attended by appointed rather than elected functionaries over the past three years. When asked about their top three area of training to enable to undertake their roles more effectively, elected functionaries selected the top three priorities: D. Financial management / basic accounting (19%), B. Drafting memos and reports, (14%) and, I. Project Management (13%). In 2019-2020, 200 Gups and Mangmis (as well as appointed officials) attended a three-day training on Performance-Based

Grants delivered by DLG and funded by the EU. However, there has not been training for elected functionaries in drafting memos and reports or project management over the past three years. LG leaders also informed the CNA that training on agriculture is also important for them given the rural setting and 12th FYP's emphasis on food production¹⁹.

In addition to understanding the priorities and training needs of elected functionaries, they were asked about the most significant things that impede the smooth functioning of their work (Chart 5: Impediments to elected officials undertaking their role effectively). A full range of issues were identified by the elected officials. Non-cooperation from the community emerged as the top impediment and this is a little baffling given that the LG functionaries are directly elected by their communities. This finding may point to the need for more of an understanding of consensus-building and negotiation is required, in the context of this still relatively new democracy and increasing decentralisation. The other important impediment listed is "lack of technical knowledge". This is understandable as 67 per cent of the elected functionaries are serving their first term and only 5 per cent of the elected functionaries have college degrees, and indicates the need for a broader range of CD and support. The other important impediments listed were budget constraints; lack of adequate experience; lack of formal education; social issues; and lack of adequate human resources. This may indicate that the devolution of human resources has not been fully actualised as yet. For example, whilst the LG Act (2009, 2014) specifically allocates engineers, finance officials and others to the Gewogs, but citing an absence of infrastructure, these professionals remain in the Dzongkhag headquarters. That may be the reason why elected functionaries consider there be a lack of human resources at LG levels.

Chart 5: Impediments to elected officials undertaking their role effectively



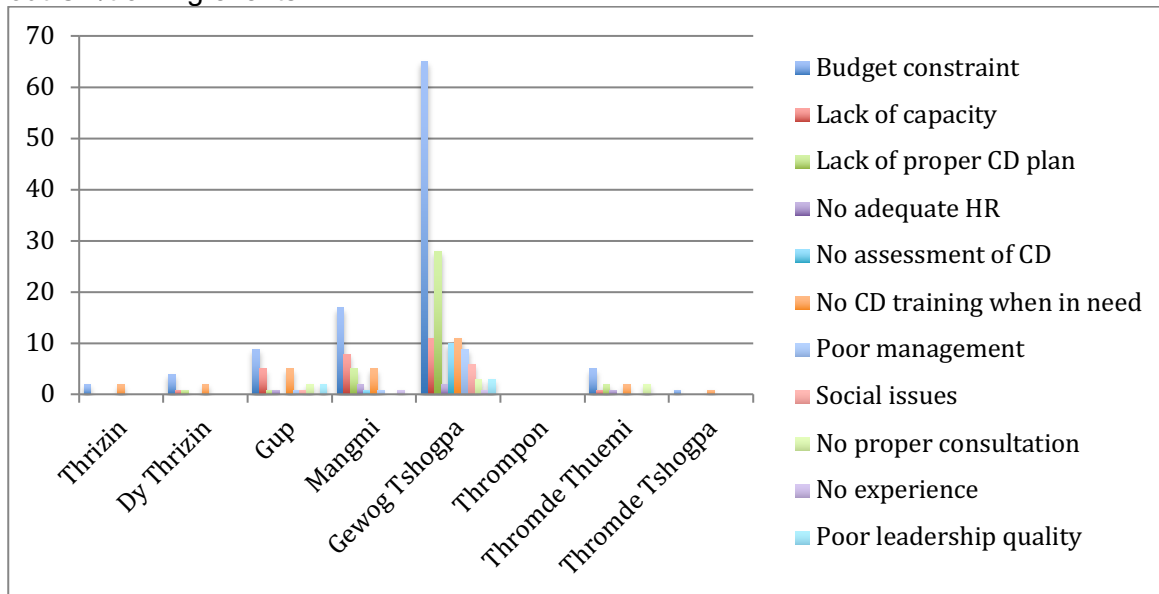
The FG discussions with LGs highlighted that CD/training are not the only elements of enabling LG elected functionaries to fulfil their mandates. Tshogpas (who are members of

¹⁹ Training provided by Line Ministries was beyond the scope of the CNA, and therefore it is not known what MoAF-sponsored training was delivered to LGs over the last three years.

GT and representative of Chiwog (group of villages) and Thromde Thuemi (who represent the people of the constituency and are member of the TT), both opined that they need an enabling environment like office infrastructure in the respective Chiwogs so that services can be brought closer to the people and provided more efficiently. There are some institutionalised CD/training that are ongoing, for example, the orientation program for new Gewog leaders (Gup/Mangmi/Tshogpa) is an important aspect of the GAO's job and intra-Gewog visits are also considered a valuable mechanism for sharing experience and skills - and these are in the hands of Gewogs themselves, without the need for reliance on central agencies or the Dzongkhags.

Elected functionaries considered that barriers to conducting CD/training events included: budget constraints, lack of a proper CD/training plan, and a lack of CD/training being available when in need (Chart 6: Elected functionaries perception of key constraints inhibiting LGs from carrying out CD/training events). When asked how CD/training events could be improved future, the most common suggestion from elected officials was to increase course duration, followed by provision of a competent resource person, refresher courses, gathering feedback from participants, and holding induction training within the first year after election.

Chart 6: Elected functionaries perception of key constraints inhibiting LGs from carrying out CD/training events



2.5 CD needs identified for Elected LG functionaries

From a review of the primary data sources of the eight core functions from the DoRF, the following specific priority CD needs have been identified for each set of Elected LG functionaries as summarised and illustrated in Table 3.

- All categories of the Elected functionaries identify ICT and Media Services as the most important area for CD. As online training technologies are becoming more flexible, innovative and robust during this Covid-19 era, this is a good indication

and the LG functionaries at all levels want more digital access and training on ICT and media services;

- Thrompon only identified three core functions that they identified CD needs in: Human Resource Services, ICT and Media Services, and Social and Welfare Services;
- Thromde Tshogpas point out that they need CD in: Policy and Planning services, ICT and media services, Environment services, Social and Welfare Services, and Public Service Delivery Services;
- Thromde Ngotshab²⁰ is an interim post created until all Dzongkhags have their Thromde Tshogdes. Thromde Ngotshabs interviewed flagged: Administrative Services, ICT and Media services, and Public Service Delivery Services;
- The Gups flagged all core functions, except Public Service Delivery and, Social and Welfare Services;
- Mangmis identified that they need capacity building in all eight core functions;
- Tshogpas also identified that they need capacity building in all eight core functions;
- Thrizin identified: Policy Planning, Statistical and Research Services, ICT and Media, and Environment Services; and
- Deputy Thrizin identified: ICT, Environment and Public Service Delivery as three core functions needing CD.

Table 3: Priority specific Core Functions' CD needs of Elected LG functionaries

8 Core functions	Thrompon	Thromde Tshogpa	Thromde Ngotshab	Gup	Mangmi	Tshogpa	Thrizin	Deputy Thrizin
Policy Planning, Statistical and Research Services	No	Yes	No	Yes	Yes	Yes	Yes	No
Human Resource Services	Yes	No	No	Yes	Yes	Yes	No	No
Administrative Services	No	No	Yes	Yes	Yes	Yes	No	No
Information, Communication Technology and Media Services	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Environment Services	No	Yes	No	Yes	Yes	Yes	Yes	Yes
Economic Services	No	No	No	Yes	Yes	Yes	No	No

²⁰ Used to be called Thromde Thuemi before but DLG now uses the term Thromde Ngotshab

Social and Welfare Services	Yes	Yes	No	No	Yes	Yes	No	No
Public Service Delivery	No	Yes	Yes	No	Yes	Yes	No	Yes

Colour code guide:

White = No CD needed

Yellow = Yes CD needed

Amber = Yes CD needed Medium Priority (higher priority than yellow)

Green = Yes CD needed High Priority (higher priority than amber)

Besides the eight core technical functions, the study has also identified twelve management skills required for LG functionaries to successfully perform their mandates. Delving further into the primary data source brings out the following summary as illustrated in Table 4.

- Thrombons have identified Procurement and Project Management as important areas of CD;
- Thromde Tshogpas have identified CD needs as: Chairing meetings; Drafting memos/reports; Presentation Skills; Project Planning; Project Management; and Mediating Grievances /disputes;
- Thromde Ngotshabs have identified: Drafting memos/reports; Presentation Skills; Financial management and basic accounting; and Mediating Grievances/disputes as areas of CD;
- Gups have identified: Financial management/basic accounting; Staff management; Procurement; Project management; and Project monitoring as areas of CD needs;
- Mangmis have identified: Chairing meetings; Presentation skills; Understanding taxation, fees and charges; Staff management; Project planning; Procurement; Project management; and Project monitoring as areas of CD needs;
- Tshogpas have opined that they are incompetent in all twelve management skills except Procurement and Mediating grievances/disputes;
- Thrizins has identified three areas of management skills as CD needs: Project planning; Project monitoring; and Record keeping; and
- Deputy Thrizin have identified Financial management/basic accounting and Project management as CD skill areas required.

Table 4: Priority specific Management Skills' CD needs of Elected LG functionaries

Management skills	Thrompon	Thromde Tshogpa	Thromde Ngotsha b	Gup	Mangmi	Tshogpa	Thrizon	Deputy Thrizon
Chairing meetings	No	Yes	No	No	Yes	Yes	No	No
Drafting memos/reports	No	Yes	Yes	No	No	Yes	No	No
Presentation Skills	No	Yes	Yes	No	Yes	Yes	No	Yes
Financial management/basic accounting	No	No	Yes	Yes	No	Yes	No	Yes
Understanding taxation, fees & charges	No	No	No	No	Yes	Yes	No	No
Staff management	No	No	No	Yes	Yes	Yes	No	No
Project Planning	No	Yes	No	No	Yes	Yes	Yes	No
Procurement	Yes	No	No	Yes	Yes	No	No	No
Project Management	Yes	Yes	No	Yes	Yes	Yes	No	Yes
Record keeping	No	No	Yes	No	No	Yes	Yes	No
Project Monitoring	No	No	No	Yes	Yes	Yes	Yes	No
Mediating Grievances / disputes	No	Yes	No	No	No	No	No	No

Colour code guide:

White = No CD needed

Yellow = Yes CD needed

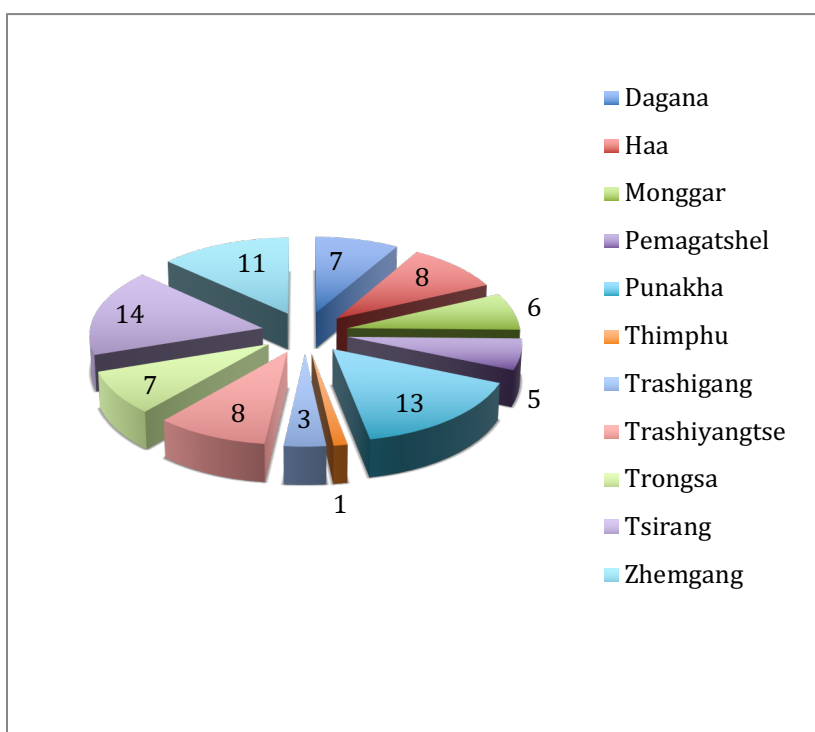
Amber = Yes CD needed Medium Priority (higher priority than yellow)

2.3. Capacity development for LG Appointed functionaries

2.3.1. Profile of LG Appointed functionaries

83 (67 men and 16 women) appointed functionaries from ten Dzongkhags, 20 Gewogs and one Thromde completed LG questionnaires (Chart 7: Number of LG appointed functionaries questionnaire respondents by LG). The 16 are women who responded to the LG questionnaire held the following positions: GAO (4), Geydrung (6), RNR Agriculture (3), and RNR Livestock (3). It is noted that none of the female respondents occupied the posts of Dzongda or Dzongrab – the two highest-ranking appointed posts in the Dzongkhag administration. The Bhutan Gender Country Profile²¹ found that women account for 36 per cent of the civil service with only 12 per cent at the executive level - higher positions, pointing towards the 'glass ceiling' phenomena'.

Chart 7: Number of appointed functionaries questionnaire respondents by LG



In addition to completing LG questionnaires, LG appointed functionaries took part in FG discussions, including those holding the following positions: Dzongda (5), Dzongrab (5), Executive Secretary (1), Dzongkhag Planning Officer (DPO) (4), Dzongkhag Human Resources Officer (HRO) (6) Gewog Administrative Officer (GAO) (15), Geydrung (14), Tshogdrung (4), Renewable Natural Resources (RNR) Agriculture (14) and

RNR Livestock (15).

The largest groups of respondents were GAOs and RNR staff. Most of the appointed functionaries had been in LG for many years – 62 per cent had been in the current post for over four years, and only one respondent had held their position for less than a year. So it may be assumed that these respondents were well-informed about the workings of LG and their job requirements.

²¹ Bhutan Gender Profile, EU Delegation to India and Bhutan, 2018

2.3.2. LG Capacity Development/Training for Core Technical Functions attended by Appointed functionaries during 2018 – 2020 coordinated by DLG

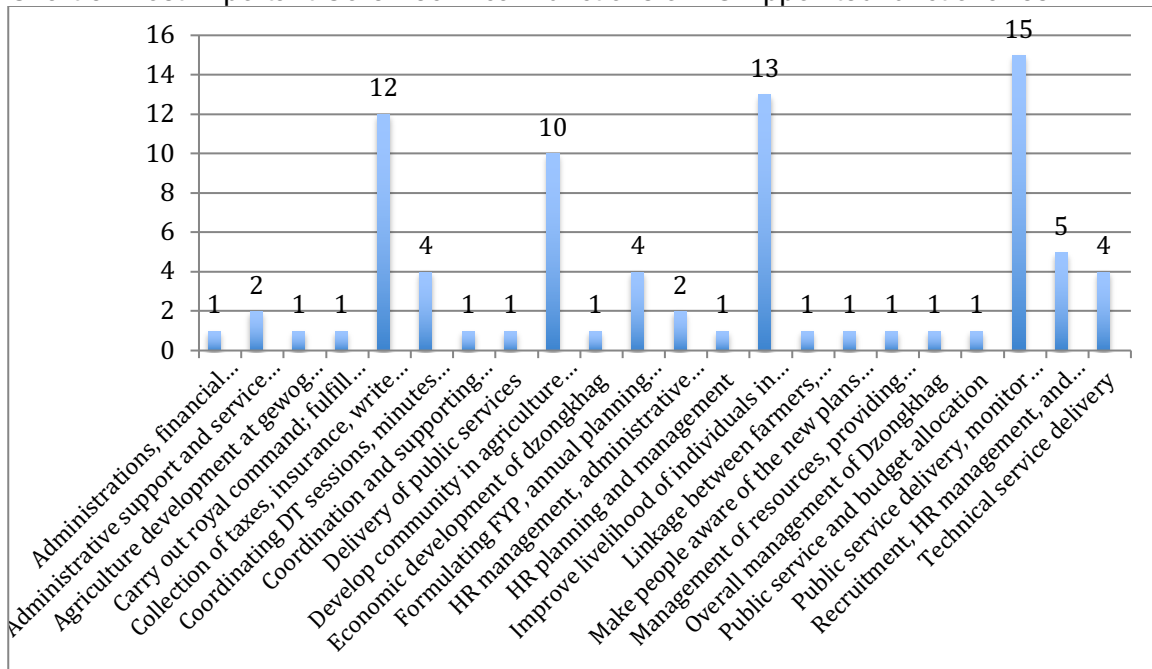
Of the eight core technical functions, CD/training was delivered in all but two functions: F. Economic (Development) Services, and G. Social and Welfare Services. *Economic Diversity and Productivity Enhanced* is the 2nd of the 17 National Key Results' Areas (NKRA) within the 12th FYP. To this end, Dzongkhags are responsible for promoting an enabling environment for the development of the small and medium sized enterprises (SME) sector. However, there is a lack of Local Economic Development Plans (including green businesses strategies) in almost all Dzongkhags and a lack of trained staff in Local Economic Development (LED) planning; although both green business and LED planning is due to be delivered under the coordination of the DLG with the support of the EU-funded TACS programme. The Department of Cottage and Small Industries (DCSI), MoEA, spearheads the development of cottage and small industry in the country, with the facilitation of seminars, workshops and training programmes being led by its Enterprise Development Division.

