IMPLEMENT

INTRODUCTION

Tie the diverse interventions needed to ‘Make TOD happen’ from prioritizing projects, to capacity building and monitoring.
Developing successful TOD projects requires mobilizing a multitude of resources, partnerships and innovative implementation mechanisms that help leverage public sector investment in transit and infrastructure with private sector development. The ‘Implement’ stage is a discussion of programs and interventions that can convert plans into reality.

Once the visioning and detailed planning stage is completed, the stage to turn ideas into reality starts to take shape. Similar to any urban transformation project, the implementation of TOD projects typically takes place over 10-20 years, with public and private sector interests being constantly balanced. Developing successful TOD projects requires mobilizing a multitude of resources, forging partnerships, balancing trade-offs, complex negotiations, and constant monitoring to ensure success.

This section builds on the previous research related to TOD implementation, that suggests a sequencing of implementation steps with a caveat that the steps typically do not follow a linear process, but instead is often an iterative process with continuous feedback loops. Two key sources - Regenerating Urban Land (Amirtahmasebi, et al. 2016) and Module 6: Sequencing for Implementation of the TOD Corridor Course (World Bank Group and WRI 2015) - inform the key components of the TOD Implementation Framework:

- Monitoring and Evaluation
- Phasing Strategy
- Capacity Building

The impacts of key planning and policy interventions can never be anticipated fully and accurately. The process of monitoring and evaluation allows an agency to learn and understand the comparative ability of specific strategies to cause change in their respective context. Key Performance Indicators (KPI) provide a way for cities to measure the performance of their TOD initiatives against larger, global standards and outcomes. Smaller TOD projects need individual monitoring and evaluation frameworks that should be developed based on the specific project objectives. A number of performance indicators for TOD were considered in deriving the Monitoring and Evaluation Knowledge Product, including the TOD Standard (ITDP 2017), Module 8: Monitoring and Evaluation of the TOD Corridor Course - (World Bank Group and WRI 2015), and the LEED v4 for Neighbourhood Development (USGBC).

Capacity building has become one of the recurring themes in institutional literature and in the agenda of public administrations, international agencies, government and nongovernment organizations. The United Nations Development Programme (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. The UNDP Primer on Capacity Development (UNDP 2009) has informed the Capacity Development Knowledge Product.

Implementing TOD is both a time and resource-intensive undertaking. As such, a phased approach to transit-oriented development is key to success over the long-term. Phasing allows for development to be scheduled based on factors such as overall time frame, resource availability, priority to the city, possible risks and the required stakeholder responsibilities. ‘Quick Wins’ are generally the first activities to take place in a TOD, as they bring about positive changes for a city with little risk or financial/time constraints. This allows the, often controversial, transit-oriented development to enhance public buy-in and reputation. Consequently, activities that are higher risk and financially or resource intensive are scheduled for the long-term, providing a buffer for contingencies, potential resource delays and budgetary constraints.

While some of the components identified above are covered in previous frameworks, products for the ‘Implement’ Framework, presented in this section, are repurposed to be applied in the context of World Bank client cities, with an emphasis on highlighting the challenges faced from a political, regulatory, enforcement, financing, and other factors related to monitoring and evaluation of TOD projects, establishing Key Performance Indicators (KPI’s) for TOD projects, project phasing and capacity building.
**ANALYTICAL**

- **IM-A01** Monitoring and Evaluation *(Spreadsheet + User Guide)*
- **IM-A02** TOD KPI *(Spreadsheet + User Guide)*

**‘HOW-TO’ GUIDES**

- **IM-H01** How To Undertake Capacity Building *(Step-by-Step Guide)*
- **IM-H02** How To Develop A TOD Phasing Strategy *(Step-by-Step Guide)*

**PROCUREMENT**

- **IM-P01** Capacity Building Terms Of Reference *(TOR Template)*
REFERENCES


IM-A01

MONITORING AND EVALUATION FRAMEWORK

Analytic methodology to define the appropriate monitoring and evaluation framework for the TOD project or program

Type: Spreadsheet + User Guide
ABOUT THE MONITORING AND EVALUATION TOOL

PURPOSE

The impacts of key planning and policy interventions can never be anticipated fully and accurately. The process of monitoring and evaluation allows an agency to learn and understand the comparative ability of specific strategies to cause change in their respective context.

