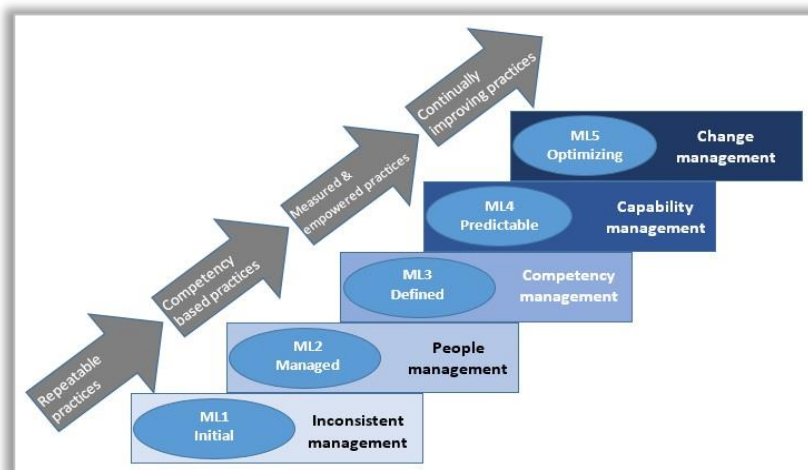




# People CMM®

## Gap Assessment – PCMM Maturity Level Determination



**Report on**  
Gap Assessment – PCMM Maturity Level Determination Study  
Conducted at

**M/s NBCC (India) Limited**

**Document Title: Report on Gap Assessment – PCMM Maturity Level  
Determination study conducted at M/s NBCC (India) Ltd**  
**Document Number: v.1: Report: PCMM: NBCC: 01**

#### Approvals

Designation	Date
Lead Assessor – People CMM	2018-09-17

#### Distribution and Change control

Department		Client
HR		M/s NBCC (India) Limited
Version	Date	Change Description
v.1	2018-09-17	Submission to M/s NBCC

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## Background

One of the MoU parameters is to conduct **assessment level of People CMM in NBCC**. People CMM Gap Assessment study is the comparison of actual status of implementation of HR practices in NBCC with that of Practices and Goals defined in the People Capability Maturity Model® (P-CMM®) developed by CMMI Institute (Carnegie Mellon University, USA).

Quality Council of India (QCI), an autonomous organization under Department of Industrial Policy and Promotion, Ministry of Commerce and Industry with its technical partner for People CMM initiatives M/s MacLead Certifications, a CMMI Institute Partner organization, has conducted the Gap Assessment of RINL's HR Practices against the People Capability Maturity Model practices.

### Process Area Integration Across Levels

Levels	People CMM Threads			
	Developing Capability & Competency	Building Workgroups & Culture	Motivating & Managing Performance	Shaping the Workforce
<b>5 Optimizing</b>	Continuous Capability Improvement		Organizational Performance Alignment	Continuous Workforce Innovation
<b>4 Predictable</b>	Mentoring Competency Based Assets	Competency Integration Empowered Workgroups	Quantitative Performance Management	Organizational Capability Management
<b>3 Defined</b>	Competency Development Competency Analysis	Workgroup Development Participatory Culture	Competency Based Practices Career Development	Workforce Planning
<b>2 Managed</b>	Training and Development	Communication & Coordination	Compensation Performance Management Work Environment	Staffing

Figure 1: PCMM 5 Maturity Levels and 22 HR Process areas

## Introduction to People CMM

Organizations have tried to apply many different techniques in their capacity to move towards strategic human capital management. They have combined downsizing with restructuring, applied reengineering or process improvement, improved information sharing, clearly communicated the organization's mission, and instituted employee involvement.

People Capability Maturity Model® Framework (People CMM®) is a tool that helps you to successfully address the critical people issues in organizations. The People CMM employs the process maturity framework of highly successful Capability Maturity Model® as a foundation. Based on the best current practices in fields such as human resources, knowledge management, and organizational development, People CMM guides organizations in improving their processes for managing and developing their workforce.

The People CMM helps organizations;

- characterize the maturity of their employee practices,
- establish a program of continuous employee development,
- set priorities for improvement actions,
- integrate employee development with process improvement, and
- establish a culture of excellence.

The People CMM consists of five maturity levels that establish successive foundations for continuously improving individual competencies, developing effective teams, motivating improved performance, and shaping the workforce which the organization needs to accomplish its future business plans. Each maturity level is a well-defined evolutionary plateau that institutionalizes new capabilities for developing the organization's workforce.

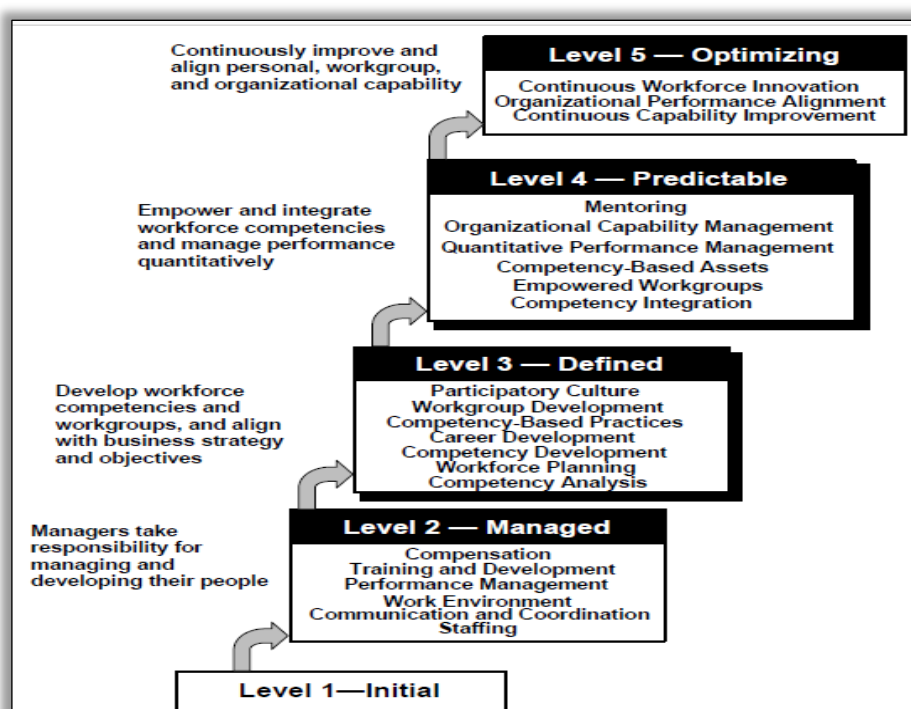


Figure 2: PCMM Maturity Levels

## Coverage and Data Sources

### PEOPLE COVERED:

- Total no. covered are 153
- Process Owners -13
- Managers -47
- Workforce (Individuals) -93

### UNITS COVERED:

- **Corporate Office** (All departments including Engineering, Commercial and Allied Functions)
- All Regional Business Groups
- All Strategic Business Group and Zonal Offices
- All Project Sites
- Maintenance units
- Subsidiary Companies

### SOURCES OF DATA:

- Information given by Study Participants on P-CMM practices
- Organization Policies, Procedures, Manual, Guidelines, Records, Circulars, NBCC tool, Intranet Portal, Registers and Records.
- Data from Interviews

## Brief Methodology

A **four phase methodology** had been adopted for comparison of the actual status of implementation of HR practices at NBCC with the Practices and Goals defined in the People CMM framework.

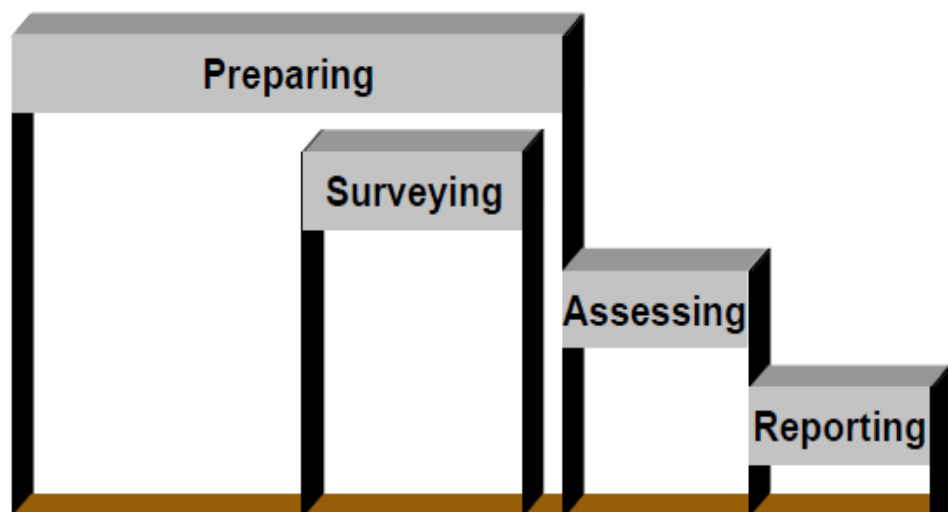


Figure 3: PCMM Gap Assessment Methodology



The Gap Assessment is conducted by involving;

1. Process Owners (PO)
2. Managers (Mgr.) implementing the HR practices in their respective areas
3. Workforce or Employees (WF) being one of the interested party and the beneficiary of HR practices being implemented in NBCC

Random Sampling Methodology has been adopted in selecting samples. The ratio of 1:4:8 (PO: Mgr:WF) is used, in order to ensure the sample size is 100+ (being an attribute data study)

The outcome of the Gap Analysis is mapped to the structural components of People CMM.

## 1. Preparing Phase- Preparing for the assessment.

Four batches of PCMM overview and one batch of Assessment Team Member (ATM) training programs conducted at NBCC.

The People Capability Maturity Model has 5 maturity levels with HR process areas built-in at each level. As per the assessment process all process areas of each maturity level are to be satisfied in order to declare the organization's maturity level. A standard set of checklists covering 52 goals along with the 291 related practices for Maturity Level 2 and 3 had been shared with all ATMs for use.



Figure 4: Tasks at preparing phase

## 2. Surveying Phase- Conducting the workforce practices survey

- The total number of participants in the survey wherein 13 process owners for 13 processes were selected, based on the processes to be surveyed, 52 randomly selected managers and 96 randomly selected individuals/workforce were included. Employees posted at NBCC Corporate Office, Regional Business Group, Strategic Business Groups, Zonal Office and Project Sites across India participated in this survey. Respondents posted at locations distant from Corporate Office are connected through Video/Audio conferencing mode.



- The participants were invited to give their responses accordingly in a neutral set of environment with briefing on PCMM and goals-practices. The participants had given their responses in relation to the HR practices being implemented at NBCC.



Figure 5: Tasks at surveying phase

### 3. Assessing Phase- Conducting the onsite assessment

A Team of consultants and ATMs further carried out interviews and discussions with process owners, managers and workforce to verify the evidences provided in survey. The Sources of Data or Facts collected are in the form of:

- Organization's Policies, Procedures, Manuals,
- Guidelines and Records of other Circulars.
- NBCCIntranet Portal, WhatsApp groups and emails and
- Other records along with the data from the interviews were considered as the basis for assessment.



Figure 6: Tasks at assessing phase

#### 4. Reporting Phase- Reporting the assessment results

The collected responses have been analyzed as per the HR Practices performed and Institutionalization Practices, Goals and Process Areas of People CMM. A report has been prepared and the same is being submitted.



Figure 7: Tasks at reporting phase

## Approach - Gap Assessment of HR practices

Gap Assessment study is the comparison of actual status of implementation of HR practices and Goals in NBCC with that of Practices and Goals defined in the People CMM framework.

As the data in the study is attribute data, in order to measure a particular HR practice and Goal as “**satisfactorily being implemented or not**”, minimum sample size of 100 as attribute data is ensured.

The outcome of the Gap Analysis is mapped to the structural components of People CMM.

Components in People CMM	Numbers
Maturity Levels	5
Process Areas	22
Goals	87
Implementation Practices	247
Institutionalization Practices	252

Figure 8: Components in People CMM

The **Maturity Level shall be determined** as per the mapping exercise. The following table is the basis for level determination;

ML	PA	*Goal	**PR	Remarks
2	6	24	130	NBCC is declared as Maturity Level 2 as 24 goals are satisfied.
3	7	28	161	NBCC shall be declared at Maturity Level 3, once these 28+24 = 52 goals are satisfied (these include 24 goals of ML2)

\* is a must to satisfy \*\* is desirable to satisfy

Figure 9: Maturity Level (ML) wise - Process Areas (PA), Goals and Practices (PR)

Determined ML	Proposed Recommendation	Suggested Timelines*
Managed (ML 2)	NBCC to implement the Goals that are not satisfied in Maturity Level 3	3 to 6 Months
Defined (ML3)	NBCC to implement the Goals that are in Maturity Level 4	12 to 18 Months
Predictable (ML4)	NBCC to implement the Goals that are in Maturity Level 5	9 to 12 Months
Optimizing (ML 5)	Make Process Robust to ensure Stability and Consistency. Regular Measurement and Verification.	Ongoing

\* Based on Process Areas, goals and practices implementation

Figure 10: Proposed Recommendations and Suggested Timelines

## Members involved in Gap Assessment

- A. Process Owners
- B. Managers – 4 members for each process area. Selected on random basis.
- C. Workforce – 8 members for each process area excluding Workforce Planning. Selected on random basis
- D. Assessment Team Members from NBCC
- E. Assessment Team Members from MacLead Certifications:
  1. Chandra Sekhar Mateti – Lead Assessor – People CMM
  2. Mohandoss B - Lead Assessor – People CMM
  3. Shruti Capoor – Assessment Team Member
  4. Jitendra Naik – Assessment Team Member
  5. Laxminarayana – Assessment Team Member
  6. Ajay Shankar Gupta – Assessment Team Member

## Assessment Result Summary

Human Resources practices at NBCC as per People Capability Maturity Model version 2.0 is declared as Maturity Level 3, Managed.

