

TA-6921 IND: Support to Capacity Building Commission for Strengthening Institutional Capacities and Training Infrastructure - Finance Expert (56014-001)

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Terms of Reference (Individual Consultant)

Expertise **Finance Expert**
Expertise Group **Project Management/ Institutional Development**

Consultant Source
TOR Keywords

National Preparation and Finalization of competency-based annual Capacity Building Plan (CBP)

Objective and Purpose of the Assignment

The objective of the assignment is to support the Department of Financial Services (DFS), Government of India in the preparation and finalization of competency-based annual capacity building plan (CBP) under the National Program for Civil Services Capacity Building (NPCSCB), or Mission Karmayogi, in consultation with and inputs from the Capacity Building Commission (CBC).

The CBP preparation will involve undertaking in-depth analysis of each of the operational and functional verticals of the Ministry and across different levels of staff to identify the gaps in competencies across the organization in terms of the 3 lenses of (1) national priorities, (2) emerging technologies, and (3) citizen centricity, to formulate (i) a comprehensive CBP that addresses the identified competency gaps, and (ii) detailed Action Plan, including Key Performance Indicators (KPIs) in terms of the three pillars of capacity building: (a) individual, (b) organizational, and (c) institutional. The SMART goals need to be aligned with the larger performance metrics developed by the CBC, and time-spliced into (i) immediate and short-term targets (Year 1), (ii) medium term (Years 2–3), and (iii) long term.

Scope of Work

The consultant will be responsible for preparing and finalizing the CBP. The scope includes a desk review of the DFS's objectives, operations, and processes, engaging extensively with the officials of the Department at all levels to understand the competency requirement, preparation, and finalization of CBP, incorporating comments received from the Department, CBC, and other relevant stakeholders.

Detailed Tasks and/or Expected Output

The tasks of the staff consultant will include but not be limited to the following:

Activity 1: Review of the Department to define key verticals and prepare a delivery plan

1. Review of DFS's functions, structure, and mapping of responsibilities
 - 1.1. Department's mandate, policies, roles, functions, recent developments and trend lines from Department website, portals and documents, web search and study reports
 - 1.2. Department's key programs, priorities, strategic objectives and goals, emerging trends, and focus areas
 - 1.3. National priorities and how Department fulfils/ contributes to same.
 - 1.4. Identify the areas of responsibility of each division / unit in coordination with the nodal officer from the Department
 - 1.5. Understand / identify emerging trends, government priorities and Department's objectives that fall within purview of each division / unit
 - 1.6. Understand specific schemes / programmes managed by each division / unit
 - 1.7. Prepare a responsibility / work allocation matrix for each designation level for each division / unit

Output 1: Work plan in coordination with the Department's nodal officer and CBC

Activity 2: Competency Assessment of the Department

2. As – is assessment of competencies across the DFS – understand and outline the "existing" and "desired" competencies at individual and organizational level.
 - 2.1. Map existing competencies of each organizational structure of division/unit in the Department
 - Map organizational goals/domain goals/citizen centric goals and corresponding scope of each unit/division

- Identify roles, responsibilities, and activities of each position within each division
 - Identify required domain, functional, and behavioral competencies for each designation - to be conducted jointly with the nodal officer (demand aspect)
 - Assess the Individual capacities across domain knowledge, functional skills and behavioral attitudes (supply aspect)
- 2.2. Competency gap assessment: Assess the current competency (knowledge, skills, and attitude) gaps for each employee level within the Department with details on basic, intermediate, and advanced competencies
- The consultant will evaluate individual and organizational capacities through the 3 lenses of (i) contribution to and alignment with national priorities, (ii) citizen-centricity, and (iii) regulation, adoption, and development of emerging technologies.
- 2.3. Review existing capacity building interventions
- Review ongoing CBPs/ training calendars/ activities,
 - Collate and assess documentary evidence of training outcomes, if any, of past and current capacity building interventions using multiple credible resources
 - Perform a root-cause analysis to identify the key issues (structural/ institutional/ operating model/ decision making process/ capability gaps/ technology barrier/others)
 - Identify incentives / Motivation for capacity building

Output 2: Competency gap assessment report

Activity 3: Review of enabling environment for capacity building

3. Review of enabling environment at the organization level
- 3.1. Map and review organizational processes and functioning, including
- Business processes, protocols and SOPs followed
 - Administrative processes, operating procedures, internal regulations and policies
 - Hard and soft infrastructure, technology adoption,
 - Methods adopted for external and internal communication, citizen outreach, stakeholder communication, etc.
 - Knowledge management, including knowledge transfer during staff transfers, for institutional memory.