Monitoring primarily refers to monitoring “outputs” of a plan, policy, or program, with respect to defined targets. Project outputs are the particular goods or services provided by a project intervention, for example, the length of sidewalks constructed is a project output.

Evaluation primarily refers to evaluating “outcomes” of a plan, policy, or program, with respect to idealistic goals. Project outcomes measure the extent to which a project achieves a long-term, wide-scale objective, for example in the case of the same project, the increase in the modal share of people walking to transit stations is a project outcome.

This Monitoring and Evaluation Framework Knowledge Product provides guidance on defining a framework for project-specific needs. It illustrates the potential methodology to define the baseline, followed by collecting the relevant data to compare using analytic means. It also includes typical indicators that can be used to construct a project-specific framework.

HOW TO USE THE TOOL?

This Tool should be read in combination with an Excel Spreadsheet that contains a series of project output and outcome indicators that will help monitor and evaluate the performance of projects against TOD goals.

The overall framework is largely organized along the lines of the WRI and World Bank generated Corridor level Transit-Oriented Development Course and uses indicators from the ITDP TOD Standard v.3.0, and the LEED v4 for Neighbourhood Development. The TOD benefits measured using this framework are related to Mobility, Social, Environmental, and Economic Benefits. Project-specific project outputs and outcomes would need more detailed indicators, which would need to be developed as per project specifics. For each indicator, the framework provides methods of measuring, the scale of application, the best visualization method, and the expected TOD goal.

Some examples of how the monitoring and evaluation framework can be used for project-specific needs are given below:

- TOD Planning Project: Use the framework to monitor if the agency is performing the required planning tasks.
- Implementation of a Transit Construction Project: Use the framework to monitor if the agency is prioritizing key TOD requirements and causing minimum damage to the existing public environment.
- Implementation of a Parking Pricing Policy: Use the framework to evaluate the impact of the policy on the pedestrian environment and travel behavior.
- Evaluating Statutory Plans: Use the framework to evaluate the impact of the plans on the ability to plan for TOD.

References


DEFINE THE FRAMEWORK

**TOD PRINCIPLES AND KPIs**

**REFLECT AND INFORM THE PLANNING PROCESS**

**MONITORING PROGRESS**

**EVALUATING OUTCOMES**

**DEFINE DESIRED OUTCOMES**
- How should the project impact livability?

**DEFINE INDICATORS**
- Specific, measurable, relevant

**DEFINE MEASURES OF SUCCESS**
- Benchmarks, standards

**DEFINE EVALUATION TIME FRAME**

**DEFINE IMPLEMENTATION GOALS AND PROJECT OUTPUTS**
- What should the policy or project achieve?

**DEFINE TARGETS**
- Specific, measurable, time-bound

**DEFINE MEASURES OF PROGRESS**
- Increase, decrease, % achievement

**DEFINE MONITORING FREQUENCY**
HOW TO MEASURE PERFORMANCE

**THE IMPORTANCE OF ASSESSING AVAILABILITY AND QUALITY OF DATA TO INFORM THE MONITORING AND EVALUATION FRAMEWORK**

The process of measuring is critical to ensure successful outcomes from a monitoring and evaluation framework, which is influenced largely by the availability and quality of data. It is extremely important to understand the prevailing data limitations in the context before defining the monitoring and evaluation framework. Overestimating the ability of an agency to collect reliable data can compromise the effectiveness of the monitoring and evaluation framework to offer constructive lessons for the future.

**DEVELOPING PROXY INDICATORS**

Where data availability for a particular target or indicator is unreliable or is of poor quality, it is recommended to utilize proxy indicators that allow for reliable prediction of the performance against the desired outcome.

