

IM-H01

HOW TO UNDERTAKE THE CAPACITY BUILDING PROCESS



Guide to building the institutional arrangement for
TOD projects or programs

Type: Step-by-Step Guide



ABOUT THE IMPLEMENTATION TOOL

PURPOSE

Capacity building is emerging as one of the most critical challenges in World Bank client cities. The lack of institutional and technical capacity has resulted in the improper implementation of large-scale projects including TOD interventions. Capacity building refers to the process of education and optimizing the skills of individuals and institutional support of one or more organizations.

This Knowledge Product is informed by the Capacity Building Primer developed by the United Nations Development Programme (UNDP 2009).

Disclaimer: *The Transit-Orientated Development Implementation Resources & Tools knowledge product is designed to provide a high-level framework for the implementation of TOD and offer direction to cities in addressing barriers at all stages. As the context in low and middle-income cities varies, the application of the knowledge product must be adapted to local needs and priorities, and customized on a case-by-case basis.*

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UNDP's APPROACH TO CAPACITY DEVELOPMENT

UNDP sees capacity development as the process through which individuals, organizations and societies obtain, strengthen and maintain the capability to set and achieve their own development objectives over time. It involves employing, educating and empowering individuals, leaders, organizations and societies in order to help them achieve the desired targets.

In particular, the UNDP's approach stresses that "developing countries should own, design, direct, implement and sustain the process themselves"

OBJECTIVES OF CAPACITY BUILDING

In keeping with the UNDP's approach to capacity building, the following results can be derived from successful capacity building applications in World Bank client cities:

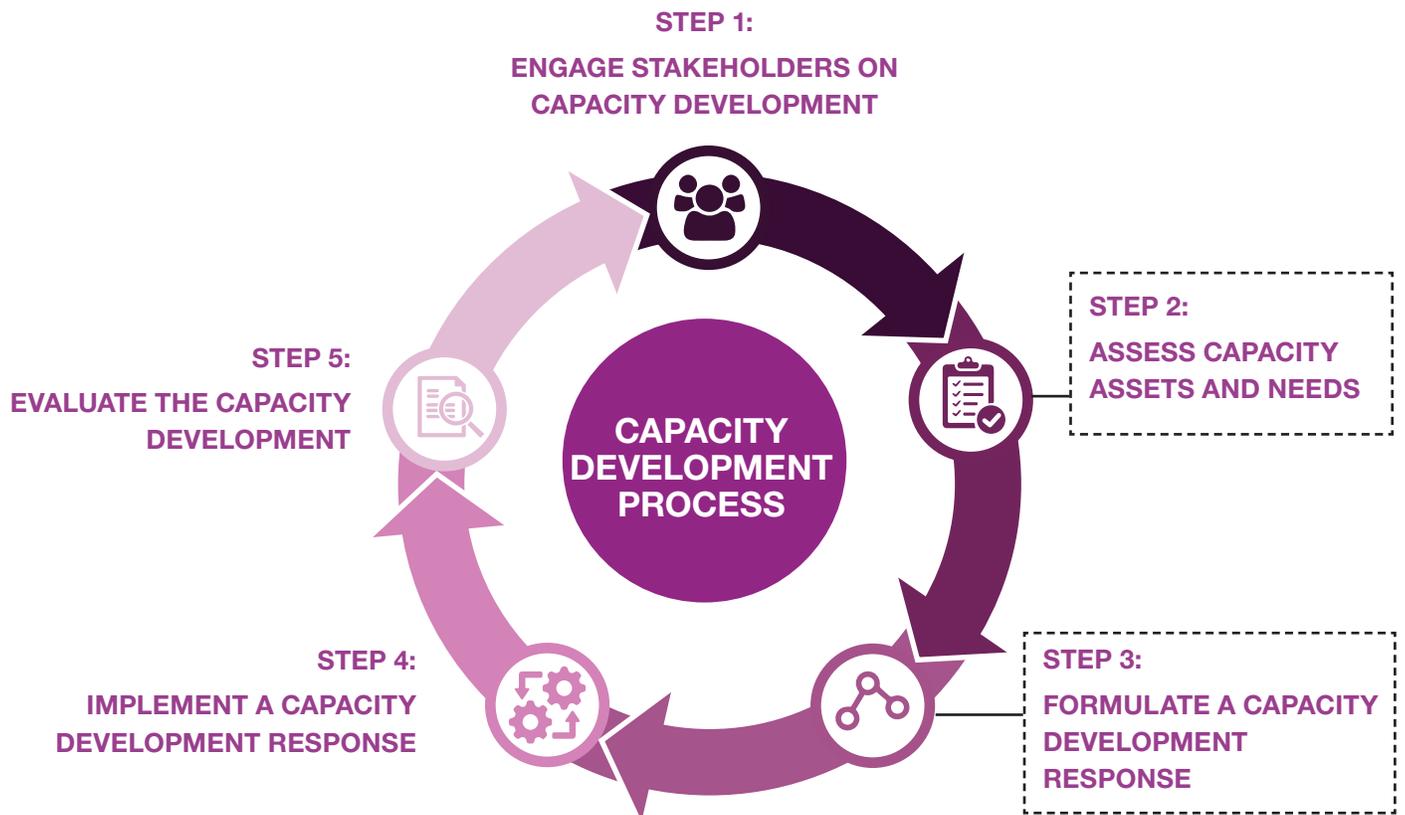
- ➔ Make the most of local resources– people, skills, technologies, institutions– and builds on these
- ➔ Favor sustainable change
- ➔ Take an inclusive approach in addressing issues of power and inequality in relations between rich and poor and mainstream and marginalized (countries, groups and individuals)
- ➔ Emphasize deep, lasting transformations through policy and institutional reforms
- ➔ Value 'best fit' for the context over 'best practice'; as one size does not fit all