G. Social and Welfare Services are narrowly defined in Bhutan, LGs are responsible for mainstreaming gender, providing protection to women, children and the People with Disabilities (PWD). CD/training for this function has been linked with gender in relation to A. Policy and Planning. The policy and planning aspects of A. Policy, Planning, Statistical and Research Services were well-covered in all years for appointed functionaries. Focus included planning and prioritisation, results-based management and gender planning and local governance. Training and workshops were held both in-country and overseas, funded by the EU and HIS. For B. Human Resources Services, 83 GAOs accompanied elected officials to *Local Governance and Development* in Thailand in 2018-2019. C. Administrative Services and H. Public Service Delivery were also well covered, addressing public administration, social accountability, and community engagement, funded by the EU, JICA and HSI over the past three years. LG officials have also received Information, Communications and Technology (ICT) training focusing on *Conducting Virtual Meetings*, and the *LG Portal*, after the LG Portal system was established, with 219 participants in 2018-19 and for 34 new GAOs in 2019-20. For H. Environment Services, 30 female civil servants attended training in Waste Management in 2019-2020.

2.3.3. Capacity Needs Assessment of Appointed functionaries' Core Technical Functions

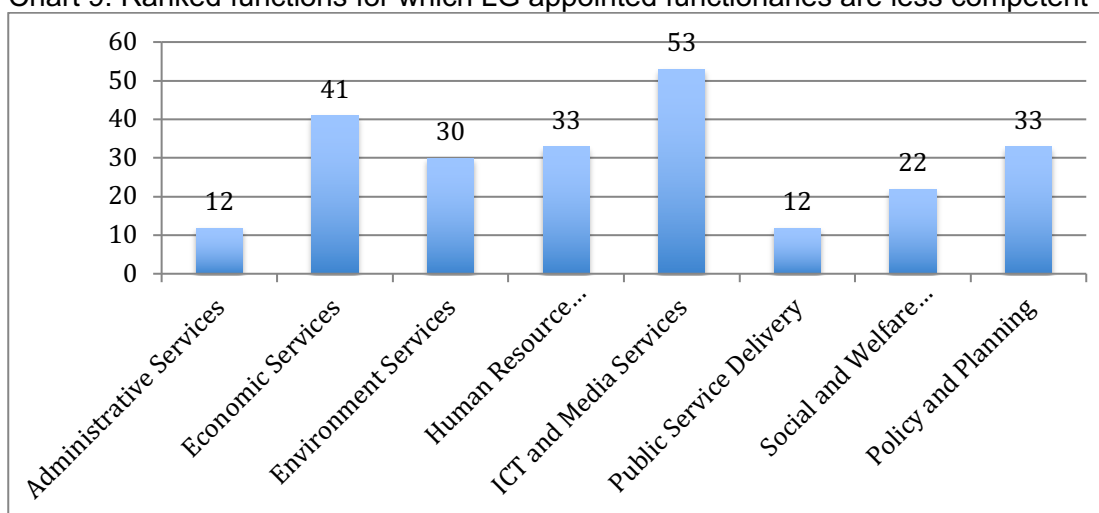
When asked about the most important functions of their job, appointed functionaries responded by highlighting four clear priorities: (1) Public service delivery, monitor construction work, and plan activities, (2) Improve livelihood of individuals at Chiwog level, and encourage farmers to adopt latest technologies for livestock, (3) Collect taxes, insurance, and prepare correspondence, and (4) Develop communities through agricultural farming (Chart 8: Most important core technical functions of LG Appointed functionaries). Public service delivery is the common denominator and has been addressed by training in recent years, although the accompanying aspects of management skills: G. Project planning, H. Procurement and I. Project management have not been addressed. The remaining three priorities identified perhaps most likely reflect the predominant positions of GAOs and RNR staff who completed the questionnaires.

Chart 8: Most important Core Technical Functions of LG Appointed functionaries



These findings are consistent with the responses received in terms of priority technical functions, with the top three ranked as (1) H. Public Service Delivery (27%), (2) C. Administrative services (25%), and (3) A. Policy, Planning, Statistical and Research Services (21%). It is encouraging that these three top ranked priority functions are the same as those identified by elected functionaries, which indicates that both elected and appointed LG functionaries understand the core purpose and focus of their jobs. All of these functions have been subject to training for civil servants over the past three years. However appointed officials informed that there were some functions for which they felt less capable of performing: (1) D. ICT and Media Services (23%), (2) F. Economic (Development) Services (17%), (3) B. Human Resource Services (14%), and (4) A. Policy, Planning, Statistical and Research Services (14%) (Chart 9: Ranked functions for which LG appointed functionaries are less competent). D. ICT and Media Services is also the top-ranked training need of elected functionaries, and for appointed officials this is despite training having been held in relation to virtual meetings and the LG Portal. It is of concern that again both elected and appointed functionaries have identified F. Economic (Development) Services as a function where they are less competent considering it is a key priority within the 12th FYP in order to continue socio-economic development of local communities. There is positive correlation between Policy, Planning, Statistical and Research Services being considered to be a priority core technical function for appointed officials and it also being an aspect that many less competent to undertake. It is noted that these rankings represent the views of stakeholders across the board, and not the views of any particular group of post-holders. Interestingly, all respondents, with the exception of HROs, DPOs and Executive Secretaries, identified B. Human Resources Services as being an area of lesser competency. There has been limited training on HR – only GAOs have attended *Local Governance and Development* training, and it is not known to what extent it covered people management matters.

Chart 9: Ranked functions for which LG appointed functionaries are less competent



2.3.4. LG Capacity Development/Training for Management Skills attended during 2018 – 2020 coordinated by DLG

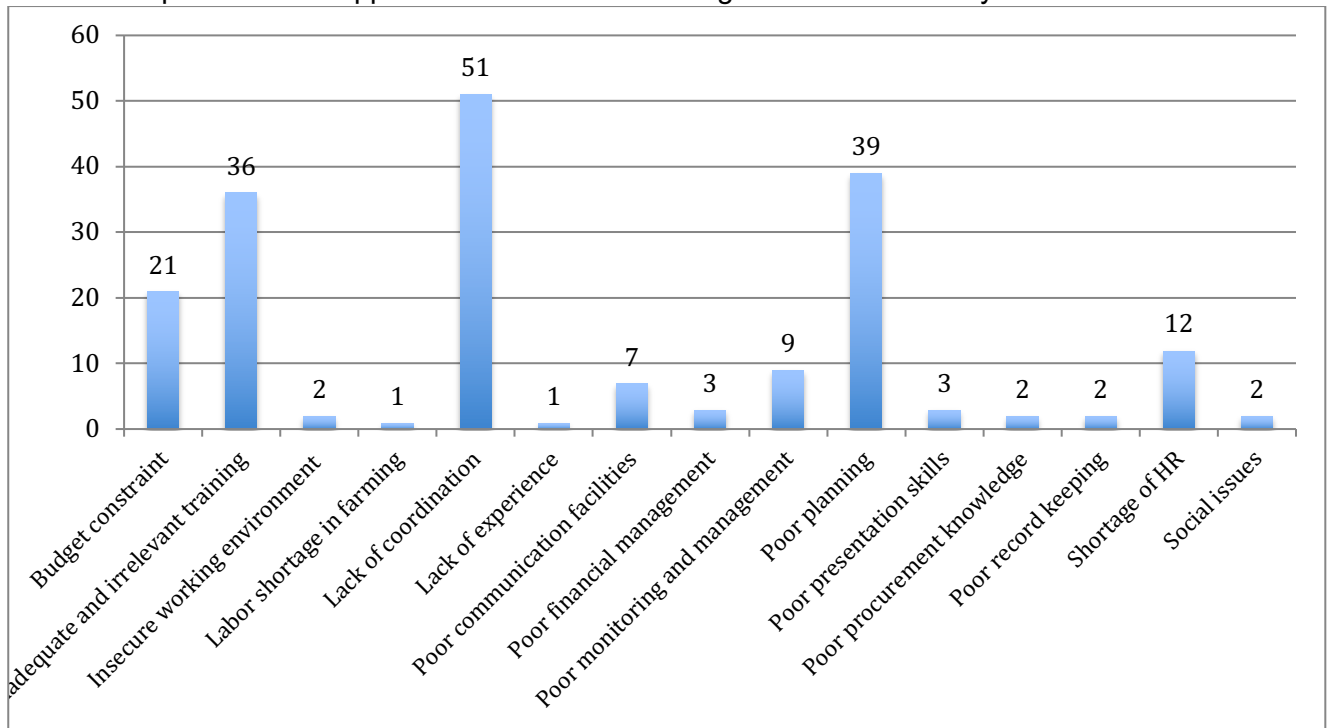
Appointed officials received fairly comprehensive training in administrative skills, including B. Drafting memos/reports and J. Record Keeping. Training on *Executive Minutes' Writing and Documentation* was organised in Philippines for 22 DT Secretaries and other LG officials in 2018-19. This training sought to upgrade the skills of DT Secretaries in minutes writing and documentation. Furthermore, 11 GAOs and DLG officials attended *Research Methodology and Documentation System* training also in the Philippines during the same year – both courses were funded by the EU. Appointed functionaries (195 DPOs and RNR staff) joined elected officials for mass training in D. Financial management/basic accounting - *Performance Based Grants*, funded by the EU and delivered by DLG in 2019 – 2020. However, it is noted that appointed officials did not attend CD/training for E. Understanding taxation, fees & charges, although as LGs become more autonomous there is a corresponding need to increase their collection of local revenue and to strengthen local public finance management (PFM). It is also of concern that no LG functionaries attended CD/training in G. Project Planning, H Procurement, or I. Project Management, although these are important core skills required in fulfilling their functions. For F. Leadership/Staff management, 11 officials from Dagana, Punakha, Monggar, GNHC, and the Ministry of Education (MoE) attended a *Young Leaders Training Programme* in Japan in 2019-2020. Three training courses in K. Project monitoring – *Research, monitoring and evaluation* - both in and out of country, have been delivered to DPOs, Annual Performance Assessment (APA) focal points, DT Secretaries and GAOs, funded by the EU and HSI over the past three years. It is observed that the form of CD activities for appointed officials, like elected functionaries, was exclusively through a training modality.

2.3.5. Capacity Needs Assessment for Management skills – Findings for appointed functionaries

Appointed functionaries were asked which three management skills were most important to undertake their job and the most frequent responses, in rank order were: (1) J. Record keeping (25%), (2) K. Project monitoring (16%), and jointly third: B. Drafting memos/reports (10%), and G. Project planning (10%). Training has been provided to selected functionaries in these areas with the exception of Project Planning. The civil servants were also asked about which management skills they felt less competent to undertake. Interestingly less than half of the officials answered, but those that did cited: (1) A. Chairing meetings (29%), (2) C. Presentation Skills (26%), and jointly third: B. Drafting memos/reports (9%), and D. Financial management /basic accounting (9%). Drafting memos/reports was identified as one of the top three management skills required for their jobs and also as a competency issue. In 2019-2020, 15 DLG officials, DPOs, and HROs had attended a *Reporting writing and official Correspondences* course, but clearly this is a training need that goes beyond this handful of officials'. Otherwise, there has not been CD/training for any LG functionaries in C. Presentation skills, none for appointed officials in Chairing meetings; and only training in Performance Based Grants for D. Financial management /basic accounting, which focuses on one aspect of the range of PFM requirements.

As with elected functionaries, the civil servants were asked about the most significant things that impede the smooth functioning of their work (Chart 10: Impediments to appointed officials undertaking their role effectively). Understandably, their responses were entirely different to those of the elected functionaries: (1). Lack of coordination, (2) Poor planning, and (3) Inadequate and irrelevant training. The issue of inadequate training is addressed in Section 2.4 below). The issues of lack of coordination and poor planning perhaps highlight that improvements in performance rely not only on training but also in reviewing and improving ways of working.

Chart 10: Impediments to appointed officials undertaking their role effectively



In response to a request for suggestions on improving CD/training events in future, 43 per cent of appointed functionaries also suggested increasing the duration of training, as well as providing responsive, needs-based training – according to job-function and stratified by technical and management skills. These suggestions are aligned with the improvements to be made by the CBF approach. The civil servant respondents also emphasised the need for the localisation and tailoring of training specifically to the needs of the participants and to Bhutan (rather than generic, international training that does not take the Bhutan context into account).

2.3.6. Priority CD needs identified for Appointed LG functionaries

During the course of the study, the CNA team interviewed Executive Secretary, Dzongdags, Dzongrabs, Planning officers, Agricultural extension officers, Human Resource officers, Gewog Administrative officers, Gaydrung, Tshogdrung, and a few others. However, since RCSC is the central agency constitutionally mandated to look after civil service, a CD needs assessment for these functionaries is its prerogative. Based on this understanding, DLG instructed the study to identify the specific priority needs of: Dzongdags, Dzongrabs, Drungpas, GAOs, Gaydrungs, Tshogdrungs, and Executive Secretaries in particular²².

²² The study has not covered or interviewed Drungpas but it may be concluded that their function is similar to a Dzongrab and at the same position level in a Dzongkhag.

From a review of the eight core DoRF functions and studying the primary data source, the following specific priority CD needs have been identified for selected appointed functionaries, as illustrated in Table 5:

- Dzongdags has flagged all core functions except Human Resource Services as CD needs, and have identified ICT and Media Services as the most important from among them;
- Dzonggrabs has pointed out all core technical functions, except Administrative, and Social and Welfare Services, as requiring CD and have identified Human Resources Services and ICT and media services as being the most important;
- Executive Secretaries have identified: Policy Planning, Statistical and Research services; and Human Resource Services as the important functions;
- GAOs have identified all technical functions as areas for CD except Administrative services. They have identified CD needs in: Policy Planning, Statistical and Research services; Human Resources Services, ICT and media services; Economic Services; and Social and Welfare Services as the important areas for them to be competent;
- Gaydrungs has identified all technical functions except Public Service Delivery as being important areas for CD. Among them, they flagged ICT and media services being the most important for them to discharge their; and
- Tshogdrungs have identified Policy Planning, Statistical and Research services, and ICT and media services as being the most important technical functions that he/she needs CD to effectively discharge their functions.

We observe that these officials consider some technical functions as being the most important but they are not incompetent in those functional areas. For example, Dzongdags interviewed consider Policy Planning, Statistical and Research Services and Human Resource Services as their most important technical functions but they say they are competent in human resource management services but not other technical functions as illustrated in Table 5.

Table 5: : Priority specific Core Functions' CD needs of Appointed LG functionaries.

8 Core technical functions	Dzongdag	Dzonggrab	Executive secretary	GAO	Gaydrung	Tshogdrung
Policy Planning, Statistical and Research Services	Yes	Yes	Yes	Yes	Yes	Yes
Human Resource Services	No	Yes	Yes	Yes	Yes	No
Administrative Services	Yes	No	No	No	Yes	No
Information, Communication Technology and Media Services	Yes	Yes	No	Yes	Yes	Yes

Environment Services	Yes	Yes	No	Yes	Yes	No
Economic Services	Yes	Yes	No	Yes	Yes	No
Social and Welfare Services	Yes	No	No	Yes	Yes	No
Public Service Delivery	Yes	Yes	No	Yes	No	No

Colour code guide:

White = No CD needed

Yellow = Yes CD needed

Amber = Yes CD needed Medium Priority (higher priority than yellow)

Green = Yes CD needed High Priority (higher priority than amber)

Blue = Yes CD needed Top Priority (higher priority than green)

Besides the eight core technical functions, the CNA study has identified twelve management skills that may be required to effectively discharge their responsibilities. Table 6 summarises the findings from primary data on the required CD for appointed LG functionaries.

- Dzongdags have identified chairing meetings and staff management as priority areas for CD;
- Dzongrabs have identified Chairing meetings, staff management and procurement as priority areas for CD;
- Executive Secretaries have identified Chairing meetings, staff management, project planning, project management, and project monitoring among the areas for CD;
- GAOs have identified drafting memos/reports; financial management/basic accounting, project planning; project management; record keeping; and project monitoring among the skills needed for CD;
- Gaydrung have identified financial management/basic accounting, and record keeping as the two skill areas needing CD; and
- Tshogdrungs have identified drafting memos/reports and presentation skills among the skills for which they require CD.