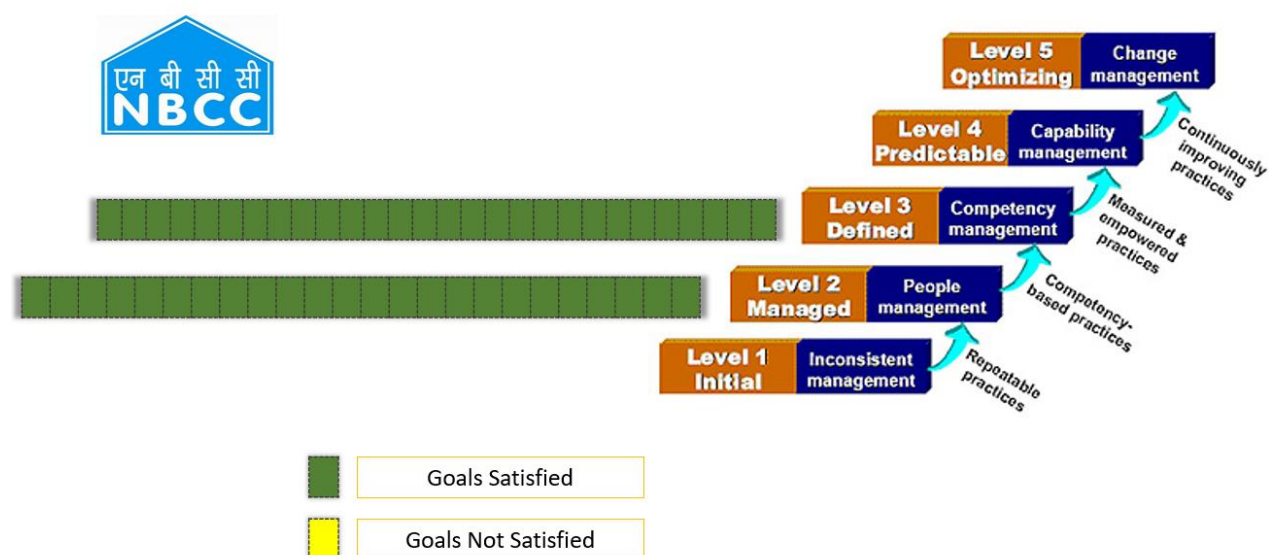


Figure 11: NBCC at PCMM Maturity Level 3 and can move towards 4

## GAP Assessment Result Summary Table

ML	No. of Process Areas	No. of Goals	Goals Satisfied	No. of Practices	Practices Satisfied	ML Result
ML2	6	24	24	130	130	ML3 Declared
ML3	7	28	28	161	148	ML3 Declared

Total numbers of Goals Not Satisfied - 0

Total numbers of Practices Not Satisfied - 13

## SWOT Analysis

<u>Strength</u>	<u>Weaknesses</u>
<ul style="list-style-type: none"> <li>Basic HR processes well defined</li> <li>Higher Level of Satisfaction in Managers and Workforce for most of practices.</li> <li>Length and breadth of HR practices (Horizontal Integration)</li> <li>Leadership and technical competencies are defined in Key Performance Area and assessed through ADC</li> <li>High Level of ownership and appreciation of HR Practices from Operational teams</li> <li>Measurable performance objectives based on committed work are established for each unit and individual</li> <li>Training Process is strong.</li> <li>Attrition is at minimal level</li> </ul>	<ul style="list-style-type: none"> <li>Communication and Coordination practices deployment</li> <li>Depth of HR practices (Vertical Integration)</li> <li>Institutionalization practices in 8 Process Areas are weaker than implementation practices, may lead to inconsistent results and thwart scalability.</li> <li>Progressive synchronization of HR practices in process areas</li> <li>Metrics based culture (Lack of Measurements &amp; Analytics)</li> <li>HR – Job Description, Functional competency mapping (Skill Matrix), Job Evaluation, basic frameworks etc. is not reviewed and updated</li> <li>Competency based Management practices-needs improvement in design, integration and articulation</li> </ul>
<u>Opportunity</u>	<u>Threats</u>
<ul style="list-style-type: none"> <li>Orientation on HR processes and verticals (Train the Managers and run cascade programs particularly on Process areas related with ML3)</li> <li>Institutionalization of HR practices across all levels.</li> <li>Continue to build better perceptions on HR areas of excellence</li> <li>Dedicated teams for each process area</li> <li>Investment in building commitment and ability for execution and institutionalization of practices</li> </ul>	<ul style="list-style-type: none"> <li>Lack of integration may degrade existing conformances on managed and defined level.</li> <li>Pace of changes in business conditions should match with rate of evolvement of HR practices for attracting, engaging and retaining talent for high performance culture.</li> <li>Rise of competitors with predictable and optimized HR practices</li> </ul>

Figure 12: SWOT Analysis

## Goals - Satisfied under Maturity Level 2

• Number of Process Areas	– 6	• Total Number of Practices	– 130
• Total Number of Goals	– 24	• Satisfied Practices	– 130
• Satisfied Goals	– 24	• Unsatisfied Practices	– 0

- Staffing** - establishing a formal process by which committed work is matched to unit resources and qualified individuals are recruited, selected, and transitioned into assignments

Goal#	Staffing Goal
1	Individuals or workgroups in each unit are involved in making commitments that balance the unit's workload with approved staffing.
2	Candidates are recruited for open positions.
3	Staffing decisions and work assignments are based on an assessment of work qualifications and other valid criteria.
4	Individuals are transitioned into and out of positions in an orderly way.
5	Staffing practices are institutionalized to ensure they are performed as managed processes.

- Communication and Coordination** - establishing timely communication across the organization and ensuring that the workforce has the skills to share information and coordinate their activities efficiently.

Goal#	Communication and Coordination Goal
1	Information is shared across the organization
2	Individuals or groups are able to raise concerns and have them addressed by management.
3	Individuals and workgroups coordinate their activities to accomplish committed work.
4	Communication and Coordination practices are institutionalized to ensure they are performed as managed processes.

- Work Environment** - establishing and maintaining physical working conditions and providing resources that allow individuals and workgroups to perform their tasks efficiently and without unnecessary distractions.

Goal#	Work Environment Goal
1	The physical environment and resources needed by the workforce to perform their assignments are made available.
2	Distractions in the work environment are minimized.
3	Work Environment practices are institutionalized to ensure they are performed as managed processes.

- Performance Management** - establishing objectives related to committed work against which unit and individual performance can be measured, discussing performance against these objectives, and continuously enhancing performance.

Goal#	Performance Management Goal
1	Unit and individual performance objectives related to committed work are documented.
2	The performance of committed work is regularly discussed to identify actions that can improve it.
3	Performance problems are managed.
4	Outstanding performance is recognized or rewarded.
5	Performance Management practices are institutionalized to ensure they are performed as managed processes.



- 5. Training and Development** – ensuring that all individuals have the skills required to perform their assignments and are provided relevant development opportunities.

Goal#	Training and Development Goal
1	Individuals receive timely training that is needed to perform their assignments in accordance with the unit's training plan
2	Individuals capable of performing their assignments pursue development opportunities that support their development objectives.
3	Training and Development practices are institutionalized to ensure they are performed as managed processes.

- 6. Compensation** – providing all individuals with remuneration and benefits based on their contribution and value to the organization

Goal#	Compensations Goal
1	Compensation strategies and activities are planned, executed, and communicated
2	Compensation is equitable relative to skill, qualifications, and performance.
3	Adjustments in compensation are made based on defined criteria.
4	Compensation practices are institutionalized to ensure they are performed as managed processes.

### Goals - Satisfied under Maturity Level 3

- Number of Process Areas – 7
- Total Number of Goals – 28
- Satisfied Goals – 28
- Total Number of Practices – 161
- Satisfied Practices – 148
- Not Satisfied Practices – 13

- 7. Competency Analysis** - identifying the knowledge, skills, and process abilities required to perform the organization's business activities so that they may be developed and used as a basis for workforce practices

Goal#	Competency Analysis Goal
1	The workforce competencies required to perform the organizations business activities are defined and updated
2	The work processes used within each workforce competency are established and maintained.
3	The organization tracks its capability in each of its workforce competencies
4	Competency Analysis practices are institutionalized to ensure they are performed as defined organizational processes.

- 8. Workforce Planning** - coordinating workforce activities with current and future business needs at both the organizational and unit levels

Goal#	Workforce Planning Goal
1	Measurable objectives for capability in each of the organizations workforce competencies are defined
2	The organization plans for the workforce competencies needed to perform its current and future business activities.
3	Units perform workforce activities to satisfy current and strategic competency needs.
4	Workforce Planning practices are institutionalized to ensure they are performed as defined organizational processes.

**9. Competency Development** –constantly enhancing the capability of the workforce to perform their assigned tasks and responsibilities.

Goal#	Competency Development Goal
1	The organization provides opportunities for individuals to develop their capabilities in its workforce competencies
2	Individuals develop their knowledge, skills, and process abilities in the organizations workforce competencies.
3	The organization uses the capabilities of its workforce as resources for developing the workforce competencies of others
4	Competency Development practices are institutionalized to ensure they are performed as defined organizational processes.

**10. Career Development** - ensuring that individuals are provided opportunities to develop workforce competencies that enable them to achieve career objectives.

Goal#	Career Development Goal
1	The organization offers career opportunities that provide growth in its workforce competencies.
2	Individuals pursue career opportunities that increase the value of their knowledge, skills, and process abilities to the organization
3	Career Development practices are institutionalized to ensure they are performed as defined organizational processes

**11. Competency Based Practice** - ensuring that all workforce practices are based in part on developing the competencies of the workforce.

Goal#	Competency Based Practice Goal
1	Workforce practices are focused on increasing the organizations capability in its workforce competencies.
2	Workforce activities within units encourage and support individuals and workgroups in developing and applying the organizations workforce competencies.
3	Compensation strategies and recognition and reward practices are designed to encourage development and application of the organizations workforce competencies.
4	Competency-Based Practices are institutionalized to ensure they are performed as defined organizational processes.

## 12. Workgroup Development - organizing work around competency-based process abilities

Goal#	Workgroup Development Goal
1	Workgroups are established to optimize the performance of interdependent work.
2	Workgroups tailor defined processes and roles for use in planning and performing their work.
3	Workgroup staffing activities focus on the assignment, development, and future deployment of the organizations workforce competencies
4	Workgroup performance is managed against documented objectives for committed work.
5	Workgroup Development practices are institutionalized to ensure they are performed as defined organizational processes.

## 13. Participatory Culture - exploiting the full capability of the workforce for making decisions that affect the performance of business activities

Goal#	Participatory Culture Goal
1	Information about business activities and results is communicated throughout the organization.
2	Decisions are delegated to an appropriate level of the organization.
3	Individuals and workgroups participate in structured decision-making processes.
4	Participatory Culture practices are institutionalized to ensure they are performed as defined organizational processes.

## Practices – Not Satisfied under Maturity Level 3

Process Area	Practice No.	Practice Description
Competency Analysis	P3	Workforce competency descriptions are documented and maintained according to a documented procedure.
	P4	Workforce competency descriptions are updated on a periodic and event-driven basis.
	VE1	A responsible individual(s) verifies that Competency Analysis activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.
Workforce Planning	P3	A competency development plan is produced for each of the organizations selected workforce competencies.
	P4	Competency development plans are reviewed and revised on a periodic and event-driven basis.
	P7	Units review and revise plans for workforce activities on a periodic and event-driven basis.
Competency Development	P6	Capable individuals within a competency community are used to mentor those with less capability in the competency.
Career	P8	Individual development activities are tracked against personal

Development		development plans
Competency-Based Practices	P5	Work assignments are designed, in part, to enhance personal and career development objectives.
	P6	Each unit documents performance objectives for developing workforce competencies.
	P7	Each individual documents performance objectives for developing additional capability in the organization's workforce competencies.
	ME1	Measurements are made and used to determine the status and performance of workforce practices to increase capability in the organization's workforce competencies.
	ME2	Measurements are made and used to determine how effectively competency-based workforce practices are increasing capability in the organization's workforce competencies.

## Process Area Findings

Sl.	Process Area	Sum of Scores	No. of Responses	Mean	Standard Deviation	Reference
1	Staffing	971	207	4.69	0.57	Result Sheet PCMM - Gap Assessment – Staffing: AX-1:STF
2	Communication and Coordination	771	174	4.43	0.74	Result Sheet PCMM - Gap Assessment – Communication and Coordination: AX-2:COM
3	Work Environment	679	153	4.44	0.73	Result Sheet PCMM - Gap Assessment – Work Environment: AX-3:WE
4	Performance Management	833	188	4.43	0.57	Result Sheet PCMM - Gap Assessment – Performance Management: AX-4:PM
5	Training and Development	602	138	4.36	0.66	Result Sheet PCMM - Gap Assessment – Training and Development: AX-5:TD
6	Compensation	521	118	4.42	1.01	Result Sheet PCMM - Gap Assessment – Compensation: AX-6:CMP
7	Competency Analysis	345	85	4.06	0.51	Result Sheet PCMM - Gap Assessment – Competency Analysis: AX-7:CA
8	Workforce Planning	229	60	3.82	0.81	Result Sheet PCMM - Gap Assessment – Workforce Planning: AX-8:WFP
9	Competency Development	407	110	3.70	0.87	Result Sheet PCMM - Gap Assessment – Competency Development: AX-9:CD
10	Career Development	592	131	4.52	0.57	Result Sheet PCMM - Gap Assessment – Career

						Development: AX-10: CRD
11	Competency-Based Practices	358	101	3.54	1.12	Result Sheet PCMM - Gap Assessment – Competency-Based Practices: AX-11:CBP
12	Workgroup Development	949	213	4.46	0.67	Result Sheet PCMM - Gap Assessment – Workgroup Development: AX-12:WGD
13	Participatory Culture	850	191	4.45	0.72	Result Sheet PCMM - Gap Assessment – Participatory Culture: AX-13:PC

## Score of Level of Satisfaction by Category of Practices

### Maturity Level 2

S.No.	PA	CO	AB	P	ME	VE
1	Staffing	5.0	4.7	4.7	4.9	4.6
2	Communication and Coordination	4.5	4.5	4.4	4.6	4.3
3	Work Environment	4.5	4.5	4.4	4.3	4.5
4	Performance Management	4.6	4.6	4.4	4.6	4.6
5	Training and Development	4.3	4.5	4.3	4.3	4.8
6	Compensation	4.1	4.1	4.6	4.0	3.7
<b>Practices category wise mean score</b>		<b>4.49</b>	<b>4.50</b>	<b>4.48</b>	<b>4.43</b>	<b>4.36</b>

### Maturity Level 3

S.No.	PA	CO	AB	P	ME	VE
1	Competency Analysis	4.6	4.0	4.0	4.5	4.0
2	Workforce Planning	4.3	4.0	3.7	4.0	4.0
3	Competency Development	4.1	4.2	3.4	4.4	5.0
4	Career Development	4.9	4.7	4.4	4.8	5.0
5	Competency-Based Practices	4.0	4.1	3.5	2.0	5.0

6	Workgroup Development	4.5	4.6	4.4	4.6	4.8
7	Participatory Culture	4.1	4.4	4.7	4.0	4.2
<b>Practices category wise mean score</b>		<b>4.34</b>	<b>4.41</b>	<b>4.13</b>	<b>4.29</b>	<b>4.52</b>