References

- UNDP (United Nations Development Programme).2009. *Capacity Development: A UNDP Primer*. New York.
- Urban Management Centre (UMC). 2013. "Training Needs in Sustainable Urban Transport in Madhya Pradesh". Ahmedabad: Shakti Foundation and Climate Works Foundation.

UNDP'S CAPACITY DEVELOPMENT FRAMEWORK

Developing capacity is a process of growth and evolution. The capacity development process uses a five-step cycle to organize programming work:



01 IDENTIFY AGENCIES THAT WOULD HAVE A ROLE IN TOD

Implementing TOD projects at any scale requires the coordination of multiple public and private sector entities. However, too often, these sectors work in silos and fail to align efforts to achieve common goals. Identifying the agencies that would have a role in a TOD project, and their effective collaboration, is essential to successfully plan for and implement TOD and ensure safety for all users.

02A ASSESS THE TECHNICAL CAPACITY OF AGENCIES

Assess the gaps in the capacity of the technical and management staff with regard to:

-  INSTITUTIONAL ARRANGEMENT
  LEADERSHIP
  KNOWLEDGE
  ACCOUNTABILITY

Actions for successful implementation of the TOD principles by concerned agencies should be assessed as fully realized, partially realized, and not realized.

**For greater details, refer 2A*

02B ASSESS FINANCIAL CAPACITY OF AGENCIES

One of the biggest barriers to TOD planning in cities is the lack of adequate budgets to hire and retain the requisite technical capacity. It is therefore essential to assess the financial capacity of the organization in order to suggest viable capacity building responses. Additionally, funding available with the institution should be assessed as well to determine implementation of capital projects, particularly for road safety improvements.



DATA SOURCES

- Municipal Budgets/ Organization Budgets
- Existing Resource Plans

**For greater details, refer 2B*

03 FORMULATE THE CAPACITY BUILDING RESPONSE FOR TECHNICAL CAPACITY

Strategies to augment the current staff capacity with regard to TOD practices and planning processes should be undertaken. The type of shortages should be identified for potential responses.

-  INSTITUTIONAL ARRANGEMENT
  LEADERSHIP
  KNOWLEDGE
  ACCOUNTABILITY

**For greater details, refer 3*

04 DEFINE CAPACITY BUILDING PRIORITIZATION NEEDS DEPENDING ON CITY NEEDS

Prioritize the capacity building response based on the urgency of the needs.



05 CREATE A 5-YEAR RESOURCING PLAN TO ENSURE CONTINUED FINANCIAL SUPPORT FOR CAPACITY BUILDING

It is essential to identify the required budgetary needs and prepare a 5-year plan, to ensure committed and continued support to the resourcing plan.

2A ASSESS THE TECHNICAL CAPACITY OF AGENCIES

HOW TO ASSESS TECHNICAL CAPACITY?