Table 6: Priority specific Management Skills' CD needs of Appointed LG functionaries

12 Management skills	Dzongdag	Dzongrab	Executive secretary	GAO	Gaydrung	Tshogdrung
Chairing meetings	Yes	Yes	Yes	No	No	No
Drafting memos/reports	No	No	No	Yes	No	Yes
Presentation Skills	No	No	No	No	No	Yes
Financial management/basic accounting	No	No	No	Yes	Yes	No

Understanding taxation, fees & charges	No	No	No	No	No	No
Staff management	Yes	Yes	Yes	No	No	No
Project Planning	No	No	Yes	Yes	No	No
Procurement	No	Yes	No	No	No	No
Project Management	No	No	Yes	Yes	No	No
Record keeping	No	No	No	Yes	Yes	No
Project monitoring	No	No	Yes	Yes	No	No
Mediating grievances / disputes	No	No	No	No	No	No

2.4. Review of Capacity Development/training management practices and use of systems

2.4.1. Planning for Capacity Development/Training

RCSC Competency-Based Framework for Appointed functionaries

Article 26 (5) of the Constitution of the Kingdom of Bhutan, the Civil Service Act of Bhutan (2010), and the Bhutan Civil Service Rules and Regulations (BCSR) (2018) mandate the RCSC to provide oversight to professionalise the civil service through the effective implementation of: foundational competency-based training; Human Resource Development (HRD) Plans that include needs assessments; and long-term training (LTT) that all lead to specialisation as per the “Super Structure and Competency Framework”. Agencies are also mandated to assess their own specific training needs, formulate appropriate plans and implement them in accordance with the procedures prescribed in the BCSR. However, the RCSC has recently developed a Competency-based HR Development program – including a *Competency Based Framework* (CBF) for the civil service in response to the findings of a study it undertook to assess the effectiveness and efficiency of implementation of HR CD programs by agencies. The study found that agency CD programs had resulted in a waste of limited resources, lack of return from the investment, nepotism and favouritism in the systems, leading to grievances among the civil servants²³. The objectives of the competency-based Human Resource (HR) Development Program are to enhance various HR functions, particularly in areas such as: Performance Management, Succession Planning, Talent Management, and CD; and are commencing with CD. The RCSC shall train all HR Officers on the CBF development process and HRD interventions. Both short-term training (STT) and LTT will be based on the mandatory training identified under the CBF. Furthermore, to build leadership capability, a Leadership Assessment and Development System (LeADS) will be established, based on a Leadership Competency Framework (for position Levels P5/P4, P3, P2, P1 and EX). It shall be implemented by the RCSC in collaboration with training institutes. Technical, mandatory training shall also be identified in the CBF and STT/ LTT (in-country as much as possible) and be delivered to appointed functionaries to build their capacity to carry out their job-specific roles (differentiated based on their career stage and shall include refresher training), in order to improve the efficiency and effectiveness of the public service delivery. Prioritisation of training from the list of mandatory training identified in the CBF shall be undertaken annually by the concerned department/agencies, with proposals submitted to the HRD Division (HRDD), RCSC for implementation and resource allocation. Notably, any donor/RGoB-funded HR Development programs will have to be aligned with the training under the CBF. The RCSC also envisages a range of modalities including: orientation, formal training, on-the-Job training, coaching mentoring, and online courses.

²³ Concept Note, Competency-based Framework (CBF) for HR Development (Approved In 72nd Commission Meeting held on December 15, 2020)

CD/Training Plans for Appointed functionaries

RCSC and Line Ministries are responsible for the training of LG appointed functionaries and RCSC has an HR Master plan for them that includes Degree-level and STT. At Dzongkhag level, the HRO is responsible for coordinating HR matters, and the GAO is responsible for record-keeping of training attended by LG functionaries²⁴. The CNA fieldwork and LG questionnaires found that Dzongkhags and Gewogs had undertaken some form of CD assessments of LG functionaries' CD/training needs but this had not been followed through with the development of CD priorities or CD/training plans being put in place. One-quarter of appointed officials considered that a lack of a CD/training plan is a key constraint that inhibit LGs from carrying out CD events. Nearly half of appointed functionaries (47%) had been subject to some form of CNA, and of those, 61 per cent said that the Dzongkhag administration had carried it out, but rarely had such an exercise been undertaken by central agencies. When asked who should be responsible for developing LG training plans, the RCSC was selected as the third choice (14%), with DLG identified as the clear, first preference (56%), followed by the LGs themselves as second choice (15%). The CNA found that almost all trainings had been conducted on ad hoc basis, without systematic record-keeping, although both CD assessments and CD plans are considered important by LGs. However, whilst half of the civil-servant respondents confirmed that the LGs did maintain records of training - none were evidenced by the CNA during field visits.

The CBF seeks to enhance the capacity and standards of the civil service to enable efficient and effective service delivery, and as such has adopted a centralised, vertical approach and is currently being rolled out. Within the CBF, the role of LGs (although not mentioned within the CBF Concept Note) will be to determine its priorities in terms of service delivery and vertically feed-up its requirements through the respective Line Ministries/Agencies. The LGs are in agreement that the current centralised approach to organising training is not fit for purpose since it is neither based on a tailored LG capacity assessment nor a targeted approach, and the CBF is anticipated to address quality control and effectiveness of specifically targeted training - against a CNA of LG functionaries. However, the new CBF approach neither explicitly give the LGs the authority to allocate funds and execute CD activities, and nor does it cover elected functionaries.

Funding CD/training

The RCSC allocated Nu. 1.2 billion (EUR. 13.5 million) for HR development of the civil service (including LGs) for the implementation of the 12th Five Year Plan. The LGs inform that they not have their own dedicated training budget, although the MoF confirmed that LGs may use block grants for CD/training. Therefore, it seems that the issue is that the LGs have not earmarked budget for CD/training due to budget constraints in general to meet the development needs of the LGs, and consequently CD/training is not being considered to be priority by within this context. In the recent past, some funds for training used to be available through project tied (PT) grants from the Government of India (GoI) but are now back under the jurisdiction of the RCSC.

²⁴ according to the RGoB LG Rules and Regulations, 2012

Central government stakeholders²⁵ told the CNA that sectors at central level have their own HR plans that include CD/training for LGs, offering ad-hoc training with direct nominations of participants without consultation with the LGs concerned (Box 1: Sector Line Ministry approaches to CD/training of LG functionaries). However, LGs opined that CD/training tends to be neglected by Line Ministries, in light of LG becoming more autonomous. Nevertheless, training is mainly implemented by central agencies (RCSC, Line Ministries, and DLG etc.) rather than LGs themselves except for a few training courses implemented by some Thromdes and Dzongkhags. For example, Thimphu Thromde used its revenue to send Tshogpas to the Philippines and South Korea on study tours. Several respondent Dzongkhags, during CNA FGs, mentioned that they had pooled their budgets for training with other Dzongkhags to commission DLG to organise Leadership, and Dzongkha Unicode trainings for LG elected functionaries. Both elected and appointed functionaries suggest that the key to improving CD/training is through the provision of an adequate CD budget, allocated to LGs by central government on an annual basis.

Box 1: Sector Line Ministry approaches to CD/training of LG functionaries

The MoAF has a relatively well-developed approach to CD planning and delivery at LG level, with a needs'-assessed CD plan covering the 12 FYP, inclusive of RNR sector. The frequency of training is planned based on set criteria. The Social Forestry & Extension Services of the Department of Forests (DoF) also provides training to farmers and local leaders on forest products like bamboo, cane, etc. The Department of Agriculture (DoA) through the EU-TCP project allocated 40 per cent of funds to the CD of LGs. Skill development training is provided for P2 level and below, with management training provided for P1 level and above. Accordingly, MoAF has conducted leadership training for sector heads – and this is a similar approach to the newly-adopted RCSC CBF. Since 2018, the MoAF has stopped the direct nomination of participants from LGs and seeks such nominations from the Dzongkhag Human Resource Committee (HRC). Donor projects also provide training for the appointed MoAF functionaries of the LGs, for example through the 'Commercial Agriculture & Resilient Livelihood Enhancement Project' (CARLEP) funded by IFAD for six Eastern Dzongkhags. Another example of CD activities led by a Line Ministry/Agency is the NEC. It does not have a CD plan for LG at the grassroots level, although they have delivered sensitisation on legal issues for Gups and Mangmis at Dzongkhag level over the past two years. They have also undertaken sensitisation on climate change and water-related subject matters at Dzongkhag level, and have a plan for training under the Water Flagship Program Project (Asian Development Bank). Another example of a sector approach to CD at LG level is provided by the Ministry of Works and Human Settlement (MoWHS). They have not undertaken a CD needs' assessment but Thromde Engineers, and some Theumis (Ngotshab) and Thrompons (Mayors) have been trained by the Department of Human Settlement (DHS), MoWHS. The DHS also conducted induction and sensitisation courses for elected functionaries after the election. In addition, the DHS annually funds Nu. 1.5-2.5 million (EUR. 16,917 - 28,207) for training/refresher courses by the College of Science and Technology (CST), Phuentsholing, and the Deothang Engineering College.

²⁵ GNHC, RCSC, MoF, MoWHS, NEC, and MoAF

Training modalities

Almost exclusively, the CD/training activities discussed by LGs were in fact face-to-face training courses or workshops, rather than other modalities such as coaching, mentoring or online learning. This is likely to have changed somewhat due to the travel restrictions due to the Covid-19 pandemic which not only requires smaller gatherings (where permitted) but more of a reliance on in-country (as opposed to out of country study tours/conferences/training/workshops) and on-line events, with an associated increasing reliance on networking and knowledge management.

CD/Training Plans for Elected functionaries

Central ministries consider that the DLG should prepare a comprehensive, clear CD Plan for LGs as per the LG Rules and Regulation, 2018 and draft LG Bill, 2020. Furthermore, it was suggested that such a CD plan should address the training needs of both incumbent elected functionaries as well as aspiring candidates so that they are prepared for elections. GNHC suggested that targeted participants of training programmes could also include Civil Society Organisations (CSOs).

Less than half (43%) of elected functionaries reported that their capacity development needs had been identified. When asked who should develop HR Development Plans for LGs, the majority (56%) saw this as the role of DLG, whilst 39 per cent thought the plans should be developed by LGs themselves.

2.4.2. Executing CD/Training

Relevance and quality of CD/training

When appointed functionaries were asked about the relevance of recent training attended, 83 per cent of found it to be relevant and 84 per cent found the trainers to be competent. However, in general, they expressed concern about poor quality training materials: none said that the training materials were adequate, with only 36 per cent confirming that the training materials were “somewhat adequate”, and a quarter (24%) found them to be “somewhat inadequate/inadequate”. On the other hand, 91 per cent of elected functionaries responded that they perceived training received to be very relevant/somewhat relevant and furthermore, 90 per cent found the trainers to be competent.

Training providers

LG functionaries informed the CNA that they had received training from 28 training providers, comprising three groups during 2018 – 2020 (Annex 6: List of Training Providers who delivered courses to LG functionaries 2018 – 2020): (1) 11 Private sector/training institutes, (2) four International/Non Governmental Organisations (NGOs), and (3) 13 RGoB Ministries/Agencies, (including seven centres/projects under the MoAF) (Box 2: LG Training Providers). The selection of training organisations is undertaken through the government’s tendering system. The list of providers show that a fairly buoyant market of private sector/quasi independent institutes has developed, which provides the opportunity to raise training standards if a competitive commissioning approach is adopted. It also indicates that the International/Non-Governmental Organisations

(I/NGO)/CSOs segment for CD/training still has some way to go before becoming a mature market.

Box 2: LG Training Providers

Four organisations who frequently deliver LG training were interviewed for the CNA to gather views on the training focus and arrangements for delivery in recent years. All responded to ad-hoc requests and used their own trainers. The Royal Institute of Management (RIM) conducted training as and when requested by clients like DLG. Since 2017 it conducted training on (a) Leadership and Management (b) Result Based Management, (c) Dispute Resolution, and (d) Social Accountability. The Bhutan Network for Empowering Women (BNEW) conducted training on leadership and carried out sensitisation programmes for aspiring women for LG elections. The Bhutan Centre for Media and Democracy (BCMD) conducted training for media and democracy literacy for local leaders, as well as sensitisation on what it means to be citizens. The Institute of Management Studies (IMS) had been associated with the DLG since 2009 in delivering consultancy and conducting trainings on an ad-hoc basis in response to requests from DLG and other agencies. At the end of every training course, feedback was collected to gauge the effectiveness, but this is not stored on any RGoB system and not shared with the LGs (who would not usually be the commissioner of the training).

2.4.3. LG CD/Training Monitoring and Evaluation

Monitoring and Evaluation Systems

In addition to there not being a coordinated approach to undertaking CNA, or establishing LG CD/training plans at LG levels, the CNA confirmed that there is no established system in place for monitoring and evaluating CD/training activities at either central or LG levels. It appears that DLG, as a parent department for LGs, does not have a proper monitoring and evaluation system in place to keep track of training and to evaluate the benefits accrued from the execution of the CD/training plans. The CNA reviewed the NMES framework and its main components, namely (a) the Government Performance Management System (GPMS) managed by the Government Performance Management Division (GPMD) of the Cabinet Secretariat, (b) Multi-Year Rolling Budget (MYRB) System of Department of National Budget (DNB), and the (c) Public Expenditure Management System (PEMS) of Department of Public Accounts (DPA), of Ministry of Finance (MoF). The aim was to identify whether any system was in place that registered Training Needs Assessments (TNA), CD/training plans' monitoring and evaluation etc. It found that the NMES is not an integrated system and not all components are online, but rather that it functioned through its subsidiary components. These systems did not include any elements of monitoring CD/training of LGs.

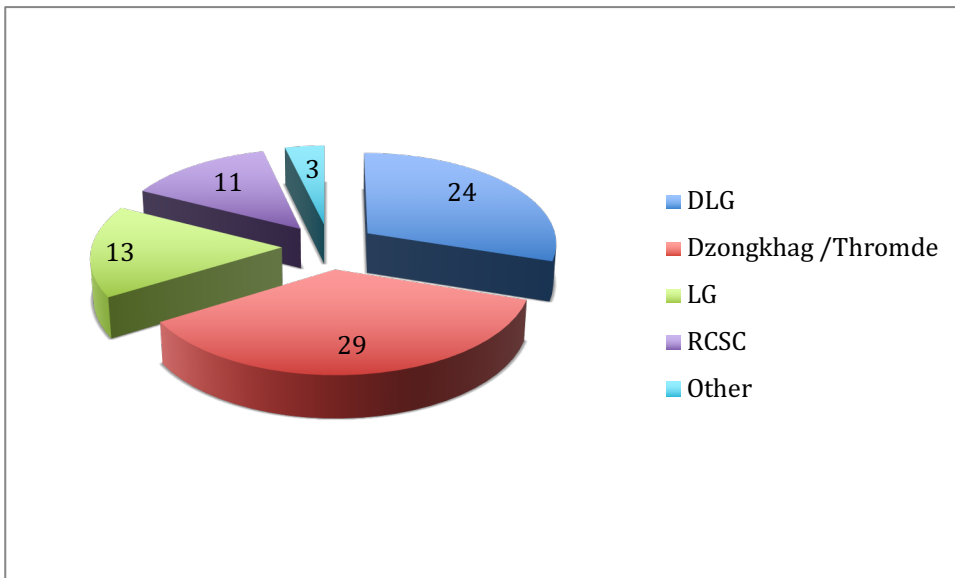
Taking each NMES component in turn, (a) GPMS: LG CD/training activities may be monitored only if the APA had included CD/training activities, but this is not the focus of APA system, which more appropriately includes major capital activities; (b) the MYRB, which is now fully integrated with the (c) Public Expenditure Management Systems (PEMS), now called EPEMS, which is an accounting system to maintain records of all government expenditures. Of late, a tool called Budget Monitoring Tool (BMT) has been developed as an offshoot of the integration of MYRB and EPEMS. This tool keeps track

of both budget release and expenditures. It is a living system and can monitor the status of physical progress and financial expenditures on a monthly basis. All budgetary and accounting personnel have been trained on the system and tool, and they have been provided with all hardware with internet connectivity. The MoF is also in the process of pooling or clustering all financial personnel, placed in different government agencies in a Dzongkhag, under one roof within the Dzongkhag for proper coordination and reduction of HR utilisation. This BMT tool can, to a certain extent, monitor implementation of CD activities through budget release and expenditure tracking. Whilst Line Ministries/Agencies may have centralised HRD Plans accompanied with training databases (e.g. MoAF, MoF and RCSC), they are top-down systems into which CD/training initiated by LGs themselves through other training providers would not be included. Therefore, it can be concluded that there is no holistic or comprehensive monitoring or evaluation system for CD/training activities of LGs in place at either central or LG levels.

Responsibility for monitoring LG CD/training

Nearly half (48%) of elected functionaries suggest that as the parent agency, DLG should monitor the relevance of the LG CD/training activities, whilst most (52%) considered that this should be done by the LGs themselves. DLG currently gathers feedback from participants about the effectiveness of CD/training events but it is not part of a systemised or automated approach. Over half of the civil servants suggested that LGs should monitor LG CD/training, whilst nearly one-third (30%) thought this should be the role of DLG; and only 14 per cent thought that this was the mandate of the RCSC (Chart 11: Appointed functionaries view on which organisation should monitor LG CD/training).

Chart 11: Appointed functionaries views on which organisation should monitor LG CD/training



The MoAF maintains training records through an E-filing system, which was developed by EU-TCP project that can provide department-wise training records and this may be an option for DLG and the LGs.

Impact of learning

In the absence of well-established monitoring and evaluation system for CD/training activities, it is difficult to judge the benefits accrued in terms of improvement in delivery of public services. Both elected and appointed functionaries suggested that in order to ensure the implementation of learning from CD/training events that participants should deliver a presentation of learning on their return to office, prepare a post-CD/training action plan, and after three months prepare a follow-up report on actions taken. From a more strategic perspective, the elected officials proposed that impact assessments of training should be undertaken.