## Institutionalization Journey

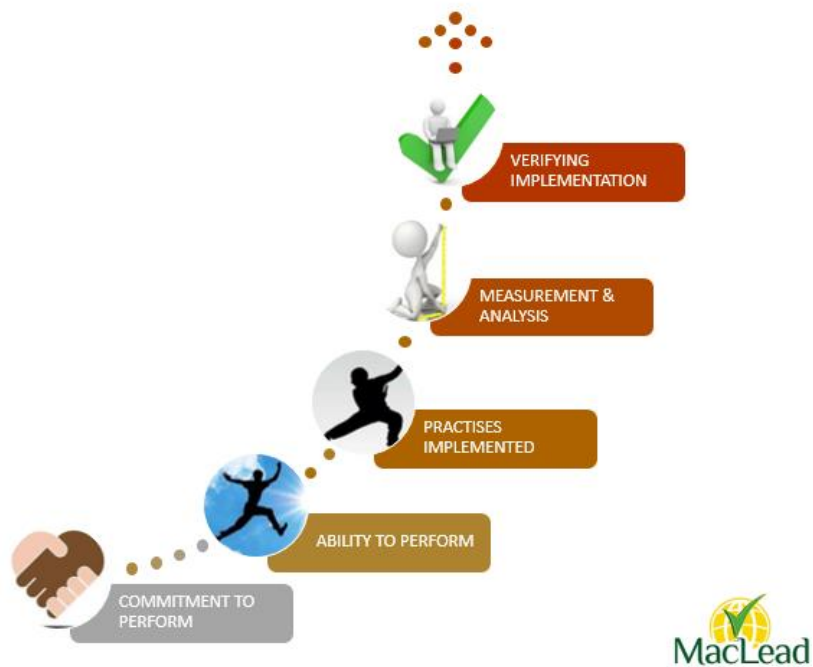
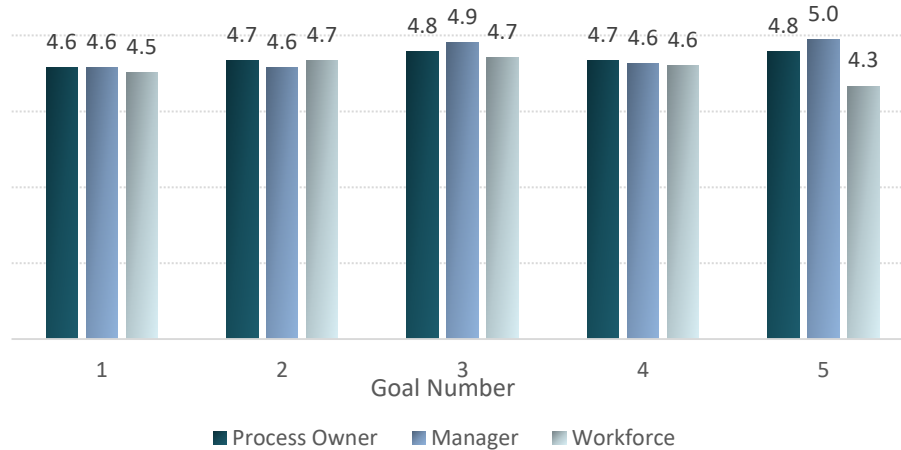


Figure 13: Institutionalization Journey

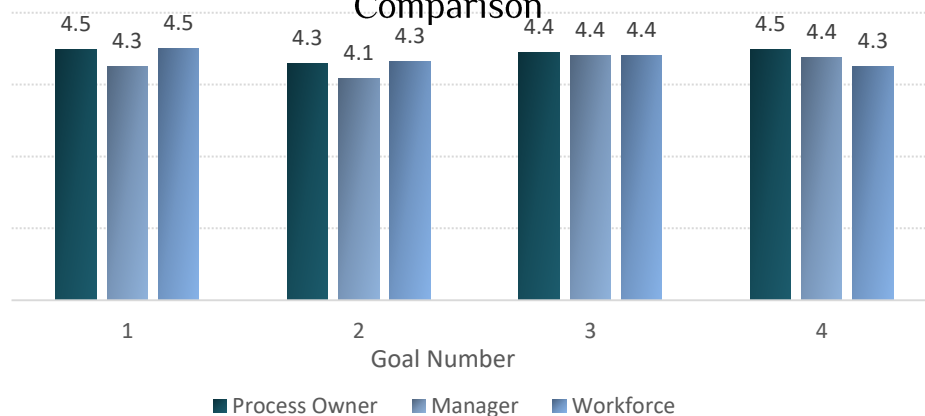
## Comparison of Process Owner-Manager- Workforce Scores

### Maturity Level 2

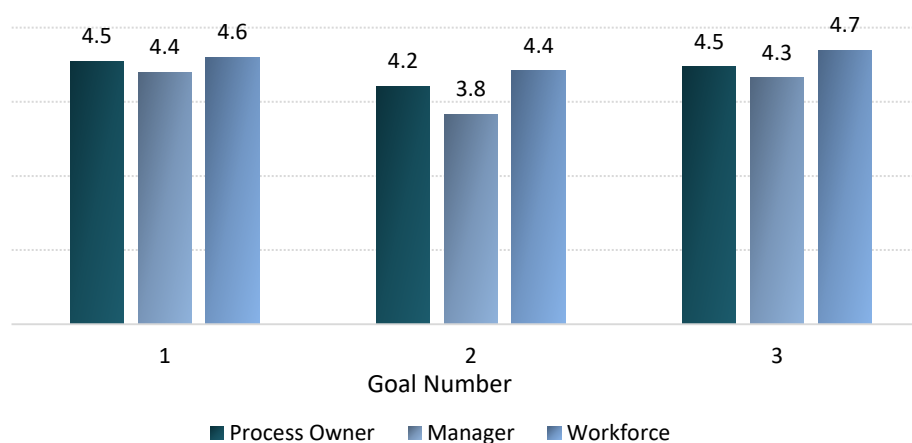
PA1 - Staffing Scores Comparison



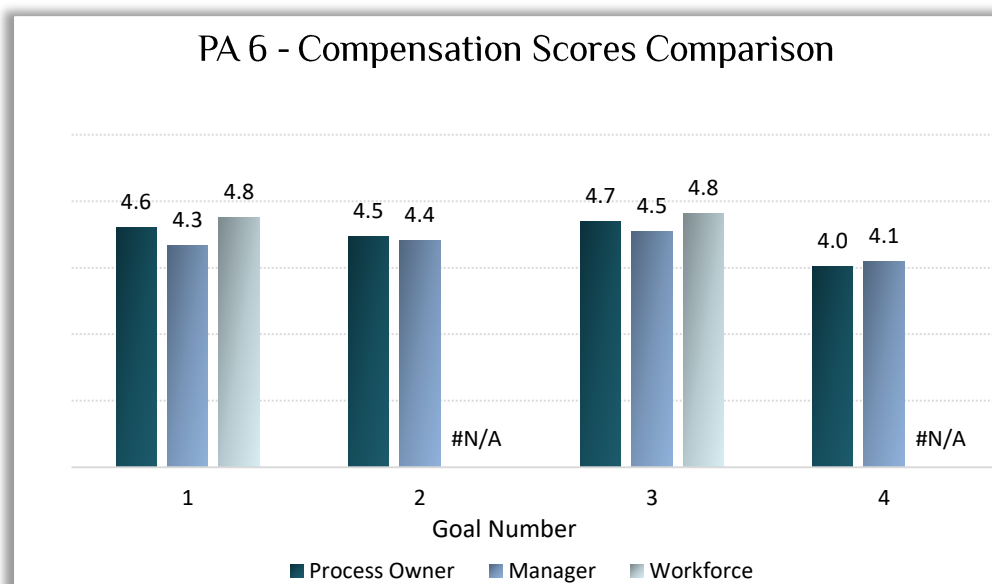
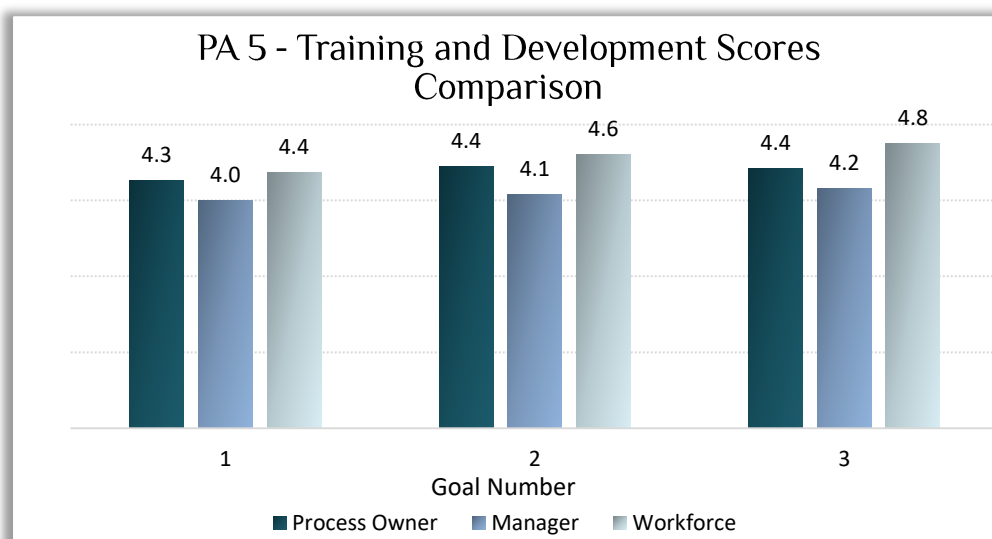
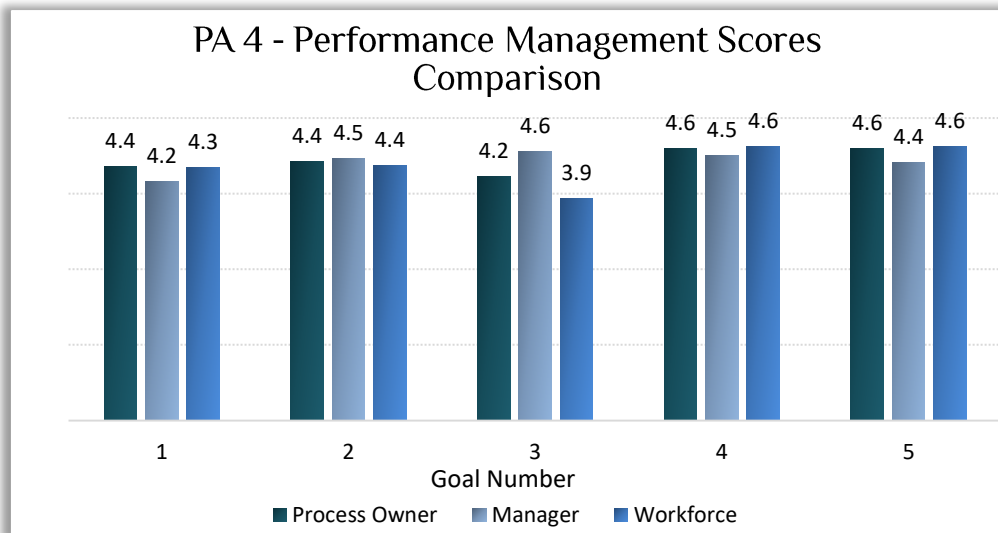
PA2 - Communication and Coordination Scores Comparison



PA3 - Work Environment Scores Comparison

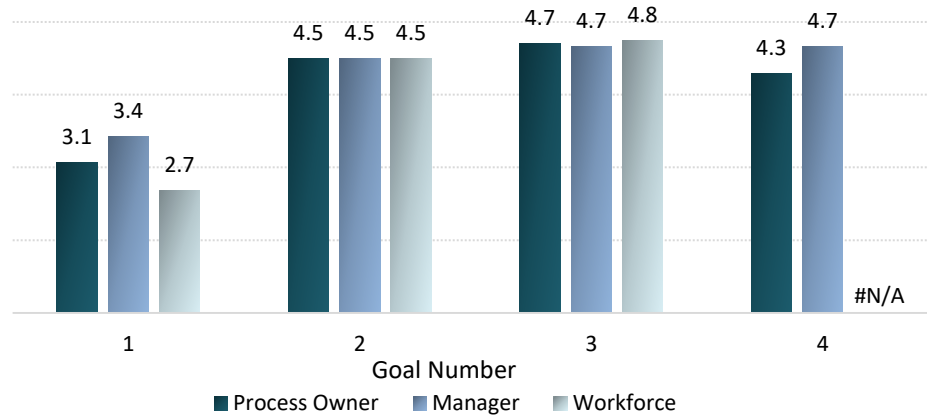




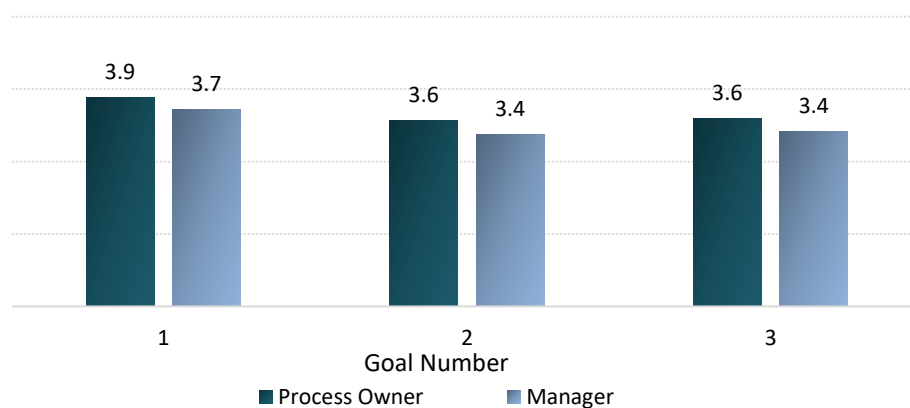


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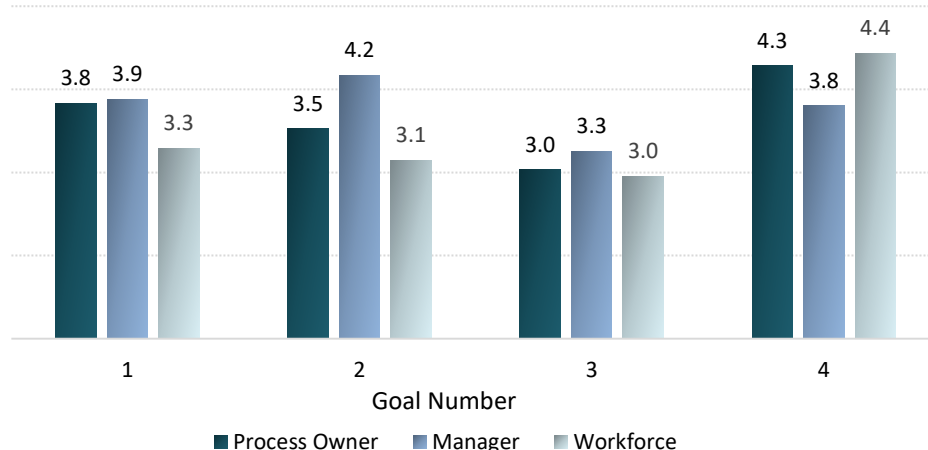
#### PA 7 - Competency Analysis Scores Comparison