INSTITUTIONAL ARRANGEMENTS

- Are there existing institutions, such as line agencies or special purpose vehicles, which are used to convene multiple sectors around a development project?
- Does the agency have an institutional mandate to enable TOD?
- Does the agency have a larger vision of ensuring road safety and reduce crashes?
- Do these entities engage private sector and civil society groups?



KNOWLEDGE

- What is the number of technical resources in the organization?
- What are their qualifications?
- How familiar are they with TOD concepts and planning processes?
- Do they have experience in designing complete streets?
- Are they aware of safe systems approach in enabling road safety?



ACCOUNTABILITY

- Is there a mechanism to ensure accountability?
- What is the quality of enforcement?



LEADERSHIP

- Is the leader aware of and supportive of TOD?
- Is there an existing political will for TOD?
- Is the leader aware of road safety concerns in urban areas?
- Is there a political will for implementing road safety strategies?

2B ASSESS THE FINANCIAL CAPACITY OF AGENCIES

HOW TO ASSESS FINANCIAL CAPACITY?

- Do they have financial capacity to hire the required resources?
- Do they have local/municipal financing means to fund TOD capital investments?
- Do they have budget allocated to conduct road safety studies and implement safe system infrastructure?
- Do they have access to external sources of funding for TOD and road safety?
- How well do current policy and regulatory tools foster and incentivize TOD?
- Are there any incentives for developing non-motorized infrastructures and ensuring road safety?
- What funding sources can be unlocked over the course of the investment?

3 FORMULATE A CAPACITY BUILDING RESPONSE

The existing capacity is assessed (in Step 2) to identify the gaps and shortages. These are overcome by forming capacity development responses and can collectively cater to immediate needs, mid-term needs and long-term needs.

HOW TO FORMULATE A RESPONSE?



INSTITUTIONAL ARRANGEMENTS

TYPES OF SHORTAGE	POTENTIAL TYPE OF RESPONSES
Lack of Single Nodal Agency	<ul style="list-style-type: none"> Formulate an agency with dedicated roles and responsibilities for implementing a TOD Project
Lack of mandate for road safety in TOD areas	<ul style="list-style-type: none"> Create a larger city vision and mandate for road safety in TOD areas. <i>Having a larger vision will ensure that it is included in future plans, policies and guidelines across various agencies and ensure necessary steps are taken towards it.</i>
Lack of Coordination	<ul style="list-style-type: none"> Set up a TOD Organization / Task Force <p><i>*For greater detail, Refer to EN-H01 How to build a TOD Institution</i></p>



LEADERSHIP

TYPES OF SHORTAGE	POTENTIAL TYPE OF RESPONSES
No knowledge of TOD or safe systems approach to ensure road safety	<ul style="list-style-type: none"> Meeting/Workshops with international experts/leading think tanks, such as WBCoP, ITDP and WRI Leadership training including site visits
No political support	<ul style="list-style-type: none"> Gather political support to include road safety as a priority by generating public support around road safety in high density and TOD areas.



KNOWLEDGE

TYPES OF SHORTAGE	POTENTIAL TYPE OF RESPONSES
Insufficient skilled resources	<ul style="list-style-type: none"> Internally hire resources with TOD skill sets, experience in land use planning and street design, and knowledge of safe systems approach. Hire a consultancy for a TOD-specific project who have prior experience in road safety and street design. Set up a TOD Knowledge Centre *
Insufficient TOD and road safety understanding	<ul style="list-style-type: none"> Conduct Monthly Training Workshops for the staff in collaboration with NGOs, institutions, or Think Tanks Set up a TOD Knowledge Centre *



ACCOUNTABILITY

TYPES OF SHORTAGE	POTENTIAL TYPE OF RESPONSES
No systematic mechanism to identify liable/ responsible personnel	<ul style="list-style-type: none"> Set up horizontal and vertical mechanisms to evaluate progress on TOD <p><i>*For greater detail, Refer to IM-A01 Monitoring and Evaluation Framework</i></p>
Lack of Enforcement	<ul style="list-style-type: none"> Conduct sensitization program with enforcement agencies

* TOD Knowledge Center: An in-house expert pool of practitioners, researchers and consultants including road safety experts, along with existing technical staff, to collectively build the capacity of the agency for a TOD project.