2.4.4. Review of Social Accountability

RGoB plans to roll-out Social Accountability Tools

Bhutan introduced the concept of Social Accountability Tools (SATs) in 2012 when the first Social Accountability (SA) workshop was organised by the Anti-Corruption Commission of Bhutan (ACC), drawing participants from relevant agencies across the government. The 12th Five Year Plan (FYP)²⁶, expects all 20 Dzongkhags to have implemented SATs on its completion in 2022-2023, with eight Dzongkhags expected to have done so by 2020-2021. To this end, DLG is tasked with reinforcing the rolling out social accountability mechanisms in the LGs.

Four SATs had been developed by DLG and the ACC, initially with the view to be rolled out to LGs in Bhutan, namely:

- (1) Community Score Card (CSC): a qualitative monitoring tool that is used for local level monitoring and performance evaluation of services, projects and even government administrative units, by the communities themselves;
- (2) Citizen Report Card (CRC): a participatory survey tool that provides qualitative feedback on user perceptions on the quality, adequacy and efficiency of public services;
- (3) Budget Advocacy/Budget Analysis (BA) or Participatory Budgeting (PB) tool: enables communities to read and analyse budgets, follow the flow of budget allocations and oversee the expenditure of budgets for project implementation; and
- (4) Social Audits (SA) or Public Audit (PA): a participatory community accountability process that reviews official records and determines whether LG budgets are allocated as planned, whether reported expenditures match budgets actually allocated, as well as spent on the ground.

DLG introduced the four SATs in four Gewogs, on a pilot basis, through a series of workshops funded by Helvetas, Swiss Inter-cooperation and the Swiss Agency for Development Cooperation (SDC). Two parallel workshops on CSC and CRC were conducted in Samtenling Gewog, Sarpang, and Samtse Gewog, Samtse, in 2013. The workshops were organised jointly by the DLG, ACC and the Department of Information Technology and Telecom (DITT), Ministry of Information and Communications (MoIC). A

²⁶ Twelfth Five Year Plan (2018-2023), Volume II: Central Plans, GNHC

workshop on BA was organised in Trong Gewog, Zhemgang in 2014 by DLG. These three workshops were attended by LG functionaries and local community leaders. Finally, a sensitisation workshop on SA was organised by DLG in 2014, conducted by RIM attended by representatives from various government agencies.

While all four tools are relevant and applicable in the context of Bhutan, the RGoB chose the CSC to be rolled out to all Dzongkhags and Gewogs. Accordingly, the GNHC included this initiative as programme No. 4: LG programme on democracy and decentralization enhancement, under the National Key Result Area 13 (NKRA 13) - Vibrant Democracy and Decentralization of the 12th FYP²⁷. The DLG, as a lead agency, and jointly with the GNHC, had planned to roll out the CSC starting from 2019-2020 by conducting training to DPOs and GAOs through a Train the Trainer (ToT) approach. However, due to Covid-19 pandemic, the training programme could not be started.

LGs progress in implementing Social Accountability Tools

60 per cent of elected functionaries informed the CNA that SATs were being rolled out, with the BA and SA tools being the most commonly implemented, and the CSC/CRC to a lesser extent – despite this being the priority SAT for RGoB. Similar findings were confirmed by appointed functionaries - 53 per cent said they had used SATs since 2019 with nearly half having implemented SA and BA, but only four per cent having used CSC/CRC.

LG functionaries' communications with citizens

As part of the review of progress in the roll-out of SATs, the CNA also asked both elected and appointed functionaries about the transparency and accountability of their work – by questioning whether they informed citizens about development activities in their Gewogs. Whilst over half (53%) of elected functionaries and 58 per cent of appointed functionaries said they did so, it is of concern that almost half of LG functionaries said that they did not. Those elected officials who did inform their constituents of development activities, did so through meetings (39%), another 30 per cent explained that they communicated through Chiwog Tshogpas, whilst 13 per cent used their LG website, LG Portal, and social media. This included providing information through the same channels about the cost of projects/developments in their Gewogs, with only nine per cent of elected officials using community notice boards. Similar patterns of communications were found for appointed functionaries (as had been found for elected functionaries), with 33 per cent communicating through public meetings, 32 per cent through Chiwog Tshogpas, with an increased percentage (21%) communicating through their LG website, LG Portal and social media. Still only 14 per cent of appointed officials used the community notice boards.

However, LG civil servants communicated more frequently with citizens about the cost of projects/developments in their Gewogs with 93 per cent of them confirming that they do so – mainly through public meetings – accounting for half of all such communications, with

²⁷ page 82, Volume I, Main Document, 12th FYP, 2018 – 2022, GNHC

nearly a quarter communicating through Chiwogs Tshogpas, and much less using on line platforms or community noticeboards.

Almost half (49%) of elected officials had been asked for copies of official documents by citizens, mostly about budget allocations and expenditures, plans and current status of plans, as well as information on government rules and regulations. Again appointed officials were more likely (61%) (when compared with elected functionaries) to provide official information in response to requests from citizens but for the same types of information as requested from elected functionaries.

LG functionaries use of LG Portal

The LGs are served by a Local Government portal (<http://www.localgovernment.bt>). The Portal provides an overview of socio-economic development landscapes of Dzongkhags and Gewogs in terms of information and data, covering: LG functionaries, some sector services, infrastructure, LG minutes and legislation. It is supposed to link LGs and other relevant agencies to facilitate sharing of LG related information and issues of national concern. However, DLG believes that the Portal is neither widely used nor content fully maintained or up-to-date.

The CNA found that there is a relatively high use (80 per cent) of the LG Portal amongst the appointed functionary respondents - predominantly used (in rank order) to access G2C²⁸, public service, and budget information. The LG Portal was accessed much less by elected functionaries - just over half (55%), who used it to access public service information (51%), budget information (26%), and G2C information (23%). This again highlights the need for ICT CD/training for elected functionaries.

2.4.5. Summary of lessons learnt from 2012 CD Strategy

A broad and comprehensive CD strategy was developed in 2012 with an objective to develop the required capacity for Local Governance in terms of adequate service delivery. A review (though not extensively) of CD Strategy 2012 was done together with an assessment of the implementation of Capacity Development Grant (CDG) rolled out in 2014-15 and funded by the Local Governance Sustainable Development Programme (LGSDP). There was a total absence of national capacity development framework and annual LG training plans on which basis capacity development efforts could have been assessed, planned, budgeted, coordinated, executed and evaluated. Had there been a training plan with proper a Monitoring and Evaluation (M&E) system in place, it would have been easier to measure the impact of training. It would also have allowed diversification of training from traditional classroom and workshop type of training into: a) on line training, b) electronic platforms like Facebook, c) on-the job-training and coaching, d) shared learning, study tour, etc. CD strategies and plans should have been demand-driven and tailor made to address specific CD needs.

The assessment recommended the following actions for improvements:

²⁸ G2C is online Government to Citizen services

1. Most of the LG officials expressed that the trainings should have been conducted right after the LG election since many were new in office.
2. Financial reporting mechanisms and supervision be improved by introducing reporting format;
3. LGs should coordinate the planning of identical trainings and jointly negotiate training costs to achieve economies of scale;
4. The number of female training participant should match the percentage of women working for the LGs. Women's' leadership trainings be introduced in order to balance gender participants.
5. Development of annual training plans be made compulsory;
6. Hire the services of cost effective, but not the cheapest, training provider based on quality requirement;
7. A blended training approach be adopted in CD Strategies and training plans by introducing alternative and often more cost-effective modalities.
8. A comprehensive M&E Frameworks should be developed for all continuous monitoring of progress and evaluate impact of efforts.

These findings and recommendations remain relevant to the new CD Strategy 2021 – 2024 and have been integrated within the findings, conclusions and recommendations of this CD assessment, thereby informing the new CD Strategy.

3. Conclusions

3.1. General observations

Lack of availability of CD/training data

The CNA had difficulty gathering some data from LGs due to the impact of Covid-19 but a diverse range of research methods were used by the CNA and provided a reasonable overview of the CD needs of LG functionaries. Furthermore, **CD/training plans were not in place**, most CD/training attended by functionaries was ad-hoc, and **training records were not systematically kept**, and therefore it was difficult to capture all training that elected and appointed functionaries had attended. Even DIG records were found not to be comprehensive or up-to-date.

Unequal representation of women in Local Governments

The CNA highlighted the **unequal numbers of women and men working as appointed and elected officials**. 16 per cent of elected functionaries, and 19 per cent of appointed functionaries were women. This confirms the need for the RGoB to identify ways of promoting the representation of women within senior levels of the civil service as well as elected members.

Implications of the CBF on DLG CD training proposals for LG appointed functionaries.

The original plan was that the DLG would formulate a LG CD Strategy and Plan to encompass the CD needs of both elected and appointed functionaries. However, the CBF for civil servants, including LG appointed functionaries, shall provide needs-based technical, and leadership training according to job roles, in order to capacitate these officials to provide effective and efficient service delivery. The CBF training plans shall coordinate the delivery of STT and LTT through Training Institutes based on training proposals developed by agencies, to be submitted to the RCSC for implementation and resource allocation. It is therefore anticipated that **the envisaged DLG-led CD Strategy and Plan for appointed functionaries shall be superseded by the CBF** and its associated training proposals, to be prepared by the concerned Line Ministries and Agencies. **Therefore the DLG-led LG CD Strategy and Plan shall comprise CD/training priorities for elected functionaries only.**

3.2. Planning and funding CD/training

Inadequate Capacity Needs Assessments and Capacity Development/training Plans

Dzongkhags and Gewogs did generally undertake some form of CNA of LG functionaries' CD/training needs but this **had not been followed through with the identification of CD priorities or CD/training plans having been put in place**. Most of the CNAs had been undertaken by the Dzongkhags, with few respondents mentioning such assessments having been undertaken by Line Ministries. Despite the planned CBF by the

RCSC, most respondents considered that **such training plans should be developed by the DLG or LGs themselves, and universally disapproved of a centralised approach to training.** The CNA found that **almost all training had been conducted on ad hoc basis, and without systematic record-keeping.** The LGs informed that they did not have their own dedicated training budget; although they were permitted to use block grants for CD/training, they have not tended to have done so. **LGs were of the view that LG CD/training tends to be neglected by Line Ministries,** in light of LG becoming more autonomous. Nevertheless, **training is mainly implemented by central agencies** (RCSC, Line Ministries, and DLG etc.) rather than LGs themselves. Both elected and appointed functionaries suggest that the **key to improving CD/training is through the provision of an adequate CD budget, allocated to LGs by central government on an annual basis.**

Training priorities and associated gaps in CD/training

Training should ideally be driven by the mandate and requirements of RGoB's legislative and policy frameworks, mandates as well as the specific requirements of the LGs themselves. Whilst the DoRF, specifies **Economic (Development) Services, and Social and Welfare Services** (although Social and Welfare Services are narrowly defined), **no training was provided to LG functionaries over the past three years.** Local Economic Development is one of the key priorities of the 12th FYP and training will be delivered to both LGs and entrepreneurs under the coordination of the DLG with the support of the EU-funded TACS programme, but the programme is due for completion in 2021 and so a sustainable approach to delivery of such CD/training would be required in future.

In terms of management skills, whilst, only I. Project Management was touched on by elected functionaries, it is of concern that **no CD/training has been received by any LG functionaries in relation to G. Project Planning, H Procurement, or I. Project Management,** although the associated core technical function of H. **Public Service Delivery was identified as a priority for both sets of functionaries.**

Elected functionaries have identified their ranked CD/training priorities in relation to their core functions as being:

- A. Policy, Planning, Statistical and Research Services,
- H. Public service delivery, and

C. Administrative services (including : A. Chairing meetings, and B. Drafting memos and reports).

Public Service Delivery is a core technical function that is crucial for all functionaries including elected officials, although over the past three years such training has been the domain of appointed rather than elected officials. Further, elected functionaries identified their lack of capacity in relation to the following forward-looking core technical functions:

- D. Information, Communication Technology and Media,
- F. Economic (Development) Services, and
- E. Environment.

For management skills, elected functionaries identified their CD/training priorities as being

- L. Mediating grievances and disputes,
- K. Project monitoring,
- D. Financial management / basic accounting, and,
- I. Project Management.

Unlike elected functionaries, most of the **LG appointed officials respondents had been in post for at least four years** and so were experienced in undertaking their job functions. The policy and planning aspects of A. Policy, Planning, Statistical and Research Services has been well-covered by training in the past three years for appointed functionaries but **A. statistics and research were an unmet training need.** G. Social and Welfare Services in relation to Policy and Planning have been addressed through gender-related training. In terms of CD/training for core technical functions, **appointed functionaries have identified the following ranked priorities:**

- H. Public Service Delivery,
- C. Administrative services, and
- A. Policy, Planning Statistical and Research Services.

It is encouraging that these three top ranked priority functions are the same as those identified by elected functionaries, which indicates that both elected and appointed LG functionaries understand the core purpose and focus of their jobs. These functions have been subject to training for civil servants over the past three years, with the exception of the statistical and research aspects of A. Policy, Planning Statistical and Research Services.

Further, **civil servants identified their lack of capacity** in relation to the following core technical functions:

- D. ICT and Media Services,
- F. Economic (Development) Services,
- B. Human Resource Services, and again
- A. Policy, Planning, Statistical and Research Services.

Management skills ranked most important for appointed officials to undertake their job were:

- J. Record keeping
- K. **Project monitoring**, and jointly third:
- B. Drafting memos/reports, and G. Project planning

Aspects of **less competency** included:

- A. Chairing meetings
- C. **Presentation Skills**, and jointly third:
- B. Drafting memos/reports, and D. Financial management /basic accounting.

Appointed officials did not attend CD/training for E. Understanding taxation, fees & charges, although as LGs become more autonomous there is a corresponding need to increase their collection of local revenue and to strengthen local PFM but they did not select it as a priority need for training. **Civil servants identified a of lack of coordination and poor planning as being the key impediments to undertaking their job**, which perhaps highlight that improvements in performance rely not only on training but also in reviewing and improving ways of working.

3.3. Delivery of CD/training

Limited range of Capacity Development/training modalities

The findings in relation to the most significant factors that impede the smooth functioning of the work of elected functionaries, such as the non-cooperation from the community,

highlight that **more of an understanding of consensus-building and negotiation is required**, in the context of this still relatively new democracy and increasing decentralisation. Most elected officials are inexperienced and this indicates **the need for ongoing coaching and mentoring**, in addition to traditional training. Further, whilst decentralisation is progressing, in reality **many appointed officials continue to operate out of Thimphu**.

CD is more often than not, limited to face-to-face training and workshops. Whilst RGoB recognises (through its CBF, for example) that CD is not just about training, but also other modalities, (such as in-country/overseas training, workshops, and study tours; e-learning; on-the-job coaching and mentoring; and institutional mechanisms, such as LG forums, LG peer-to-peer exchange visits, and knowledge management platforms, for example) - these are not evidenced in practice by the CNA. However, **since the Covid-19 pandemic, there is more of a reliance on in-country** (as opposed to out of country study tours/conferences/training/workshops) **and on-line events, with an associated increasing reliance on networking and knowledge management.**

Elected functionaries have also highlighted the need for basic office infrastructure to enable them to operate; and more generally the CNA has highlighted the need to **improve Standard Operating Procedures (SoPs) to increase operational efficiency.**

Generic training and poor quality training materials

Appointed functionaries emphasised the need for the **localisation and tailoring of training** specifically to the needs of the participants and to Bhutan (rather than generic, international training that does not take the Bhutan context into account). They also expressed concern about **poor quality training materials**. In relation to elected functionaries, since few of them hold a college degree, this has implications for the level (e.g. **basic/advanced**) **of training required by most elected officials.**

Training providers

The list of LG training providers (Annex 6) show that a **fairly buoyant market of private sector/quasi independent institutes** has developed, which provides the opportunity to raise training standards if a competitive commissioning approach is adopted. It also indicates that the **I/NGO/CSO segment for CD/training still has some way to go** before becoming a mature market.

3.4. Use of systems for CD/training and LG accountability

Recording, Monitoring and Evaluating training

There is no established holistic system in place for recording, monitoring or evaluating LG CD/training activities at either central or LG levels. It appears that DLG, as a parent department for LGs, also does not have a proper monitoring and evaluation system in place to keep track of training and to evaluate the benefits accrued from the execution of the CD/training plans. Whilst half of elected functionaries considered that DLG should monitor CD/training, the other half thought that this should be undertaken by the LGs themselves. In the absence of well-established monitoring and evaluation system for

CD/training activities, it is difficult to judge the benefits accrued in terms of improvement in delivery of public services.

Social Accountability Tools

The 12th FYP requires that all 20 Dzongkhags to have implemented SATs on its completion in 2022-2023, with eight Dzongkhags expected to have done so by 2020-2021. To this end, DLG is tasked with reinforcing the rolling out social accountability mechanisms in the LGs, but **training has been delayed due to the Covid-19 pandemic**. Around half of both sets of functionaries confirmed that they had used SA and BA, but **very few had used CSC/CRC – despite CSC having been confirmed as a government priority**.