**SAMPLE FRAMEWORK**

Two sample frameworks are suggested on the next page. Use the criteria from the Excel Spreadsheet to populate any one of the two frameworks, as preferred for the project goals.
MONITORING AND EVALUATION FRAMEWORK TEMPLATE

SAMPLE FRAMEWORK TYPE 01

<table>
<thead>
<tr>
<th>TOD PERFORMANCE PARAMETERS</th>
<th>IMPLEMENTATION OBJECTIVES/OUTCOMES</th>
<th>INDICATORS/TARGETS</th>
<th>MEASURES</th>
<th>DATA SOURCE</th>
<th>DATA LIMITATIONS/NOTABLE BIAS</th>
<th>MEASURING FREQUENCY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mobility and Travel Behaviour*</td>
<td>Objective 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Objective 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Objective 3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Refer to IM02 for TOD Key Performance Indicators

The implementation objectives can be analyzed individually, in this case, to monitor progress or analyze the extent to which each objective, output, or outcome is achieved. This allows for evaluation of the impact of a project or program on specific objectives.

SAMPLE FRAMEWORK TYPE 02

A MOBILITY AND TRAVEL BEHAVIOUR

[DESCRIPTION OF INTENT]

<table>
<thead>
<tr>
<th>Features</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A3</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sub - Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

This framework allows for a qualitative measurement of the OVERALL performance of a TOD project or program, with respect to desired goals or outcomes.

TRANSLIT-ORIENTED DEVELOPMENT SCORECARD

1 point is assigned per item if ‘Yes’ is checked. 0 points are assigned if ‘No’ is checked. All ‘Yes’ and ‘No’ checks are considered applicable and points from each section should be added and included in the table below. The ‘Score’ for each section is calculated by dividing the points by the ‘Total Applicable’. This produces a percentage score. Comments may be written to explain the score for each section.

<table>
<thead>
<tr>
<th>A</th>
<th>Mobility and Travel Behavior</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>B</td>
<td>Economic Performance</td>
<td>X</td>
</tr>
<tr>
<td>C</td>
<td>Environmental Performance</td>
<td>X</td>
</tr>
<tr>
<td>D</td>
<td>Social Benefits</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>TOTALS</td>
<td></td>
</tr>
<tr>
<td></td>
<td>FINAL SCORE</td>
<td>X</td>
</tr>
</tbody>
</table>
IM-A02

KEY PERFORMANCE INDICATORS FOR TOD

This Knowledge Product is intended to be used as an interactive Excel spreadsheet. These tools are available online on the GPSC’s TOD website and the World Bank’s TOD CoP website. The reader should first review the summary presented below before using the spreadsheet tool.

Type: Spreadsheet + User Guide
ABOUT THE TOD KEY PERFORMANCE INDICATORS

PURPOSE

This TOD Key Performance Indicator (KPI) tool provides a way for cities to measure the overall performance of their TOD initiatives against larger, global standards and outcomes. Smaller TOD projects need individual monitoring and evaluation frameworks that should be developed based on the specific project objectives (Refer IM-A01). This tool allows a city to measure how the city is performing as a whole, with respect to TOD.

Structurally it follows the same organization as the Monitoring and Evaluation Framework Tool, along with the Corridor-level TOD Course (WRI and World Bank 2015), including Mobility, Socio-Economic, and Environmental Benefits.

The ratings for each indicator are simplified from the ITDP generated TOD Standard v3.0 (ITDP 2017).

References


THE TOOL INCLUDES:

- USER GUIDE
- MOBILITY ASSESSMENT
- SOCIO-ECONOMIC ASSESSMENT
- PHYSICAL ENVIRONMENT ASSESSMENT
- SUMMARY SHEET
- ASSESSMENT SCORING

Within EACH ASSESSMENT TAB, a list of key performance indicators are provided under three main CRITERIA:

A. SUPPORTIVE PLANNING FRAMEWORK: Under this criteria, the tool evaluates the existence and effectiveness of key planning instruments required to enable change.

B. PERFORMANCE OF INVESTMENTS: Under this criteria, the tool evaluates the ability and commitment of public and private investment to create the kind of change desired. This includes providing more mobility options, improving the public realm, improving the value of land and increasing accessibility for poorer populations.

C. DESIRED OUTCOMES: Under this criteria, the tool evaluates the impact of TOD initiatives on the larger behavioral aspects and quality of life for all citizens.
**HOW TO USE THE TOOL?**

01 **ENTER INPUTS IN ASSESSMENT TABS**

**EACH ASSESSMENT TAB** consists of indicators and measures. The indicators include the parameters that must be considered in the performance evaluation. The measures include a description of how each indicator should be rated.