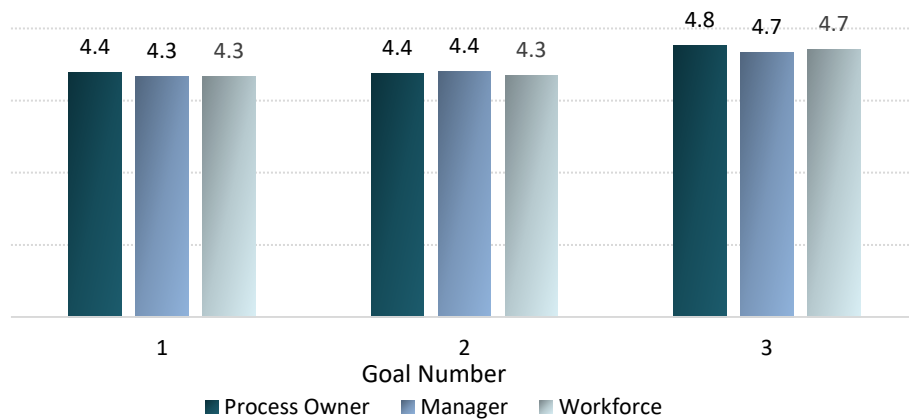
#### PA 8 - Workforce Planning Scores Comparison



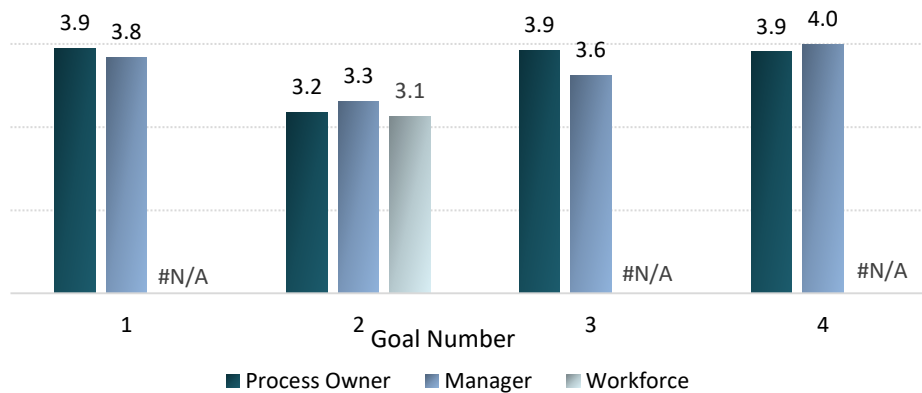
#### PA 9 - Competency Development Scores Comparison



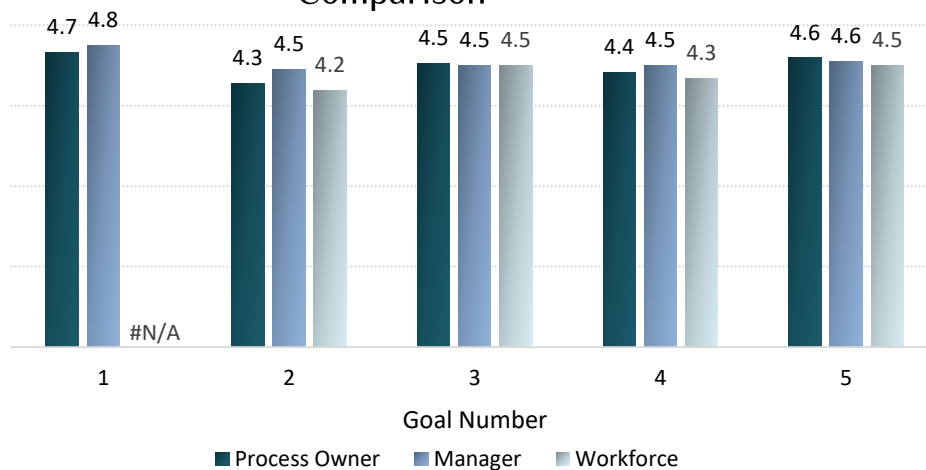
### PA 10 - Career Development Scores Comparison



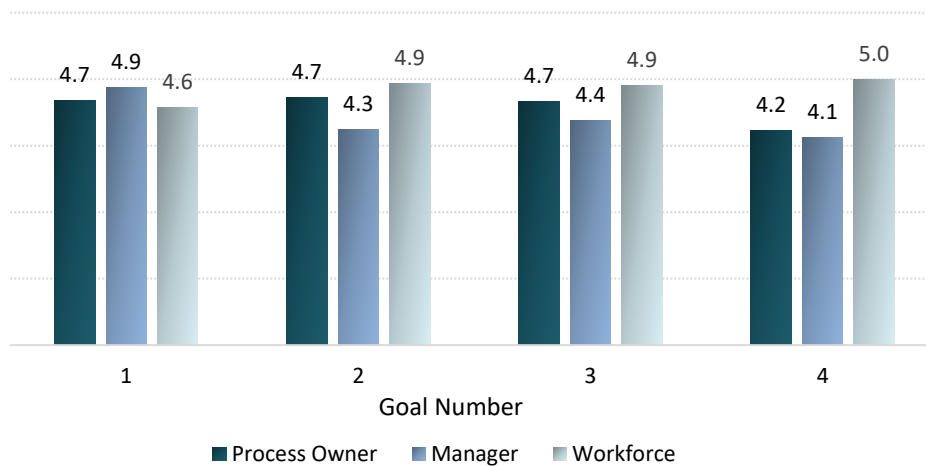
### PA 11 - Competency-Based Practices Scores Comparison



### PA 12 - Workgroup Development Scores Comparison



### PA 13 - Participatory Culture Scores Comparison



### Comparison of Implementation and Institutionalization Scores

Sl.	Process Area	Implementation Mean Score	Institutionalization Mean Score
1	Staffing	4.7	4.8
2	Communication and Coordination	4.4	4.5
3	Work Environment	4.4	4.5
4	Performance Management	4.4	4.6
5	Training and Development	4.3	4.5
6	Compensation	4.6	4.0
<b>AVERAGE (ML2)</b>		<b>4.48</b>	<b>4.47</b>
7	Competency Analysis	4.0	4.3
8	Workforce Planning	3.7	4.1
9	Competency Development	3.4	4.3
10	Career Development	4.4	4.8
11	Competency-Based Practices	3.5	3.9
12	Workgroup Development	4.4	4.6
13	Participatory Culture	4.7	4.2
<b>AVERAGE (ML3)</b>		<b>4.13</b>	<b>4.38</b>
<b>OVERALL</b>		<b>4.32</b>	<b>4.42</b>

### Summary

No. of Process Areas in which –

**Institutionalization < Implementation = 2**

**Institutionalization = Implementation = 0**

**Institutionalization > Implementation = 11**

**Note:**

Institutionalization of practices comes from commitment to perform (CO) (characterized by well-defined policies and guidelines and clear ownership, responsibility and delegation), Ability to Perform (AB) (characterized by preparedness through training and orientation to perform and adequate resources provided with clarity on operating procedures), Measurement and Analysis (ME) (which is characterized by deployment of measures to assess efficiency and impact of practices and interlinking with business areas) and Verifying Implementation (VE) (which is characterized by periodic reviews by Management to understand the state of practices). Organizations having weak Institutionalization practices fail to have consistent practices and find it struggling to scale up practices on a continual basis, as HRM system is believed to be reactive and event driven rather being event driving based on environmental interactions and influence.

### Best Practices at NBCC – Maturity Level 2

PA Name	Goal #	Practice #	Practice Description
Staffing	Goal 5	CO1	The organization establishes and maintains a documented policy for conducting its Staffing activities.
		CO2	An organizational role(s) is assigned responsibility for assisting and advising units on Staffing activities and procedures.
		AB2	Adequate resources are provided for performing Staffing activities.
		ME1	Measurements are made and used to determine the status and performance of Staffing activities.
		ME2	Unit measures of Staffing activities are collected and maintained.
		VE1	A responsible individual(s) verifies that Staffing activities are conducted according to the organizations documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.
Communication and coordination	Goal 3	P11	Meetings are conducted to make the most effective use of participants' time.
Work Environment	Goal 1	P3	Individual workspaces provide an adequate personal environment for performing assigned work responsibilities.
Performance Management	Goal 1	P5	Performance objectives for each individual are reviewed on a Periodic or event driven basis, and, if necessary, they are revised.
Training and development	Goal 1	P2	Training needed in critical skills is identified for each individual.
Compensation	Goal 4	AB3	Individuals performing Compensation activities receive the preparation needed to perform their responsibilities.

## Best Practices at NBCC – Maturity Level 3

PA Name	Goal #	Practice #	Practice Description
Competency Analysis	Goal 3	P8	Current resource profiles for each of the organization's workforce competencies are determined.
Workforce Planning	Goal 4	CO2	An organizational role(s) is assigned responsibility for coordinating Workforce Planning activities across the organization.
Competency Development	Goal 4	AB5	Individuals who participate in Competency Development activities receive appropriate orientation in Competency Development practices.
Career Development	Goal 3	CO1	The organization establishes and maintains a documented policy for conducting its Career Development activities.
		AB1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that members of the unit participate, as appropriate, in Career Development activities.
		ME2	Unit measures of Career Development status are collected and aggregated at the organizational level.
Competency Based-Practices	Goal 2	P5	Work assignments are designed, in part, to enhance personal and career development objectives.
Workgroup Development	Goal 1	P2	Committed work is structured to optimize the coordination and performance of interdependent work within workgroups.
Participatory Culture	Goal 4	AB4	Individuals and groups who participate in Participatory Culture activities receive the preparation in problem-solving and decision-making processes, methods, and skills appropriate to the types of decisions they will participate in making.

## Positive Observations

SI	Process Area	Positive Observation
1.	Staffing	<ul style="list-style-type: none"> <li>A well-defined NBCC Recruitment Policy (Rules &amp; Procedure)-2014 is in place which is in line with the business strategy.</li> <li>Participative Commitments for work are in place as respective departments HODs meet with Individuals and workgroups. KRAs defined for each individual, Timely Review and Feedback taken, so as to make them accountable for performing.</li> <li>Every year Recruitment plan is reviewed based on 5 year Manpower Planning &amp; Assessment is performed for each unit to balance its Workload with available staff and other required resources, prioritizing the work and assigning it accordingly.</li> <li>Current openings within a unit/ organization are analyzed, documented, and</li> </ul>

SI	Process Area	Positive Observation
		<p>approved also widely communicated through Print Media, NBCC website, Social Sites like NBCC Facebook, WhatsApp and other communication tools.</p> <ul style="list-style-type: none"> <li>• Selection process is followed according to the appropriate selection criteria as mentioned in the NBCC Recruitment Policy (Rules and Procedures) dated 24/05/2014</li> <li>• As per the Recruitment Policy composition of Recruitment Committee is formed to participate in its staffing activities.</li> <li>• KRA's are defined at the beginning of the year for each Individual work assignments which are managed to balance committed Work among individuals and units.</li> <li>• The organization acted in a timely manner and the Recruitment team proactively initiated to inform the new joiners to join on or before Sept 30<sup>th</sup> every year and follow up is done frequently.</li> <li>• The selected candidate is transitioned in to the new position through orientation, travel benefits, transit accommodation and travel allowances.</li> <li>• Manpower planning section and online system is in place to perform and monitor the Workforce reduction and other outplacement activities, such as Superannuation, VRS, Resignation, Job rotation and transfer policy.</li> <li>• Employee discharges for unsatisfactory performance are in place as per Recruitment Policy, NBCC Discipline and appeal rules are followed and APAR is used to evaluate the contract employees.</li> <li>• Selection committee is flexible to give an opportunity to select the candidates who are local to the unit areas. Positing is changed and flexible to post at their local unit based on requirement. Various corrective actions are taken to retain the resources like taking last three year Gate scores. Also made changes to the eligibility criteria like age and academic area (Mtech with one year experience), Perks to the new joiners which were not there earlier were introduced from 2017 onwards and they are provided perks from first month onwards.</li> <li>• Timely amendment to the Recruitment policy is made as and when required according to DOPT &amp; DPE guidelines.</li> <li>• Recruitment team and HOD (HRM) with appropriate roles and responsibilities are assigned for assisting and advising units on Staffing activities and procedures.</li> <li>• Various committees are defined like Selection committee, Interview committee, and Group discussion committee based on different posts, appropriate and expert professionals are assigned to perform these activities.</li> <li>• Adequate resources are provided for performing Staffing activities like Annual budget, related infrastructure etc.</li> <li>• To save paper, Recruitment Process is made online, correspondence is performed online to the extent possible, email and online filling form are used as it is a voluminous exercise.</li> <li>• Verification of Staffing activities are conducted according to the organizations documented policies, practices, procedures, and appropriate, plans; and addressed non compliances, as per Internal audit, CAG audit and external audit.</li> <li>• Executive management periodically reviews the Staffing activities through various meetings like SAMVAD (quarterly), HOD and HR representatives of all units (monthly). MOM's prepared for all meetings and action items are tracked to closure.</li> <li>• Trends discussed for future staffing decisions and requirements</li> </ul>