LGs communications with communities

It is of concern that almost half of LG functionaries did not inform their citizens about development activities in the Gewogs. Although nearly all civil servant respondents informed citizens about the cost of projects/developments. Further, whilst face-to-face meetings are relied on, there is low use of noticeboards, and also relatively low use of the LG website, LG Portal, social media, particularly by elected officials – and this ties in with their highlighted of ICT as a key capacity gap. Between a half to nearly two-thirds of all LG functionaries were asked for copies of official documents by citizens, mostly about budget allocations and expenditures, plans and current status of plans, as well as information on government rules and regulations.

Use of LG Portal

The LG Portal provides an overview of socio-economic development, and plans and activities of Dzongkhags and Gewogs. However, DLG believes that the Portal is neither widely used nor content fully maintained or up-to-date. However, **four-fifths of civil servants and over half of elected functionaries reported that they used the Portal, mainly to access G2C, public service, and budget information**.

5. Recommendations

5.1. Enhancing equity within Local Governments

- (a) In compliance with the National Gender Equality Policy (2019)²⁹ the **DLG** should work in partnership with the NCWC and the RCSC (and other relevant RGoB stakeholders) to seek to **fast-track women in LGs**. For example, In consideration of the lack of representation of women within LGs and in order to support the promotion of female civil servants and the competency of female elected functionaries, **women should be prioritised for CD/training as a matter of policy**. They should also be prioritised for receiving **coaching and mentoring support**. This positive action should apply to both sets of functionaries who are already in post as well as to women who are aspiring to stand for election, and for female members of CSOs; and
- (b) **Women's' leadership training** be introduced in order to balance gender participants.

5.2. Planning Capacity Development/training

- (a) CD/training plans should be developed using a TNA approach, and ad-hoc training should be avoided;
- (b) LGs should coordinate the planning of similar training and jointly negotiate training costs to achieve economies of scale;
- (c) A skill needs-based HR and CD mapping to address the five year plan should be taken up by HROs to establish budget requirements; and
- (d) The **RCSC** should **standardise CD/training records at LG level** to be maintained systematically by HROs and GAOs.

5.3. Capacity Development/training priorities for elected functionaries

- (a) **CD/training for elected functionaries** in 2021 – 2024 should be prioritised to provide basic and advanced training to address the following **ten core technical functions and management skills**. They identified the following priorities in relation to core technical functions that were most relevant to their role: (1) **A. Policy and planning**, (2) **H. Public service delivery**, and (3) **C. Administrative services** (including management skills: A. Chairing meetings, and B. Drafting memos and reports); and aspects in which they considered their capacity was lacking: (4) **D. ICT and Media**, (5) **F. Economic (Development) Services**, and (6) **E. Environment**. Elected functionaries are becoming increasingly responsible

²⁹ National Gender Equality Policy, NCWC, RGoB, 2019

- for not only consulting local communities on development priorities but also being accountable to them for access to services and their quality. Therefore current CD/training priorities for elected leaders should also include social accountability and community engagement in relation to service delivery. In regard to management skills, they identified the following as key priorities: (7) L. **Mediating grievances and disputes**, and (8) K. **Project monitoring**, (9) D. **Financial management / basic accounting**, and, (10) I. **Project Management**;
- (b) DIG should ensure that the **LG CD plan** should address the training needs of **both incumbent elected functionaries as well as aspiring candidates** so that they are prepared for elections; and CD activities should also be held as a priority immediately after elections; and
 - (c) **DLG** should consider **attendance of training courses by CSOs**, where relevant, when drawing up training plans.

5.4. Capacity Development/training priorities for appointed functionaries

- (a) **CD/training for appointed functionaries** in 2021 – 2024 should be prioritised to provide basic and advanced training to address the following **ten core technical functions and management skills**. They identified the following priorities in relation to core technical functions that were most relevant to their role: (1) H. **Public Service Delivery**, (2) C. **Administrative services** (including the management skills of: A. Chairing meetings, B. Drafting memos/reports, C. Presentation Skills and J. Record keeping), and (3) A. **Policy, Planning Statistical and Research Services**;); and aspects in which they considered their capacity was lacking: (4) D. **ICT and Media Services**, (5) F. **Economic (Development) Services - LED** is a key priority of the 12th FYP and CD/training should be sustained for Dzongkhag Economic Officers (EOs) and DPOs in particular; and (6) B. **Human Resource Services**. In regard to management skills, civil servants identified the following as key priorities: (7) K. **Project monitoring**, and (8) G. **Project planning**, (9) D. **Financial management /basic accounting**, and (10) E. **Understanding taxation, fees & charges**.

5.5. Delivery of Capacity Development/training

- (a) CD/training should be **tailored to the needs of participants** and differentiated between basic and advanced training;
- (b) **Training materials should be quality assured** by the entity that has commissioned the training to ensure that they are fit for purpose, suitable for the level of training, and are user-friendly;
- (c) The **RCSC and DLG** should **identify ways of promoting the I/NGO/CSO sector** to increase their training delivery capacity to LGs;

- (d) **In-country CD/training should be prioritised** (as opposed to out of country study tours/conferences/training/workshops) and on-line events, with an associated increasing reliance on networking and knowledge management;
- (e) A **wider range of modalities for CD/training should be deployed**, including: e-learning; on-the-job training; coaching and mentoring. **LGs** should also provide a **rationale for their chosen CD/training modalities** to ensure that they have considered the range of options available;
- (f) **Training providers' services** should be cost effective, but not necessarily the cheapest, but rather balanced with **quality requirements**;
- (g) **DLG** should promote the development/strengthening of **institutional knowledge management mechanisms** should be established/strengthened , such as LG forums, LG peer-to-peer exchange visits, and knowledge management platforms;
- (h) **DLG** should develop and administer a **LG Knowledge Management and Learning Strategy and Platform as part of the LG Portal** to promote both tacit and explicit knowledge harvesting and learning between LGs;
- (i) **DLG** and **RCSC** should **develop guidelines for promoting coaching and mentoring schemes within and between LGs** which may include senior to junior coaching or peer to peer mentoring for example; and
- (j) **RCSC**, in partnership with Line Ministries and Agencies should review Business Processes related to the core technical functions of appointed officials in order to increase efficiencies through improved SOPs.

5.6. Recording, Monitoring, and Evaluating CD/training

Improving CD/training data and systems

- (a) **DLG** in conjunction with **LGs**, should **review the training databases** of central Line Ministries/Agencies (including MoAF, MoF and RCSC) to determine what form of database and/or M&E system would be suitable for them, to record, monitor and evaluate CD/training. Options to be considered should include an **LG CD/training system linked to the LG Portal**; and
- (b) Standardised reporting formats should be introduced for M&E purposes for recording training and costs associated with CD activities delivered.

Realising the impact of learning

- (a) In order to ensure the implementation of learning from CD/training events, as a matter of RCSC policy, participants should deliver a presentation of learning on their return to office, prepare a post-CD/training action plan, and after three months prepare a follow-up report on actions taken.
- (b) **DLG** should **commission an independent impact evaluation of training for elected functionaries** should be undertaken after the completion of the 2021 –

2024 LG CD Strategy and Plan to ascertain the key areas of learning and continuing gaps in capacity.

5.7. Increasing LG accountability

Roll-out of Social Accountability Tools

- (a) **DLG** should consider whether the 12th FYP target of 20 Dzongkhags having implemented SATs by 2023 is realistic and produce a **route-map for supporting the roll-out of SAT to the LGs**.
- (b) **Gender equity** should be mainstreamed **within the design of the SAT**, particularly: bottom-up gender audits as part of the BA, and the gathering of gender/age/PwD disaggregated data as part of the CSC and CRCs.

Modes of communication

- (a) LGs should regularly monitor and record their use of noticeboards, the LG website, LG Portal, social media, with DLG reviewing usage on an annual basis.

Annexes

Annex 1: Targeted functions and elected/appointed functionaries for Capacity Needs Assessment

Core LG Functions

The Capacity Needs Assessment (CNA) has identified the capacity development needs of Thromdes, Dzongkhags, and Gewogs (LGs) against the delivery of (selected) core functions within the DoRF that include:

A. Policy Planning, Statistical and Research Services

Policies are formulated at the central government level while the LGs have the authority to frame only rules and regulations based on existing laws. The LGs can also formulate their five year plans and the subsequent annual plans based on the guidelines provided by GNHC. At the Dzongkhag level, budget outlay is kept for production of annual Dzongkhag statistics while Gewogs budget for Gewog data base collection which are eventually fed into the national data base maintained by the National Statistical Bureau (NSB).

B. Human Resource Services

Most of the HR functions are vested with the Royal Civil Service Commission (RCSC) and central government in terms of new appointments, transfers and capacity development, and the LGs have relatively limited Human Resource (HR) functions.

C. Administrative Services

Article 22(1) of the Constitution bestows the LGs, through direct participation of the people, to develop and manage their own social, economic and environmental well-being. They are empowered to promote holistic and integrated area based planning. Through the progressive increase in annual grants, the LGs undertake planned programs and activities.

D. Information, Communication Technology and Media Services

With the expansion of the use of Information, Communications Technology (ICT) in the country, LGs have access to e-services for effective and efficient public administration and public service delivery. However, other assessments³⁰ have noted that LGs need better connectivity and enhanced computer literacy to strengthen their use of ICT based systems and e-governance.

E. Environment Services

³⁰ Local Governance Assessment Study, National Council of Bhutan, 2015

In consonance with the important role of LGs in protecting and conserving the environment as enshrined in the LG Act and the LG Bill, LGs have been assigned to budget, plan, coordinate and execute environment services pertaining to controlling pollution of air, soil and water bodies and mitigation of climate change and Green House Gas (GHG) emission through adoption of green infrastructure.

F. Economic Development Services

These services pertain to job creation and skills development through promotion and development of Small and Medium Enterprises (SMEs), local economic development and local entrepreneurship, and renewable energy (biogas and solar).

G. Social and Welfare Services

The LGs have been tasked with the sensitisation of functionaries in regard to the identification of gender needs, planning and implementation of specific activities as well as mainstreaming gender. LGs are also responsible for providing protection to women, children and the People with Disabilities (PWD) and to eliminate physical, mental and emotional abuse and violence against women and children.

H. Public Service Delivery

The LGs budget, coordinate and execute the public service delivery pertaining to their respective common minimum infrastructure requirements, including Gewog community centres.

Target functionaries

The target functionaries that were consulted with for the CNA include:

Elected Functionaries

Dzongkhags

Thrizin

The main function of the Thrizin is to convene and Chair regular sessions of the Dzongkhag Tshogdu (DT) as per the rules of procedures. S/he issues notifications based on the resolutions of the DT and ensures that public is informed of the resolutions. S/he also authorises official travel and leave for Gups outside the Gewog.

Deputy Thrizin

The Deputy Thrizin's function is to preside over the DT as the Deputy Chairperson in the absence of Thrizin and enjoys the same powers and privileges as that of the Thrizin while presiding over the DT.

Thromdes

Thrompon

The Thrompon is the Chairperson of the TT and is responsible for convening regular session thereof. Being the head of the municipality, he/she oversees the implementation of development activities within the municipal boundaries and ensures proper implementation of the Thromde's rules and regulations.

Thromde Thuemi

Thromde Thuemi represents his/her people of the constituency and presents their views to the Thromde Tshogde (TT). Participates and presides over meetings of the urban village/zone committee on any matter or issues affecting the urban village/zone and submits to the TT.

Yenlag Thromde Thuemi

As per the LG Act 2009, Dzongkhag Yenlag Thromde shall function either under the Dzongkhag Administration or the Gewog Administration as decided by the government. Yenlag Thromde Thuemi has the similar functions as that of Thromde Thuemi as per the Thromde Rules 2011, section 66.

Gewogs

Gup

The Gup is the Chairperson of Gewog Tshogde (GT) and member of the DT. As a head of the Gewog Administration, he/she oversees the affairs of the Gewog and ensures the smooth functioning of the Gewog office, including: reporting on law and order to the Dzongdag, preparing the Five Year and Annual Plans, and implementation of programmes. He/she can authorise expenditure up to the limit stipulated in the Financial Rules and Regulations (FRR) and within the ceilings prescribed by the Government.

Mangmi

The Mangmi is the Deputy Chairperson of GT and assists the Gup in execution of day to-day works of the Gewog Administration. S/he oversees registration of births, deaths, marriages, new households, land, livestock and collection of taxes and additionally mediates in case of any civil litigation of a minor nature referred by Tshogpas.

Tshogpa

The Tshogpa is the member of GT and the representative of group of villages called Chiwog. S/he conducts village meetings called "Zomdu" to solicit views of public of his/her Chiwog, minutes the outcome and submits to the Gewog Office. Involves in planning and monitoring of development activities, collects record of population, houses, land and livestock and collect taxes in his/her Chiwog. Mediates disputes of civil nature referred by the people of his/her Chiwog.

Appointed functionaries:

Dzongkhags

Dzongdag

Dzongdag is appointed by His Majesty the King. S/he is the Chief Executive of the Dzongkhag. As the Chief Executive, s/he is responsible for conveying Government policy directives to the people of the Dzongkhag through DT and GT. S/he is also responsible for maintaining law and order, preserving and promoting traditions and culture, peace, harmony and unity within the Dzongkhag and Thromde. S/he also is required to provide policy directives for the preparation of Five Year and Annual Plans and implementation of annual plans and programmes of the Dzongkhag.

Dzongrab

The Dzongrab is the second in command in the Dzongkha. S/he is the head of the Administration and Finance of the Dzongkhag Administration and ensures smooth functioning of the general administration and supervises all socio-cultural activities.

Drungpa

As the Executive Officer in the Dungkha (a sub-division of Dzongkhag with Gewogs under its jurisdiction), the Dungkha is responsible for maintaining law and order and general public welfare. S/he supervises and monitors the progress of programmes, projects and activities implemented by various sectors to ensure their proper and timely implementation. S/he also communicates to the public any decisions or directives issued by the Government; and maintains and promotes peace, harmony and unity within the Dungkha.

Tshogdu Secretary

The Dzongkhag Tshogdu Secretary is a Secretary to DT and assists the DT Chairperson in coordinating DT meetings. S/he maintains records of the minutes of DT meetings and ensures copies are sent to the members and all concerned agencies, manages the office of the Chairperson and follows up on the resolutions of the DT.

Thromdes

Executive Secretary

The Executive Secretary is a civil servant appointed by the Government to head the Thromde Administration and oversee its management and affairs. S/he authorises payments for works, procurement and any administrative claims. S/he also ensures that the decisions of the TT are implemented in a timely manner.

Gewogs

Gedrung

The Gedrung functions as clerk to the Gewog Administration and is appointed for a fixed term. Their main tasks are: the collection of taxes and insurance premiums, processing land transactions in accordance with the Land Act of Bhutan 2007, and filing and maintaining records of all official documents.

Gewog Administrative Officer

The Gewog Administrative Officer (GAO) is the head of the Administration of Gewog office and functions as Secretary to the GT. They are pivotal to the entire Gewog Administration in terms of guidance, advice, direction and management. Their responsibilities include: assisting the GT in planning and monitoring development activities; advising and providing guidance to Gup and GT on national and sectoral policies, plans, priorities and programmes; and assisting in the preparation of Gewog Five Year and Annual plans.

Gewog Livestock Extension Staff

Gewog Livestock Extension officials are responsible for enhancing livestock production and marketing through the: supply of improved cattle breeds and monitoring the management at farm and household levels; supply of improved fodder seeds and seedlings; mechanisation of milk processing through the supply of equipment; and assisting in the formation of livestock Cooperatives, Groups and Associations for organised marketing.

Gewog Agriculture Extension Staff

Gewog Agriculture Extension officials are responsible for enhancing agriculture production and marketing through: supply of improved seeds and seedlings; adequate irrigation facilities including rain water harvesting and formation of Water User's Associations; sound post-harvest and cold storage facilities; and the creation of appropriate markets.

Annex 2: Summary Profiles of sampled LGs and questionnaire respondents

Dzongkhags and Gewogs visited for Capacity Needs Assessment

1. Monggar Dzongkhag

Monggar Dzongkhag lies in the eastern part of the country and is the biggest Dzongkhag in terms of the number of Gewog - which is 17. It is an area of approximately 1945 sq. km. with population of about 37,150. It is bordered by Lhuentse, Trashiyangtse, Trashigang, Pemagatshel, Zhemgang and Bumthang Dzongkhags. Monggar Dzongkhag is far away from the capital city, Thimphu – a distance of 460 km along winding roads. The major sources of cash income are through the sale of vegetables, citrus fruits, livestock products, pounded maize (Sip/Tengma) and traditional crafts.

1.1. Monggar Gewog

Monggar Gewog is where the Monggar Dzongkhag Administration Headquarters is located. The office of the Gewog Administration is located about one km. away from the office of the Dzongkhag Administration. It has six Chiwogs or 6 constituencies, with six members of the GT. The Gewog comprises 43 villages. People depend mostly on subsistence farming.

1.2. Drametse Gewog

Drametse Gewog is one of the Gewogs under Monggar Dzongkhag and it is about 89 km. away from the office of the Dzongkhag Administration. It has five Chiwogs with five members of the GT. It is comprised of five villages and people depend on subsistence farming.