Read the measure carefully and select the rating that should be applied to each indicator. While most indicators are measured qualitatively, some quantitative measures are also included.

02 **VIEW RESULTS IN THE SUMMARY TAB**

The Assessment Scoring Tab is where the raw calculations of the TOD performance are determined. These automatically populate **THE RESULTS CHART** in the Summary Tab as shown below.
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).

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


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

**STEP 1: ENGAGE STAKEHOLDERS ON CAPACITY DEVELOPMENT**

**STEP 2: ASSESS CAPACITY ASSETS AND NEEDS**

**STEP 3: FORMULATE A CAPACITY DEVELOPMENT RESPONSE**

**STEP 4: IMPLEMENT A CAPACITY DEVELOPMENT RESPONSE**

**STEP 5: EVALUATE THE CAPACITY DEVELOPMENT**

UNDP’S CAPACITY DEVELOPMENT FRAMEWORK
Implementing TOD projects at any scale requires the coordination of multiple public and private sector entities. However, often these sectors work independently and fail to communicate and align their efforts towards 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.

01 IDENTIFY AGENCIES THAT WOULD HAVE A ROLE IN TOD

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.

*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.

IMMEDIATE NEED | MID-TERM NEED | LONG-TERM NEED

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?

<table>
<thead>
<tr>
<th>Institutional Arrangements</th>
<th>Knowledge</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are there existing institutions, such as direct agencies or special purpose vehicles, which are used to convene multiple sectors around a development project?</td>
<td>What is the number of technical resources in the organization?</td>
</tr>
<tr>
<td>Does the agency have an institutional mandate to enable TOD?</td>
<td>What are their qualifications?</td>
</tr>
<tr>
<td>Do these entities engage the private sector and civil society groups?</td>
<td>How familiar are they with TOD concepts and planning processes?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Accountability</th>
<th>Leadership</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there a mechanism to ensure accountability?</td>
<td>Is the leader aware of and supportive of TOD?</td>
</tr>
<tr>
<td>What is the quality of enforcement?</td>
<td>Is there an existing political will for TOD?</td>
</tr>
</tbody>
</table>

### 2B ASSESS THE FINANCIAL CAPACITY OF AGENCIES

#### HOW TO ASSESS FINANCIAL CAPACITY?

- Do they have the financial capacity to hire the required resources?
- Do they have local/municipal financing means to fund TOD capital investments?
- Do they have access to external sources of funding for TOD?
- How well do current policy and regulatory tools foster and incentivize TOD?
- What funding sources can be unlocked over the course of the investment?
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

<table>
<thead>
<tr>
<th>TYPES OF SHORTAGE</th>
<th>POTENTIAL TYPE OF RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of Single Nodal Agency</td>
<td>• Formulate an agency with dedicated roles and responsibilities for implementing a TOD Project</td>
</tr>
<tr>
<td>Lack of Coordination</td>
<td>• Set up a TOD Organization / Task Force</td>
</tr>
<tr>
<td></td>
<td><em>For greater detail, Refer to <a href="#">EN-H01: How to build a TOD Institution</a></em></td>
</tr>
</tbody>
</table>

### LEADERSHIP

<table>
<thead>
<tr>
<th>TYPES OF SHORTAGE</th>
<th>POTENTIAL TYPE OF RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Knowledge of TOD</td>
<td>• Meeting/Workshops with International Experts/Leading Think Tanks, such as WBCoP, ITDP and WRI</td>
</tr>
<tr>
<td></td>
<td>• Leadership Training including Site visits</td>
</tr>
<tr>
<td>No Political Support</td>
<td>• Gather Political Support</td>
</tr>
</tbody>
</table>

### KNOWLEDGE

<table>
<thead>
<tr>
<th>TYPES OF SHORTAGE</th>
<th>POTENTIAL TYPE OF RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Insufficient Skilled Resources</td>
<td>• Internally hire resources with TOD skill sets</td>
</tr>
<tr>
<td></td>
<td>• Hire a consultancy for a TOD-specific project</td>
</tr>
<tr>
<td></td>
<td>• <em>Set up a TOD Knowledge Center</em></td>
</tr>
<tr>
<td>Insufficient TOD Understanding</td>
<td>• Conduct Monthly Training Workshops for the staff in collaboration with NGOs, institutions, or Think Tanks</td>
</tr>
<tr>
<td></td>
<td>• Set up a TOD Knowledge Centre*</td>
</tr>
</tbody>
</table>