SI	Process Area	Positive Observation
2.	Communication and Coordination	<ul style="list-style-type: none"> <li>The people-related policies and practices of the organization are communicated to the workforce through ERP NBCC website</li> <li>Information about organizational values, events, and conditions is communicated to the workforce on a periodic and event-driven basis via Circulars, magazines and ERP website</li> <li>Individuals or groups having an option to share/raise concerns through functional meetings with union and management representatives/ SAMVAD/Manthan- Interaction with the employees directly/ SC&amp;ST Welfare meeting and issues brought are tracked and closed. Also in Grievance Portal in ERP website.</li> <li>Interpersonal problems or conflicts that degrade the quality or effectiveness of working relationships are handled appropriately through One to One Interactions, Counseling and Meetings.</li> <li>Meetings are conducted to make the most effective use of participants' time according to defined objectives, ATR and feedback</li> <li>Executive management establishes and communicates a set of values for the organization regarding the development and management of its workforce through KRA and ERP website</li> <li>At the senior management level company organizes SAMVAAD, wherein the views and performance are communicated.</li> <li>Performance of the individuals are assessed according to the parameters set against their APAR.</li> <li>Annual communication through Booklets, ERP-Quarterly Structured Meetings (Journals), NBCC News and NirmanBharatiPatrika is circulated to all employees.</li> <li>NBCC uses intranet and internet website and all other forms of communication</li> <li>DPA guidelines followed and published in NBCC Intranet</li> </ul>
3.	Work Environment	<ul style="list-style-type: none"> <li>Environmental factors that degrade or endanger the health or safety of the workforce are identified and corrected. Safety audit initiated and conducted and free Health camps organized</li> <li>The organization established and maintained a documented policy for conducting its Work Environment activities.</li> <li>NBCC Service (Conduct) Rules 1969 followed for executives and non-unionized supervisors. For Unions - certified standing orders, Safety Policy dated, Guidelines for the Safety, GCC is maintained for consultants and contractors, and Safety and labor laws are maintained.</li> <li>Periodic improvements are made to the work environment that improve work performance through third party services like "NBCC Services Ltd".</li> <li>Responsibilities are assigned for assisting and advising units on work environment related activities, committees on work environment conditions formed. Housekeeping upkeep committee and General Contract Conditions (GCC) are established also applied to all sites/units.</li> <li>The resources needed to accomplish committed work are made available in a timely manner. Provisioned in store and drawn on as required basis. Dos and Don'ts are also displayed</li> <li>Resources necessary for performing work environment activities are in place, to make adequate improvements staff are continuously trained. Construction safety conducted by National Safety Council.</li> <li>Measurements are made and used to determine the status and performance of Work Environment activities through safety audits and Number of complaints</li> </ul>

SI	Process Area	Positive Observation
		<p>received during the given time period is tracked and reported- Complaint register is maintained</p> <ul style="list-style-type: none"> <li>• Verification of Work Environment activities are followed like Safety audit, HR audit, Housekeeping audits are conducted in respect to the work environment norms.</li> <li>• Executive management periodically reviewed the Work Environment activities, status, and results, including improvements to the work environment and resolved issues through a Quarterly meet of review and safety council, Sr Manager meetings monthly, HOD meeting weekly and SAMWAAD – Pan India meeting quarterly.</li> </ul>
4.	Performance Management	<ul style="list-style-type: none"> <li>• Dependencies are identified in various meetings like SAMVAD, MANTHAN, Sr Managers meeting and HOD's meetings.</li> <li>• Task based CFT (Cross functional team)/committees containing the membership of all respective discipline are being formed to optimize the coordination and performance of interdependent work within workgroups</li> <li>• Staffing processes are performed to ensure that workgroups are staffed with individuals whose competencies match to perform the workgroup's business activities.</li> <li>• The organization established and maintained documented policies like Recruitment Policy (rules) 2014, HR Policies, CSR Policies and Promotion Policies.</li> <li>• Measurements are made and used to determine the status and performance of Workgroup Development activities across the organization through Regular reviews and ATR's</li> </ul>
5.	Training and Development	<ul style="list-style-type: none"> <li>• Training and Development process is in place. Training Policy is part of HR Manual. The training calendar is being circulated through ERP. Based on the calendar the training programs are being conducted.</li> <li>• Training skills are identified in APAR(annually) and KRA (in between the year)</li> <li>• APAR covers various Personal data, Progress sheet, and self-Appraisal and Behavioral qualities.</li> <li>• APAR and KRA's are used to track the training information across the units/regions which are covering all areas of staff.</li> <li>• Training Budget Allocated, a full fledge Training &amp; Development Division (TSDC) is in place and adequate manpower is being provided as well. TSDC is fully authorized and delegated to carry out all Training and Development Activities. They are been equipped with Training skills set.</li> <li>• Individuals who perform Training and Development activities received the preparation needed to perform their responsibilities.</li> <li>• Verification of Activities are conducted as per procedure through HR MIS and coordinated by HODs/RBG'Ss/SBG'Ss</li> <li>• Executive management periodically reviewed the Training and Development activities, status, and results through HR MIS monthly by CMD and General Manager HR</li> </ul>
6.	Compensation	<ul style="list-style-type: none"> <li>• DPE guidelines followed for compensation</li> <li>• Compensation Policy is in place and it is in line with NBCC Corporate plans</li> <li>• A detailed Compensation Plan is prepared and submitted by HRM-Establishment Section to the concerned Ministry for approval based on the Pay Revision Committee.</li> <li>• Documented compensation plan (Pay revision plan) is in place and prepared</li> </ul>

SI	Process Area	Positive Observation
		<p>periodically for administering compensation activities needed to execute the compensation strategy</p> <ul style="list-style-type: none"> <li>Communication of Compensation strategy and equity plan is performed for Pay revision along with Compensation benchmarks with Industry peers for next ten years for Managers/Executives/supervisory staff has been shared through internal Circulars</li> <li>The compensation plan is designed to maintain equity in administering the compensation strategy based on the recommendations of Pay Revision Committee, the pay scales are same across all the CPSE's</li> <li>As part of Compensation adjustments Performance related pay is governed by Compensation Plan and is directly related to the individual accomplishments</li> <li>Adequate resources are provided for Compensation activities like budget, manpower and preparation like on job training for junior executives along with senior executives to ensure the complete knowledge is acquired in respect of compensation activities.</li> <li>CAG, External Government Auditing and Internal Quality audit is conducted frequently</li> <li>Aggregate trends in compensation activities and decisions are Measured, Reviewed and Periodic analysis performed. Measures at unit level are collected and aggregated at the Organization level at centralized salary/HRM section. Further analysis of compensation data to understand the organization trend and its compensation with other PSU's is done periodically and corrective actions initiated</li> <li>Recent review of pay revision based on peers bench mark sent to competent authority (Ministry of Housing and Urban affairs)</li> <li>The Compensation Plan is reviewed at APED level by pay revision committee constituted by DPE guidelines. Circulars after taking approvals are issued from time to time to ensure compliance as per Rules, Regulation and Legislations</li> </ul>
7.	Competency Analysis	<ul style="list-style-type: none"> <li>The workforce competencies required to perform the organization's business activities are identified and analyzed. NBCC Team (HOD's, Union Representatives and Sr. Officers) are involved in identifying knowledge, skills and process abilities and approved by GOI.</li> <li>Recruitment Rules published in 2014 and Promotion Policy 2015 &amp; 16 are in place</li> <li>Every 5 Years Workforce competency descriptions are revised on a periodic on event-driven basis.</li> <li>Competency information regarding the capabilities of individuals in their workforce competencies is collected and maintained, detailed description is available in an individual APAR which is filled online and it is tracked in every year from July to Sept.</li> <li>Current resource profiles for each of the organization's workforce competencies are determined, designation/ Work Group wise ratings and marks is recorded and analyzed.</li> </ul>
8.	Workforce Planning	<ul style="list-style-type: none"> <li>The current and strategic workforce needs of the organization are through Manpower plan (5year rolling plan) for next five years i.e. up to 2021-2022 has already been prepared and is operational, which is reviewed and approved by CMD. While preparing the plan, the superannuation, turnover targets and business expansion are taken into account according to the requirements of various RBG'S's/SBG'S's.</li> </ul>

SI	Process Area	Positive Observation
		<ul style="list-style-type: none"> <li>Measurable objectives are established for developing the organization's capability in each of its selected workforce competencies. MOU targets are signed with RBG'S's/SBG'S's. Regular performance reviews are being performed by the Management.</li> <li>Every quarter Manpower requirement is discussed, Annual manpower plan is maintained.</li> <li>Organization is following the workforce planning process, e.g. attended the event driven request for competency development received from NBCC Services Ltd, but there is no documented procedure available.</li> <li>Succession plans are in place as per NBC – GM(HRM- POLICY 2015-16) – 2467 and are developed for critical positions within the organization to ensure that qualified individuals with the required knowledge, skills, and process abilities are always available to perform the position's responsibilities. RBG'S/SBG'S/Zonal Heads are covered under succession plan. Postings of successors are made at least six months in advance.</li> <li>Progress in meeting the objectives of the strategic workforce plan (Annual Manpower plan) is reviewed periodically (i.e. quarterly) with executive management and the information is shared to PMG (Project Mgmt. Group) for updating the ATR (Action taken report) The shortfall and intermittent requirement if any are considered for re-advertisements.</li> <li>Units review and revise plans for workforce activities on a periodic and event-driven basis. MPP section (a dedicated team of HRM professionals) are deployed to look after the workforce planning and deployment activities. This section has been entrusted with the job of coordinating with RBG'S's/SBG'S's and compiling the data of requirement</li> <li>Transfer guidelines are in place in few other guidelines for deployment of workmen under GCC and posting of secretarial staff are also in existence.</li> <li>Adequate resources are provided for performing Workforce Planning activities. The MPP section (a dedicated team of HRM professionals) provides manpower according to the level and exposure requested by the respective RBG'S's/SBG'S's along with GCC for the workmen deployment. Overhead cost in CTC of the project is also taken into consideration</li> <li>Status Measures like recruitment status and joining status are shared with management. However there is no defined/approved format, currently maintained in Excel sheet.</li> <li>Aggregate Unit Measures like data on surplus manpower is maintained and requirements received from RBG'S's/SBG'S's are compiled at corporate level but database of workforce planning as a whole is not available</li> <li>Top management periodically reviews the Workforce Planning activities, status, and results.</li> </ul>
9.	Competency Development	<ul style="list-style-type: none"> <li>Competency development activities are based on the competency development plans within each workforce competency, referred Recruitment Rules, 2014 and Promotion Policy, 2016 for this activity but in overall Competency development Plan need to be developed also refer work planning process (P3)</li> <li>Several training opportunities are planned and conducted for competency development like managerial, behavioral, functional programs are conducted in class room and online</li> <li>Information regarding workforce competencies and related development opportunities are shared through NBCC ERP Intranet website and Structured</li> </ul>

SI	Process Area	Positive Observation
		<p>Training Plan also shared</p> <ul style="list-style-type: none"> <li>Competency-based training opportunities are identified to support their development objectives through Data on TNI (Training need Identification) which is being captured from the PMS process, through Review Meetings and APR performance, then employees are selected for training</li> <li>A Mentor - Mentee policy is in place which is referred in Training Policy and HRM Manual but down the line from Managers onwards are having less awareness regarding this practice.</li> <li>Support for Competency Community and Competency Based data is in place and shared through Enterprise Resource Planning (NBCC ERP Intranet), KMP (Knowledge Management Portal) and APAR</li> <li>Adequate resources are provided for performing specific Competency Development activities. Training budget is allocated for Competency Development Programs, they do not have separate budget for competency development activities. Training methodology is applied for Competency Development activities. Few Individuals like Engineers &amp; Officers are sponsored for Training in premium institutions who will participate in Competency Development activities</li> <li>Status Measures and Quality Measures are through feedback system, Periodic Reviews, Interviews and APAR logs.</li> <li>Verification of Competency Development activities are performed through Quarterly SAMVAAD (Quarterly), MANTHANS and Structured review meetings</li> <li>Apex Management maintains potential competencies, reviews and trends related to competency development</li> </ul>
10.	Career Development	<ul style="list-style-type: none"> <li>Graduated career opportunities are in place, as additional responsibilities are assigned through various office order through NBCC ERP that involved both technical and management growth with progression.</li> <li>Promotion Criteria is followed as per Promotion policy and considered on various factors like Eligibility Criteria and APAR (3 consecutive years performance)</li> <li>These promotional criteria and procedures defined based on workforce competencies or areas of career opportunity.</li> <li>Graduated career opportunities and promotion criteria are periodically reviewed based on functional needs and updated through DPR (Departmental Promotion Committee) which is approved by CMD.</li> <li>Unit heads periodically evaluate and discuss on Quarterly basis and VWD (Value work done) records are maintained from each unit to Head Office</li> <li>Career options and development in the organization's WorkforceCompetencies are discussed annually, as per APAR individual performance and their areas of improvement are mentioned by assessing authority. Revised promotion policy published on NBCC ERP.</li> <li>A documented Promotion policy exists and available on NBCC ERP ( Employee Portal)</li> <li>Members of the human resources function are coordinating the Career Development activities across the organization at corporate level through PMS</li> <li>Mentor and Mentee relationship between staff within each unit and assigned a responsibility and authority for ensuring that members of the unit participate in Career Development activities, as appropriate.</li> <li>Adequate resources are provided for implementing Career Development</li> </ul>



SI	Process Area	Positive Observation
		<p>activities like budget, infrastructure and skilled resources based on APAR</p> <ul style="list-style-type: none"> <li>To determine the status and performance of Career Development activities within each unit like training needs are identified and collected in the APAR through online PMS</li> <li>Measurements are made and used to determine the effectiveness of Career Development activities like ability to attract, retain and promotion in a workforce competency through APAR and PMS. Historical database is maintained in PDF reports (NBCC ERP)</li> <li>Executive Management reviews and assess performance of employee through Appraisal process (APAR)</li> </ul>
11.	Competency-Based Practices	<ul style="list-style-type: none"> <li>Recruitment policy- Rules and procedures 2014 is in place</li> <li>APARs are considered for Selection</li> <li>Organization re-evaluates its workforce policies and practices and adjusts them, as needed through multiskilling and rationalization</li> <li>Based on changing needs professionals are sent on development programs to enhance personal and career development objectives and new assignments are given thereafter to take care of the new process area practices.</li> <li>Each unit documents performance objectives for developing workforce competencies through periodical review meetings (Samvad and Manthan), units made responsible for competency development of people.</li> <li>Compensation Strategy - Jan'18 Pay revision implemented CBP practices</li> <li>Reward and recognition policies in place, NBCC Excellence awards for individual and group are established</li> <li>Promotion policy and Rationalization policy is in place and part of HR Manual</li> <li>Adequate resources are provided like training &amp; skill development center and budgetary provision</li> <li>Competency-based Workforce practices are defined and documented like Vision document and KRA's also available on NBCC ERP</li> </ul>
12.	Workgroup Development	<ul style="list-style-type: none"> <li>Dependencies are identified in various meetings like SAMVAD, MANTHAN, Sr Managers meeting and HOD's meetings.</li> <li>Task based CFT (Cross functional team)/committees containing the membership of all respective discipline are being formed to optimize the coordination and performance of interdependent work within workgroups</li> <li>Staffing processes are performed to ensure that workgroups are staffed with individuals whose competencies match to perform the workgroup's business activities.</li> <li>The organization established and maintained documented policies like Recruitment Policy (rules) 2014, HR Policies, CSR Policies and Promotion Policies. Measurements are made and used to determine the status and performance of Workgroup Development activities across the organization through Regular reviews and ATR's</li> </ul>
13.	Participatory Culture	<ul style="list-style-type: none"> <li>Information about organizational business activities, results and unit performance are communicated through NBCC website and ERP portal, communication meetings like SAMVAD (Quarterly), MANTHAN is middle level management meeting to share and discuss the new business idea and issues held at every six months and also regular performance review of RBG's/SBG's</li> <li>Communication systems like ERP module related to WIP (Work information Report), e-billing system, etc. are being used and available on NBCC ERP. Other communication meets such as SAMVAD, MANTHAN, Video conferencing,</li> </ul>