2. Punakha Dzongkhag

Punakha Dzongkhag is located in the western part of the country and some decades ago, the capital of the country was located in this Dzongkhag. It has an area of approximately 1109 sq. km with population of about 28,740 and 11 Gewogs. It is bordered by Gasa, Wangdue Phodrang, and Thimphu Dzongkhags. Punakha Dzongkhag is 71 km. away from the capital city, Thimphu. People depend on subsistence farming and they earn cash income through sale of rice, chilli and other vegetables.

2.1. Guma Gewog

Guma Gewog is one of the Gewogs under Punakha Dzongkhag and is located about three km away from the office of the Dzongkhag Administration. It has five Chiwogs (with five GT members) and 47 villages. People depend mostly on subsistence farming and earn cash income from the sale of vegetables including chilli.

2.2. Shengana Gewog

Shengana Gewog is another Gewog under Punakha Dzongkhag with five Chiwogs (with five GT members). The Gewog has 63 villages and is about 18 km. away from the office of the Punakha Dzongkhag Administration. The main crop providing people with cash income.

3. Trashiyangtse Dzongkhag

Trashiyangtse Dzongkhag is located in the eastern part of the country and is one of the remotest Dzongkhags. It has an area of approximately 1,449 sq. km. with a population of about 17,300 and eight Gewogs. It is bordered by Trashigang, Monggar, Lhuentse Dzongkhags, the Indian state of Arunachal Pradesh and the Tibetan Autonomous Region of China. Trashiyangtse Dzongkhag is about 590 km. away from the capital city, Thimphu. The Dzongkhag is famous for two religious centres, namely Chorten Kora and Gomphu Kora. It is also known for its traditional crafts like wooden bowls and winter camp for Black-necked Cranes. People depend on subsistence farming and earn cash income from the sale of wooden bowls, chilli and other cash crops.

3.1. Toedtsho Gewog

Toedtsho Gewog is one of the Gewogs under Trashiyangtse Dzongkhag and is located about 36 km. away from the office of the Dzongkhag Administration. It has six (with six GT members) and 42 villages. People depend mostly on subsistence farming and earn cash income from the sale of vegetables including potatoes.

3.2. Yangtse Gewog

Yangtse Gewog is another Gewog under Trashiyangtse Dzongkhag with five Chiwogs (with five GT members). The office of the Trashiyangtse Dzongkhag Administration is located in this Gewog. The Gewog has 32 villages and is about 3 km. away from the office of the Trashiyangtse Dzongkhag Administration. The Gewog makes traditional bowls, which is one of their main sources of cash income.

4. Tsirang Dzongkhag

Tsirang Dzongkhag is located in the southern part of the country and is 173 km. away from the capital city, Thimphu. It has an area of approximately 638 sq. km. with population of about 22,376 and 12 Gewogs. It is bordered by Wangdue Phodrang, Sarpang, Dagana and Trongsa Dzongkhags. People depend on subsistence farming and they earn cash income through sale of livestock products, vegetables, cardamom and citrus.

4.1. Kikhorthang Gewog

Kikhorthang Gewog is one of the Gewogs under Tsirang Dzongkhag and is located about 7 km. away from the office of the Dzongkhag Administration. It has five Chiwogs (with five GT members) and six villages. People depend mostly on subsistence farming and earn cash income from the sale of vegetable, citrus and cardamom.

4.2. Mendrelgang Gewog

Gewog is another Gewog under Tsirang Dzongkhag with five Chiwogs (with five GT members) and seven villages. It is about 15 km. away from the office of the Tsirang Dzongkhag Administration. People depend on subsistence farming and cash crops and livestock products are main sources of cash income.

5. Trongsa Dzongkhag

Trongsa Dzongkhag, which was once upon a time the seat of power, is located in the central part of the country and is 199 km. away from the capital city, Thimphu. It has an area of approximately 1,822 sq. km. with a population of about 19,960 within five Gewogs. It is bordered by Wangdue Phodrang, Bumthang, Zhemgang, Sarpang and Tsirang Dzongkhags. People depend on subsistence farming and they earn cash income through sale of livestock products, vegetables and citrus. This Dzongkhag is the only one that produces Green Tea in Bhutan.

5.1. Langthil Gewog

Langthil Gewog is one of the Gewogs under Trongsa Dzongkhag and is located about 50 km. away from the office of the Dzongkhag Administration. It has five Chiwogs (with five GT members) and 21 villages. People depend mostly on subsistence farming and earn cash income from the sale of citrus and other cash crops.

5.2. Nubee Gewog

Nubee Gewog is another Gewog under Trongsa Dzongkhag with five Chiwogs (with five GT members and 23 villages. It is about 34 km. away from the office of the Trongsa Dzongkhag Administration. People depend on subsistence farming and cash crops and livestock products are main source of cash income.

6. Thimphu Thromde

Thimphu Thromde is a municipal boundary within the capital city, Thimphu. It is located within the Thimphu Dzongkhag but is a separate entity. Thimphu Thromde has population of 114,551 as per the 2017 Population & Housing Census of Bhutan. It has seven constituencies (with seven members of the TT). It is the seat of the government and one of the main commercial hubs of the country.

Dzongkhags and Gewogs not visited but who completed questionnaires

7. Dagana Dzongkhag

Dagana Dzongkhag is located in the southern part of the country and is 238 km. away from the capital city, Thimphu. It has an area of approximately 1,723 sq. km. with a population of about 24,965 and 14 Gewogs. It is bordered by Wangdue Phodrang, Tsirang, Sarpang, Chhukha and Thimphu Dzongkhags. People depend on subsistence farming and they earn cash income through sale of livestock products, vegetables and citrus.

7.1. Drujeygang Gewog

Drujeygang Gewog is one of the Gewogs under Dagana Dzongkhag and is located about 83 km. away from the office of the Dzongkhag Administration. It has five Chiwogs (with five GT members) and 28 villages. People depend mostly on subsistence farming and earn cash income from the sale of citrus and other cash crops.

7.2. Kana Gewog

Kana Gewog is another Gewog under Dagana Dzongkhag with five Chiwogs (with five GT members). The office of the Dagana Dzongkhag Administration is located within Kana Gewog. The Gewog has 14 villages and is about 17 km. away from the office of the Dagana Dzongkhag Administration. People depend on subsistence farming and cash crop and livestock products are main sources of cash income.

8. Haa Dzongkhag

Haa Dzongkhag is located in the western part of the country and is 112 km. away from the capital city, Thimphu. It has an area of approximately 1,905 sq. km. with population of about 13,655 and six Gewogs. It is bordered by Paro, Chhukha, Samtse Dzongkhags and West Bengal State of India. People depend on subsistence farming. However, due to rugged terrain and extreme climate conditions, agriculture is constrained by limited cultivable land and short growing seasons. Sources of income are only through the sale of a few cash crops and livestock products.

8.1. Gakiling Gewog

Gakiling Gewog is one of the Gewogs under Haa Dzongkhag and is located about 85 km. away from the office of the Dzongkhag Administration, making it the remotest and the farthest Gewog from the Dzongkhag headquarters. It has five Chiwogs (with five GT members). The Gewog has 14 villages and people depend mostly on subsistence farming and earn cash income from the sale of citrus and livestock products.

8.2. Katsho Gewog

Katsho Gewog is another Gewog under Dagana Dzongkhag with five Chiwogs (with five GT members) and 12 villages. The office of the Haa Dzongkhag Administration is located within Katsho Gewog and the office of the Gewog Administration is about 1 km away from

the office of the Dzongkhag Administration. People depend on subsistence farming and livestock products are the main source of cash income.

9. Pemagatshel Dzongkhag

Pemagatshel Dzongkhag is located in the eastern part of the country and is 689 km away from the capital city, Thimphu. It has an area of approximately 1,022 sq. km. with a population of about 23,632 in 11 Gewogs. It is bordered by Trashigang, Samdrup Jongkhar, Zhemgang, Monggar Dzongkhags and Assam State of India. People depend on subsistence farming and earn cash income mainly through the sale of cash crops like citrus.

9.1. Dechheling Gewog

Dechheling Gewog is one of the Gewogs under Pemagatshel Dzongkhag and is located about 171 km. away from the office of the Dzongkhag Administration. It has five Chiwogs (with five GT members) and 18 villages. People depend mostly on subsistence farming and earn cash income from the sale of citrus and other cash crops.

9.2. Shumar Gewog

Shumar Gewog is another Gewog under Pemagatshel Dzongkhag with five Chiwogs (with five GT members) and 16 villages. The office of the Pemagatshel Dzongkhag Administration is located within Shumar Gewog and is about 10 km. away from the office of the Dzongkhag Administration. People depend on subsistence farming and citrus is the main cash crop for cash income.

10. Trashigang Dzongkhag

Trashigang Dzongkhag lies in the eastern part of the country and is one of the biggest Dzongkhags with 15 Gewogs and 45,518 population. It has an area of approximately 2,204 sq. km. It is bordered by Samdrup Jongkhar, Monggar, Trashiyangtse, Pemagatshel Dzongkhags and Arunachal Pradesh State of India. Trashigang Dzongkhag is far away from the capital city, Thimphu - 551 km of winding roads. People depends on subsistence farming and the major sources of cash income are through sale of citrus fruits, livestock products, traditional craft and cash crops like potatoes.

10.1. Khaling Gewog

Khaling Gewog is one of the Gewogs under Trashigang Dzongkhag. The office of the Gewog Administration is located about 55 km away from the office of the Dzongkhag Administration. It has six Chiwogs (with six members of the GT). The Gewog comprises 38 villages and people depend mostly on subsistence farming and the main source of cash income is through sale of cash crops like potatoes and citrus.

10.2. Samkhar Gewog

Samkhar Gewog is one of the Gewogs under Trashigang Dzongkhag and the office of the Dzongkhag Administration is located within the Gewog. The office of the Samkhar Gewog Administration is 17 km away from the office of the Dzongkhag Administration. It has six Chiwogs (with six members of the GT) and 16 villages. People depend on subsistence farming and the main sources of cash income being livestock products and cash crops like potatoes.

11. Zhemgang Dzongkhag

Zhemgang Dzongkhag lies in the central part of the country and it is one of the remotest Dzongkhags - 310 km. away from the capital city, Thimphu. It has eight Gewogs with 17,763 population. It has an area of approximately 2,417 sq. km. and is bordered by Bumthang, Monggar, Pemagatshel, Sarpang, Trongsa Dzongkhags and Assam State of India. People depend on subsistence farming and the major sources of cash income are citrus, traditional crafts and other cash crops like cardamom.

11.1. Bjoka Gewog

Bjoka Gewog is one of the Gewogs under Zhemgang Dzongkhag. The office of the Gewog Administration is located about 150 km. away from the office of the Dzongkhag Administration. It has five Chiwogs (with 5 members of the GT) and 24 villages. People depend mostly on subsistence farming and the main source of cash income is cash crops like citrus and the sale of traditional crafts like Bangchung (a small plate-like basket, made of cane).

11.2. Trong Gewog

Trong Gewog is one of the Gewogs under Zhemgang Dzongkhag and the office of the Zhemgang Dzongkhag Administration is located within this Gewog. The office of the Gewog Administration is 36 km away from the office of the Dzongkhag Administration. It has five Chiwogs (with five members of the GT). It comprises of 23 villages and people depend on subsistence farming and the main sources of cash income are livestock products, cardamon and citrus.

Note: Sources of Information

- Atlas of Bhutan from Google
- Standardized Dolam and Distance Between Places in 20 Dzongkhags, January 2020, DLG
- 2017 Population & Housing Census of Bhutan, NSB
- Road Distance Map, Department of Roads (DoR), MoWHS

Annex 3: Detailed methodology

Introduction

The Capacity Needs Assessment (CNA) approach, methodology and sampling, along with assessment limitations are presented.

Three stage approach

The assignment was undertaken in three stages: Stage 1: Desk review and central government consultation, Stage 2: Field Mission to selected LGs, and Stage 3: Development of Capacity Development Strategy and Plan.

Sampling and stakeholders consulted

The sample of Dzongkhags and Gewogs visited were located in the four regions of the country (Table 3). While selecting sample Gewogs, the CNA team selected one Gewog located in proximity to the Dzongkhag Administration and another some distance away from it, to see differences if any, between the two in terms of socio-economic development. The Gewogs were then selected based on this socio-economic diversity. Thimphu Thromde was selected as the sole Thromde for the CNA.

The scope of the CNA was expanded to increase the sample of LGs consulted. Therefore, as well as the use of the questionnaire during the Phase 2 Field work, it was also sent by email to an additional five Dzongkhags and ten Gewogs – amounting to a total of ten Dzongkhags (50% sample), 20 Gewogs (10% sample) and one Thromde (25% sample being consulted (Annex 2: Summary Profiles of sampled LGs). However the additional LGs consulted through the soft-copy questionnaire only elicited a response rate of 45 per cent, mainly due to the Covid-19 restrictions and associated LG functionaries' duties.

Three groups of stakeholders were consulted:

Table 3: Stakeholders consulted

Level of government/ sector	Organisation	Designation
Central government ministries and agencies	DLG-MoHCA, GNHC, RCSC, MoF, MoWHS, NEC, MoAF	
Quasi-independent/ Private institution/ Civil Society Training Providers	RIM, IMS, BNEW, BCMD	
Local Governments	10 Dzongkhags, 20 Gewogs, 1 Thromde	Elected functionaries: Dzongkhag: Thrizin, Deputy Thrizin DT Chairperson, DT Deputy Chairperson Thromde: Thrompon, Thromde Thuemi (Ngotshab), Yenglag Gewog: Gup, Mangmi, Tshogpa

Level of government/ sector	Organisation	Designation
		Appointed functionaries: Dzongkhag: Dzongdag, Dzongra, Drungpa, Tshogdu Secretary, Planning Officer Thromde: Executive Secretary Gewog: Gedrung, Gewog Administrative Officer, Gewog Livestock Extension Staff, Gewog Agriculture Extension Staff

Central government stakeholders and training providers were interviewed during Phase 1. Phase 2 involved visits to selected LGs where elected and appointed functionaries were consulted from five Dzongkhags, ten Gewogs, and one Thromde. A full list of the 169 stakeholders consulted is included at Annex 4 (Annex 4: Stakeholders consulted). A further five Dzongkhags and ten Gewogs were then selected for consultation by questionnaire only, in order to increase the sample size of LGs consulted – a total of ten Dzongkhags, 20 Gewogs and 1 Thromde.

Tools deployed

Eight tools were developed to undertake the CNA which were deployed throughout stages 1 and 2:

1. Desk review;
2. Field visits
3. Focus Group meetings;
4. Questionnaires;
5. Interview Guides for Key Informant Interviews (KIIs)
6. LG Training Logs;
7. Review of capacity development systems and processes; and
8. Review of social accountability tools.

In addition, a review of lessons from 2012 LG CD Strategy was undertaken to inform this CD Assessment's findings and recommendations and is included as Annex 7 and summarised within section 2.4.5 within the main report.

The eight tools and their application are now described in some detail.

(1) Desk Review

The CNA commenced with a Desk Review of the key legislation and relevant policies, including the recently drafted LG Bill, LG Acts, draft National Decentralization Policy, LG Rules and Regulations, amongst others. A full list of the 24 documents reviewed is included at Annex 4 (Annex 4: Documents reviewed).

(2) Fieldwork

Field work was undertaken by two CNA teams during Stage 2 with visits to five Dzongkhags, 10 Gewogs and one Thromde (Table 4: LGs visited for Capacity Needs Assessment):

Table 4 : LGs visited for Capacity Needs Assessment

Dzongkhag	Gewog
A: Eastern Region³¹	
Trashigang	Yangtse
	Toetsho
Monggar	Monggar
	Dremetse
B: Central Region³²	
Trongsa	Nubi
	Langthel
C: Western Region³³	
Punakha	Guma
	Shengana
D: Southern Region³⁴	
Tsirang	Kikhorthang
	Mendrelgang
E: Class A Thromde³⁵	
Thimphu	

(3) Focus Group meetings

Focus Group (FG) discussions were one of the tools used during Stage 2 field visits and such meetings were held in each of the five Dzongkhags, ten Gewogs, and Thimphu Thromde (Table 4) comprising a range of elected and appointed functionaries. Unfortunately, all DT Secretaries were unavailable for consultation due to prior commitments. Nevertheless, around 145 functionaries took part in these FG, including 29 officials from Dzongkhags and 116 officials from Gewogs.

(4) Questionnaires

A questionnaire for LGs was designed to capture information from elected and appointed functionaries, about: their profile; planning CD requirements in terms of technical and management functions; experience of CD/training received; arrangements for monitoring, evaluation and reporting of CD/training; a review of social accountability tools and the use of the LG Portal. The technical functions include the eight core LG functions taken from the DoRF: namely (1) Policy and Planning; (2) Human Resource Services; (3)

³¹ Eastern region comprises of Monggar, Lhuentse, Trashigang, Trashigang, Pema Gatshel and Samdrup Jongkhar

³² Central region consists of Zhemgang, Trongsa and Bumthang

³³ Western region comprises of Paro, Haa, Punakha, Gasa, Wangdue Phodrang and Thimphu

³⁴ Southern region comprises of Samtse, Chhukha, Sarpang, Tsirang and Dagana

³⁵ Class A Thromdes comprise of municipalities of Thimphu, Gelephu, Phuentsholing and Samdrup Jongkhar

Administrative Services; (4) ICT and Media Services; (5) Environment Service; (6) Economic Services; (7) Social and Welfare Services; (8) Public Service Delivery (Annex 1: Targeted functions and elected/appointed functionaries for Capacity Needs Assessment). The 12 management skills were drawn generally from the project management lifecycle, as well as the LG Acts, LG Rules & Regulations, and the National Decentralisation Policy in particular, and comprise (A) Chairing meetings (B) Drafting memos/reports (C) Presentation Skills (D) Financial management/basic accounting (E) Understanding taxation, fees & charges (F) Staff management (G) Project Planning (H) Procurement (I) Project Management (J) Record keeping (K) Project monitoring, and (L) Mediating grievances/disputes.