### ACCOUNTABILITY

<table>
<thead>
<tr>
<th>TYPES OF SHORTAGE</th>
<th>POTENTIAL TYPE OF RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>No systematic mechanism to identify liable/responsible personnel</td>
<td>• Set up horizontal and vertical mechanisms to evaluate progress on TOD</td>
</tr>
<tr>
<td></td>
<td><em>For greater detail, Refer to <a href="#">IM-A01: Monitoring and Evaluation Framework</a></em></td>
</tr>
<tr>
<td>Lack of Enforcement</td>
<td>• Conduct sensitization program with enforcement agencies</td>
</tr>
</tbody>
</table>

* TOD Knowledge Center: An in-house expert pool of practitioners, researchers and consultants, along with existing technical staff, to collectively build the capacity of the agency for a TOD project.
IM-H02

HOW TO DEVELOP A TOD PHASING STRATEGY

Methodology to help develop phasing strategies for a TOD project or program

Type: Step-by-Step Guide
ABOUT THE IMPLEMENTATION TOOL

Implementing TOD is both a time and resource-intensive undertaking. As such, a phased approach to transit-oriented development is key to success over the long-term. Phasing allows for development to be scheduled based on factors such as overall time frame, resource availability, priority to the city, possible risks and the required stakeholder responsibilities. ‘Quick Wins’ are generally the first activities to take place in a TOD, as they bring about positive changes for a city with little risk or financial/time constraints. This allows the transit-oriented development to enhance public buy-in and reputation. Consequently, activities that are higher risk and financially or resource intensive are scheduled for the long-term, providing a buffer for contingencies, potential resource delays and budgetary constraints.

PURPOSE

This tool aims to assist with the creation of a phasing strategy for TOD that accurately represents city priorities, the resource considerations at play and the possible risks during each stage of activity. Establishing ‘quick wins’ in the short-term and achieving overall goals and visions in the long-term will become possible through the scheduling resources available with this tool. An overall phasing strategy, guided by the underlying resource, budgetary and time constraints, should be determined through the step-by-step process provided. An effective phasing strategy for the implementation of TOD must include risk management strategies that can avoid common pitfalls. (Carlton and Fleissig 2014).

References

Many smaller activities need to be identified and listed, specifically related to addressing the desired outcomes of the TOD Plan. For example, improving pedestrian mobility requires activities such as widening of sidewalks, improving crossings, building pedestrian facilities, etc. As such, each activity should be listed against the TOD desired outcome.

‘Quick Win’ Activities should be identified at this stage. These are projects that have minimal risks associated with them and are capable of assured success. These projects help to set the stage for the rest of the project, enabling greater public acceptance.

Define the stages that each activity has to go through from inception to completion, such as pre-planning, planning and design, implementation and monitoring. For each stage, resource requirements vary and these need to be considered in Step 4.

For each stage within each activity, define the amount of time required and the resource and budgetary needs. Ensure that a buffer is considered for contingencies, to avoid delay or cash flow issues during subsequent stages of the activity.

Scheduling and phasing of activities should be defined based on the following:

- **Prioritization** depending on immediate needs, ease of implementation or definition of ‘Quick Win’ projects.
- **Resource considerations** such as availability of equipment or staff. The Critical Path Method or similar should be used to appropriately plan resource distribution.
- **Possibility of risks** during each stage of the activities. Risks should be minimized through scheduling in the appropriate season or similar.