SI	Process Area	Positive Observation
		<p>regular performance reviews and internal journals also communicate on business activities.</p> <ul style="list-style-type: none"> <li>The structure of decision-making processes are available in SDOP (Sub delegation of powers), GCC (General conditions of contract) and also in HRM Manuals. CGM CE has the role for analyzing the these manuals</li> <li>Decision-making Roles have been defined in SDOP and different HRM policies, such as Recruitment Policy, DAR (Discipline and Appeal rules) and etc.</li> <li>RBG/SBG/ZI have been empowered through SDOP(Sub delegation of powers)</li> <li>Administrative, Financial, Disciplinary power have been delegated through SDOP and different HRM policies along with amendments</li> <li>Personnel grievances are addressed by high level committee (CGC - Central Grievance Committee). "staff/public grievance redressal machinery" policy is available. Ethical issues committee formed to handle women issues. Reconstitution of Internal complain committee circular issued to prevent sexual harassment on women at work place</li> <li>The organization's stated values are mentioned in HRM Manual and website, Employees are encouraged to share through SAMVAD, MANTHAN and can also exchange views through NBCC ERP directly to CMD</li> <li>Technical Division headed by CGM (Chief General Manager) is assigned responsibility for coordinating the organization's activities for developing a Participatory culture.</li> <li>Monthly meeting held with all units HODs through Approval of Competent Authority to discuss various issues and developments also discuss the effectiveness of the participatory practices adopted in the organization</li> <li>Executive management periodically reviews the level of Participatory behavior and resolves issues through quarterly SAMVAD, MANTHAN, HOD's meeting every week and other communication process through NBCC ERP module. Suggestion scheme also open to every employee through NBCC ERP.</li> </ul>

### Recommendations for Improvements to strengthen Maturity Level 3

Sl.	Process Area	Areas for Improvement / Recommendations
1.	Competency Analysis	<ol style="list-style-type: none"> <li>Workforce competency descriptions should be documented and maintained according to a documented procedure.</li> <li>Workforce competency descriptions should be updated on a periodic and event-driven basis.</li> <li>A responsible individual(s) should verify that Competency Analysis activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.</li> </ol>
2.	Workforce Planning	<ol style="list-style-type: none"> <li>A competency development plan should be produced for each of the organizations selected workforce competencies.</li> <li>Competency development plans should be reviewed and revised on a periodic and event-driven basis.</li> <li>Units should review and revise plans for workforce activities on a periodic and event-driven basis.</li> </ol>



Sl.	Process Area	Areas for Improvement / Recommendations
3.	Competency Development	7. Capable individuals within a competency community should be used to mentor those with less capability in the competency.
4.	Career Development	8. Individual development activities should be tracked against personal development plans
5.	Competency-Based Practices	9. Work assignments should be designed, in part, to enhance personal and career development objectives. 10. Each unit should document performance objectives for developing workforce competencies. 11. Each individual should document performance objectives for developing additional capability in the organization's workforce competencies. 12. Measurements should be made and used to determine the status and performance of workforce practices to increase capability in the organization's workforce competencies. 13. Measurements should be made and used to determine how effectively competency-based workforce practices are increasing capability in the organization's workforce competencies.

### Recommendations for Improvements to based on inputs from participants

Sl	Process Area	Areas for Improvement
1.	Staffing	<ul style="list-style-type: none"> <li>Communication plan need to be amended for using the Social Sites like NBCC Facebook, WhatsApp and other communication tools to post new positions/current openings in the organization. <b>(P7- Position Openings)</b></li> <li>Amendments to Requirement policy suggested related to the eligible criteria like age and academic area (M Tech with one year experience), Perks to the new joiners which were not there earlier were introduced from 2017 onwards they also provided perks from first month onwards. <b>(P18 - Voluntary Separation)</b></li> </ul>
2.	Communication and Coordination	<ul style="list-style-type: none"> <li>Awareness is to be provided on Raising concerns and Grievance Handling process and its process to all employees particularly workforce (P5- Raise Concerns)</li> <li>Awareness needed to be provided on Disciplinary process to all employees (P8 - Interpersonal Problems)</li> <li>The practice areas of communication and coordination can become a back bone provided there is process oriented approach insistence through several awareness campaigns or events in a planned manner that suits the organizational objectives. It must be a consistent effort from at all levels, need to be reviewed in executive management               <ul style="list-style-type: none"> <li>VE2 – Executive Management,</li> <li>CO1 - Organization Role,</li> <li>P8 - Interpersonal Problems and</li> <li>AB3 - Performing Orientation</li> </ul> </li> </ul>
3.	Work Environment	<ul style="list-style-type: none"> <li>Work environmental Periodic Improvement need to be added as one of the mandatory agenda item in all meetings like SAMVAD, Manthan and other meetings <b>(P5 Periodic Improvement)</b></li> </ul>
4.	Performance	<ul style="list-style-type: none"> <li>When workgroups disband, their assets are to be captured for redeployment.</li> </ul>

SI	Process Area	Areas for Improvement
	management	<ul style="list-style-type: none"> <li>– Prepare and archive appropriate work products.</li> <li>– Knowledge portal need to be developed to update the lessons learned when the committees are disbanded.</li> <li>– Need to capture and archive lessons learned about products, processes, or workforce practices,</li> <li>– Recommendation of the committees process records are being kept with concerned HOD's and being referred by the successive related committee.</li> <li>– SAMANAY.cpse.in can be updated and used by all PSU's and can be used by NBCC staff to upload initiatives and lessons learned. <b>(P15 - Capture Assets)</b></li> </ul>
5.	Training and Development	<ul style="list-style-type: none"> <li>• Training &amp; Development Division (TSDC) is in place and adequate manpower is being provided as well but the authorized personnel who is heading the team need to have awareness on policies and procedures also need to have a preparation to handle the T &amp; D division. <b>(CO2 - Organization Role) and (AB4 – Perform: Orientation)</b></li> <li>• Need awareness on Training &amp; Development Division (TSDC) Policies and Procedures as CGM (HRM) and Down the line team members are not much exposed / aware of the following Development opportunities practice or documented procedures <b>(P7- Development Opportunities)</b></li> <li>• Need orientation on Training &amp; Development Division (TSDC) Policies and Procedures as CGM (HRM) and Down the line team members are not much exposed / aware of the following practice (Policy), through interaction they can understand and have the knowledge of the practice but does not have any idea about the availability about the documented policy or procedure <b>(CO1 – Policy)</b></li> </ul>
6.	Compensation	<ul style="list-style-type: none"> <li>• Need to involve the managers who are below DGM HR Level in Status measures and Aggregation of measurement to determine the status and performance of Compensation activities, measuring and reviewing on a recurring basis. <b>(ME1 – Status Measures) and (ME2- Aggregation of measurement)</b></li> </ul>
7.	Competency Analysis	<ul style="list-style-type: none"> <li>• Need to have awareness and involve the managers and workforce who are below DGM HR Level about the revision frequency/periodicity of reanalyzing the Workforce competencies necessary to perform the organization's business activities <b>(P4 – Workforce Competency)</b></li> <li>• Cross functional experts and RBG'S (Regional business heads) from numerous units across the organization need to be included to coordinate the Competency Analysis activities for defining, developing, and maintaining each workforce competency, at present only HR personnel are involved. <b>(AB1 - Competency Role)</b></li> </ul>
8.	Workforce Planning	<ul style="list-style-type: none"> <li>• Anticipating need in the future, Competency development plans can either be produced as separately documented plans for each workforce competency, or they can be integrated together in the organization's strategic workforce plan. Currently in few cases employees have been given independent charges at the lower level with their reporting to Directors. Directors review and guide them. The plan for each competency should be prepared by individuals with appropriate expertise in both the subject domain of the competency and the workforce activities required to develop it <b>(P3 – Competency Development Plan)</b></li> <li>• Competency development policy/procedure need to be developed for conducting its Workforce Planning activities according to the current process followed. <b>(CO1 - Documented policy)</b></li> </ul>

SI	Process Area	Areas for Improvement
		<ul style="list-style-type: none"> <li>Documented procedure for revision / review of work force activities need to be put in place <b>(P7 -Units review and revise plans for workforce activities)</b></li> <li>Planned workforce Activities/Manpower Tracking is handled at organization level, currently there is not consistent format to record they need to define a format/template to maintain the records<b>(P11 - Workforce Activities Tracking)</b></li> <li>Status Measures like updating the requirements, recruitment status and joining status which are shared with top management need to be maintained in a defined/approved format, currently maintained in Excel sheet<b>(ME1 – Status Measures)</b></li> <li>Aggregate Unit Measures like data on surplus manpower is maintained and requirements received from RBG'S's/SBG'S's are compiled at corporate level but database of workforce planning as a whole is not available. Need to maintain a historical database of workforce planning so that it can be periodically analyzed to determine trends<b>(ME2 - Aggregate Unit Measures)</b></li> </ul>
9.	Competency Development	<ul style="list-style-type: none"> <li>Competency development Plan need to be developed also refer work planning process of Practice 3 – <b>(P1 - Use of Competency development Plan)</b></li> <li>A Mentor - Mentee policy is in place which is referred in Training Policy and HRM Manual but down the line from Managers onwards are not much exposed / aware of the following practices, Most of the practices are explained at DGM HR level<b>(P6 – Mentor)</b></li> <li>Down the line team members other than top level managers are not much exposed / aware of the following practice, referred a Promotion Policy for this practice<b>(CO1 – Policy)</b></li> </ul>
10	Career Development	<ul style="list-style-type: none"> <li>Individual Career development activities need to be tracked against personal development plans. Need to review periodically individual performance and progress against personal development plans with each individual <b>(P8 - Track Personal Development Plan)</b></li> </ul>
11	Competency-Based Practices	<ul style="list-style-type: none"> <li>Measurements are not collected and effectiveness of competency-based workforce practices not captured like Staff ratings, increased level of knowledge, skills, and process ability. <b>(ME1 – Status Measures and ME2 - Effectiveness Measurements)</b></li> </ul>
12	Workgroup Development	<ul style="list-style-type: none"> <li>When workgroups disband, their assets are to be captured for redeployment. <ul style="list-style-type: none"> <li>Prepare and archive appropriate work products.</li> <li>Knowledge portal need to be developed to update the lessons learned when the committees are disbanded.</li> <li>Need to capture and archive lessons learned about products, processes, or workforce practices,</li> <li>Recommendation of the committees process records are being kept with concerned HOD's and being referred by the successive related committee.</li> <li>SAMANAY.cpse.in can be updated and used by all PSU's and can be used by NBCC staff to upload initiatives and lessons learned.</li> </ul> </li> </ul> <b>(P15 - Capture Assets)</b>
13	Participatory Culture	<ul style="list-style-type: none"> <li>Executive management periodically reviews the level of Participatory behavior and resolves issues through various meetings but not clear on to handle types of conflicts or disputes even though defined mechanisms are in place, i.e. like Scheduling difficulties, Conflicts among commitments, Budget or other financial issues, Interpersonal problems, Coordination problems, Legal or ethical issues and Issues involving business strategy or tactics <b>(P12- Resolve Disputes)</b></li> </ul>

## Developmental Action Plan to Strengthen Maturity Level 2

### Action Points for Phase 1: Strengthening Maturity Level 2 (up to 3-6 Months) (Action points to be undertaken in each process Area)

#### Staffing

Category	Steps	Action Points
Commitment To Perform	1	Revisit recruitment policy to include all staffing principles, such as transitioning in the form of transfers, promotions, separation, on boarding and decision on transitioning based on talent supply and demand economics
Ability to Perform	2	Identify Unit level staffing coordinators and train them on staffing
	3	Develop Staffing dashboard for Organization and individual units.
	4	Devise recruitment need assessment framework
Practices implemented	5	Revisit communication strategy for engagement of Talent after selection up to on boarding to avoid no-shows.
	6	Institutionalize exit interview process and use inputs to strengthen HR processes for better talent experience.
	7	Develop and implement on boarding policy for lateral hired and Board Level Executives
Measurement and Analysis	8	Develop and implement Staffing scorecard.
Verifying Implementation	9	Institutionalize Quarterly review meetings on staffing activities and success

#### Communication and Coordination

Category	Steps	Action Points
Commitment To Perform	1.	Develop corporate communication policy
	2	Identify a dedicated resource/ team at corporate HR level to own the process. Enable through creation of separate vertical in HR structure.
Ability to Perform	3.	Define performance indicators around core values. Integrate living up core values with reward and recognition and PMS.
	4.	Develop Value chain map for departments with integration matrix with cross-functions and delivery value in realizing NBCC vision, mission, values and objectives.
	5	Operationalize Suggestion schemes.
	6	Define guidelines for strategic communication vehicles- Town halls, group mails, Intranet communication, Skip level meetings, Coffee Talks etc.
Practices implemented	7	Institutionalize grievance Redressal through measures and trackers
	8	Build culture of organizing meetings only after agenda communication/circulation and capturing minutes of meetings and circulating to participants within 24 hrs of the meeting.
Measurement and Analysis	9	Build Scorecard on communication and coordination process area for measuring efficiency and effectiveness of process ( both at group and Unit

		level)
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## Work Environment

Category	Steps	Action Points
Commitment To Perform	1.	Develop Policy on Work environment, which may include guidelines on work environment, based internal/external audits and facilities to be provided in each unit and at different grades and also at the time of joining of Employees on hiring or transfer. Policy may cover aspects of work analysis to ascertain physical infrastructure required to perform the job effectively.
	2.	Assigning responsibility of assessing work environment activities at Organizational level and Unit level.
Ability to Perform	3	Training responsible individuals for work environment maintenance and assessment on ergonomics, premise maintenance management, safety standards, health standards, environment laws including air act, water act, Fire equipment, work environment audit etc.
	4	Ensure statutory compliances related with work environment eg. Spittoons, toilets, washing rooms, bulletin boards (following carpet area, space/ distance etc. Norms) and barrier free access to Physically Disabled (Divyangs) are provided in each unit.
	5	Systematic approach to budgeting to maintain and upgrade work environment every year.
	6	Build a reckoner of tools required to perform different roles in the Organization and ensure its availability to individuals performing role. E.g. conditioned based maintenance team may require thermographs, safety equipment including electric shock absorbing shoes, callipers, ammometer etc. Analytics team may require tools like MS Office, SPSS, Tableau, R, Python, VB Script etc.
Measurement and Analysis	6	Devise metrics to determine the status and performance of Work Environment activities.
	7	A dashboard on statutory compliances followed and progress made may be instituted in each unit.
Verifying Implementation	8	Senior Management periodically reviews the work environment activities, status, and results, including improvements to the work environment; and resolves issues.