The questionnaires were completed by the LGs visited, whilst the additional 5 Dzongkhags and 10 Gewogs were sent the questionnaires by email. This brought a low level of responses from those LGs not visited – with responses received from a total of 76 officials, including 33 appointed and 43 elected functionaries - 45 per cent response rate. This was due to the Covid-19 lockdown during which time officials were not allowed to attend the office and most were away fulfilling their role as frontline pandemic workers.



FINAL Interview
Questionnaire LG

Another questionnaire was developed for the four Training Providers to review the training they had provided from 2017-2019.



Trainers'
questionnaire.xlsx

(5) Interview Guides for Key Informant Interviews (KIIs)

Interview Guides were used to structure Key Informant Interviews (KIIs) with 24 stakeholders: central government officials at the Commissioner/ Director/Chief levels, Training providers, and Focus Group meetings with Dzongkhags, Gewogs and Thimphu Thromde. The Guide comprised three sections: planning, execution, and monitoring, evaluation, and reporting on CD/training. (Annex 4: Stakeholders consulted).



Interview
Guide.docx

(6) LG Training Logs

Training logs were sought from the DLG and the LGs in relation to CD/training that had been attended by either elected or appointed functionaries from 2017 to 2019. This excluded the CD/training provided by Line Ministries.



Training Log
previous and

(7) Review of capacity development systems and processes

The LG questionnaire also included a section on the use of online systems by LG functionaries for the National Monitoring, Evaluation System (NMES) in particular, that is used to monitor the 12th FYP. Its main components are the (i) the Government Performance Management System (GPMS), as part of the Annual Performance Agreement (APA), managed by the Public Service Delivery Department (PSDD) of the Cabinet Secretariat, (ii) Multi-Year Rolling Budget (MYRB) System of Department of National Budget (DNB), and the (ii) Public Expenditure Management System (PEMS) of Department of Public Accounts (DPA), Ministry of Finance (MoF), as well as the use of GovNet and the LG Portal. Therefore, the use of these online systems by LGs was examined, including any persistent barriers to their use e.g. lack of hardware; connectivity; need for training/guidance to use, etc by each set of users at Dzongkhag and Gewog levels. Furthermore, these systems were also discussed with their owners: GNHC, and MoF during KII.

(8) Review of social accountability tools

The LG questionnaire also reviewed the use of social accountability tools by LG functionaries, which comprise:

- (1) Community Score Cards, which is a qualitative monitoring tool that is used for local level monitoring and performance evaluation of services, projects and even government administrative units by the communities themselves;
- (2) Citizens Report Cards which is a participatory survey tool that provides quantitative feedback on user perceptions on the quality, adequacy and efficiency of public services;
- (3) Budget analysis tool, which enables communities to read and analyse budgets, follow the flow of budget allocations and oversee the expenditure of budgets for project implementation; and
- (4) Social audits, which is a participatory community accountability process that reviews official records and determines whether LG reported expenditures reflect the actual funds spent on the ground.

Annex 4: Stakeholders consulted

Sl. No.	Name	Designation & Agency
Central Government		
1	Mr. Kado Zangpo	Director, DLG
2	Mr. Meolam Zangpo	Chief Programme Officer, DLG
3	Mr. Sonam Tshenley	Deputy Chief Programme Officer, DLG
4	Mr. Sangey Dorji	Programme Officer, DLG
5	Mr. Rinchen Wangdi	Director, GNHC
6	Ms Tandin Wangmo	Chief, LDD, GNHC
7	Mr. Pemba Bazar	Deputy Chief Planning Officer, LDD, GNHC
8	Mr. Lhundup Wangchuk	Commissioner, RCSC
9	Mr. Dorji Chodup	HRO, RCSC
10	Mr. Sonam Dorji Tamang	Asst. Planning Officer, RCSC
11	Mr. T.N. Sharma	Specialist, DNB, MoF
12	Mr. Phuntsho Wangdi	Chief Budget Officer, DNB, MoF
13	Mr. Gawa Zangpo	Budget Officer, DNB, MoF
14	Ms Kinley Zangmo	Budget Officer, DNB, MoF
15	Mr. Tshering Tashi	Chief Human Resource Officer, MoWHS
16	Mr. Samdrup Norbu	Senior Urban Planner, MoWHS
17	Ms Kunzang	Head, Legal Services, NEC
18	Mr. Kunzang Rinzin	Legal Officer, NEC
19	Ms Dechen Wangmo	Human Resource Officer, NEC
20	Mr. Khampa Tshering	Chief Human Resource Officer, MoAF
Training Providers		
21	Mr. Jit Tshering	RIM
22	Mr. Ugyen Pelgyen	IMS
23	Ms. Phintsho Choden	BNEW
24	Ms. Sioksian Pek Dorji	BCMD
Local Government		
25	Mr. Karma Drukpa	Dzongdag, Punakha
26	Mr. Ugyen Tshering	Dzongrab, Punakha
27	Mr. Tashi Dorji	HRO, Punakha
28	Mr. Phub Tshering	Dzongkhag Planning Officer (DPO), Punakha
29	Mr. Gyelong	Dzongkhag Agriculture Officer (DAO), Punakha
30	Mr. Namgay Tshering	Thromde Thuemi, Punakha
31	Mr. Samten Phuntsho	DT Thrizin (Gup of Shengana Gewog)
32	Mr. Namgay Tenzin	DT Dy Thrizin (Gup of Teob Gewog)

Sl. No.	Name	Designation & Agency
33	Ms Phub Wangmo	Mangmi, Shengana Gewog
34	Mr. Phub Dorji	Tshogpa, Shengana Gewog
35	Mr. Sithub Namgay	Tshogpa, Shengana Gewog
36	Mr. Namgay	Tshogpa, Shengana Gewog
37	Mr. Rinchen Dorji	Tshogpa, Shengana Gewog
38	Mr. Passang Dorji	Tshogpa, Shengana Gewog
39	Mr. Phurpa Dorji	GAO, Shengana Gewog
40	Ms Sangay Choden	Gedrung, Shengana Gewog
41	Mr.Chencho Dorji	Gewog Agriculture Extension Officer, Shengana Gewog
42	Mr. Lekzang Dorji	Gewog Livestock Extension Officer, Shengana Gewog
43	Mr. Ugyen Khandu	Gup, Guma Gewog
44	Mr. Kencho Wangdi	Mangmi, Guma Gewog
45	Mr. Daw Gyeltshen	Tshogpa, Guma Gewog
46	Mr. Namgay	Tshogpa, Guma Gewog
47	Ms Namgay Bidha	Tshogpa, Guma Gewog
48	Ms Chencho Wangmo	Tshogpa, Guma Gewog
49	Mr. Yeshi Tshering	Tshogpa, Guma Gewog
50	Mr. Sherub Dorji	GAO, Guma Gewog
51	Mr. Kinley Gyeltshen	Gedrung, Guma Gewog
52	Ms Namgay Zam	Gewog Agriculture Extension Officer, Guma Gewog
53	Mr. Tshewang Tashi	Gewog Livestock Extension Officer, Guma Gewog
54	Mr. Pema	Dzongdag, Tsirang
55	Mr. Namgay Dorji	Dzongrab, Tsirang
56	Mr.Tashi Phuntsho	Human Resource Officer (HRO), Tsirang
57	Ms Karma Wangmo	Dzongkhag Planning Officer (DPO), Tsirang
58	Mr. Dorji Gyeltshen	Dzongkhag Agriculture Officer (DAO), Tsirang
59	Mr. Dorji Wangdi	Dzongkhag Environment Officer (DzEO), Tsirang
60	Mr. Kunzang Tenzin	Thromde Thuemi, Tsirang
61	Mr. Siva Lal Kararia	DT Thrizin (Gup, Pungtenchhu Gewog)
62	Mr. Beda Moni Chamlagai	DT Dy Thrizin (Gup, Kikhorthang Gewog)
63	Ms Sonam Lhamo	Mangmi, Kikhorthang Gewog
64	Ms Ugyen Lhamo	Tshogpa, Kikhorthang Gewog
65	Mr. Bholanath Chapagai	Tshogpa, Kikhorthang Gewog
66	Mr. Pema Tshering Gomden	Tshogpa, Kikhorthang Gewog
67	Mr. Pahai Man Subba	Tshogpa, Kikhorthang Gewog
68	Mr. Kinley Tenzin	Tshogpa, Kikhorthang Gewog

Sl. No.	Name	Designation & Agency
69	Mr. Tshewang Jigme	GAO, Kikhorthang Gewog
70	Mr. Penjor Wangdi	Gedrung, Kikhorthang Gewog
71	Mr. Sonam Dorjee	Gewog Agriculture Extension Officer, Kikhorthang Gewog
72	Mr. CB Gurung	Gewog Livestock Extension Officer, Kikhorthang Gewog
73	Mr. Tshering	Mangmi, Mendrelgang Gewog
74	Mr. Mani Kumar Biswa	Tshogpa, Mendrelgang Gewog
75	Mr. Kinzang Wangdi	Tshogpa, Mendrelgang Gewog
76	Mr. Gatu	Tshogpa, Mendrelgang Gewog
77	Ms Ugyen Wangmo	Tshogpa, Mendrelgang Gewog
78	Mr. Wangchuk	Tshogpa, Mendrelgang Gewog
79	Mr. Pema Dargay	GAO, Mendrelgang Gewog
80	Ms Sonam Eden	Gedrung, Mendrelgang Gewog
81	Mr.Sonam Dorji	Gewog Agriculture Extension Officer, Mendrelgang Gewog
82	Mr. Jampel Tshering	Gewog Livestock Extension Officer, Mendrelgang Gewog
83	Mr.Karma Dhendup	Dzongrab, Trongsa
84	Mr. Tshewang Rinzin	Human Resource Officer (HRO), Trongsa
85	Mr. Phuntsho Rinzin	Dzongkhag Planning Officer (DPO), Trongsa
86	Mr. Tshewang	Tshogdung, Trongsa
87	Mr. Karma Lethro	Thromde Thuemi, Trongsa
88	Mr. Ugyen Tenzin	DT Thrizin (Gup, Nubi Gewog)
89	Mrs. Pema Lhamo	Mangmi, Nubi Gewog
90	Mr.Kelzang Jurmey	Tshogpa, Nubi Gewog
91	Mr.Tshagay Chewa	Tshogpa, Nubi Gewog
92	Mr.Zhungchung	Tshogpa, Nubi Gewog
93	Mr.Namgay Lhendup	Tshogpa, Nubi Gewog
94	Mr.Rinchen	Tshogpa, Nubi Gewog
95	Mr. Dopfu	Gewog Agriculture Extension Officer, Nubi Gewog
96	Mr. Yeshe Dorji	Gewog Livestock Extension Officer, Nubi Gewog
97	Mr. Sonam Dendup	Gup, Langthil Gewog
98	Mr. Tshering	Mangmi, Langthil Gewog
99	Mr. Nima	Tshogpa, Langthil Gewog
100	Mr. Tenzinla	Tshogpa, Langthil Gewog
101	Mr. Namgyel	Tshogpa, Langthil Gewog
102	Mr. Lhagyel	Tshogpa, Langthil Gewog
103	Mr. Nima	Tshogpa, Langthil Gewog
104	Ms Sonam Choki	GAO, Langthil Gewog
105	Mr.Karma Tenzin	Gedrung, Langthil Gewog

Sl. No.	Name	Designation & Agency
106	Mr. Damanti	Gewog Agriculture Extension Officer, Langthil Gewog
107	Mr. Sangey Tempa	Gewog Livestock Extension Officer, Langthil Gewog
108	Mr. Jamyang Cheda	Dzongrab, Monggar
109	Mr. Thinley	Dzongkhag Planning Officer (DPO), Monggar
110	Mr.Namgay	Thromde Thuemi, Monggar
111	Mr.Tenzin Wangchuk	Gup, Monggar Gewog
112	Mr. Tharpa Gyeltshen	Mangmi, Monggar Gewog
113	Mr. Tshewang Penjor	Tshogpa, Monggar Gewog
114	Mr. Kinzang Dorji	Tshogpa, Monggar Gewog
115	Mr. Ugyen Namgay	Tshogpa, Monggar Gewog
116	Mr. Jigme Tenzin	Tshogpa, Monggar Gewog
117	Ms Tashi Wangmo	Tshogpa, Monggar Gewog
118	Ms Tshering Wangmo	Tshogpa, Monggar Gewog
119	Mr. Thubten Thinley	GAO, Monggar Gewog
120	Ms Kinzang Wangmo	Gedrung, Monggar Gewog
121	Mr. Sangey Wangdi	Gewog Agriculture Extension Officer, Monggar Gewog
122	Ms Tshewang Chozom	Gewog Livestock Extension Officer, Monggar Gewog
123	Mr. Kinzang Tshering	Gup, Drametse Gewog
124	Mr. Nidup Dorji	Mangmi, Drametse Gewog
125	Mr. Naku	Tshogpa, Drametse Gewog
126	Mr. Ugyen Norbu	Tshogpa, Drametse Gewog
127	Ms Kinzang Choden	Tshogpa, Drametse Gewog
128	Mr. Ugyen Wangchuk	Tshogpa, Drametse Gewog
129	Mr. Karchung	Tshogpa, Drametse Gewog
130	Mr. Sonam Dendup	GAO, Drametse Gewog
131	Mr. Sangay Wangchuk	Gedrung, Drametse Gewog
132	Mr. Dorji Tshering	Gewog Agriculture Extension Officer, Drametse Gewog
133	Mr. Sonam Phuntsho	Gewog Livestock Extension Officer, Drametse Gewog
134	Mr. Thuji Tshering	Dzongdag, Trashiyangtse
135	Mr. Ngawang Tenzin	Human Resource Officer (HRO), Trashiyangtse
136	Mr. Tshering Dorji	Dzongkhag Planning Officer (DPO), Trashiyangtse
137	Ms Ugyen Lhamo	Thromde Thuemi, Trashiyangtse
138	Mr. Goenpo	Gup, Yangtse Gewog (DT Dy Thrizin)
139	Mr. Sonam Rinchen	Mangmi, Yangtse Gewog
140	Mr. Thubten Wangchuk	Tshogpa, Yangtse Gewog
141	Mr. Khaula	Tshogpa, Yangtse Gewog
142	Mr. Thubten Tashi	Tshogpa, Yangtse Gewog

Sl. No.	Name	Designation & Agency
143	Mr. Pema Rinzin	Tshogpa, Yangtse Gewog
144	Mr. Tobjey	Tshogpa, Yangtse Gewog
145	Mr. Sonam Kelzang	GAO, Yangtse Gewog
146	Mr. Chimi Dorji	Gedrung, Yangtse Gewog
147	Mr. Dawa Dema	Gewog Agriculture Extension Officer, Yangtse Gewog
148	Mr. Chimi Dorji	Gewog Livestock Extension Officer, Yangtse Gewog
149	Mr. Dechen Wangdi	Gup, Toedtso Gewog
150	Mr. Phuntsho Wangdi	Mangmi, Toedtso Gewog
151	Mr. Rinzin Dorji	Tshogpa, Toedtso Gewog
152	Mr. Taupo	Tshogpa, Toedtso Gewog
153	Mr. Tharchen	Tshogpa, Toedtso Gewog
154	Mr. Karma Drupchu	Tshogpa, Toedtso Gewog
155	Mr. Namgay	Tshogpa, Toedtso Gewog
156	Mr. Jamtsho	Tshogpa, Toedtso Gewog
157	Ms Tshering Dolkar	GAO, Toedtso Gewog
158	Ms Jigme Wangmo	Gedrung, Toedtso Gewog
159	Ms Tshering Lhamo	Gewog Agriculture Extension Officer, Toedtso Gewog
160	Mr. Sonam Gyeltshen	Gewog Livestock Extension Officer, Toedtso Gewog
161	Mr. Kinley Dorji	Thrompon (Mayor), Thimphu Thromde
162	Mr. Karma Namgyel	Executive Secretary, Thimphu Thromde
163	Mr. Rinzin Dorji	Tshogpa, Thimphu Thromde
164	Mr. Kuenga Yonten	Tshogpa, Thimphu Thromde
165	Mr. Ugyen Pemjor	Tshogpa, Thimphu Thromde
166	Mr. Ugyen	Tshogpa, Thimphu Thromde
167	Ms Phub Dem	Tshogpa, Thimphu Thromde
168	Ms Dorji Dolma	Tshogpa, Thimphu Thromde
169	Ms Cheki	HRO, Thimphu Thromde