Define roles and responsibilities clearly for each activity, including planning, implementation and post-implementation responsibilities. Identify regular accountability mechanisms to ensure the timely delivery of the project.
Create a detailed list of activities required to complete the project and specify the following for each of them:

<table>
<thead>
<tr>
<th>Outcomes</th>
<th>Strategies</th>
<th>Activity</th>
<th>Time frame for each activity</th>
<th>Budget Requirement</th>
<th>Resource Requirement</th>
<th>Agency/ Organization Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Input the overall outcome required)</td>
<td>(Define the broad strategies required to achieve the desired outcome)</td>
<td>(Describe the activity type. For eg. Project Program Policies)</td>
<td>(Total time duration to complete each activity including all stages)</td>
<td>(Financial requirement to sustain each activity)</td>
<td>(Resource requirement for each activity)</td>
<td>(Organization responsible for planning and implementation of this activity)</td>
</tr>
</tbody>
</table>
TIME FRAME AND RESOURCE IMPLICATIONS

TIME FRAME

The total time required to complete each activity must be estimated as shown below:

<table>
<thead>
<tr>
<th>Stage No.</th>
<th>Time estimation</th>
<th>Required time buffer</th>
<th>Total time required</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(Define the number of hours/days required to complete each stage)</td>
<td>(Estimate buffer time to be prepared for any contingencies)</td>
<td>(Sum of the previous two columns)</td>
</tr>
<tr>
<td>S1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>S2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>S3</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

RESOURCE IMPLICATIONS

The human resource and financial requirements for every stage of the activity must be taken into account while scheduling the activity.

<table>
<thead>
<tr>
<th>Stage No.</th>
<th>Resources</th>
<th>Budget Responsible</th>
<th>Risk Management**</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(Define the financial resources and/or number of hours/days required per annum to sustain this stage)</td>
<td>(Specify which organization will provide the required human and/or financial resources)</td>
<td>(Describe the risks for each stage and list out measures that are set in place, in order to proactively manage them)</td>
</tr>
<tr>
<td>S1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>S2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>S3</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

** Risk Management: Some common risks associated with TOD implementation (Carlton and Fleissig 2014) include:

1. Components of affordable housing and placemaking investments increase the cost and resource ambiguities associated with implementation.
2. Redevelopment or land amalgamation projects tend to overstep timelines because of complexities related to a large number of stakeholders.
3. Higher level planning decisions are not always responsive to market trends and demands, which may increase the time taken for projects to be adopted for development. This may also cause miscalculations of finance needs.
4. Market conditions may change during the process of TOD implementation. News of TOD planning can cause market speculation that can change market conditions also.
5. Feasibility studies may miscalculate the viability of TOD projects. This may not bring in the returns envisioned in the initial assessment and lead to derailment of the financing order.
6. Other parallel activities such as infrastructure investments can influence the implementation of dependent TOD activities.
7. It is important to know where gap funding may be needed, so as to keep the project on track.
Taking into consideration the time frame for each activity, financial and human resource availability and the risks involved in each activity, the project must be scheduled and phased as shown below. It must take into account activities that have the possibility to be implemented in parallel and the activities that require the completion of a previous task before augmentation.

<table>
<thead>
<tr>
<th>Activity No.</th>
<th>PHASE 1</th>
<th>PHASE 2</th>
<th>PHASE 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>S1</td>
<td>S2</td>
<td>S3</td>
</tr>
<tr>
<td>2</td>
<td>S1</td>
<td>S2</td>
<td>S3</td>
</tr>
<tr>
<td>3</td>
<td>S1</td>
<td>S2</td>
<td>S3</td>
</tr>
<tr>
<td>4</td>
<td>S1</td>
<td>S2</td>
<td>S3</td>
</tr>
<tr>
<td>5</td>
<td>S1</td>
<td>S2</td>
<td>S3</td>
</tr>
</tbody>
</table>

Potential risks and mitigation strategies
IM-P01

CAPACITY DEVELOPMENT STRATEGY TERMS OF REFERENCE

Template to outsource capacity building and training exercises for spreading awareness about TOD

Type: TOR Template
BACKGROUND

The Terms of Reference for Capacity Development for TOD should provide the following background material:

A. **Existing Institutional Structure**: The Background section should provide a snapshot of the existing institutional set-up for which the capacity development strategy is being formulated.

B. **City Profile**: The Background section should also provide information on the city for which the institutional structure exists. This includes details such as city population, economy, municipal jurisdictions, transit system and other municipal services.

C. **Bibliography of Reference Laws and Acts**

D. **List of Project Stakeholders**

OBJECTIVE OF THE ASSIGNMENT

The objective of this assignment is to conduct a technical capacity gap and needs assessment of relevant organizations involved in transportation and land use planning and related subjects in the City. This assignment will lead to the preparation of a technical capacity development strategy and action plan for building technical capacities in the respective organizations with respect to TOD planning and supplementary activities.