## Performance Management

Category	Steps	Action Points
Commitment To Perform	1.	Handbook on Performance Management may be released for Performance Management participants.
	2	Revisit Performance Management policy to incorporate guidelines on performance reviews, monitoring, feedbacks, counselling, ratings, planning, measuring and comparing.
Ability to Perform	3	Develop role or job family wise KPA and KPI directory
	4	Have a dedicated team to ensure goal cascading downline based on company's MoU. This will ensure greater alignment of goals at Unit,

		Departments and Individual Level with that of Organization. Breakdown of activities to achieve goals can be made on Balanced Scorecard approach.
	5	Revisit rewards and recognitions scheme for greater empowerment to managers to recognize event based exceptional performances and enable on spot recognitions.
	6	Develop and roll out annual PMS calendar.
Practices implemented	7	Initiate Performance Improvement Plans for non-performers
	8	Initiate discussions on Individual Development Plans in the form of resources and training needs as part of Performance appraisal.
	9	Communicate PMS features of NBCC and performance expectations during orientation sessions with new hires.
Measurement and Analysis	10	Develop and implement Performance Management scorecard.
Verifying Implementation	11	Institutionalize Quarterly review meetings on Performance Management activities and success

### Training and Development

Category	Steps	Action Points
Commitment To Perform	1.	Revisit Training Policy to include TNA approaches, Training categorizations, Training types/methodologies, training man-days as per DPE and DOPT guidelines, budgeting method, training interventions, training infrastructure, faculty identification and honorarium etc.
	2	Develop training need assessment framework to identify organization, Unit, Department, Individual level training needs, prioritizations, scheduling and delivery through training mixes
Ability to Perform	3	Develop Skills Matrix for various roles in the organization.
	4	Institutionalize through mandatory KPAs and PMS, effort towards Individual Development through self and peer based learning.
	5	Start Orientation workshops around Individual Development Plan.
	6	Train Unit training coordinators on strategic training aspects.
Practices implemented	7	Develop and implement learning progress tracker / dashboard
	8	Bring measures up to ROI as per Kirkpatrick Model.
	9	Bring 30-60-90-180 day's feedback format for reporting managers to give feedback on learning Implementation of their subordinates after training.
Measurement and Analysis	10	Devise Method for pre- and post-training assessment for program durations of 3 or more days. Institutionalize pre-training session expectations capturing of the participants from the program and post session feedback capturing on whether those expectations were met and if yes, how the learning can be implemented at workplace and transfer the document to his reporting manager.
	11	Build L&D Scorecard for measuring efficiency and effectiveness of L&D processes.

### Compensation

Category	Steps	Action Points
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Commitment To Perform	1.	Define and articulate Organization's Total Rewards philosophy including components like Work life balance, Career growth and development opportunities, work environment, benefits, social causes, reward and recognitions etc.
Ability to Perform	2.	Do a comparative benchmarking every two years on total rewards practices.
Practices implemented	3	Conduct a job evaluation exercise to find the match between job worth and compensable factors.
	4	Constitute Job Evaluation Committee to Evaluate Job worth every two years and accordingly the grade fit. The output may be taken to determine fast track career growth.
	5	Devise and implement communication strategy including letter communications on total rewards at each stage of Employee lifecycle, viz. Appointment, regularization, promotion, transfer, separation.
	6	Orient Managers on Total Rewards Management.
	7	Identify Unit compensation coordinators and train them on total rewards.
Measurement and Analysis	8	Develop and implement Compensation scorecard.

**Note: Activities in each process area to run concurrently to achieve the desired state within 3-6 months. These activities are identified as Opportunities for Improvement which will foster the foundation for pursuing optimizing level at a later stage.**

### Developmental Action Plan to Strengthen Maturity Level 3

#### Action Points for Phase 1: Strengthening Maturity Level 3 (up to 3-6 Months) (Action points to be undertaken in each process Area)

Note: Roadmap to Implement HR Practices: Maturity Level 2 to 3: Attachment 1: RM-ML3

#### Competency Analysis

Category	Steps	Action Points
Commitment To Perform	1.	<b>Roll out competency based management architecture with policy guidelines on holistic approach for competency analysis, competency development, competency Integration, competency based asset creation, continual competency improvement.</b> <b>Note: The action points will address requirements for all competency based practices.</b>
Ability to Perform	2.	Revisit Behavioral Competency Framework to include behavioral competencies for Grades E1 to E3.
	3	Update functional competency dictionary.
	4	Run certification programs for responsible HRs on competency based Management and competency analysis through ADCs.
	5	360 feedback for DGMs and above as a part of ADCs.
	6	Institutionalization of IDPs created through ADCs by orientation sessions, handholding, facilitating with resources, reviews to track milestone achievements.

Practices implemented	7	Integrate competency requirements and gap analysis and development measures across key HR verticals e.g. Recruitment, Training and Development, Compensation, PMS. <b>Illustration-</b> the competency gaps identified during interview process for a new hire is immediately shared with training department to design training program addressing competency gap during on boarding phase itself.
	8	Have a dedicated team of 2-3 members for competency based management at corporate level. They must also scan environment for newer capabilities required by the business and workforce to sustain the business challenges and realize goals.
Measurement and Analysis	9	Build diagnostics to continuously measure and analyze organization wide , department wise, unit wise and grade and role wise competencies.
Verifying Implementation	10	Institutionalize yearly review meetings on competency based Management.

## Workforce Planning

Category	Steps	Action Points
Commitment To Perform	1.	Develop workforce planning policy consisting of guidelines on Organization/Unit/Departments design reviews, Manpower study, Competency Analysis, Talent Demand and Supply forecasting, Internal Labor Market study etc.
	2	Develop annual workforce planning calendar.
Ability to Perform	3.	Kickstart Annual workforce planning exercise with Board Level Executives and Group Heads/Unit Heads in Q1 of financial year.
	4.	Build tracker for meeting workforce planning goals .The tracker may include demand supply forecast, availability in terms of nos. , no of new skills acquired/ needed, job redundancies, surplus and deficit MIP unit wise, department wise etc.
	5	Develop replacement plan for all critical positions after critical positions mapping with defined set of criteria. Do succession planning with successor development modules for these critical positions.
Practices implemented	6	Have dedicated resources in Units for workforce planning and train them.
	7	Analyze workforce requirements of Units through detailed requirement analysis to see if the requirement is actually needed or can be addressed through re-deployment or job design elements such as enlargement enrichment etc.
Measurement and Analysis	8	Build Measures to determine the success of Workforce planning activities.
Verifying Implementation	9	Senior Management to review workforce planning activities every 6 months.

## Competency Development

Category	Steps	Action Points
Commitment To Perform	1.	<b>Roll out competency based management architecture with policy guidelines on holistic approach for competency analysis, competency development, competency Integration, competency based asset creation, continual competency improvement.</b>



		<b>Note: The action points will address requirements for all competency based practices.</b>
Ability to Perform	2.	Revisit Behavioral Competency Framework to include behavioral competencies for Grades E1 to E3.
	3	Update functional competency dictionary.
	4	Develop Skill Matrix
	5	Run certification programs for responsible HRs on competency based Management and competency analysis and development interventions like ADCs, career planning ,succession planning, executive coaching, mentoring, job designing etc.
	6	360 degree feedback for DGMs and above as a part of ADCs for establishing connect or congruence between feedback from internal sources and neutral agency.
	7	Institutionalization of IDPs created through ADCs by orientation sessions, handholding, facilitating with resources, reviews to track milestone achievements.
Practices implemented	8	Integrate competency requirements and gap analysis and development measures across key HR verticals e.g. Recruitment, Training and Development, Compensation, PMS. <b>Illustration-</b> the competency gaps identified during interview process for a new hire is immediately shared with training department to design training program addressing competency gap during on boarding phase itself.
	9	Have a dedicated team of 2-3 members for competency based management at corporate level. They must continuously analyses the effectiveness of development interventions and new and better ways of building competencies. This team will also create a competency development architecture comprising of right interventions mix and identify agencies to deliver it.
	10	Institutionalize Mentoring program for which policy was rolled out. Create enablers through Unit heads support, orientation sessions and recognition schemes and also bringing mentoring as a mandatory KPA for CM and above levels.
	11	Inculcate a climate of peer learning after training programs through communities of practice. Given the infrastructure NBCC has, NBCC can think about bringing TED Talks and Toastmasters in NBCC.
	12	Build knowledge assets by converting tacit knowledge to explicit through culture building of knowledge sharing, Knowledge Management principles and reward and recognition measures. PMS may assign mandatory KPAs for each Executive towards minimum contribution in KM portal. Measures may be tailored around Knowledge Management.
	13	Provision exclusive budget for competency development interventions beyond annual training budget .These interventions may include ADCs, OD interventions, Leadership Development programs , One to one Executive coaching, Mentoring etc.
Measurement and Analysis	14	Build diagnostics to continuously measure and analyze organization wide , department wise, unit wise and grade and role wise competencies development requirements and results and impact of interventions taken.
Verifying Implementation	15	Institutionalize yearly review meetings on competency based Management and developmental interventions taken and impact of it.

## Career Development

Category	Steps	Action Points
Commitment To Perform	1.	Revisit career growth map for Executives and Non-Executives and roll out policy on career development consisting not only of vertical movement, but horizontal movements too, with strategic communication behind ladder vs lattice approach.
Ability to Perform	2.	Build communication framework around architecture of work, career enablers, performance, potential, vacancies, individual aspirations and alignment of it to Organizational aspirations.
	3	Develop Individual Development plans as part of appraisal cycle by factoring career options available in the organization and career choices of Individual.
	4	May think of building an encouraging performance based system, where individuals have choice to choose at least 1-2 training programs based on their career aspirations, provided they meet the threshold criteria set.
Practices implemented	5	Promotion criteria may be communicated before DPC constitution for Employees in consideration zone. Results with DPC scores and panel comments 'may be made available on Intranet.
Measurement and Analysis	6	Build measures around Career development programs to ensure efficiency and effectiveness of activities.

## Competency Based Practices

Category	Steps	Action Points
Commitment To Perform	1.	<b>Roll out competency based management architecture with policy guidelines on holistic approach for competency analysis, competency development, competency Integration, competency based asset creation, continual competency improvement.</b> <b>Note: The action points will address requirements for all competency based practices.</b>
Ability to Perform	2.	Assess each HR policies, particularly PMS, Rewards and recognition, Compensation, Training and Development, to see if it supports competency growth through competency integration and competency led institutionalized practices.
	3	Conduct Competency based awareness programs for Employees
	4	Conduct Competency development programs for employees on transitioning (Promotions, transfers, sabbaticals, maternity leave, expatriation, repatriation etc.) Ideally, such development programs can be embedded into orientation sessions on transitioning into new roles.
Practices implemented	5	Align staffing decisions to achieve competency development objectives like hiring for relatively new or niche competency in the organization.
	6	IDP goals realization must be part of mandatory KPA in PMS.
	7	Orientation sessions on performance feedback should include competency based feedbacks and how competencies identified are enabler for performance.
	8	IDP goals realization must be part of mandatory KPA in PMS.

	9	Develop Interview assessment format and techniques to assess candidate's organizational fit in terms of value and business context and job fit in terms of competencies (KSA) and willingness and aspirations (Potential).
Measurement and Analysis	10	Develop scorecard with leading and lagging indicators to assess efficiency and effectiveness of Competency based Practices in NBCC.
Verifying Implementation	11	Institutionalize yearly review meetings on competency based Management and developmental interventions taken and impact of it. Have a dedicated team of 2-3 members at corporate level, thoroughly trained on competency based practices to supervise the practices at corporate level.

### Workgroup Development

Category	Steps	Action Points
Commitment To Perform	1.	Roll out policy guidelines on constitution of workgroups. This must include the need for forming workgroups, responsibility of workgroup members, workgroup performance enablers, when the workgroup should disband etc. Workgroup shall include special task forces, Project based teams, Volunteering teams, cross-functional and intra-functional teams created for particular purpose.
Ability to Perform	2.	Define competencies required for workgroup members whenever workgroup is created
	3	Design and roll out responsibility charter for workgroup members on creation of workgroup
	4	Define communication, liaisoning protocols , interface requirements with internal/ external stakeholders for the workgroup
Measurement and Analysis	5	Develop leading and lagging indicators to define workgroup success on special project/ task for which the workgroup has been created.
Verifying Implementation	6	Make Group Heads/ Unit Heads responsible to review the activities carried out by workgroup based on organizational requirement for which it was created.

### Participatory Culture

Category	Steps	Action Points
Commitment To Perform	1.	Take Policy initiative on culture building initiatives in NBCC covering participatory aspects like collaboration, innovation and diversity.
Ability to Perform	2.	Revisit DoP for autonomy and empowerment for taking decisions across all Executive levels.
Practices implemented	3	Build a culture of hosting company MoU and FDs MoU with CMD on Intranet.
	4	Leaders must communicate business growth, challenges, financial results and changes imperative through multiple channels like town halls, emailers, Intranet. Institutionalize such practices.
	5	During goal setting at performance planning stage, Managers must make Individuals aware of how his role fits in department or unit and Organizations overall scheme of things. Each Department can have an integration/Alignment Map to enable visualization in this respect.

	6	Ensure effectiveness of already existing vehicles like suggestion schemes.
	7	Kickstart HR e-magazine and newsletters to build participatory culture. Sections like humans of NBCC may be brought to bring more humane side of workforce to limelight.
	8	Engagement surveys must include facets of participatory culture in survey dimensions.
	9	Review grievance and dispute resolution machineries/ mechanisms. Take a survey to gauge its effectiveness.
	10	Measure Participatory Culture with metrics like No. of active QCs and projects taken and ideations made and cost saving done, no of STFs created ,no. of cross functional projects accomplished in a year ,Engagement scores on participatory culture aspects like collaboration ,decision making, confrontation, transparency , no of suggestions in suggestion scheme and its implementation etc.
Measurement and Analysis		

Note: Activities in each process area to run concurrently to achieve the desired state within 6 months. These activities are identified as Opportunities for Improvement which will foster the foundation for pursuing optimizing level at a later stage. Activities towards fulfilment of institutionalization goal for competency development is targeted to address non-conformance found during diagnostics gap assessment.