Annex 4: Documents reviewed

	Name of Document	Author/Institution	Date
	RGoB		
1	Draft Training Need Assessment for LG Functionaries	DLG/RIM	2021
2	Concept Note, Competency-based Framework (CBF) for HR Development (Approved In 72 nd Commission Meeting held on December 15, 2020)		2020
3	Draft Local Government Bill 2020	DLG	2020
4	Annual Performance Agreement between Secretary, MoHCA and Director, DLG; July 2019-June 2020	DLG	2019
5	Draft National Decentralization Policy	MoHCA	2019
6	National Gender Equality Policy	NCWC	2019
7	12 th Five Year Plan, 2018-2023	GNHC	2018
8	Local Government Members Entitlement Rules and Regulations	DLG	2018
9	Bhutan Civil Service Rules and Regulations	RCSC-RGoB	2018
10	Annual Report 2017-18	DLG	2018
11	Twelfth Five Year Plan (2018-2023), Volume I, Main Document	GNHC	2018
12	Twelfth Five Year Plan (2018-2023), Volume II: Central Plans,	GNHC	2018
13	Annual Report 2016-17	DLG	2017
14	Draft Development Evaluation policy of Bhutan	GNHC	2017
15	13 th Round Table Meeting	RGoB	2017
16	12 th Five Year Plan Guidelines	GNHC	2017
17	Resolution of 22 nd Annual Dzongdas Conference	DLG	2016
18	Local Development Planning Manual	GNHC	2014
19	The Local Government Act of Bhutan 2009 (amended 2014)	DLG, MoHCA	2009/2014
20	Local Government Rules Regulations	DLG, MoHCA	2012
21	Capacity Development Strategy for Local Governance in Bhutan	DLG	2012
22	Thromde Rules of the Kingdom of Bhutan	MoWHS	2011
23	Civil Service Act of Bhutan	RGoB	2010
24	Assessment Study on Dzongkhag Tshogdu and Gewog Tshogdu	DLG	
25	The Constitution of the Kingdom of Bhutan	RGoB	2008
26	Election Act of the Kingdom of Bhutan	RGoB	2008
	Development partners		
27	Bhutan Gender Profile	EU Delegation to India and Bhutan	2018
27	Fiscal Decentralization in Bhutan	DLG	2017

	Name of Document	Author/Institution	Date
		(UN agencies)	
28	Local Governance Assessment Study	National Council of Bhutan (Swiss Agency for Development and Cooperation) Helvetas	2015
29	Capacity Development, UNDP Primer	UNDP	2015

Annex 5: Capacity Development/Training for *Core Technical Functions* attended by LG functionaries, coordinated by DLG 2018 - 2021

FY	Core Function supported	Name of CD activity	Modality	Duration	Attended by	Total no attendees appointed functionaries	Total no attendees elected functionaries	Funded by	Delivered by
1. TECHNICAL									
2020-2021	A. Policy & Planning	Result Based Management	Training	6 days	DT Secretaries and GAOs	11		HSI	BIRDj
2020-2021		Chiwog Zomdu and Planning	Workshop	4 days	Bumthang all elected		32	EU	DLG
2019-2020		Planning and Prioritisation	Workshop		All Contract GAOs	67		EU	Officials form GNHC and GPMD
2019-2020		Planning and Budgeting	Training	5 days	Tshogpas		21	HSI	Druk Institute of Management and Technology (DIMIT)
2018-2019		Public Management and Result Based Management	Training	2 weeks	GAOs and DLG staff	11		EU	International College, Singapore
2018-2019		Gender Planning and Local Governance	Training	1 week	All female LGs		28	EU	Institute: Burapha University, Bangkok, Thailand
2018-2019	B. Human Resource Services	Local Governance and Development	Training	1 week	All Gups, Dzongrabs, Dungpas and few selected GAOs .	83	205	EU	Burapa Business School, Thailand.
2020-2021	C. Administrative Services	Social Accountability and Good Governance	Training	1 week	Dzongkhag Sector heads, GAOs & Community members	104			Tdee Research Insitute & Padmakara Institute
2019-2020		Public Administration and Local Governance	Training	1 week	Nominated GAOs from 20 Dists	45		EU	NITI, Nepal
2019-2020		Role of Local Government in Good Governance	Conference	2 days	Gups		205	EU	MoHCA
2018-2019		Public Administration in Local Governance	Training	1 week	All Contract GAOs	64		EU	NIIT, Pling
2020-2021	D. ICT & Media Services	Conduct of Virtual Meeting	Training	3 days	Planning Officers, GAOs, DT Secretary and DLG Officials	22		HSI	IILS
2019-2020		LG portal familiarization	Training	3 days	GAOs, statistical officers	34		EU	DLG
2018-2019		LG Portal Training	Training	3 days	GAOs and statistical Officers	219		EU	DLG
2019-2020	E. Environment Services	Climate change Resilience and Financing	Training	1 week	DLG official	1	1	EU	The Hague Academy of Local Governance, Netherlands
2019-2020		Waste Management	Training	30 days	Female	40		H	
	F. Economic Development Services								
	G. Social and Welfare Services								
2018-2019	H. Public Service Delivery	Service Delivery	Training	5 days	Tshogpas		20	HSI	Institute of Learning Solutions (ILS)
2019-2020		Community Engagement in Local Governance, Drongsep Yadrak Programme	Workshop	3 days	Select officials from Pilot Dzongkhags/Gewogs of Dagana , Punakha and Monggar	120		JICA	JICA Expert
2019-2020		Country Focused Training in Japan	Training	21 days	Select officials from Dagana, Punakha and Monggar	5		JICA	Tukushima Local Administration
2019-2020		CEP Experience Sharing Forum	Workshop	3 days	Participants from Pilot Dzongkhags/Gewogs of Dagana , Punakha and Monggar	28		JICA	Institute for Learning Solutions
2019-2020		Action Plan for Community Engagement-Five Fingers Model	Workshop	1 day	Pilot Gewogs participants	120		JICA	JICA Expert/DLG
Total attendees						974	512		



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Capacity Development/Training for *Management Skills* attended by LG functionaries, coordinated by DLG 2018 - 2021

FY	Core Function supported	Name of CD activity	Modality	Duration	Attended by	Total no attendees appointed functionaries	Total no attendees elected functionaries	Funded by	Delivered by
	2. MANAGEMENT SKILLS								
2019-2020	A. Chairing meetings	Democracy and Governance	Training	5 days	Gups, Mangmi & Thromde Thuemi		18	HSI	Centre for Local Governance & Research (CLG)
2019-2020	B. Drafting memos/reports	Reporting writing and official Correspondences	Training	5 days	DLG, Planning Officer and HRO	15		EU	DLG
	C Presentation Skills								
2019-2020	D. Financial management/basic accounting	Performance Based Grant	Training	3 days	Gups, GAOs, Mangmi, RNR, DPOs	195	200	EU	DLG
	E Understanding taxation, fees & charges								
2019-2020	F. Leadership/Staff management	Leadership and Governance	Training	1 week	Female				
2019-2020		Leadership and Governance	Training	1 week	Gup, Mungmis, Tshogpas		257	EU	DLG
2019-2020		Young Leaders Training Programme in Japan	Training	21 days	Select officials from Dagana, Punakha, Monggar, GNHC, MoE	10		JICA	AMA Town Municipality
	G. Project Planning								
	H. Procurement								
	I. Project Management								
2018-2019	J. Record keeping	Executive Minutes Writing and Documentation	Training	1 week	All Dzongkhag DTs	22		EU	Industrial Advancement Academy, Philippines
2018-2019		Research Methodology and Documentation System	Training	2 weeks	GAOs, DLG	11		EU	International Academy for Continuous Education, Manila
2019-2020	K. Project monitoring	Monitoring and evaluation	Training	1 week	Planning Officers	20		EU	DLG
2018-2019		Monitoring and Evaluation Tool	Training	2 weeks	Planning Officers and APA focal	10		EU	Industrial Advancement Academy, Philippines
2019-2020		Research and Monitoring & Evaluation	Training	5 days	DT Secretaries and GAOs	12		HSI	Bhutan Interdisciplinary Research and Development Insitute (BIRDi)
2019-2020	L. Mediating grievances/disputes	Alternative Dispute Resolution	Training		Mangmis and Tshogpas		65	EU	BNLI
					Total attendees	295	540		



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Annex 6: List of Training Providers who delivered courses to LG functionaries 2018 – 2020

	Training providers	Training received by Elected functionaries	Training received by Appointed functionaries
Private sector/Institutes			
1	Bhutan National Legal Institute (BNLI)	√	
2	Computer and Management Institute (CMI)	√	
3	College of Science & Technology (CST) Phuntsholing	√	
4	Druk Institute of Management & Technology (DIMT)	√	
5	iBEST	√	√
6	Institute of Management Studies (IMS)	√	
7	Pema Kara Training Center	√	
8	Sherubtse College	√	√
9	Bhutan Interdisciplinary Research Development		√
10	Bhutan Institute for Professionalism		√
11	Padmakara Training Institute		√
12	Royal Institute of Governance and Strategic Studies (RIGSS)		√
13	Kuenjung Training Center		√
I/NGOs			
1	Bhutan Network for Empowering Women (BNEW)	√	
2	Helvetas	√	
3	Respect, Educate, Nurture, Empower Women (RENEW)	√	



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	Training providers	Training received by Elected functionaries	Training received by Appointed functionaries
4	Chiphel Rigphel project (ICT)		√
RGoB			
1	DLG	√	√
2	MoHCA	√	
3	Royal Institute of Management (RIM)	√	√
4	GNHC		√
5	Royal Centre for Disease Control (RLDC), Ministry of Health		√
6	National Court of Justice	√	
7a	Agriculture Research Development Centre, MoAF		√
7b	Department of Agricultural Marketing & Co-operatives (DAMC), MoAF		√
7c	Department of Agriculture, MoAF		√
7d	Department of Livestock, MoAF		√
7e	Commercial Agriculture and Resilient Livelihoods Enhancement Programme (CARLEP), MoAF		√
7f	Food Security and Agriculture Productivity Project (FSAPP), MoAF		√
7g	National Soil Services Centre (NCSC), MoAF		√
8	Royal Monetary Authority (RMA)		√
9	National Commission for Women and Children (NCWC)		√
10	National Land Commission		√
11	Ministry of Information and Communications (MoIC)		√
12	Dzongkha Development Commission (DDC)		√
13	RCSC		√

Annex 7: Summary review of 2012 CD Strategy for Local Governance in Bhutan

The RGoB's CD Strategy prepared in 2012 has been reviewed and lessons drawn from its implementation to inform the new CD Strategy 2021-2024.

A broad and comprehensive CD strategy was developed in 2012 with an objective to develop the required capacity for Local Governance in terms of adequate service delivery. For this, a system view on capacity as a tool was used whereby the local governance system in Bhutan analysed holistically. The system view looked into the enabling environment, the organisation and the individual which helped identify CD plans and activities at all these three levels for improving overall capacity of the local governance systems.

Based on key findings from the research conducted, strategies and plans for CD were developed. In line with the proposed strategies, CD interventions were developed in the form of a comprehensive CD action plan which comprised a wide variety of institutional, organisational and individual-based CD activities that addressed strengthening of new democratic institutions more specifically.

The CD Strategy 2012 document has highlighted strategic choices for GNH-based local governance as follow:

- 1) the importance of a "System View" on capacity;
- 2) collaboration with non-state actors for local governance;
- 3) integrated area-based planning and development budgeting;
- 4) asset-based development and appreciation for what works;
- 5) sustainable local services;
- 6) strengthening new democratic institutions and
- 7) organisational development of local administration.

The strategic document was based on a CD philosophy and meant for a long-term period. It started with question of "Capacity for What?" and explained as follow: "Local Governance requires capacities to govern, enable, stimulate and facilitate people-centered local development in an open, transparent, accountable, equitable and responsive way, in order to achieve GNH development objectives and to create a society based on GNH-values". Based on the key mandates and responsibilities within the local governance system, the capacity requirements for the LG entities namely Communities, Gewog Tshogde, Gewog Administration, Dzongkhag Tshogdu, Dzongkhag Administration, Dzongdag, Dzongkhag Planning Officer, Tshogpa, GAO, Gup, Mangmi, Tshogdrung, Gewog Accountant, Gaydrung, DLG and GNH Commission were developed.

Targeting the above institutions and individuals, the key CD Strategies proposed were:

- 1) Key Design Principles like "capacity for what?", Winning the Change, Building on Existing Capacities and CD Initiatives;
- 2) CD of the overall Local Governance System like: DLG, GNHC, Curriculum and training modules, Local Governance Reform Committee, Association of Gups and Gewog Tshogde, CD and Change Facilitation Team, rolling out the CD Strategy at LG levels, LD Planning Manuals, piloting of Innovative Block Grant Systems,



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strengthening Gender in LG, public Spaces for Dialogue and Citizen Engagement, and Studies and Strategies;

3) Capacity Development of Local Governance Organisations like Dzongkhag Local Development Teams (LDT), Dzongkhag GNH Committees, Dzongkhag and Gewog Profiles and Development Plans, Dzongkhag-Gewog CD and Human Resource Management Plans and Budgets, Gewog Development Resource Centres, Exchange of development experiences, Annual Rewards for Best Performing LDT or Dzongkhag/Gewog, and Exposure Visits;

4) Access to Information and Communication Technology like E-governance, E-learning, and Distance Learning; and

5) Service Providers for CD like existing service providers (training institutes), CSOs, Private Sector.

Based on the CD strategies developed to address the CD requirements of LG institutions and individuals, the CD Strategy 2012 developed detailed CD activities for each institution and individual³⁶. As the CD Strategy was comprehensive and meant for a long-term strategy for local governance capacity development, it is proposed that the same CD Strategy be used for future plans as it is still relevant.

Regarding the assessment of implementation status of the CD Strategy 2012, DLG did not undertake a comprehensive assessment, however, a review (though not extensively) of CD Strategy 2012 was done together with an assessment of the implementation of CDG rolled out in 2014-15 and funded by the LGSDP. The assessment explained that the CDG was piloted in the fiscal year 2014-15 by the RGoB to strengthen and support the development of human capacities at the Gewog and Dzongkhag level. In total, Nu. 40m. was provided from the LGSDP as a discretionary CD grant for LGs. According to the CDG objectives, effective and efficient CD of LGs should have been an integral part of the annual plans of Dzongkhag and Gewogs which should have been documented in demand-driven training plans. Training plans devised by LGs should ideally have ensured that LGs took ownership of continuously assessing staff CD needs, perform planning and budgeting for annual CD activities, putting in place a record keeping system and M&E system which could trace which staff participated in which training and also be able to evaluate impact of the capacity development on the individual staff and organisation as a whole. The assessment observed that out of the total grant, almost 88 per cent was utilised for training and about 12 per cent was used for study tours. During 2014-15, a total of almost 8,400 LG officials were trained, Zhemgang Dzongkhag being highest with 1,820 officials and Gasa being lowest with only 6 officials who underwent training. The assessment found striking disparities among the LGs in the unit cost of training staff ranging from Nu. 594 to Nu. 80,642 per capita. The assessment observed that the unit cost decreased in tune with an increase in number of participants and such a difference would not have occurred if there was well-coordinated and defined annual training plans and budgets in place. There was a total absence of national capacity development framework and annual LG training plans on which basis capacity development efforts could have been assessed, planned, budgeted, coordinated, executed and evaluated. Had there been a training plan with proper M&E system in place, it would have been easier to measure the impact of training. It would also have allowed diversification of training from traditional classroom and workshop type of training into: a) on line training, b) electronic platforms like Facebook, c) on-the-job-training and coaching, d) shared learning, study tour, etc. CD strategies and plans should have been demand-driven and tailor made to address specific CD needs.

³⁶ This has been reflected in Chapter 8 and 9 from page 50 to 71, and Annex 5 of the 2012 CD Strategy.

Approximately 82 per cent of the respondents expressed their satisfaction of training availed during the year 2014-15. Findings also indicated that the biggest challenge to quality training, both at Gewog and Dzongkhag level was the cost of training. At the Gewog level, functionaries preferred training duration of more than 10 days whereas at Dzongkhag level, they preferred 6-10 days of training period. On the mode of training, workshop type of training was preferred by both Gewog and Dzongkhag levels, followed by classroom teaching. The assessment learned lessons that a substantial number of LG officials received training through the CDG but per capita cost should have been analysed in-depth by LGs to ensure cost-effectiveness and stronger efforts should have been made by LGs to develop annual demand-based training plans with M&E frameworks.

The assessment recommended the following actions for improvements:

1. Most of the LG officials expressed that the trainings should have been conducted right after the LG election since many were new in office.
2. Financial reporting mechanisms and supervision be improved by introducing reporting format;
3. LGs should coordinate the planning of identical trainings and jointly negotiate training costs to achieve economies of scale;
4. The number of female training participant should match the percentage of women working for the LGs. Women's' leadership trainings be introduced in order to balance gender participants.
5. Development of annual training plans be made compulsory;
6. Hire the services of cost effective, but not the cheapest, training provider based on quality requirement;
7. A blended training approach be adopted in CD Strategies and training plans by introducing alternative and often more cost-effective modalities.
8. A comprehensive M&E Frameworks should be developed for all continuous monitoring of progress and evaluate impact of efforts.

These findings and recommendations remain relevant to the new CD Strategy 2021 – 2024 and have been integrated within the findings and recommendations of this CD assessment, thereby informing the new CD Strategy.