SCOPE OF ACTIVITIES

The scope of activities for the Real Estate Market Study primarily consists of the tasks described below. The proposer is encouraged to provide suggested refinements to the work plan and schedule based upon experience with similar economic and market studies, and in compliance with national and state policies, where applicable.

1. **Project Initiation**: The selected Consultant will first and foremost review relevant background material provided by the client on the existing institutional framework in the city, before scheduling a kick-off meeting. At the meeting, the Consultant will present their understanding of the consultancy, as well as the proposed methodology and guiding framework. The preliminary identification of key stakeholders should be conducted at this meeting. Based on the discussion, the Consultant will produce an Inception Report, comprising of the proposed approach including specific method(s) and guiding principles; the final proposed work plan; and identification of issues crucial to the viability of the consultancy. The Inception Report must propose guiding values for technical capacity, for eg. number of urban planners per 1000 population, against which technical capacity shall be assessed in Task 2.
   
   a. **Deliverables**: Inception Report including proposed approach, methods and guiding principles, work plan and identified issues and limitations.

2. **Technical Capacity Assessment**: The Consultant will review relevant past assessments undertaken in the City, if any, to gain insight on technical capacity trends in the city or organization. The Consultant will then, as per the proposed methodology, conduct surveys, meetings or workshops to summarize the current strengths and capacity gaps of organizations under consideration, with respect to institutional arrangement, leadership, knowledge and
accountability. The assessment parameters will include number of staff, operational procedures related to their mandates, technical expertise against the departments’ respective mandates, and measures of accountability. In particular, the Consultant must assess the familiarity and understanding of TOD among the leaders and technical staff in the organization. The Consultant must also assess the channels of communication to determine multi-stakeholder coordination challenges, if any. The Consultant will develop a baseline assessment, against which the success of the capacity building strategy will be measured at the end of the project.


3. **Technical Capacity Development Strategy and Action Plan:** Based on any technical capacity gaps identified in the final Technical Capacity Assessment Report, the Consultant will prepare specific and practical strategies and associated activities to address such gaps within the expected timeframe (e.g. in-country training delivered by a think-tank, formulating a TOD holding unit led by a TOD expert, sending staff members to an international conference, hiring a private consulting firm to undertake project-specific planning, transfer of employees to a technical agency to obtain relevant skills on-the-job, a short course at a regional university, etc). The Consultant will be expected to study the feasibility of the strategies proposed with respect to cost and availability, before adding them to the Action Plan. The Consultant will prepare a Capacity Development Strategy and Action Plan Report including the conclusions of the capacity needs assessment and the proposed capacity development approach for each concerned government organization and department. Building on the baseline assessment, a monitoring framework should be identified with proposed indicators, timelines and targets.

a. Deliverables: Capacity Development Strategy and Action Plan including proposed capacity development responses to existing gaps, and timeframe for implementation.

### DELIVERABLES

<table>
<thead>
<tr>
<th>TASK</th>
<th>DELIVERABLE</th>
<th>TIMELINE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Inception Report</td>
<td>M + 2 weeks</td>
</tr>
<tr>
<td>2</td>
<td>Technical Capacity Assessment Report</td>
<td>M + 2 month</td>
</tr>
<tr>
<td>3</td>
<td>Capacity Development Strategy and Action Plan</td>
<td>M + 3 months</td>
</tr>
</tbody>
</table>
QUALIFICATION OF CONSULTANTS

The Consultant Team must have experience in at least:

A. One similar Capacity Development Study
   OR

B. At least two studies or project reports which included at least two of the following components:
   Technical Capacity Assessment, Planning Framework formulation, TOD Planning

The Consultant Team must include the following key expertise:

<table>
<thead>
<tr>
<th>Key Experts</th>
<th>Year of Experience</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Project Manager and Senior Capacity Building Expert</td>
<td>15 years</td>
</tr>
<tr>
<td>2 Human Resource Specialist</td>
<td>10 years</td>
</tr>
<tr>
<td>2 TOD Specialist</td>
<td>10 years</td>
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