Output 3: Enabling environment report

Activity 4: Development of CBP

4. CBP preparation
- 4.1. Develop strategy for building capability to meet Department goals: Identification of all capacity building interventions for addressing gaps identified through the 3 lenses with detailed description and rationale for the interventions.
- 4.2. Develop capacity building roadmap for training and development of staff for the immediate-, medium- and long- terms. The roadmap will include an assessment of dependencies and evaluate alternative options for capacity building initiatives (for instance, value created vs. challenges in implementation).
- 4.3. Develop Resource Plan for implementing CBPs, including identification of enabling Department procedures and processes, institutional structures and arrangements vis-à-vis resources, accountability, supervision, and staff roles & responsibilities.
- 4.4. Identification of training and non-training interventions for efficiently addressing individual competency gaps of staff at all levels. Training interventions to include induction training and on-the-job trainings, as appropriate. Non-training interventions could include on-site learning, role-play, gamification, and case studies, as appropriate.
- 4.5. Develop a set framework and architecture to institutionalize the requirement of data/ information collation for different schemes of the department, which run through banks and insurance companies.
- 4.6. Reach out to banks, FIs and insurance sectors to see how best DFS can fulfill the needs of these stakeholders for implementing the department's EASE program through IBA to make banks more customer service oriented and digitally savvy.

Output 4: Capacity Building Plan

Activity 5: Monitoring and Evaluation (M&E)

5. Develop M&E framework and KPIs
- 5.1. Develop Roadmap for implementation of CBP: identify/suggest specific courses/institutions for meeting competency gaps, including delivery pedagogies, prioritization matrix and timelines for building specific competencies.
- 5.2. Design a M&E framework to monitor (i) activities through specific interventions, timelines, participants, certifications, etc., and (ii) results through individual, organizational and institutional pillars.
- 5.3. Define KPIs for each of the activity and result planned with clear means to measure progress as well as achievement. The KPIs to be aligned with the overarching monitoring framework developed by the CBC for monitoring CBP implementation.

Output 5: M&E Plan

Minimum Qualification Requirements

Post-Graduate/ Master's degree in Management (MBA/ PGDBM with specialization in Finance Management) or related subject from an accredited university with 20 years of relevant experience in financial governance, financial policy development, institutional development, capacity development plans, and

with experience of having worked with multiple government stakeholders. The Expert should have comprehensive understanding of Indian Banking and Finance structure.

Minimum General Experience **20 Years**
 Minimum Specific Experience (relevant to assignment) **15 Years**
 Regional/Country Experience **Required** **Desired** **Not Required**

Deliverables

| Details | Name | Type | Estimated Submission Date |
|------------------------|---|--------------|---------------------------|
| + Show | Inception Report | Report | |
| + Show | Interim Report - Work Plan | Report | |
| + Show | Interim Report - Competency Gap Assessment | Report | |
| + Show | Interim Report - Enabling Environment | Report | |
| + Show | Final Report - Capacity Building Plan | Final Report | |
| + Show | Final Report - M&E Plan_KPIs and Timelines | Final Report | |
| + Show | Final Report - Implementation Roadmap for CBP | Final Report | |

Schedule and Places of Assignment (chronological and inclusive of travel)

Schedule Type **Continuous** **Intermittent**
 Max. Working Days/Week Home Office **5** Field **6**

| City and Country | Working Days | Estimated Start Date | Estimated End Date | Other Details (use if place selected is Others) |
|------------------|--------------|----------------------|--------------------|---|
| Delhi, India | 80 | 12-Dec-2022 | 31-May-2023 | |
| Total | 80 | | | |

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