## Developmental Action Plan to Maturity Level 4

### Action Points for Phase 2: Moving to Maturity Level 4 (up to 18- 24 Months) (Action points to be undertaken in each process Area)

Note: Roadmap to Implement HR Practices: Maturity Level 3 to 4: Attachment 2: RM-ML4

- 1. Competency Integration**- improving the efficiency and agility of interdependent work by integrating the process abilities of different workforce competencies.

G#	Goal Title	Key Activities / Actions	Milestones	Review/ Governance	Timelines
1	Competency Integration	-Identify Dependencies -Analyze dependencies -Define Processes -Evaluate process performance	-Publishing critical integrated competencies	-Audits -Process area wise committee reviews -Governance committee review	9 Months
2	Integration Practices	-Design of work -Developing skills -Tailored integrated process -Use of integrated process	-Usage of integrated process by Executive Management	-Audits -Process area wise committee reviews -Governance committee review	9 Months
3	Integration	-Positioning in	-Use of	-Audits	9 Months

	Adjustments	Organizational Structure -Creating a work environment -Revising competency description -Adjusting Workforce practices	adjusted workforce practices by Executive Management	-Process area wise committee reviews -Governance committee review	
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**2. Empowered Workgroups:** Investing workgroups with the responsibility and authority for determining how to conduct their business activities most effectively.

G#	Goal Title	Key Activities/ Actions	Milestones	Review/ Governance	Timelines
1	Empowerment	-Design of responsibility -Defining Mission statement -Aligning to Business objectives -Developing Decision methods	-Very low level of involvement of Senior Management	-Audits -Process area wise committee reviews -Governance committee review	9 Months
2	Supporting Empowered Work groups	-Creating a supporting environment -Tailored workforce practices -Compensation structures	- Encouragement for empowered work groups	-Audits -Process area wise committee reviews -Governance committee review	9 Months
3	Self-Management	-Delegation of workforce practices -Tailored workforce activities -Performing workforce practices -Self Assessment of performance	-Self management of performance	-Audits -Process area wise committee reviews -Governance committee review	9 Months

**3. Competency Based Assets:** capture the knowledge, experience, and artefacts developed in performing competency-based processes for use in enhancing competency and performance.

G#	Goal Title	Key Activities/ Actions	Milestones	Review/ Governance	Timelines
1	Assets	-Capturing artifacts -Defining Communication vehicles -Strategies for deployment -Organizing available assets -Updating assets	-Assets ready for reuse	-Audits -Process area wise committee reviews -Governance committee review	9 Months
2	Deployment	-Integration of assets	-Capturing of	-Audits	9 Months

		-Reuse of integrated assets -Usage Data	Usage data	-Process area wise committee reviews -Governance committee review	
3	Support to the use of Assets	-Competency development activities -Mentoring -Support from workforce practices -Defining compensation for the use of assets	-Support environment created	-Audits -Process area wise committee reviews -Governance committee review	9 Months

**4. Quantitative Performance Management:** predict and manage the capability of competency-based processes for achieving measurable performance objectives.

G#	Goal Title	Key Activities/ Actions	Milestones	Review/ Governance	Timelines
1	Performance Objectives	-Defining quantitative objectives -Measurable unit objectives -Individual and group objectives	-Quantitative objectives defined	-Audits -Process area wise committee reviews -Governance committee review	9 Months
2	Performance Management	-Use of capability baselines -Use of Quantitative methods -Managing Quantitatively -Corrective actions -Maintaining Quantitative records -Using performance results for workforce activities	-Managing processes quantitatively	-Audits -Process area wise committee reviews -Governance committee review	9 Months

**5. Organizational Capability Management** - quantify and manage the capability of the workforce and of the critical competency-based processes they perform.

G#	Goal Title	Key Activities/ Actions	Milestones	Review/ Governance	Timelines
1	Workforce Capabilities	-Identify critical competencies -Quantification of capabilities -Quantitatively manage competency capability	-Quantitative management of workforce capabilities	-Audits -Process area wise committee reviews -Governance committee review	9 Months
2	Workforce Impact	-Measurable objectives for growth -Evaluating the impacts -Managing the impacts on workforce practices	-Impacts used for growth	-Audits -Process area wise committee reviews -Governance committee review	9 Months



3	Process Capability	-Developing performance base lines -Managing performance baselines for critical competencies -Quantitatively managing process capability	-Process capability Index	-Audits -Process area wise committee reviews -Governance committee review	9 Months
4	Capability practices	-Developing performance model by using capability data -Quantitatively managing impact of workforce practices	- Performance capability model	-Audits -Process area wise committee reviews -Governance committee review	9 Months

**6. Mentoring** - transfer the lessons of greater experience in a workforce competency to improve the capability of other individuals or workgroups.

G#	Goal Title	Key Activities/ Actions	Milestones	Review/ Governance	Timelines
1	Mentoring Objectives	-Use of experiences -Defining program objectives -Communicating Programs -Development and Improvement of assets -Support from workforce practices	-Mentoring deployed to the Executive Management	-Audits -Process area wise committee reviews -Governance committee review	9 Months
2	Execution	-Selection of mentors -Establishing relationships -Developing capabilities -Review of relationships -Participation in performance management	-Performance improvement through mentoring	-Audits -Process area wise committee reviews -Governance committee review	9 Months

**7. Institutionalization practices for maturity level 4** – Common institutionalization practice for all process areas for Maturity Level 4 including Commitment, Ability, Measurement Analysis and Verifying Implementation. This covers all 6-process area of competency integration, empowered workgroups, competency-based assets, quantitative performance management, organizational capability management and mentoring.

P#	Practice Title	Key Activities/ Actions	Milestones	Review/ Governance	Timelines
1	Policy	-Workshop -Brain Storming -Define and document -Communication	-Official release of policy specific to each process area of ML4	-Audits -Process area wise committee reviews -Governance committee review	1 Month
2	Values	-Encouraging reuse of assets	-Use of Assets by Executive Management level	-Audit	6 Months

P#	Practice Title	Key Activities/ Actions	Milestones	Review/ Governance	Timelines
3	Organizational role	-Nomination	-Release of circular	-Audit	1 month
4	Unit Responsibility/ Role	-Nomination	-Release of circular	-Audit	1 month
5	Competency Role for CBAs	-Nomination	-Release of circular	-Audit	1 month
6	Process role for CI	-Nomination	-Release of circular	-Audit	1 month
7	Empowered Workgroup Role	-Nomination	-Release of circular	-Audit	1 month
8	Resources	-Determine -Provide	-Use of resources by NBCC Members	-Audit	3 Months
9	Preparation for Managers	-Preparatory Training sessions	-Orientation session completed	-Audit	3 Months
10	Preparation to Individuals	-Individual Orientation sessions	-Orientation session completed	-Audit	3 Months
11	Status measurement	-Measurements for Goals	-Capturing of Measures	-Audit	6 Months
12	Effectiveness measurement	-Measurements for Process Area effectiveness	-Capturing of Measures	-Audit	6 Months
13	Verification of Activities	-Audit	-Audit report for Non-Conformance	-Audit of Audits	3 Months
14	Management Reviews	-Periodicity determination -Agenda -Conduction	-Minutes of Meeting	-Audit	3 Months

## Developmental Action Plan to Maturity Level 4 to 5

### Phase 3: Moving to Maturity Level 4 to 5 (12 Months after ML 4)

Note: Roadmap to Implement HR Practices: Maturity Level 4 to 5: Attachment 3: RM-ML5

## Governance and Reviews Mechanisms to be set up at NBCC

- Process Owners for each process area and Managers reporting to them will be accountable for ensuring high level roadmap targets accomplishment.
- Assessment Team Members for each process area will assist process owners in implementation and institutionalization of practices within the timeline proposed.



- Core team members will oversee entire gamut of activities in each process area and ensure that timelines, review, milestones are adhered and progress is made.
- People CMM Lead Assessors from CMMI partner organization will be responsible for sustenance program with periodic appraisals so as to enable the institutionalization (habituated implementation) of PCMM practices and to assess if phase wise milestones are achieved or not.
  - The first appraisal will be at the end of 6 months to assess whether NBCC has attained maturity level 3 or not.
  - Next appraisal will be after 18 months to assess whether NBCC has attained Maturity Level 4 or not.
  - Subsequent appraisal will be after 12 months of attaining maturity level 4 to assess whether NBCC has attained Maturity Level 5 or not.
- Considering time being an essence and level of focus demanded to spur on the transformational journey through cadence and scaling up of practices, HR Consultancy of repute will be roped in. The HR consultancy awarded work will be responsible for development, handholding and implementation of practices against gaps identified or opportunities for improvement. The HR consultancy will break down the roadmap to milestones and actionable to activities at granular level in order to work on areas of improvement and close non-conformances. They will be responsible to introduce, define and map specific set of practices from People CMM model to achieve the goals.

### Review Mechanism

Notwithstanding the periodic assessments done by People CMM Lead Assessors from CMMI partner organization, Executive Management of NBCC comprising of CGM/HR, ED/HR and Director/HR will review the status of progress on PCMM journey as per high level action roadmap. Such review will be organized every three months till attainment of Maturity Level 4.

## Benchmarking of NBCC with Other Organizations

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SL	Benchmark Parameter	RCF	MIDHANI	BAJAJ	NLC	NBCC	APTECH	HCL	Mahindra	Mphasis
1	Maturity Level	2	2	2	2	3	3	3	5	5
2	Process Areas	6	6	6	12	13	13	13	22	22
3	Goals	24	24	24	51	52	52	52	87	87

## High Note

The tendency to overrate is a distinctive possibility in studies of this nature, hence it is recommended that any forward movement and further decisions on PCMM may take into consideration the following aspects-

- Process area results depict behavior that characterizes NBCC, the practices of the People CMM are to be interpreted in light of NBCC structure, the nature of its workforce, business environment, aspirations and other prevailing circumstances.
- The definition of Workforce Competency considered for this assessment is the existing definition in NBCC i.e, Knowledge, Skill and Attitude than of People CMM definition of Knowledge, Skill and Process Ability. NBCC has to update all Workforce Competency Descriptions to People CMM definition. People CMM more focuses more on process abilities.
- People CMM does not place goodness requirements on workforce practices but establishes minimal criteria for a REASONABLE PRACTICE. Thus, at the heart of the model is that no process area and related goals and practices are obsolete but significant to provide a foundation for systematic improvement of organizational capacity and performance based on business requirements. What is required is to customize or calibrate organization wide HR activities / practices to satisfy goals.
- It is observed in some organizations that they suffer from “LEVEL FEVER”. Level fever has to be avoided. When an organization succumbs to it, attaining Maturity level becomes more important than achieving the business benefits attained through improved practices.
- Organizations shall not consider Maturity Level 3 as a level of final attainment having satisfied with operational excellence. Organizations stopping with ML3 by characterizing practices only in relation with ML3 by not focusing on upgradation has been seen to degrade back to managed or even initial level. The focus on adaptability and continuous evolvement with self-sustenance is only achieved at the highest maturity level i.e. ML5(Optimizing).

## Attachments to this report

1. Roadmap to Implement HR Practices: Maturity Level 2 to 3: RM-ML3
2. Roadmap to Implement HR Practices: Maturity Level 3 to 4: RM-ML4
3. Roadmap to Implement HR Practices: Maturity Level 4 to 5: RM-ML5
4. Result Sheet PCMM - Gap Assessment
  - Staffing: AX-1:STF
  - Communication and Coordination: AX-2:COM
  - Work Environment: AX-3: WE
  - Performance Management: AX-4:PM
  - Training and Development: AX-5:TD
  - Compensation: AX-6:CMP
  - Competency Analysis: AX-7: CA
  - Workforce Planning: AX-8: WFP
  - Competency Development: AX-9: CD
  - Career Development: AX-10: CRD
  - Competency-Based Practices: AX-11: CBP
  - Workgroup Development: AX-12: WGD
  - Participatory Culture: AX-13: PC
5. List of Process Owners
6. List of ATM's
7. Check List for Process Owners
  - Staffing
  - Communication and Coordination
  - Work Environment
  - Performance Management
  - Training and Development
  - Compensation
  - Competency Analysis
  - Workforce Planning
  - Competency Development
  - Career Development
  - Competency-Based Practices
  - Workgroup Development
  - Participatory Culture
8. Check List for Managers
  - Staffing
  - Communication and Coordination
  - Work Environment
  - Performance Management

- Training and Development
- Compensation
- Competency Analysis
- Workforce Planning
- Competency Development
- Career Development
- Competency-Based Practices
- Workgroup Development
- Participatory Culture

9. Check List for Workforce

- Staffing
- Communication and Coordination
- Work Environment
- Performance Management
- Training and Development
- Compensation
- Competency Analysis
- Workforce Planning
- Competency Development
- Career Development
- Competency-Based Practices
- Workgroup Development
- Participatory Culture

10. Practice-to-Goal Mappings for People CMM

11. Glossary

## Recommendation

NBCC has satisfied 52 goals covering both Maturity Level 2 and 3. In terms of People CMM practices NBCC is yet to satisfy 13 practices. The result for NBCC as per People CMM assessment conducted is NBCC is at Maturity Level 3. It is recommended that:

1. Strengthen institutionalization practices at Maturity Level 2 and 3.
2. Simultaneously it should plan to attain the Maturity level 4 in 18 to 24 months.

## Confidentiality

The confidentiality has been ensured throughout the study and the identification of study participants was done through random sampling. In order to give confidence to the respondents, their identity on response sheets has not been captured neither codified. The focus has been on the responses not on who gave the response.

The information contained in this report is confidential, privileged and only for the information of the intended recipient (NBCC) and may not be used, published or redistributed without the prior written consent of Quality Council of India.

## Disclaimer

The contents on this report reflect the views of the authors, who are responsible for the facts and the accuracy of the information presented herein. The opinions, findings and conclusions expressed in this publication are those of the authors. This report does not constitute a standard, specification, or regulation.

Results of this study are based on responses from the study participants. The results may change if the organization do not strengthen institutionalization practices. Hence organization may fall down to ML 1

This report is intended solely for information purposes and is not to be construed, under any circumstances, by implication or otherwise, as an offer to sell or a solicitation to buy or sell or trade in any commodities, securities, or currencies herein named. Information is obtained from sources believed to be reliable, but is in no way guaranteed.

## Acknowledgement

Sincere thanks to the NBCC members who took part in the survey and provided inputs in the development of the PCMM Gap Analysis Report.

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